Joint Operating Plan

City Rail Link Dynamic Testing

NIMT-CRL JOP

Between KiwiRail and Link Alliance and Auckland One Rail

CRL-SYW-SYS-KiwiRail-PLN-800000

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1 Contents

2 Definitions & Acronyms

Term	Description
Access Agreement	An agreement between Access Provider and Rail Operating Company pursuant to which the Access Provider grants the Rail Operating Company certain access rights to the National Rail System
Access Provider	As defined in KiwiRail's Operating Rules and Procedures, the Access Provider is the entity who controls the use of that railway line by rail operators (including that person if it is also a rail operator), whether or not that person engages rail personnel to exercise or assist in exercising that control on its behalf; but does not include those rail personnel.
AOR	Auckland One Rail
AT	Auckland Transport
BLSS	Building Life Safety System
Bulletin	A numbered controlled instruction issued by the Network Controller that instructs all rail personnel.
City Rail Railway Line NIMT-CRL	The RSTIAA s1.1 Definitions, defines the City Rail Railway Line as: "**City Rail Railway Line** means the space starting at 25 metres of the NAL turnout and ending at the western end of Waitematā Station (Britomart) where the existing buffer stops are, including all tunnels, cross passages, at underground stations within the track side of all platform edges and otherwise within 4m from the centreline of the new railway line…". In this document, the City Rail Railway Line is referred to as the NIMT-CRL. Operational Definition of the limits is the railway between: • Auckland Signals 134 & 136 • Mt Eden Signals 741 & 743 • Down East Link Signal 725 • Up East Link Signal 727 • And includes all tunnels, cross passages, at underground station within the track side of all platforms edges and otherwise within 4m from the centreline of the new railway line.
CRLL	City Rail Link Limited
Daily Works Notice	Document produced by Link Alliance and provided to KiwiRail with the information required for the drafting of the NIMT-CRL Bulletin.
Electrical Multiple Unit (EMU)	Electric Multiple Unit. A passenger car set, which is electrically powered.
IMT	Incident Management Team
Infrastructure Owner	Railways Act 2015: means a person who owns, or leases for a period of 7 years or more, any railway infrastructure, whether or not that person engages rail personnel to exercise or assist in exercising the rights and duties of ownership on its behalf; but does not include those rail personnel
Joint Operating Plan (JOP)	Refers to this document, a joint agreement between KiwiRail, Link Alliance and Auckland One Rail, that sets out the parties' respective activities and roles and responsibilities for the safe conduct of all operations within the Dynamic Testing Period.
KiwiRail (KR)	KiwiRail Holdings Limited

Term	Description
Link Alliance (LKA)	Link Alliance. The Link Alliance is a consortium of seven companies, including CRLL, delivering the stations, tunnels, and rail infrastructure for the CRL project.
Lock Off	As per the Track Safety Rule, TS02 Protected Work Area, 5. Worksite Register and Locking On/Off, the method of removing your padlock from a lock frame symbolising that you are accounted for in a safe place.
Lock On	As per the Track Safety Rule, TS02 Protected Work Area, 5. Worksite Register and Locking On/Off, the method of placing a padlock to a lock on frame in a dedicated location.
Lock On Frame	As per the Track Safety Rule, TS02 Protected Work Area, 5. Worksite Register and Locking On/Off, the Lock On Frame, is the device which individually assigned padlocks are attached to, to signify that the padlock owner is occupying the Danger Area within a Protected Work Area
Lockout Zone	Method of controlling signals to prevent rail vehicle entry to allow a track occupancy to occur
Maintenance Provider	Railways Act 2015: means a person who provides maintenance services for any railway infrastructure or rail vehicle, whether or not that person engages rail personnel to do so on its behalf; but does not include those rail personnel
Minimum Approach Distance (MAD)	The safe working distance that provides rail personnel protection when working on or in the vicinity of energised lines and equipment.
Network Controller	Railways Act 2015: means a person who authorises entry onto, occupancy of, or movement of rail vehicles on a railway line, whether or not that person engages rail personnel to do so on that person's behalf; but does not include that rail personnel
NIMT-CRL	Operational name used for the City Rail Railway Line. Refer to definition of the City Rail Railway Line.
OFA	On Foot Authority
Operations	Operations means those train operations that a Rail Operating Company is permitted under its Rail Licence and the Joint Operating Plan to undertake at the NIMT-CRL during the Dynamic Testing Period, including (as applicable) movement of EMUs and maintenance vehicles, evacuations, trials, ancillary train movements including repositioning or movement of any rolling stock or other related Rail Vehicles, for testing, servicing, maintenance, driver training, system verification, cleaning or maintenance purposes, including emergency retrievals related to Dynamic Testing.
Overhead Line Equipment (OLE or OHLE)	The catenary, contact wire and associated equipment.
Person Conducting a Business or Undertaking (PCBU)	Has the meaning prescribed in the Health and Safety at Work Act 2015 s17(1)
PICOW	Person In Charge Of Worksite
Positive airflow	Positive airflow is defined as the intentional movement of air from a cleaner or pressurised area into a less clean or lower-pressure area to prevent contaminants or hazardous substances from entering the protected space. Air pressure is higher in the source (clean) area than the surrounding environment. This is evidenced by gas monitor readings showing zero noxious gases and 20.8% oxygen.

Term	Description
Protected Work Area (PWA)	Protected Work Area Section of line or lines where rail personnel are carrying out activities using an approved protection method. Fixed and/or mobile work sites will operate under the direction of a Rail Protection Officer in a PWA.
Rail Operating Company	The entity/entities that are *Rail Operators* as defined by the Railways Act 2005 s4(1) "… *a person who provides or operates a rail vehicle, whether or not that person engages rail personnel to do so or to assist in doing so on its behalf; but does not include those rail personnel."*
Rail Operator	Means any person (including the Metro Services Operator as agreed in the RSTIAA), who, for the purposes of the Railways Act 2005, operates Rail Vehicles on the NIMT-CRL during the Dynamic Testing Period, and holds all necessary permits, authorisations, certifications and licences (including a Rail Licence) to carry out the Operations at the NIMT-CRL. The Rail Operator(s) for the NIMT-CRL are identified in this Joint Operating Plan.
Rail Participant	As per Railways Act 2005 rail participant means any of the following: • an infrastructure owner: • a rail vehicle owner: • a railway premises owner: • an access provider: • a rail operator: • a network controller: • a maintenance provider: • a railway premises manager: • any other class of person prescribed as a rail participant by regulations
Rail Personnel	Employees, agents, contractors, or voluntary individuals engaged for the purposes of carrying out rail activities.
Rail Protection Officer (RPO)	Rail Protection Officer The person with overall responsibility for providing rail protection for the Protected Work Area (PWA)
Rail Vehicle Owner	Railways Act 2015: means a person who owns, or leases for a period of 7 years or more, a rail vehicle, whether or not that person engages rail personnel to exercise or to assist in exercising the rights and duties of ownership on its behalf; but does not include those rail personnel
Railway Infrastructure	Railways Act 2015: means— (a) railway lines: (b) rail traffic control equipment: (c) communications equipment: (d) electrical traction equipment: (e) any other property specified as railway infrastructure in regulations
Railway Premises Manager	Railways Act 2015: means a person who manages and operates any railway premises, whether or not that person engages rail personnel to do so or to assist in doing so on its behalf; but does not include those rail personnel

Term	Description
Railway Premises Owner	Railways Act 2015: means a person who owns, or leases for a period of 7 years or more, any railway premises, whether or not that person engages rail personnel to exercise or assist in exercising the rights and duties of ownership on its behalf; but does not include those rail personnel
RORP	KiwiRail's Rail Operating Rules and Procedures
RSTIAA	Rail Systems Testing, Interface and Access Agreement
Site Protector (SP)	The Site Protector is responsible for all personnel and equipment within work site and reports to the RPO
TOCC	Temporary Operations Control Centre
TOMP	Temporary Operations Management Plan
TOMS	The Temporary Operations Management System (TOMS) has been created by the LKA for the testing and commissioning of sub-systems energised under permanent power, and system integration phase of works, until Practical Completion of the City Rail Link. The TOMS defines the roles and responsibilities, organisational requirements, and procedures to be followed, so far as reasonably practicable, to create a safe system of work.
Train	Means a motive power unit scheduled or published as authorised to run as a train.

3 Purpose

This Joint Operating Plan (JOP) is issued in accordance with Clause 5 of the *Rail Systems Testing, Interface and Access Agreement*[1] (RSTIAA) between KiwiRail, Auckland Transport and Link Alliance.

Clause 5:

"No party shall undertake, or permit (to the extent that is able to control any such third party) any third party to undertake any Operations at the City Rail Railway Line during the Dynamic Testing Period unless the operating procedures for such Operations, and the party undertaking (or to undertake) such Operations are set out and permitted in the relevant Joint Operating Plan."

A Joint Operating Plan is suitable during this Phase, as whilst, the City Rail Railway Line (here forth known as NIMT-CRL) is owned by CRLL, it will be controlled by KiwiRail. This is because significant elements of the railway systems, notably signalling and traction power are integrated into the national network and thus within the control of the KiwiRail Network Controller.

