

Aurizon Network System Rules Central Queensland Coal Network



Preamble

The Aurizon Network System Rules (**System Rules**) provide additional details of the processes and systems used to plan and schedule Train Services in Aurizon Network's Central Queensland Coal Network (**CQCN**).

The System Rules are an important tool for Aurizon Network to transparently demonstrate the equitable allocation of Access to the CQCN in accordance with Access Agreements. The System Rules also fulfil Aurizon Network's regulatory obligations, and are an ancillary document to Aurizon Network's Access Undertaking 2016 (**Access Undertaking**).

These rules have been developed in consultation with our Customers, Ports and other CQCN Stakeholders with the objective of balancing the need for train ordering flexibility and the certainty of disciplined scheduling rules.

The System Rules are a baseline to facilitate Aurizon Network's strategy of continuous improvement of the planning and scheduling function. They are periodically reviewed in accordance with the provisions of the Access Undertaking.

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01. Introduction

1.1 Context

The System Rules for the CQCN are an ancillary document to the Access Undertaking. They provide accompanying detail to the Network Management Principles contained within Schedule G of the Access Undertaking, describing the planning and scheduling processes for Train Services in the CQCN.

Figure 1 below sets out Aurizon Network's train planning process, identifying each discrete process and respective time horizon.



Figure 1: Aurizon Network train planning process

The System Rules relate directly to the following planning processes:

- > Intermediate Train Plan (**ITP**)
- > Daily Train Plan (**DTP**)

Aurizon Network publishes a number of documents that provide information about system operating parameters and long term planning within the CQCN. Those which directly relate to the Train planning process are as follows.

- > System Operating Parameters
- > Master Train Plan (**MTP**)

These documents are made available at www.aurizon.com.au/portals/existing-customers

1.2 Governance and transition

The System Rules have been developed in accordance with and are governed by the Access Undertaking¹.

Following the approval of these System Rules for the CQCN by the Queensland Competition Authority (**QCA**), Aurizon Network will put in place a change management process and proposed timeframes for implementation. Supply Chain Stakeholders will be given a summary of their responsibilities under the System Rules via email. These System Rules will apply to all Train Services operating in the CQCN.

The approved System Rules (as amended from time to time) for the CQCN are made available at: www.aurizon.com.au

¹ AU, Part 7A, clause 7A.2

1.3 Key Interfaces

The following table outlines key interfaces for train operations at Aurizon Network.

Key Interface	Key Interface Responsibility
Network Planning and Engagement Manager	Responsible for supporting the delivery of contracted tonnages across the CQC
Rail Logistics Leader	Management of operational integrated planning from ITP to the DTP
Network Train Operations Manager	Management of Day of Operations resources for execution of the DTP.

1.4 System Paths

The Access Undertaking defines a System Path as “a path that can be taken by a Train Service from a specific origin to a Nominated Unloading Facility”.

Practically, a System Path includes a Mainline Path that is aligned with a Port Unloading Slot, plus dwells. This alignment of rail and port capacity facilitates the optimal use of supply chain resources and optimises supply chain throughput. For the avoidance of doubt, the System Rules applies to the entire train cycle.

Mainline Paths

Mainline Paths are determined based on the run between:

- Callemondah and Bluff for the Blackwater System;
- Callemondah and Dumgree for the Moura System;
- Jilalan and Coppabella for the Goonyella System; and
- Pring and Collinsville for the Newlands System.

Aurizon Network will provide information on how it calculates dispatch intervals to Access Holders and Access Seekers requesting such information.

Port Unloading Slot

The time at an unloading facility for a Train Service is contained in the relevant Access Agreement. The time at the unloading facility is inclusive of unloading time and time taken for pre and post unload activities (**Port Unloading Slot**)

Port Unloading Slots are determined by the Port Operator, and are based on the sustainable capability of the unloading facility. Aurizon Network schedules Train Services to align with these Port Unloading Slots.

