KiwiRail

Rail Operating Rules Framework Introduction

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Rail Operating Rules Framework Introduction

1. Framework Overview

KiwiRail has a Rail Operating Rules Framework that provides a basis for controlling rail operational risk through a suite of documents for the use by rail personnel.

The Framework is developed to meet the requirements of the Rail Safety Legislation by providing controls as an element of the KiwiRail Safety Management System and its associated Rail Safety Case.

To further define the risk presented to KiwiRail by undertaking rail operations, nine Fundamental Operating Principles (Principles) have been developed as part of the risk identification process:

- **Principle 1** - Rail personnel must take all possible steps to ensure their activities are carried out in a safe manner.
- **Principle 2** - Rail vehicles must maintain safe separation via an appropriate method of signalling and/or operation.
- **Principle 3** - Before any rail vehicle moves, it must have an authority to move that clearly indicates the limits of that authority.
- **Principle 4** - Rail vehicles and other transport modes must be separated or the interface managed.
- **Principle 5** - Rail vehicles must be prevented from entering or moving if the railway infrastructure integrity is suspected of being in an unsafe state and/or line obstructed.
- **Principle 6** - Rail vehicles must be prevented from moving if their integrity or compatibility is unsafe or suspected to be in an unsafe state.
- **Principle 7** - Rail vehicles must only be authorised to operate where the rail vehicle is compatible with the railway infrastructure.
- **Principle 8** - Safe separation must be maintained between people, plant, and rail vehicles.
- **Principle 9** - People must be protected from the hazards associated with electrical infrastructure.

Table 1. Framework Document Overview

#	Elements	Overview
1	Principles	The fundamental objective describes the foundation of a system for achieving a safe outcome. In this case, safe railway operations. The Rail Operating Rules within the Framework must meet the intent of the Principles.
2	Rail Operating Rules	A set of mandated instructions to control the identified risk to rail operations and meet the intent of the Principles.
3	Rail Operating Procedures	The process of applying a given task/activity that supports the requirement of the Rail Operating Rules.
4	Rail Operating Forms	An authorisation or application to undertake specific activities that supports the Rail Operating Procedures or Instructions.
5	Manuals	Aligned to support the Rail Operating Rules and Procedures at various levels and provide specific information on systems, operating conditions, codes local level, or task instructions.
6	Associated Documents	These include but are not limited to: • Local Network Instructions • Rail Operating Code • Train running and timetabling procedures • Freight Handling Code
7	Glossary	Provides the terms and definitions for the Framework documents, although it has a broader scope through rail operations.

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2. Application and Use

IMPORTANT
The first and most important duty of all Rail Personnel is to provide for the safety of Rail Personnel and the public.

Access to relevant sections of the Rail Operating Rules and Procedures and other relevant codes, instructions and S & I diagrams must be readily available to all Rail Personnel involved with or affected by the running of trains.

Rail Personnel must comply with all relevant Rules, Regulations, Codes and Instructions. They must have sufficient knowledge of them to perform their duties efficiently and safely.

When circumstances occur which are not provided for in rules, regulations or instructions, Rail Personnel must be guided by their own judgement, bearing in mind the importance of safety in the discharge of their duty.

When special or unusual action requires a departure from the rules, regulations or instructions, duly authorised Officers may authorise such action by the issue of a bulletin which must incorporate any instructions necessary to ensure safe working. When this occurs a full report of the circumstances must be forwarded to the Access Providers Manager in charge of Rail Operating Rules, Codes and Standards.

3. Alert Issuance

Alerts are a method of communicating amendments to the Rail Operating Rules Framework elements via the Shield application.

Only duly authorised Officers Controlling Train Running are permitted to issue Alerts.

3.1 Numbering Principles

Alerts will be numbered sequentially, commencing at No.1 from 1 January each calendar year.

When necessary, the year of issue will follow an Alert number when an historical Alert is being referenced, e.g., Alert No.123 (2025).

3.2 Issuance Principles

The minimum timeframes between the issuance of an Alert amending a Rail Operating Rules Framework (RORF) element and the effective date of the change(s) are:

RORF Element	Planned or Unplanned Change	Minimum Timeframe between Alert and Effective Date
Rule Module	Planned	7 days
Rule Module	Unplanned	7 days*
Rule Procedure	Planned	7 days
Rule Procedure	Unplanned	7 days*
Manual	Planned	7 days
Manual	Unplanned	Immediate
Rail Operating Code	Planned	7 days
Rail Operating Code	Unplanned	Immediate
Local Network Instruction	Planned	2 days
Local Network Instruction	Unplanned	Immediate

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RORF Element	Planned or Unplanned Change	Minimum Timeframe between Alert and Effective Date
Support Document	Planned	Immediate
Support Document	Unplanned	Immediate

* = Unless mandated otherwise by a Regulator, critical safety failure/gap, or previous omission/error.

3.3 Cancellation and Reissuance

Cancellation

Should the change(s) that an issued Alert is introducing are no longer required, a duly authorised Officer Controlling Train Running must reissue the Alert with the text (CANCELLED) at the end of the Alert title e.g., **Alert No.123 GR01 General Rules (CANCELLED)**.

The reason for the cancellation, and any other relevant information must be stated immediately following the Alert subtitle in the reissued Alert.

Reissuance

Should the change(s) that an issued Alert is introducing require amending, a duly authorised Officer Controlling Train Running must reissue the Alert with the text (REISSUED) at the end of the Alert title e.g., **Alert No.123 GR01 General Rules (REISSUED)**.

The reason for the reissuance, and any other relevant information must be stated immediately following the Alert subtitle in the reissued Alert.

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