The purpose of this JOP is to:

- Define each parties' roles and responsibilities during the commissioning Stages of the CRL..
- Ensure that the parties understand their respective railway safety obligations.
- Ensure that the parties know how to carry out those obligations safely and in compliance with the Railways Act 2005.

[1] Rail Systems Testing, Interface and Access Agreement, Contact Number 2023/418, Executed 13 Nov 2023

4 Scope

Unless otherwise stated in this Joint Operating Plan and/or supported by a valid KiwiRail Bulletin, the KiwiRail Rail Operating Rules & Procedures applies to the NIMT-CRL.

The RSTIAA provides a definition of the City Rail Railway Line. The operational definition of the limits from this JOP is defined as the railway between:

- Auckland Signals 134 & 136
- Mt Eden Signals 741 & 743
- Down East Link Signal 725
- Up East Link Signal 727
- And includes all tunnels, cross passages, at underground station within the track side of all platform edges and otherwise within 4m from the centreline of the new railway line.

This JOP sets out the following:

- What the intended rail activities will be.
- What each organisations' roles and responsibilities are.
- How people are inducted and assessed as fit for entry, before entering the station construction areas or including minimum competencies required for all and any specific locations (i.e. high risk rooms), work activities (i.e. hot works) and/or roles (i.e. permit issuer or receiver).
- How access is obtained to NIMT-CRL related infrastructure, plant and equipment that is contained and under the access management control of Link Alliance.
- How the interface is managed between the NIMT-CRL and the station construction areas.
- How access and emergency egress to and from the NIMT-CRL shall be maintained.
- How Track Occupancy is planned, approved, and managed within the NIMT-CRL.

This JOP provides a source reference for the following:

- The condition of the NIMT-CRL and related assets for dynamic testing activities to occur.
- The interface between Link Alliance and KiwiRail for the planning and undertaking of Dynamic Testing activities.

- This JOP will come into effect at a date and time notified by KiwiRail SHEILD Alert. The following are pre-determined changes in configuration that will require this document to be updated:
    - Removal of the outer/inner platform fencing separating the Stations platform areas from the rail corridor (see Section 10.3 below).
    - Introducing any new systems for safety critical purposes that are not already prescribed in this JOP.

5 Legal Duties

5.1 Railways Act

As Rail Participants, all Parties, and stakeholders of this rail JOP are subject to the duties in Section 7 of the Railways Act 2005, as shown below.

> **7 General safety duties of rail participants and persons working for rail participants**
>
> (1) A rail participant must ensure, so far as is reasonably practicable, that none of the rail activities for which it is responsible causes, or is likely to cause, the death of, or serious injury to, individuals.
>
> (2) No rail personnel of a rail participant may do or omit to do anything in respect of a rail vehicle, railway infrastructure, or railway premises if he or she knows or ought reasonably to know that act or omission will cause, or will be likely to cause, the death of, or serious injury to, individuals.
>
> Section 7(1): replaced, on 4 April 2016, by section 232 of the Health and Safety at Work Act 2015 (2015 No 70).

Extract i - Railways Act 2005, s7 (correct at the date of publishing this document)

All Parties and stakeholders are also PCBUs for the purposes of the Health and Safety at Work Act 2015 in respect of the Rail Activities at this location. The JOP applies to and is binding on all parties within the confines specified in this agreement.

5.2 Rail Safety Case

All licensed rail activities will be conducted in accordance with the approved Safety Case of the party undertaking those rail operations.

- As a licensed Access Provider:
  - KiwiRail
- As a licensed Operator:
  - KiwiRail
  - Auckland One Rail
  - Link Alliance

5.3 HSW Act

As defined within the Health and Safety at Work Act 2015, all parties are also PCBUs and therefore have shared and overlapping duties.

6 Activities under the JOP during Dynamic Testing

The testing activity for this JOP are listed in the Link Alliance TCSI Management Plans (including but not necessarily limited to; Stages 4B, 5A, 5B, 6 & 7), change in fencing and gated access between the platform and track will require a new issue of this JOP.

All tests to be conducted must have a test plan approved by the Test Management Team (TMT). Additional activities not listed below shall not be authorised without a formal approval by the signatory Organisations tothis JOP.

6.1 Control of Train Movements

All train movements will be controlled by Train Control in accordance with the SO02 Automatic Signalling Rules.

6.2 Testing Activities

The exhaustive list of tests is defined in the TCSI Management Plans. Only tests approved by the LKA TCSI Manager (or delegate) can take place during the Dynamic Testing Period. It is important to highlight that not all Testing activities require a train movement; some Testing & Commissioning activities will require on foot access to the Tunnel (e.g. cross-passages, comms, CCTV, Radio, lighting, emergency services familiarisation and testing of response plans etc.). Inclusive of Stages **4B 5A, 5B, 6 & 7** and its activities to commission the CRL.

5A Phase 1: Pre-Dynamic Testing (EMU Tests): This Phase has been completed.

5A Phase 2: Single Train Testing: This Phase will be comprised of one EMU train running in different configurations to validate the behaviour of the overall infrastructure. It is a commissioning period in continuation from Phase 1, prior to introduction of multiple trains and their related validation on the CRL network.

5A Phase 3: Multiple Train Testing: This Phase will be comprised of multiples EMUs running at line speed to verify that all Systems have been fully commissioned and validated. This period will be the opportunity to ensure system capability for multiple train operations and fleet headway demonstrations. This may include up to 18 trains per hour at line speed.

6.3 Construction Activities (Residual Works) and Defects Management

Link Alliance shall undertake construction activities within the Stations including at Platform level. The Link Alliance will require access to the NIMT-CRL to rectify defects and/or complete any outstanding works. Link Alliance remains a licensed Operator for the purposes of constructing and completing the Link Alliance Project.

6.4 Safety Inspection & Maintenance Activities

KiwiRail in its role as Access Provider and Network Controller will undertake inspections of the NIMT-CRL. The nature of these inspections, frequencies and reporting methodology is defined within the RSTIAA Inspection and Maintenance Plan. Maintenance activities may be required during the Dynamic Testing Period. Maintenance activities will be organised as per Section 10.6 of this JOP.

6.5 Site Visits

It is foreseen that site visits will be requested to the NIMT-CRL during the Dynamic Testing Period. These site visits must not be allowed without prior approval by the Link Alliance. Any person not fully inducted into the LKA H&S system (MAHI), shall complete a LKA Short-Term Induction Exemption Form and provide the necessary JSEA.

6.6 Training Activities

Train crew and Station crew training activities will occur. Where these have, or may have, an impact on the rail corridor and/or related rail systems, they shall be coordinated and planned in adherence with this JOP.

7 Parties Rail Activities & Other Stakeholders

Table providing a summary of each organisations' rail participant role/s for the NIMT-CRL:

	Infrastructure Owner	Rail Vehicle Owner	Railway Premise Owner	Access Provider	Rail Operator	Network Controller	Maintenance Provider	Railway Premises Manager
KiwiRail	-	Y	-	Licensed	Licensed	Y	Y	Y
Link Alliance	-	Y	-	N	Licensed	-	Y	Y
Auckland One Rail	-	-	-	-	Licensed	-	-	-
Auckland Transport	-	Y	-	-	-	-	-	-
City Rail Link Ltd	Y	-	Y	-	-	-	-	-

Table 1 - Each Organisations Role as a Rail Participant and/or License Holder as per the Railways Act 2005 for the NIMT-CRL.

Table showing a summary of each organisations' role during Stage 5A Dynamic Testing:

	Infrastructure Inspection & Monitoring	Dynamic Testing Planner	Dynamic Testing Authoriser	Network Controller / Bulletin Authoriser	Dynamic Testing Controller	Station Controller	Railway Constructor	Reporting & Incident Management
KiwiRail	Y	-	-	Y	As an Access Provider	-	-	Y
Link Alliance	Y	Y	Y	-	Y	Y MTE/KRD/ AOT	Y	Y
Auckland One Rail	As an Operator	-	-	-	-	Y Waitematā	-	Y
Auckland Transport	-	-	-	-	-	-	-	Y
City Rail Link Ltd	-	-	-	-	-	-	-	Y

Table 2 - Each Organisations Role during Stage 5A.

7.1 KiwiRail

As defined in the RSTIAA, KiwiRail is the licensed Access Provider and Network Controller for the NIMT-CRL during the Dynamic Testing Period. In its capacity as Network Controller and in accordance with the principles agreed in this JOP, KiwiRail has the exclusive right and responsibility for directing the movement of all Rail Vehicles into, within and out of the NIMT-CRL and access to undertake railway inspection and monitoring activities during the Dynamic Testing Period. KiwiRail also has the responsibility for authorising all track occupancy within, above, below and near the NIMT-CRL.

7.2 Link Alliance

The Link Alliance is a consortium of seven companies, including CRL Ltd, delivering the stations, tunnels, and rail infrastructure for the CRL project. And is a licensed Operator for the purposes of constructing the railway.