Mine Loading Slots

Arrival slots at a mine for a Train Service are based on the recharge capability of the loadout for the mine, and the number of Train Services that can be loaded per day (**Mine loading Slot**). This information will be provided for in the mine capability statements, supplied by the Access Holders annually, or as updated from time to time.

Aurizon Network will schedule Train Services to align with these Mine Loading Slots from the Mainline Path to the relevant mine loadout.

Dwells

The dwells for a Train Service are taken into account and included in the cycle time for that Train Service and consequently in the scheduling process. The dwell may include provisioning activities, crew changes, meal breaks, maintenance, and examination of the Train. Specific dwells are identified in the Access Agreement and Operating Plan for the Train Service.

Reference Train Service

Aurizon Network's assumptions for pathing arrangements rely on, among other things, the characteristics of the Reference Train Services as specified in Schedule F of the Access Undertaking.

02. Intermediate Train Planning process

The Intermediate Train Plan (ITP) is produced by Aurizon Network in consultation with Access Holders and in accordance with the Access Undertaking². The ITP is the process by which Access Holders submit Train Orders and Aurizon Network allocates Train Paths to the Train Orders in accordance with the timeframes set out in the Access Undertaking.

2.1 Train Order timeframes

The relevant forms and contact details, as updated from time to time, are available on the Aurizon Network Customer Portal at www.aurizon.com.au/portals/existing-customers

NOTE: It is the responsibility of the Access Holder to coordinate Train Orders with their Customers (if any).

- > Access Holders are to submit an Initial ITP Train Order Form for the next Relevant Period to Aurizon Network by 13:00 hours on the Tuesday prior to the next Relevant Period of operation. Should an Access Holder require Stowage for a Train, a Stow Location Request form must be submitted with the ITP Train Order form.
- > Aurizon Network will review the Initial ITP Train Order Form and Stow Location Request Form and provide feedback to the relevant Access Holders via email.
- > Following Aurizon Network's feedback regarding the initial ITP Train Order submission, Access Holders are to then submit a Final ITP Train Orders Form to Aurizon Network prior to 12:00 hours on the Wednesday prior to the week of operation.
- > Changes to Train Orders, or requests for additional Train Services submitted after 12:00 hours on the Wednesday prior to the Relevant Period of operation, will be scheduled by Aurizon Network on a best endeavours basis only. This means that additional Train Services or changes will be scheduled around those Train Services that have already been ordered and allocated a System Path.

The following flow chart (Figure 2) provides an overview of the ITP process.

² AU, Schedule G, Clause 6

Intermediate Train Planning Process (ITP)