Link Alliance is also:

- A Rail Vehicle Owner
- Maintenance Provider
- Railway Premises Manager
- Undertakes railway Infrastructure Inspection and Monitoring
- Is the Planner, Authoriser and Controller of all activities during the Dynamic Testing Period within NIMT-CRL and
- Station Controller for:
    - Te Wai Horotui Station (Aotea)
    - Karanga a Hape Station (K'Road)
    - Maungawhau Station (Mt Eden).

7.3 Auckland One Rail

Auckland One Rail is the Metro Services Operator, contracted by Auckland Transport to operate the Auckland Metro train services in accordance with the Auckland Network Access Agreement and has entered into a deed of accession to the RSTIAA. AOR is a party to and assumes all the rights and obligations of the Metro Service Operator under the RSTIAA in accordance with the provisions of the Deed of Accession dated 06 December 2023. AOR is also the Stations Manager inclusive of Waitematā Station (Britomart). They are a licensed Operator. The Stations Control Centre (SCC) and Train Operations Centre (TOC) are responsible for day-to-day rail operations and management for Waitematā Station (Britomart) and wider network. Auckland One Rail will operate the Electrical Multiple Units (EMU passenger trains) within the NIMT-CRL as directed within the Dynamic test plan/s and authorised by the Network Controller.

7.4 Auckland Transport

Auckland Transport is the asset owner of the Electrical Multiple Units (EMU passenger trains) and the Waitematā Station (Britomart) building. They are a Rail Participant. Waitematā Station (Britomart) operational activities have been contracted to Auckland One Rail.

7.5 City Rail Link Ltd

City Rail Link Ltd (CRLL) has full governance, operational and financial responsibility for the City Rail Link Project, inclusive of the NIMT-CRL. They form part of Link Alliance and are a rail participant as the infrastructure owner, rail premises owner of the NIMT-CRL and new stations; Te Wai Horotui Station (Aotea), Karanga a Hape Station (K'Road) and Maungawhau Station (Mt Eden).

8 Roles & Responsibilities

The below table lists the key roles and responsibilities applicable for this JOP.

Organisation	Role	Responsibilities
AOR	Station Controller	For the management of the Auckland Metro stations including Waitematā Station (Waitematā Station (Britomart).
AOR	Test Train Driver	Responsible for safely operating the train in line with the conditions prescribed in the test procedures and in accordance with the operational procedures and safety protocols in place. The Test Train Driver reserves the right to stop the testing at any stage if they believe that the safety of the train has been compromised.
AOR	Test Train Officer	Responsible for monitoring and coordinating the test plan between the Tester in Charge and the Test Train Driver, in accordance with the operational procedures and safety protocols.
KiwiRail	Network Control Manager (NCM)	Overall in-charge of train operations in NZ. NIMT-CRL Incident Management Lead.
KiwiRail	Train Controller	Managing train movements by monitoring and controlling signaling functions for Auckland Metro Area, provides authority for train movement within the NIMT-CRL during testing hours in accordance with the approved planned activities and issued bulletins
KiwiRail	Traction Controller	Managing traction power network for Auckland Area Electrification (NIMT-CRL being an extension from Penrose & Westfield Feeder Stations)
Competent person	Rail Protection Officer (RPO)	Role required under the RORP. The person with overall responsibility for providing rail protection for the Protected Work Area (PWA). Authorise personnel and plant to access the NIMT-CRL to undertake work and ensures clearance before releasing protection. Can undertake other tasks so long as they do not distract from RPO duties. Receiving the Traction Isolation Permit.
Competent person	Site Protector (SP)	Role required under the RORP. The Site Protector is responsible for all personnel and equipment within work site and reports to the RPO. Responsible for scanning those entering and egressing the NIMT-CRL. Reports to the RPO.
Competent person	Tunnel Safety Observer	Qualified and experienced personnel (aligned with the equivalent role defined in the KiwiRail SMS). They play a key role in verifying airflow and air quality conditions, particularly during the use of fume-emitting plant.
Link Alliance	TCSI Manager	Senior Tester in charge of the overall Testing & Commissioning Period (incl. Dynamic Testing). Holds authority to authorise/approve LKA TCSI works during the Dynamic Testing Period. The Tester in charge, who is the point of contact for any

		coordination for that day, ensures that only personnel fully inducted and relevant to the test have access to the test area. The Tester in charge will compile a report after each test and include relevant evidence to present to the Dynamic Test Review Committee. The Tester in Charge leads the NIMT-CRL Test team.
Link Alliance	Dynamic Testing Lead	Planner, Coordinator and Person In Charge for the execution of the tests performed during the Dynamic Testing Period (As defined in Section 7 of this document)
Link Alliance	TCSI Engineer	On site Tester in charge for individual tests, responsible for planning and delivery of safe working arrangements, scenario setup and safety briefings prior to the commencement of the Tests.
Link Alliance	Test Support	Responsible for setting the conditions of the test scenario as required by the Tester in Charge. The resource will either be identified from subcontractors (Siemens, AECOM, etc.) or will be allocated Engineering support from the Construction Delivery Teams.
Link Alliance	Station Protector (STP)	Link Alliance is responsible for the Station Protector at: • Te Wai Horotiu Station (Aotea-AOT) • Karanga a Hape Station (Karangahape-KRD) • Maungawhau Station (Mt Eden-MTE) The STP is responsible for conducting safety checks of the station and lifeline systems, including but not limited to: • Completing the Stage 5 Station and Corridor Checklist and providing this to the TOCC. • Monitoring NIMT-CRL Building Life Safety Systems. • Checking fences and gates are still fit for purpose and functioning. • Monitoring works within the Station to eliminate/minimise potential impact on the NIMT-CRL (inclusive of works near NIMT-CRL plant rooms). • Can act as a First Responder for emergency incidents. • Performs the role of the Site Protector • Performs the role of the Platform Guard Reports to TOCC.
Link Alliance	Platform Guard	The Platform Guard is responsible for patrolling and monitoring station platform areas: • Monitor fences and gates managing access to the NIMT-CRL and station areas • Provide security services to manage NIMT-CRL trespass risk

		• Security watch • Fire watch Reports TOCC.
Link Alliance	Temporary Operations Control Centre (TOCC)	The Temporary Operations Control Centre (TOCC) based at Maungawhau Station, and monitor the safety systems for CRL stations and ventilation supporting the NIMT-CRL, during the dynamic testing period. Provides the function of Station Controller. Before any activities within the NIMT-CRL, this team shall provide Train Control and the Test Team with assurance the Station and Tunnel Readiness Checklist have been completed and meet the requirement for test train running. During test train running activities this team shall provide monitoring of the NIMT-CRL, providing status updates to the support the Test Team (Tester and/or TCSI Manager) and Train Control. The TOCC is the initial incident control point for a NIMT-CRL incidents. The NCM appointed Rail Incident Controller will respond and work from this location unless the NCM directs otherwise. Responsible for monitoring the status of the NIMT-CRL, including but not restricted to: • Lighting • Air quality • Ventilation • Station Green Routes • Station / NIMT-CRL interface • WISE radio, phone and emergency system • NIMT-CRL and interface CCTV • Using Hāpai te Mahi for activating Worksites • Location of the RPO
Link Alliance	LKA Test Case Interface Lead (TIL)	Reference: Trial Ops Management Plan A nominated member of the LKA Operational Readiness Team responsible for facilitating the execution of a Test Case in line with the approved Test Case Plan.
SAP	SAP Test Case In-Charge	Reference: Trial Ops Management Plan A nominated SAP member responsible for the safe delivery of a Test Case in line with Personnel who support test execution by setting up the environment and scenarios for facilitating activities, without being subject to assessment themselves.
SAP	Test Case Assessor	Reference: Trial Ops Management Plan Suitably qualified and experienced personal nominated by the relevant SAP organisation to

		assess staff, procedures, and systems functions against the pass/fail criteria of a Test Case.

Table 3 Roles and Responsibilities

9 Onboarding Requirements

Each home Organisation is responsible for assuring and monitoring their Workers are fit for duty, competent and have the knowledge required to work within the workplace (i.e. the NIMT-CRL & station areas).

- Link Alliance will issue all ID accreditation for Rail Personnel to operate with the NIMT-CRL and Station Construction areas. LKA systems will be used to issue Project Access ID cards.
- To gain a card each individual shall complete:
    - Onboarding requirements
    - Medical requirements
    - Drug & Alcohol Testing requirements
    - Induction and Competencies

To gain access to railway infrastructure within Link Alliance managed station areas, those workers shall require additional competencies to meeting the Link Alliance Temporary Operations Management Plan and the Induction Procedure.

9.1 Onboarding

The system for onboarding of personnel throughout Stage 5A of the Dynamic Testing Period is Hāpai te Mahi, the Link Alliance onboarding and access management system.

9.2 Fitness for Work

Each Organisation via their own safety management system must ensure their workers meet the applicable medical standard. Within the railway they shall meet or exceed NTC Standard for Health Assessment of Rail Safety Workers[2]. By agreeing to this JOP each organisation is accepting their Workers are compliant with this Medical Standard and the One Client Induction Process.

Each organisation is responsible for monitoring their workers' health and ongoing fitness for work, as per their duties under the Health and Safety at Work Act 2015. If for any reason a worker is no longer compliant, each organisation is responsible for informing Link Alliance, so that access to project sites can be modified or restricted accordingly.

9.3 Drug and Alcohol Testing

Each Rail Participant must have policies in place to ensure workers are not suffering from impairment or incapacity by alcohol or drugs when performing their work. The drug and alcohol testing requirements between each Rail Participants policies cannot present conflict or contradictions and the Rail Participants must inform each other of any significant changes made to their policy. The Rail safety workers themselves also have a duty not to perform rail safety work while impaired by alcohol or drugs.

Each organisation is responsible for monitoring their workers ongoing compliance with their policy. If for any reason a worker is no longer compliant, each organisation is responsible for informing Link Alliance, so that access to project sites can be modified accordingly.

In the event of an accident or incident within the NIMT-CRL, or within areas managed by Link Alliance, all team members are subject to random and post incident drug & alcohol testing, as per their home organisations policies and procedures, outlined in the table below.

Post-incident	Random

[2] National Standard for Health Assessment of Rail Safety Workers (2017).

Station	• Link Alliance to manage testing of all Rail Personnel accessing the site	• Link Alliance to manage testing of all Rail Personnel accessing the site
NIMT-CRL	• Link Alliance to manage testing of all Rail Personnel in the NIMT-CRL other than those employed by the Rail Participants. • Rail Participants to manage testing of their own Rail Personnel* and must inform Link Alliance for breach or non-compliance to the H&S Procedures.	• Link Alliance to manage testing of all Rail Personnel in the NIMT-CRL other than those employed by the Rail Participants. • Rail Participants to manage testing of their own Rail Personnel* and must inform Link Alliance for breach or non-compliance to the H&S Procedures.

Table 4 Drug and Alcohol Testing Requirements

*Except in cases where alternative arrangements have been specifically agreed upon with the Rail Participant

9.4 Induction, Training and Competency

All personnel are required to complete the Link Alliance Project Induction, before entry onto the Alliance Project sites. AOR Train Crews shall achieve this by following the Short-Term Induction exemption process inclusive of the requirements described below. To attend the Link Alliance Project Induction, the organisation shall provide the Link Alliance assurance their workers have met the medical requirements and drug & alcohol testing requirements, as outlined in this JOP. Assurance will also be provided that the workers entering the Alliance Project sites are deemed competent to conduct the works they have been hired to do.

The Link Alliance Project Induction deems the worker competent to enter the Alliance Project sites and grants them a Project Access ID Card to enter the worksite. To gain access to the Link Alliance project sites, the following induction is required:

- LKA Project Induction
- LKA Site Induction

To enter the NIMT-CRL, the worker shall need to complete the following additional project competencies:

- LKA Rail Induction
- LKA OFA (if applicable)
- LKA PICOW (if applicable)
- LKA Electrical Awareness Training or KR Electrical Awareness Intermediate Training

To gain access to livened plant and equipment rooms within Link Alliance Project sites the worker shall need to complete the following additional project competencies:

- LKA Permit Receiver
- LKA Electrical Awareness Training

Access to Link Alliance tools (Hāpai te Mahi) that provide assurance a worker holds competencies to enter the NIMT-CRL shall be made available to applicable KiwiRail personal as requested.

The KiwiRail HSE Induction is not required to enter the Link Alliance project sites or NIMT-CRL.
The KiwiRail Tunnel Operation Training is not required for the NIMT-CRL.

For AOR Train Crew to operate trains on the NIMT-CRL the worker shall need to complete the following competencies:

- AOR CRL route and emergency exit training package.
- Electrical Awareness

For all areas outside of the defined limits of the NIMT-CRL and Link Alliance controlled project sites, the worker must hold the relevant competencies for working within the KiwiRail Auckland Metro Area.

- KiwiRail HSE
- Electrical Awareness Induction

10 Access to the Railway and Related Infrastructure

10.1 Access to Welfare Facilities

The LKA will provide adequate facilities for all workers, considering the size of the workforce and the type of works being conducted at the site. The facilities will be maintained by the LKA to ensure they are clean, safe, accessible and in good working order. Facilities include toilets, drinking water, hand-washing facilities, and break areas for eating.

10.2 Access to Rail Infrastructure

Due to ongoing construction and rail related risks, the following Personal Protective Equipment is required to be worn at all times, unless otherwise authorised by KiwiRail and Link Alliance:

- Hard hat
- Safety glasses to be worn
- Long sleeved high-vis shirt
- Gloves
- For all personnel except Train Crew: Long pants either
    - Blue with reflective stripes or;
    - Orange with reflective stripes
- For Train Crew:
    - Long pants
- Lace up steel cap boots

For KiwiRail to provide Network Control services, KiwiRail workers require access to NIMT-CRL infrastructure. During this stage of the Project, some of this plant and equipment is contained within Rail System Rooms or areas which are under the access management of the Link Alliance Temporary Operations Management System (TOMS), and others that are under the access management of KiwiRail.

Where access is managed under the TOMS, the following will apply:

- KiwiRail shall identify those workers requiring access to these locations and ensure they are inducted (refer Section 9) and have the required training and competency to enter these rooms.
- Link Alliance shall manage the access to the identified Rail System Rooms in the table below, through the TOMS and Access Permits. The access procedures will allow for 24/7 access to those KiwiRail workers.
- Permits for Rail System Rooms where access is managed by Link Alliance as outlined in Table 5, will be approved by KiwiRail.

Where access is managed by KiwiRail, the following will apply:

- Access procedure will be agreed between LKA and KR

Refer to the table below for further information.

Station - System - Room	Access Management	Operated by	Emergency Response
BTE Traction power - OHLE Room B2 324 (BTE)	KiwiRail	KiwiRail	AOR Station Controller
BTW Traction power - OHLE Room B2 126 (BTW)	KiwiRail	KiwiRail	AOR Station Controller
BTM Signalling - SER Room B2.128	KiwiRail	KiwiRail	AOR Station Controller
BTM Private Mobile Radio (PMR) for tunnel coverage only B2.125	KiwiRail	KiwiRail	AOR Station Controller

AOT Traction power - OHLE Room R00	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
AOT Traction power - OHLE Room R01	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
AOT Signalling - SER Room R10	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
AOT Private Mobile Radio (PMR) for tunnel coverage only R62	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
KRD Traction power - OHLE Room R00	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
KRD Traction power - OHLE Room R01	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
KRD Signalling - SER Room R10	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
KRD Private Mobile Radio (PMR) for tunnel coverage only R60	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
MTE Traction power - OHLE Room R00	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
MTE Signalling - SER Room R10	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
MTE Private Mobile Radio (PMR) for tunnel coverage only	Link Alliance – Temporary Operations	KiwiRail	LKA Station Controller
TSC MTE Traction Section Cabin	KiwiRail	KiwiRail	KiwiRail
TSC QYP Traction Section Cabin	KiwiRail	KiwiRail	KiwiRail

Table 5 Station room access

10.3 Station & NIMT-CRL Interface

Link Alliance will provide a physical barrier between the track and platform at each station. When in place the location of the barrier shall define the separation between the construction site and NIMT-CRL. If no barrier is in place the definition of the NIMT-CRL "… *otherwise within 4m from the track centreline* …" applies. Noting KiwiRail OHLE MAD[3] requirements and Track Safety Rules[4].

The barrier shall give due consideration to:

- Separating station construction activities at the platform and back of house station areas from the NIMT-CRL.
- The risk of people, material, equipment, or plant fouling the kinematic train running envelop.
- The high voltage electrical hazard from the OHLE.
- Earthing and bonding requirements.
- Minimising the risk of the barrier falling into the NIMT-CRL.
- The impact due to EMU running (i.e. piston wind effect)
- Egress routes at either end of the platform and where suitable a third egress near the middle of each platform.
- Preventing any doorway from opening in towards the NIMT-CRL.
- Securing any doorway/gate while maintaining the ability to be used in an emergency.

[3] KiwiRail Traction Overhead Wires Minimum Approach Distances MIS 150 – Issue 2 (16/07/2018).
[4] Track Safety Rules – TS01 Planning Work in the Railway Corridor, 4. Protection Arrangements.

- Providing access to the NIMT-CRL for inspection, maintenance, and construction activities.
- Allowing station construction activities to be completed safely.
- The control effectiveness monitoring to be included in the Station and Corridor Checklist (e.g. CCTV, roaming guard, anti-tamper tabs)

Barriers will be installed as per the approved LKA design and accepted by KR Professional Heads of Structures, Track and Traction (or their authorised delegate/s).

Link Alliance shall:

- Provide KiwiRail copies of the Temporary Design for acceptance.
- Provide AOR copies of the approved station barrier layouts.
- Provide monitoring of the barrier, taking action to maintain effectiveness. Where effectiveness is compromised LKA TOCC shall notify KiwiRail TC, if applicable the Dynamic Testing Lead, applicable Station Control Manager, and TCSI Manager.

10.4 Issuing of Bulletins for the NIMT-CRL

- The LKA issues a daily or otherwise agreed, Daily Works Notice to Network Authorities defining the limits and describing the scope of activities and any other restrictions or conditions that apply. The Daily Works Notice will be issued for all activities.
- The Daily Works Notice when required, will include a risk assessment and any applicable restrictions.
- The Daily Works Notice is issued the day before the planned activities.
- KiwiRail is the issuer and authoriser of Bulletins. This Bulletin will contain any necessary operating restrictions or conditions identified in the Link Alliance Daily Works Notice.
- No train movement or track occupancy will occur without a published Bulletin.
- The Bulletin will authorise the agreed testing or other project related track access activity to occur in accordance with the Rail Operating Rules and Bulletin any instructions.