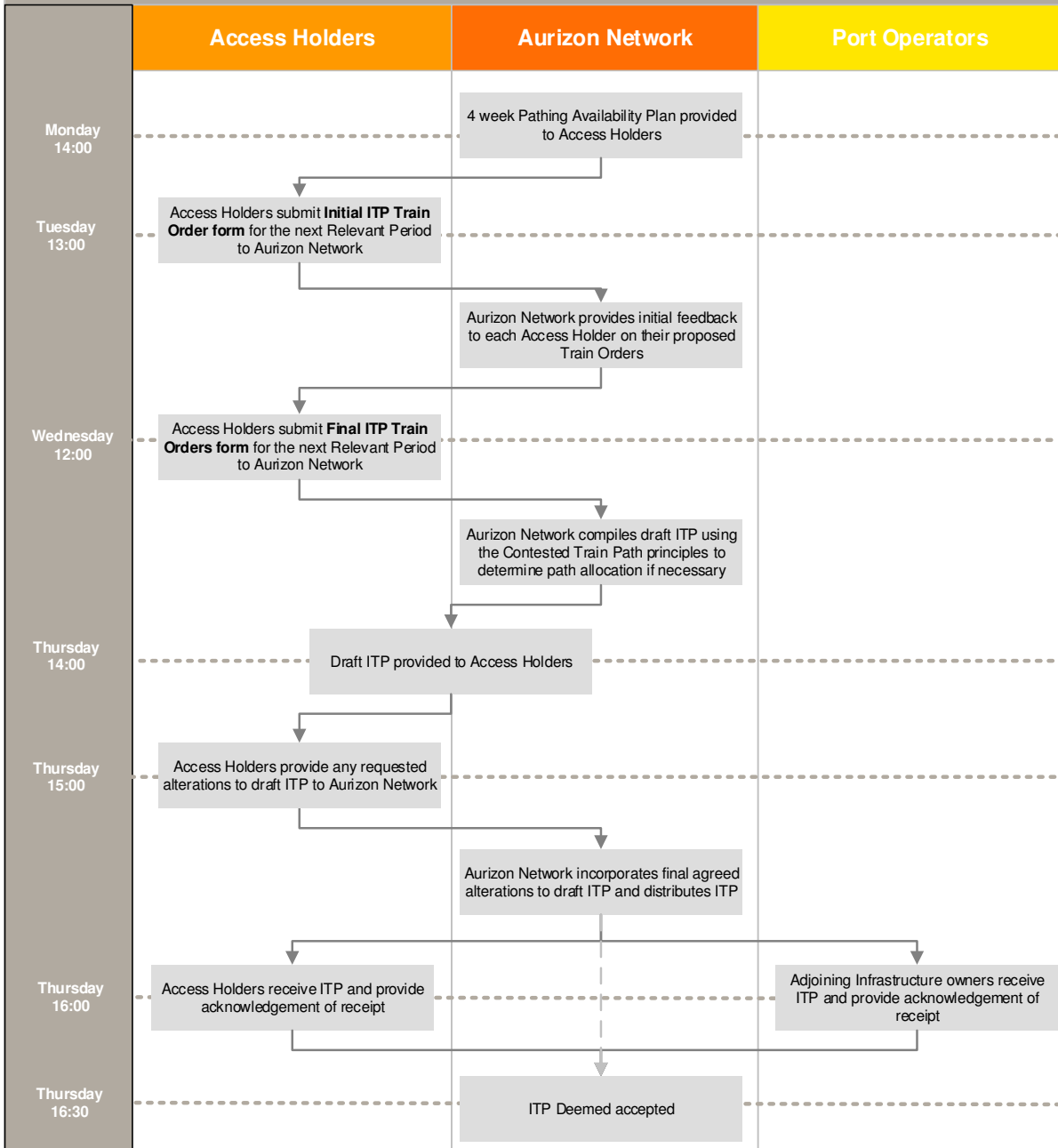


Figure 2: Intermediate Train Planning Process for the CQCN

2.2 Planning Considerations

Key considerations

Aurizon Network's key considerations when developing the ITP are as follows:

- > As the principal objective, Aurizon Network will aim to ensure delivery of Access Holders' contracted TSEs with the objective of an equitable outcome maximising the ability of each coal system to meet contractual entitlements.
- > Timetabled Traffic will be scheduled before Cyclic Traffic unless the unloading destination is a domestic power station and Aurizon Network has a legal obligation to prioritise these services.
- > The ITP will be developed in accordance with appropriate Safety Standards and Safeworking Procedures.

Cross System Traffic

In the event that the ITP planning process identifies that there is congestion at a specific mine loadout as a result of a requested Cross System Train Service(s), in absence of express agreement between the mine management and train operators, the Contested Train Path Principles in the Access Undertaking will be used to determine path allocation.

ITP Acknowledgement and Acceptance

The ITP is to be communicated to Access Holders and Infrastructure Service Providers via email by 1400 hours on the Thursday prior to the Weekly Period of operation.

- > The Access Holder must provide written acknowledgment of receipt and acceptance of the ITP by 1500 hours on the same Thursday to Aurizon Network via email.
- > Once confirmation is received by Aurizon Network, the ITP forms the basis for the DTP.

Note: Where documented acknowledgement of receipt and acceptance does not occur by 1600 hours on that Thursday, the relevant Access Holder is deemed to have accepted the ITP.

2.3 Scheduling Horizon

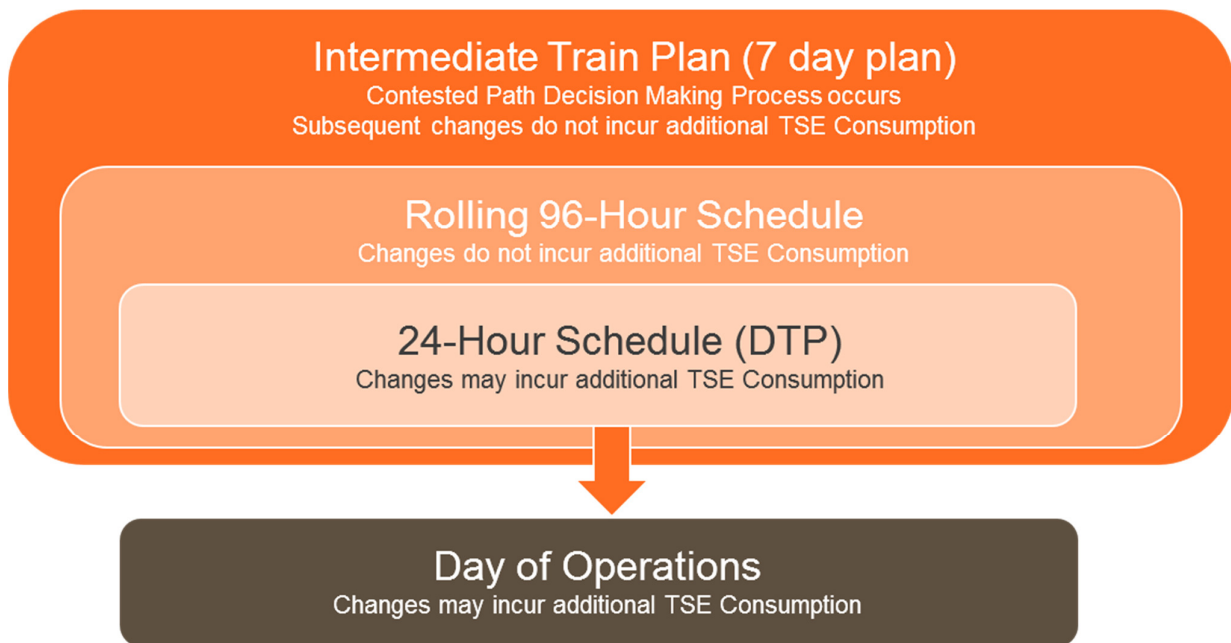
Aurizon Network will schedule Train Services for the Access Holder in accordance with the ITP.

Aurizon Network develops the schedule, at a minimum, 96 hours in advance of the day of operation. This is referred to as the rolling 96 hour schedule. The 96 hour schedule includes 24 hours of finalised train schedules and a pathing plan for train services departing in the >24 to 96 hour period.

The 96 hour schedule will be communicated daily to all Access Holders and Infrastructure Service Providers via email at 2000 hours. Changes made outside of 24 hours prior to the day of operation will not result in TSE consumption.

The following diagram (Figure 3) provides an overview of the scheduling process:

Figure 3: Scheduling Process for the CQCN



Train Schedule finalisation

Aurizon Network will confirm and finalise the next 24 hours of train schedules daily at 14:00 hours³. To request access to the relevant scheduling system, please email access.services@aurizon.com.au.

³ Aurizon Network acknowledges the finalisation period is actually 34 hours, given the cut-off time is 14:00 hours and the 24 hour period starts from 00:00 on the next day.