10.5 Dynamic Testing Activities

- All dynamic testing activities shall be planned by Link Alliance via the Daily Works Notice.
- All dynamic testing activities shall be authorised by published Bulletin.

10.6 NIMT-CRL Inspection & Maintenance Activities

- The KiwiRail codes for inspection and maintenance of the NIMT-CRL shall apply.
- Further detail of the inspection and maintenance requirements are provided in the RSTIAA Inspection and Maintenance Plan – CRL-SYW-SYS-LKA-PLN-800011.
- All Inspections and Maintenance activities shall be authorised by published Bulletin unless an emergency fault response is required.
- KiwiRail and/or Link Alliance can undertake inspection & maintenance of the NIMT-CRL.
- Inspection and maintenance activities shall be coordinated via the Daily Works Notice from Link Alliance
    - Except where an immediate fault on the NIMT-CRL requires rectification, Train Control shall notify TOCC and authorise track access in accordance with the Track Safety Rules to conduct first line network restoration response.
    - Faults requiring access to the Station Rooms (refer Table 5), KR will access the rooms using the TOMS.

10.7 Construction Activities

- All track occupancy related to construction activities shall be authorised by published Bulletin.
- Link Alliance can undertake construction activities.
- All construction activities shall be planned by the Link Alliance via the Daily Works Notice.
- Refer to Appendix **Error! Reference source not found.** for stabling of plant on the NIMT-CRL.

- Construction activities undertaken in rooms defined in Table 5, that may affect the Dynamic Testing Activities require a risk assessment to be completed as part of the TOMS.

10.8 Other City Rail Railway Line Activities

- All other activities shall be authorised by published Bulletin.
- All other activities shall be planned by Link Alliance via the Daily Works Notice.

10.9 NIMT-CRL Access Exemptions

The following KiwiRail Standard procedures are not required for the NIMT-CRL:

- A KiwiRail Permit To Enter (PTE)
- A KiwiRail Permit To Dig
- A KiwiRail Track Access Plan (TAP)

10.10 Issuing of Running Rights and HRV Certification

KiwiRail is the sole issuer of running rights and certification for rail vehicles, such as hi-rail vehicles on the NIMT-CRL.

10.11 NIMT-CRL Track Occupancy, Planning, Resourcing, and Implementation

10.11.1 On and Off Tracking of HRVs

The NIMT-CRL has no location where rail vehicles can directly on track or off track. Link Alliance shall follow normal KiwiRail processes for access to the wider Auckland Metro network. Link Alliance shall achieve this via a combination of TARs requesting regular nights, access during planned BOLs and specific one-off requests.

- Link Alliance shall gain the KiwiRail Permit To Enter required for this and any other activity on the wider Auckland network.
- TOCC shall coordinate, at minimum of weekly, with Auckland Access, Auckland Signals and Auckland Traction teams to gain the approved TAR and secure resources required. A weekly coordination meeting will be organised accordingly and lead by LKA.
- KiwiRail shall appoint representatives to attend this weekly coordination meeting.

10.11.2 Track Safety Rules

The KiwiRail Track Safety Rules apply as the primary method of granting and protecting track occupancy.

For the NIMT-CRL, the method of signing in at the worksite and locking on, may be via the Link Alliance, Hāpai te Mahi system, as approved via Bulletin. When the Hāpai to Mahi system is used, a Mahi padlock must be attached to the RPOs lock-on frame to represent those attendance of personnel electronically scanned into the worksite. The Mahi padlock shall not be removed until all personnel have signed out of the Hāpai te Mahi system. When a Mahi padlock is used, before it is attached, the RPO must cross check that the limits in the Mahi system are within the protected work area.

10.11.3 OHLE Isolation

OHLE Isolations shall be conducted following the KiwiRail procedure, undertaken by an Authorised Isolator from KiwiRail. Isolation for the NIMT-CRL shall use earth sticks. The isolation permit from KiwiRail Auckland Traction team shall be issued to the Link Alliance TOCC.

Isolations outside of “engineering hours” and other planned Blocks of Line shall not impact the Auckland Metro Operations. The exception is response to an emergency at the discretion of the Network Controller.

10.11.4 Electrical Safety Observers at Stations

When assessing the requirement for Electrical Safety Observers (ESOs) due consideration shall be given to the station platform barrier and role of the Station Protector. Electrical Safety Observers (ESOs), if required at a Station;

A Roaming ESO like that used at NAL Mt Eden construction area are an option. See Appendix 15.4 for a copy of the KiwiRail MIS 150 – MAD Poster.

10.11.5 Handback

The Handback Procedure is applicable to the return of all NIMT-CRL track occupancy. References:

- KiwiRail - KRG-ST-AL-9141 BOL Handback Procedure v3
- Link Alliance – Block of Line Handback Procedure - CRL-TEC-TRK-KiwiRail-PRO-800000

10.11.6 Station and Tunnel Readiness Checklist

The Station and Tunnel Readiness Checklist is applicable prior to the first test train of the shift entering the NIMT-CRL. The Station Protector is required to complete this checklist and provide it to the TOCC, as per the LKA TOMS.

Before test train running activities, the TOCC shall provide Train Control and the TCSI Team with assurance the Station and Tunnel Readiness Checklist has been completed and meets the requirement for test train running.

Train Control must not dispatch the first train without confirmation from the TOCC that the Station and Tunnel Readiness Checklist has been completed.

At a minimum, the following aspects shall be included within the checklist:

- As per section 10.3, a check of the platform boundary
- As per section 12, Building Life Safety Systems

The Station and Tunnel Readiness Checklist excludes Waitematā (Britomart) station.

10.11.7 Waitematā (Britomart) Platform 1 and 4

P1 and P4 will normally be empty of stabled EMUs to support dynamic testing and the access/egress of other rail vehicles to and from the NIMT-CRL.

11 Communications

Link Alliance (TOCC), AOR (Stations Controller) and KiwiRail (Train Control) will share information that is or may be useful to each party to meet their obligations as rail license holders, coordinate activities and to maintain public and worker safety.

Contact details are provided in Appendix 15.2.

The following are stipulated communications:

- KiwiRail shall issue Bulletins to AOR and Link Alliance as required to implement the requirements of this JOP.
- In the event of a rail incident or emergency see Section 13.

The following are stipulated communications for entry of diesel plant:

- Before starting to use diesel plant with in Waitematā Station (Britomart) Station and/or entry into the existing NIMT Tunnel 20 with that plant, contact the Stations Controller as per the diesel permit requirements.

12 Building Life Safety Systems

As defined in the RSTIAA, Building Life Safety Systems refers to, '*any interior building element designed to protect and evacuate the building population in emergencies, including fires and earthquakes, and less critical events, such as power failures, including (but not limited to) fire-detection systems, fire and smoke suppression systems, and tunnel ventilation systems, as documented and agreed by the parties in the Joint Operating Plan.'*

The LKA TOCC is responsible for continually monitoring BLSS and notifying Train Control of their status. During an emergency incident, Train Control are to apply the applicable TARP for the specific BLSS.

12.1 Emergency egress routes

The Link Alliance is responsible for maintaining emergency egress routes and evacuation signage throughout the stations and tunnels. Evacuation routes are likely to change due to ongoing construction activities, therefore the Link Alliance will conduct regular monitoring on the most appropriate evacuation routes, ensuring pathways remain clear from hazards, and lighting is installed and working.

12.2 Air Quantity & Quality

Link Alliance shall maintain air flow monitoring to demonstrate positive airflow. Where and when required Link Alliance shall provide mechanical ventilation sufficient for work activities. Where fume emitting plant is being used within the tunnels:

No work shall occur in any tunnel area that cannot demonstrate positive airflow.PICOW and/or Plant Operator shall have on them at all times a Gas Monitor.

Link Alliance will monitor the quality and quantity of the air through the following means:

- Handheld gas monitors.

Until the permanent TVS system is fully commissioned LKA will conduct periodic air quality monitoring by suitable qualified person.

12.3 Fire detection systems

The following fire detection systems and controls will be available, until permanent detection systems are commissioned:

- Station demarcation rooms fitted with fire detection equipment.
- Critical rooms as per the TOMP fitted with fire detection equipment.
- Security conducting site patrols
- Within the EMUs, driver cab and saloon smoke detectors, and underfloor overheat detectors are on the EMUs. These will have appropriate alarms displayed to the driver.
- 24-hour monitoring of CCTV within the NIMT-CRL.

12.4 Fire suppression systems

LKA will provide and maintain fire extinguishers as described in the LKA Construction Fire Safety Management Plan, within the NIMT-CRL.

12.5 Communication

In the NIMT-CRL the means of emergency communication is via the EBAND Train control radio and as back-up the temporary WISE system Wi-Fi communications with cell phone. In the stations, the means of emergency communication is via the LKA Construction radio.

Communication between Rail Personnel in the NIMT-CRL, the station, TOCC and TC will be maintained via the KiwiRail Train Control E Band Radio channels. Any emergency incidents can be raised and team members able to effectively respond, as outlined in the Link Alliance Emergency Management Plan.

During train running tests, the Test Train Driver (TTD) will have both a fixed and portable train control radio to communicate with train control. The Test Train Officer (TTO), or a nominated representative onboard, will have a portable LKA construction radio for communication with the test team, and notification of emergency incidents. Representatives from the LKA test team will also carry portable LKA construction radios.

Any outage of the Train Control Radio system must be planned via the daily work notice and authorised by Bulletin that shall include advise to rail personal of alternate communication arrangements.

	Emergency during Testing & Commissioning	Emergency during Construction
NIMT-CRL	EBAND Train control radio	LKA Construction radio
Station	LKA Construction radio	LKA Construction radio
NIMT-CRL Platform Interface	EBAND Train control radio	EBAND Train control radio

Table 6 Radio requirements for emergency response

13 Emergency Management

KiwiRail as the access license holder for the NIMT-CRL, hold the lead accountability for emergency management. The Link Alliance as the PCBU in control of the stations hold accountability for stations as well as emergency response interface on the NIMT-CRL. All workers will receive emergency response training as part of the Link Alliance Project Induction and Site Induction and are required to follow emergency response and evacuation directions as required. Below outlines the responsibilities of each stakeholder for emergency management.

All

- Participate, as required, in post incident recovery planning which may include providing people and resources to support
- Participate in any incident investigation as required or under agreement with the other licence holders.
- Implement any corrective actions agreed by an incident investigation
- Ensure all workers entering the Link Alliance project sites are fully inducted and have received a site induction by link Alliance
- Comply with the notification requirements of this plan

KiwiRail

- Appoint a RIC as required by the KR Safety Case
- Lead an incident investigation if appropriate to do so
- Maintain TARPs for the NIMT-CRL

Link Alliance

- Provide agreed Building Life Safety Systems as outlined in the LKA Control Safety Plan and this JOP
- Provide safe and clearly marked evacuation pathways
- Provide and maintain fire extinguishers in the City Rail Link line every 50m
- Provide and maintain first aid and advanced first aid equipment
- Train and have available first response and emergency response teams
- Maintain detection and notification equipment
- Develop and maintain TARPs for emergency scenarios
- Provide station specific emergency response training to all workers
- Maintain an Emergency Control Room
- Lead an incident investigation if appointed to do so by KiwiRail
- Keep emergency services informed of site changes within Stations
- Maintain site layout maps

Auckland One Rail

- Provide the RIC if requested by KiwiRail
- Lead an incident investigation if appointed to do so by KiwiRail
- Safe operation of the test train during an emergency response

13.1 Waitematā Station (Britomart) Station

This JOP shall not change any existing joint or coordinated emergency management arrangements for Waitematā Station (Britomart). It does add a third rail license holder to those existing arrangements as referenced including (or any subsequent amendments to these documents):

- Waitematā Station (Britomart) Train Station Emergency Response Manual (v9 July 2019)
- Waitematā Station (Britomart) Train Station & CPO building Emergency Evacuation Scheme
- RORP Local Network Instructions Section L1.2 Waitematā Station (Britomart) Station s7.0 (ref SHIELD)
- Link Alliance Emergency Management Plan

13.2 Incident Response

Incidents that may occur on the Link Alliance project in areas controlled by the Kiwi Rail Safety case, the Coordinated Incident Management System (CIMS) will be used by all licence holders.

The Link Alliance will maintain a designated group of site personnel who are responsible for coordinating and managing an incident or emergency response, named the Incident Management Team (IMT). The IMT will work with the Rail Incident Controller (RIC) appointed by KiwiRail as required for the level of emergency response.

NIMT-CRL TARPs will be jointly created by LKA and KR for the Networker Controller, Rail Operator and TOCC to use in an emergency response. Incidents occurring in the stations will continue to follow the LKA TARPs.

It is the responsibility of the local team on site to notify the TOCC that an incident has occurred, and the level of support required. The TOCC will support the local site team in managing the incident and coordinating the external resources and neighbouring site teams where applicable. Notification procedures should be in place to manage communication between the TOCC and Train Control, so that each are each advised of the declaration of any emergency and can therefore respond accordingly. For incidents occurring within the NIMT-CRL the TOCC will support the RIC and TC as required. If an incident has occurred within the station, in addition to Link Alliance emergency response functions, the TOCC will liaise with TC and AOR Waitematā Station Controller.

Below are agreed responses for each level of CIMS.

13.2.1 Level 1 Response

A Level 1 incident response includes:

- An emergency that may result in injury to a worker with no further threat or danger of escalation
- An injury or incident that may require personnel to exit the operational area
- A minor level emergency that is managed onsite by the most senior representative at the location of the event, typically the Site Supervisor who acts in the role of Scene Controller
- An emergency contained and managed using the scenes resources, Emergency Plan and associated TARPs (as required)

Level 1 incidents that have no risk of escalating are managed on site by the Link Alliance site personnel. The TOCC or Station Protector will notify KiwiRail Train Control and include the following information:

- If an injured worker is required to leave to the work site
- If there is a need to notify a regulator
- If there is an immediate issue identified of a risk control measure identified in this Joint Operating Plan

In a level 1 response, the establishment of all the personnel in the LKA Incident Management Team is not required. The most senior representative at the location of the event is required to take control of the emergency event and adopt the role of Scene Controller. This could be the Person in Charge of the work area (PICOW), Superintendent, Leading Hand, or Supervisor etc. The Scene Controller can act independently of the IMT at a level 1 response.

The Scene Controller is required to notify the TOCC of the incident and to monitor the situation for further updates.

Kiwi Rail is to determine if a RIC is appointed to the emergency event. If appointed, the RIC will receive a handover from Link Alliance Site Incident Controller and maintain a secure incident location until such time as the incident scene and been handed back by a regulator and critical evidence has been recovered.

13.2.2 Level 2 Response

A Level 2 incident response includes:

- A medium level emergency that may result in personnel having significant injury/s.
- Further threat of danger or escalation

- May require the establishment of an Incident Management Team (IMT) at the site office location to provide additional resources to the Incident Controller and Scene Controller.
- External services (e.g. FENZ, Police) will be brought into the IMT and the appropriate emergency services will assume the control of the incident.
- Potential duration is below 2-3 hours.
- Likely evacuation of the worksite
- Will require the Incident Controller to monitor the incident and to consider whether it needs to be upgraded to a Level 3 operation.
- Is managed through the Emergency Management Plan and associated TARPs.

For Level 2 incidents that occur on the Link Alliance Project that are immediately adjacent to (i.e. Station platforms) or within areas that are access controlled by KiwiRail which has the potential to escalate or affect a KiwiRail asset, then the Train Driver, TOCC or Station Protector are required to immediately notify KiwiRail Train Control. The following information should be communicated:

- If there may be risk to, the public or other rail participants.
- The nature of the incident and any risk of escalation
- The status of the Link Alliance response and the name of the Site incident Controller
- If there is a need to notify a regulator
- If there is an immediate issue identified of a risk control measure identified in a Joint Operating Plan

In a level 2 response, the most appropriate IMT will be established, depending on the nature and location of the incident. KiwiRail are required to appoint at RIC to lead the incident response. The Link Alliance TOCC will support the site teams in engaging with emergency services to respond to the scene.

The IMT are to secure the scene and set up a site cordon to restrict all access to the scene. All personnel not required in the emergency response are to evacuate the area.

13.2.3 Level 3 Response

A Level 3 incident response includes:

- A major level incident that may result in a single or multiple fatalities and/or trigger national media / public interest.
- Evacuation of the worksite required
- Personnel may be trapped or missing and under threat from significant risks.
- External services (e.g. FENZ, Police) will be brought into the IMT and the appropriate emergency services will assume the control of the incident.
- Potential duration of operations is beyond 2-3 hours.
- Is managed through the Emergency Management Plan and associated TARPs.

For Level 3 incidents that occur on the Link Alliance Project that are immediately adjacent to areas that are controlled by KiwiRail that has the potential to escalate or affect a KiwiRail asset then the Train Driver, TOCC or Station Protector will actively communicate and engage with KiwiRail Train Control.

Link Alliance will notify KiwiRail:

- If there may be risk to, the public or other rail participants.
- If there is a need to notify a regulator
- If there is an issue identified in a risk control measure identified in a Joint Operating Plan
- If there are learnings that should be shared Communication will occur via the Link Alliance Control room via direct contact with KiwiRail Train Control in a Level 3 is a major incident that may result in a single or multiple fatality.

In a level 3 response, the actions of a level 1 and level 2 response are applicable. The scene will be managed by the lead emergency services agency, with the IMT supporting as required. Each organisation may choose to stand up their Crisis Management team, to support the incident response, this will be governed by each organisation's procedures.

13.3 Ending an incident response

To confirm an incident response has ended, all stakeholders must agree:

- The incident has been resolved and the site can return to normal duties.
- Link Alliance have confirmed to Train Control that the site (stations and tunnel) have been cleared and is fit for train running as defined in the Station and Tunnel Readiness Checklist.
- Dynamic testing may continue after a risk assessment has been conducted to confirm it is safe to do so.