03. Daily Train Plan

The ITP, along with agreed schedule alterations (as applicable) will form the DTP, specifying:

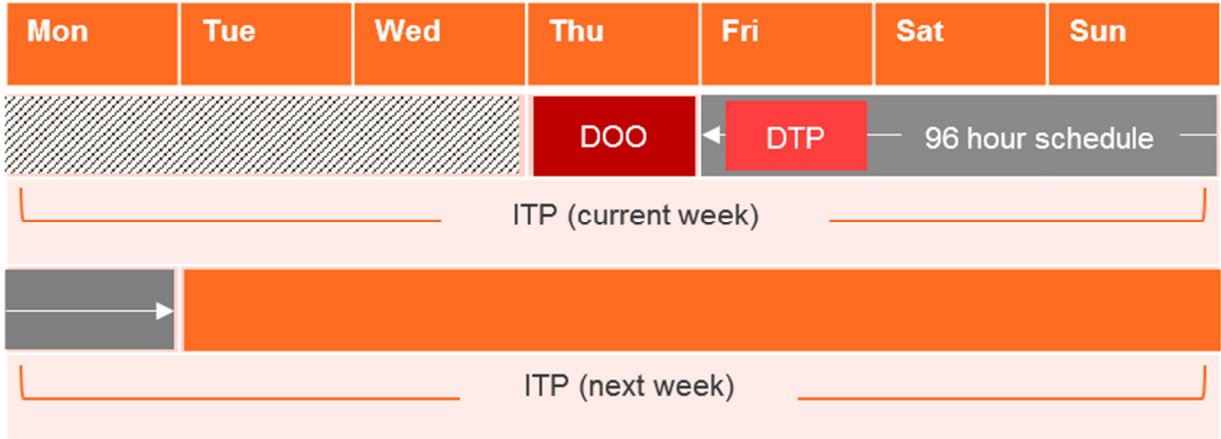
- > departure and arrival times for Train Services at depots, stations, loading and unloading facilities,
- > planned Dwells, and
- > the Loading and Unloading schedules,

in a form that indicates the time/distance (location) relationship of all activities on that part of the Rail Infrastructure to which the DTP relates.

The finalisation and handover of the DTP to the Network Train Operations Manager will occur at 14:00 hours on the business day prior to the day of operation (**DOO**). Following finalisation of the DTP Aurizon Network will release a copy of the DTP subject to compliance with its confidentiality obligations under the Access Undertaking.

The DTP development flow chart below (Figure 4) outlines the process:

Figure 4: Daily Train Plan Development Flow Chart



04. Schedule Alterations

Access Holders are able to request alterations to their Train Orders in variation to the ITP. Requests will only be considered by Aurizon Network if submitted via email (contact details are available on the Aurizon Network Customer Portal at www.aurizon.com.au/portals/existing-customers).

Any submitted requests to alter a Train Service will be assessed in accordance with the Schedule Alteration Rules in section 4.1 of these System Rules.

The types of alterations that can be requested are as follows:

- > **Additional Train Services** – An Access Holder may request to add a Train Service to the Schedule.
- > **Cancelled Train Services** – An Access Holder may choose to cancel a Train Service. Aurizon Network will remove that Train Service from the Schedule upon request by the Access Holder. Cancelled paths return to the pool of paths available to all Access Holders. Access Holders can access this information on Aurizon Network’s scheduling system.
- > **Rescheduled Train Services** – An Access Holder or Aurizon Network may request to reschedule the date or time of a scheduled Train Service to another date or time within the Relevant Period. Where a request to reschedule a Train Service cannot be accommodated or is not accepted by the Access Holder or Aurizon Network, the Access Holder must either cancel the Train Service, or keep the originally scheduled path. If the request to reschedule a Train Service can be accommodated, the Schedule will be amended and this Schedule will be the one against which the Train Service is measured as being an ‘on time’ Train Service.
- > **Diverted Train Services** – An Access Holder may request to divert a Train Service from its original origin – destination to a new origin or destination that it has an entitlement to operate to/from under its Access Agreements, or another Access Holders Access Agreement that it has authority to operate. Where a request to divert a Train Service cannot be accommodated, the Access Holder must either cancel the Train Service, or keep the original scheduled Train Service. In the instance when a requested change to the origin of a scheduled Train Service that is able to be accommodated utilises the same Mainline Path, the diversion will not be an additional TSE Consumption for the relevant Access Holder.
- > **EU Access Holder variation to Operators** – Where an EU Access Holder holds Access Rights under an EU Access Agreement, it is entitled to vary or withdraw its nominations of an Operator operating its Train Services in accordance with its EU Access Agreement. Accordingly, where an EU Access Holder notifies Aurizon Network that it wishes to change the Operator of a scheduled Train Service, Aurizon Network will assess whether the change can be accommodated within the Schedule (e.g. changes to Operating Plans may affect performance of the Schedule). In this paragraph, “Operator” has the meaning given under the relevant EU Access Agreement.