13.4 Notifying Regulators

Notifications shall be managed by each License Holder as per their Safety Cases' and Health & Safety Management Systems'. If an event is notified by any license holder or PCBU then communication to the other PCBUs and license holders shall be made as soon as reasonably practicable to inform them of the notification to the regulator/s.

13.5 Incident investigation

Post incident investigations will be run as a joint investigation, primarily led by KiwiRail, unless another Rail Participant has been appointed this role by KiwiRail. Each stakeholder will be given the opportunity to appoint a team member to the investigation team.

All stakeholders have the responsibility to share findings from the investigation and implement any corrective actions as agreed by the joint investigation.

This JOP does not supersede any Rail Participant investigation or reporting requirements as outlined within their safety case or organisation procedures.

14 Review & Monitoring of JOP Effectiveness

Responsibility for review and monitoring is a joint obligation. The following outlines the review cycle for on-going monitoring of the effectiveness of this JOP.

- There shall be a meeting organised by Link Alliance of the JOP Governance and Planning Group 1 month after each publication of a new revision of this JOP and a minimum of 1 meeting every 4 months thereafter.
- Any signatory or stakeholder can request at any time and organise a meeting of the JOP Governance and Planning Group to discuss effectiveness of the JOP.
- Before each review meeting members of the JOP Governance and Planning Group (and/or their nominated representative) shall undertake a review to assess the effectiveness of the JOP, which will form the bases for discussion and assignment of any corrective action if required.
- Any signatory can request to conduct a verification audit of the controls within the JOP to satisfy their due diligence requirements as per legislation. This shall be coordinated with the Link Alliance JOP signatory.
- If a recommendation or corrective action relating to the JOP is raised, Link Alliance will convene a meeting of this group for review and implementation. The corrective actions will be tracked and closed out via Link Alliance HSMS processes.
- The review and monitoring of the JOPs effectiveness will continue for the life of the JOP.
- Minor changes (i.e. changes to the appendix, corrections or errors) will be updated in this document and the new sub-version issued.
- Major changes (i.e. to the body of the of this document) shall be review by the JOP Governance and Planning group and require a new version to be signed and issued by all Signatories.

Document control shall be maintained through the KiwiRail system.

15 Appendix

15.1 Appendix 1 – References

Reference	Link
Rail Systems Testing, Interface and Access Agreement (RSTIAA)	CRL-SYW-SYS-CITYRLL-CTD-800000
RSTIAA Inspection and Maintenance Plan	CRL-SYW-SYS-LKA-PLN-800011
LKA Health, Safety & Wellbeing Management Plan	CRL-SYW-HSE-LKA-PLN-800022
LKA Testing, Commissioning and Systems Integration Management Plan	CRL-SYW-TEC-LKA-PLN-800002
LKA Emergency Management Plan	CRL-SYW-HSE-LKA-PLN-800035
LKA Safety Control Plan Dynamic Testing	CRL-SYW-SSA-LKA-PLN-800004
Railways Act 2005	https://legislation.govt.nz/act/public/2005/0037/latest/DLM341568.html
Handback Procedure	CRL-TEC-TRK-KiwiRail-PRO-800000 KRG-ST-AL-9141 BOL Handback Procedure v3
LKA Temporary Operations Management Plan (TOMP)	CRL-SYW-HSE-LKA-PLN-800040
CRLL One Client Induction Process	
Waitematā Station Emergency Response Manual	Waitematā Station (Britomart) Train Station Emergency Response Manual (v9 July 2019)
Waitematā Station & CPO building Emergency Evacuation Scheme	Waitematā Station (Britomart) Train Station & CPO building Emergency Evacuation Scheme
RORP L1.2 Waitematā Station	RORP Local Network Instructions Section L1.2 Waitematā Station (Britomart) Station s7.0 (Ref SHIELD)
Station and Tunnel Readiness Checklist	Link Alliance Te Mahi Hāpai system.
LKA Trial Operations Management Plan	CRL-SYW-ENG-LKA-PLN-800023

15.2 Appendix 2 – Contact List

Link Alliance	
LKA Control Centre Emergency	022 061 7221
LKA Temporary Operations Control Centre	022 061 7261
Head of Safety, Environmental and Sustainability	022 361 5424 (Duayne Cloke)
LKA Rail Protection & Tunnel Logistic Manager	027 223 6690 (Liam Sands)
Senior Tester in Charge	021 783 160 (Kelvin Arteaga)

KiwiRail	
Train Control Emergency	0800 808 400
Network Control Manager - Auckland	027 380 7173 Secondary: 021 440 112
Train Control Auckland East	04 498 3387
Train Control Auckland West (Primary Contact)	04 498 3373
Traction Control	04 498 3347

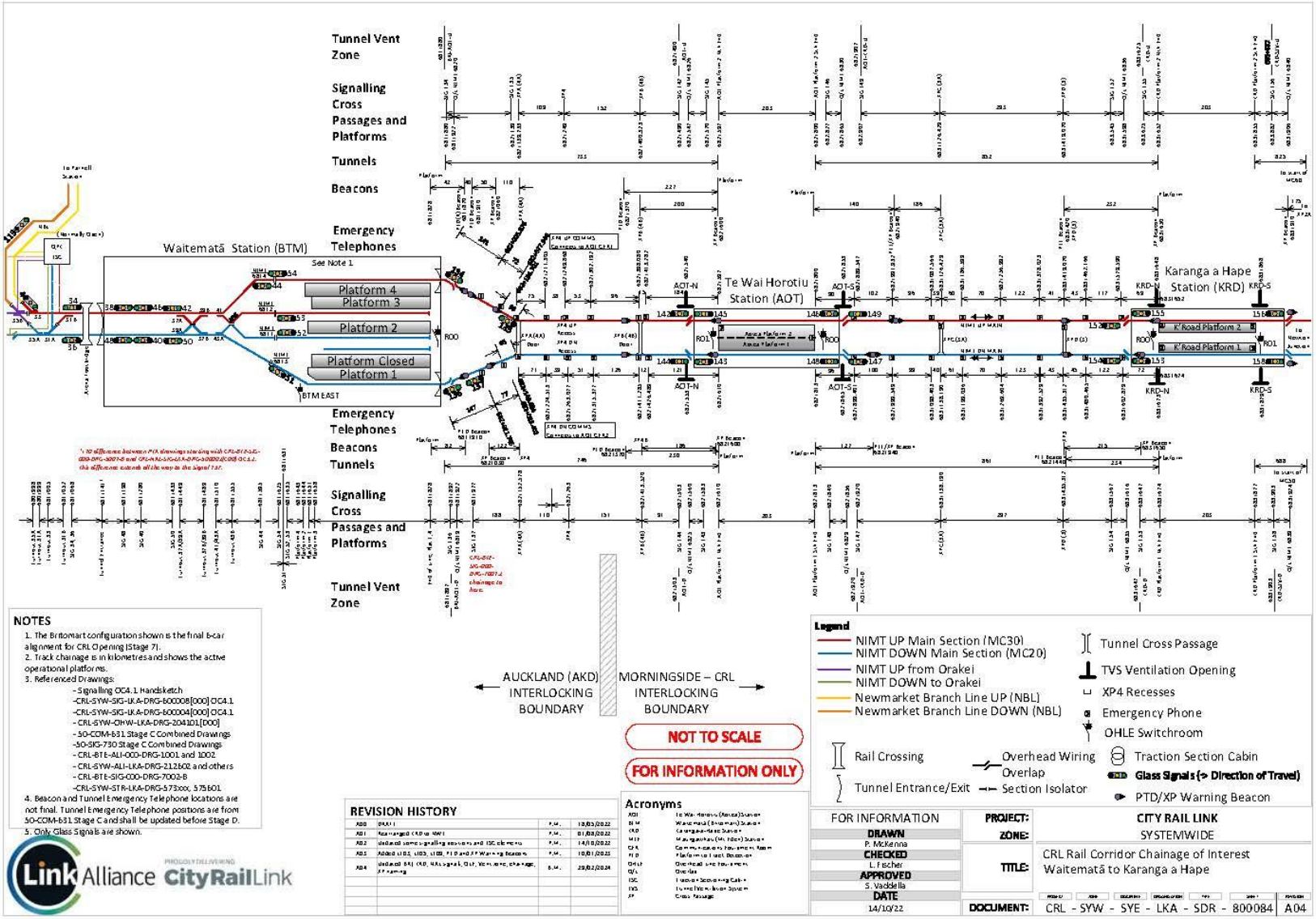
Auckland One Rail	
Stations Control Centre	09 558 0800
Train Operations Centre	09 374 4583
AOR Waitematā (Britomart) Station Manager	027 707 8363 (Bradley Ingledew)