4.1 Schedule Alteration Rules

The Schedule Alteration Rules detailed below governs how Aurizon Network considers each requested Train Order alteration submitted by Access Holders.

1. Access Holders must phone the appropriate Aurizon Network personnel (see Rule 2) to discuss any alterations prior to submitting a request for a schedule alteration (**Change Request**). Aurizon Network will assess the contractual requirements of the proposed alteration, and provide initial verbal assessment of the capacity requirements for the proposed alteration.
2. Change Requests can be submitted to Aurizon Network at any time for consideration. Each Change Request must be submitted via email and will be assessed in order of the time stamp noting receipt attached to each email. Aurizon Network will assess alteration requests received for the DTP each day. For all other scheduling alterations, Aurizon Network will assess during business hours or within the agreed planning and scheduling timeframes.
3. Aurizon Network will determine the availability of a Port Unloading Slot as part of the process of reviewing a submitted Change Request.
4. For each submitted Change Request, Aurizon Network will alter the Schedule where the requested alteration:
 - a. does not result in any other Access Holder's scheduled Train Services not being met, or the only adversely affected Train Services are for the same Access Holder and that Access Holder consents to those Train Services being adversely affected; and
 - b. can be accommodated within the current Schedule.
5. In the event that a requested alteration by an Access Holder conflicts with a Planned Possession, the request will not be met and, where possible, Aurizon Network may offer an alternative path if available.
6. In the event of an Emergency Possession by Aurizon Network, Aurizon Network will notify affected Access Holders. Where possible, Aurizon Network will endeavour to offer an alternate path to reschedule affected Train Services. Where this is not possible, the Access Holder will be required to cancel the affected Train Service.
7. In the event of a relevant Port Operator or operator of a loading facility requesting emergency alterations to the Schedule, they may notify Aurizon Network via email as per Rule 2 above. Where possible, Aurizon Network may endeavour to offer an alternative path to reschedule affected Train Services. Where this is not possible, the Access Holder will be required to cancel the affected Train Service.
8. Aurizon Network will keep records of all decisions made in regard to submitted Change Requests.

4.2 Schedule Alterations for Possessions

There may be situations where Aurizon Network requires an alteration to the DTP due to Possessions, including for:

- > the modification of an existing Planned Possession;
- > the creation of an Urgent Possession; or
- > any other Operational Constraint affecting the DTP.

Where any of the above alterations result in any Access Holder's Train Services not being met, the change will only be made following consultation with, and the agreement of, those affected Access Holders. Where any of the above alterations affect a Planned Possession, Infrastructure Service Providers will also be consulted.

Where Aurizon Network requires an alteration to the DTP to accommodate an Emergency Possession, Aurizon Network will follow the procedure set out in Rule 6 of the Schedule Alteration Rules in section 4.1 of these System Rules.

Any consultation with Access Holders required as a result of DTP alterations due to Possessions will occur at the 4 hourly phone hook-up meeting held between Access Holders, Port Operators and Aurizon Network. Aurizon Network will provide advice as to how Possessions are progressing against the DTP, and an indicative time of when the network will become available.

Aurizon Network will provide information to Access Holders as soon as it is available on any expected delay to the scheduled end of a Possession. Aurizon Network will cooperate with Access Holders' efforts to mitigate the associated disruptions, subject to the Access Undertaking, any relevant Access Agreement, any applicable Law and this document.

05. Plan Implementation

5.1 Train Control and Operations Procedures

All Train Control Services, including but not limited to Train running, crossings and Dwells, are managed by Aurizon Network's Train Control Centre. In providing these Train Control Services, Aurizon Network will comply with the Traffic Management Decision Making Matrix in Schedule G of the Access Undertaking to the extent applicable. Train Control Procedures and Train Operations Procedures are detailed in the Interface Coordination Arrangements contained in Schedule 9 of the Standard Train Operations Deed.

5.2 Performance Measurement

Train Service Performance

Train Service performance on a particular day, including on-time running and delays, will be measured against the DTP published for that day unless such changes have been agreed between Aurizon Network and the relevant Access Holder(s).

Delay Cause Identification

For a delay to a Train Service that has occurred in exception to the DTP, Aurizon Network will identify and consult with the relevant Supply Chain Stakeholders to determine the cause of the delay. Consultation will occur at the 4 hourly phone hook-up meeting between Access Holders, the Port Operators and Aurizon Network.

For a Train Service that is Cyclic Traffic, the review process will be limited to reviewing possible causal incidents that occurred within a 48 hour time period prior to the delay. For a Train Service that is Timetabled Traffic, this process will be limited to reviewing possible causal incidents that occurred on or after the commencement of that Train Service. A delay cause will be classified to one of the following:

- > Aurizon Network
- > Adjoining Network Manager
- > Port
- > Mine
- > Operator A- Z
- > FM Event
- > Other

Where no decision can be reached collectively, Aurizon Network will determine the cause for the delay. Where a dispute arises with the determined cause, affected Access Holders can escalate the dispute through the dispute resolution mechanisms of their relevant Access Agreements.

Cancellation Cause Identification

For the cancellation of a Train Service from the DTP, Aurizon Network will identify and consult with relevant Supply Chain Stakeholders to determine the cause of the cancellation. Consultation will occur at the 4 hourly phone hook-up meeting between Access Holders, Port Operators and Aurizon Network.

For a Train Service that is Cyclic Traffic, the review process will be limited to reviewing possible causal incidents that occurred within a 48 hour time period prior to the cancellation. For a Train Service that is Timetabled Traffic,

this process will be limited to reviewing possible causal incidents that occurred on or after the commencement of the relevant Train Service. A cancellation cause will be classified to one of the following:

- > Aurizon Network
- > Adjoining Network Manager
- > Port
- > Mine
- > Operator A- Z
- > FM Event
- > Other

Where no decision can be reached collectively, Aurizon Network will determine the cause for the cancellation. Where a dispute arises with the determined cause, affected Access Holders can escalate through the Network Customer Service Lead.

06. Definitions and interpretation

Unless otherwise specified:

- a term that is defined in the Access Undertaking has the same meaning in this document; and
- the interpretation provisions of the Access Undertaking⁴ apply to this document.

A reference to an Access Holder in this document:

- includes a reference to a Nominated Railway Operator; or
- where the Access Holder is an EU Access Holder, is a reference to the Access Holder's "Operator" (as that term is defined under the relevant EU Access Agreement), where applicable.

Where there are public holidays that impede on any timeframes outlined in this document, Aurizon Network will discuss the required alteration to the timeframes with the Access Holders in advance.

All timeframes listed in this document are subject to change. Consultation will be undertaken with Access Holders prior to the implementation of any timeframe changes.

If this document is inconsistent with the Access Undertaking, then the Access Undertaking prevails to the extent of that inconsistency.

Other definitions specific to this document include:

Access Undertaking	The access undertaking prepared by Aurizon Network and approved by the QCA pursuant to the Act in force and as amended, from time to time.
Adjoining Network Manager	A Railway Manager in relation to a railway (including proposed railway) connecting to any Individual Coal System.
TSE	Train Service Entitlement

⁴ As at the date of this document, see clause 12.2 of the AU
Aurizon Network's System Rules – Central Queensland Coal Network