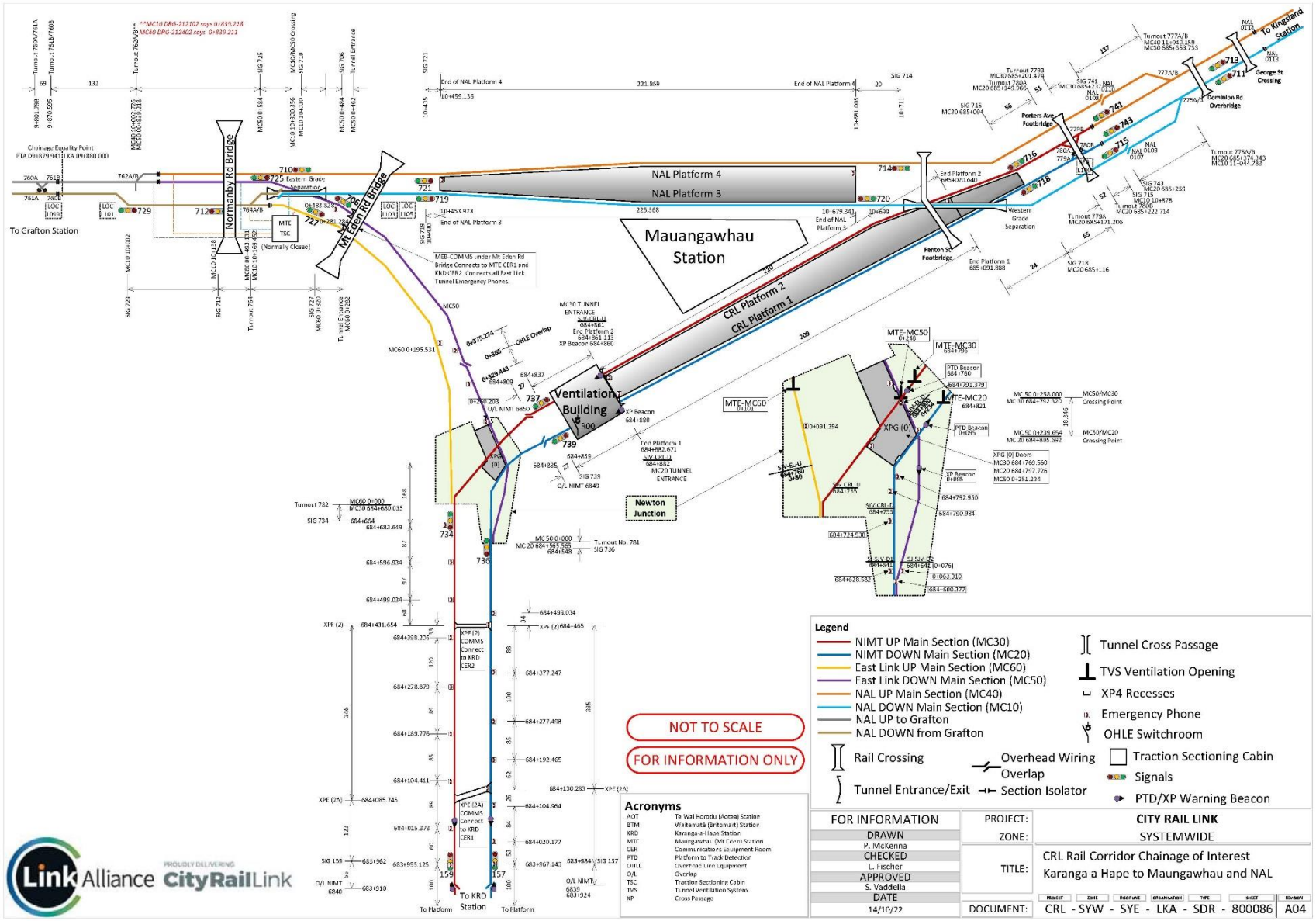
Auckland Transport (AT)	
Rail Safety and Assurance Manager	021 356 329 (Gareth Williams)

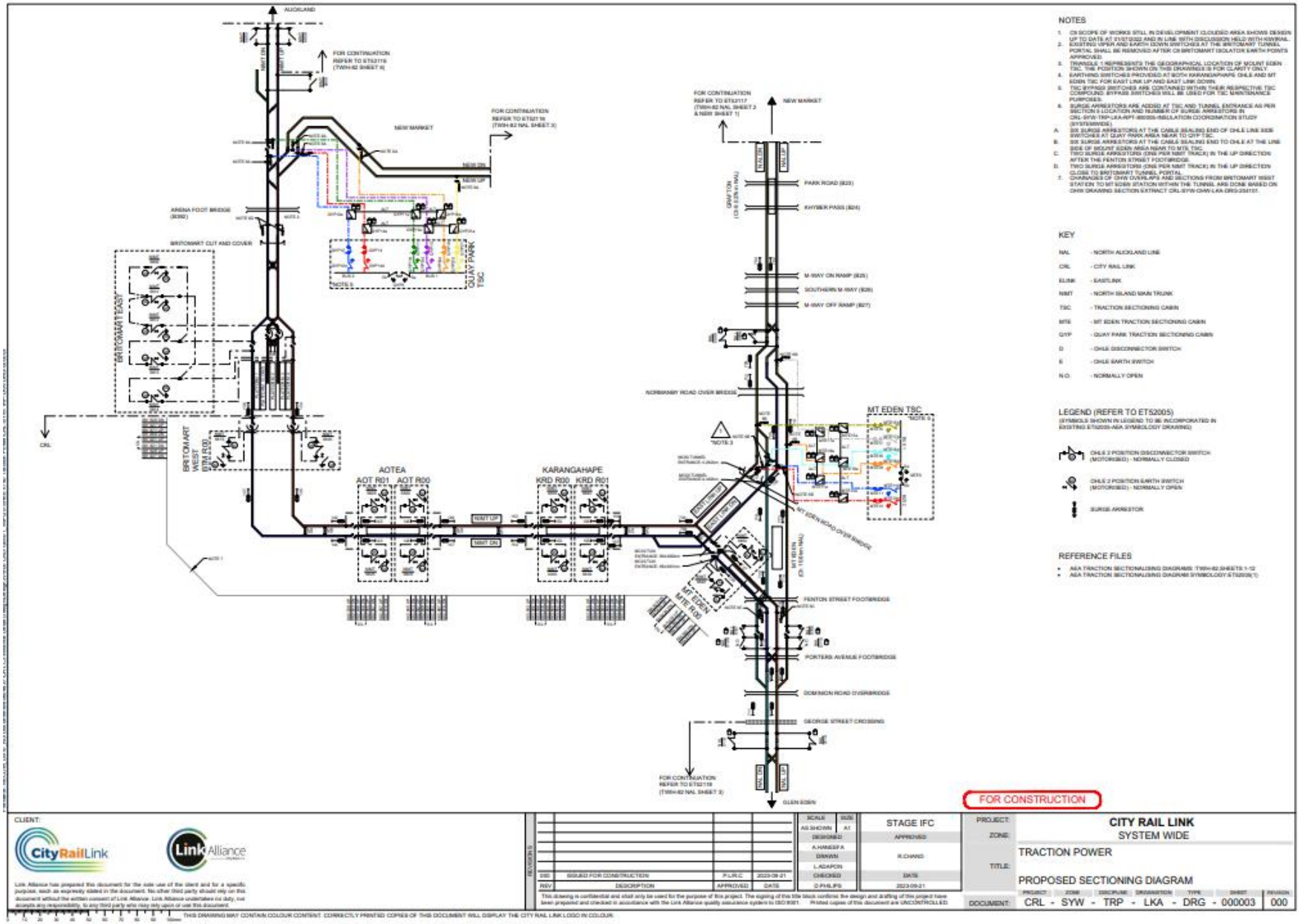
Other	
WorkSafe Incident Notification	0800 030 040
Vector Control Room	09 978 7878
Vector (power)	0508 832 867
Vector (gas)	0800 764 764
Watercare	09 442 2222
Auckland Hospital	09 367 0000

15.3 Appendix 3 – Map of NIMT-CRL

The following images are not for operational use.




Mauangawhau Station
NAL Platform 4
NAL Platform 3
CRL Platform 2
CRL Platform 1
Ventilation Building
Newton Junction
Normanby Rd Bridge
Mt Eden Rd Bridge
To Grafton Station
To Kingsland Station
George St Crossing
Dominion Rd Overbridge
Porters Ave Footbridge
Fenton St Footbridge
Western Grade Separation
Eastern Grade Separation
MTE TSC (Normally Closed)
MEB-COMMS under Mt Eden Rd Bridge Connects to MTE CER1 and KRD CER2. Connects all East Link Tunnel Emergency Phones.
To KRD Station
To Platform
To Platform
NOT TO SCALE
FOR INFORMATION ONLY
Legend
NIMT UP Main Section (MC30)
NIMT DOWN Main Section (MC20)
East Link UP Main Section (MC60)
East Link DOWN Main Section (MC50)
NAL UP Main Section (MC40)
NAL DOWN Main Section (MC10)
NAL UP to Grafton
NAL DOWN from Grafton
Rail Crossing
Tunnel Entrance/Exit
Overhead Wiring Overlap
Section Isolator
Tunnel Cross Passage
TVS Ventilation Opening
XP4 Recesses
Emergency Phone
OHLE Switchroom
Traction Sectioning Cabin
Signals
PTD/XP Warning Beacon
Acronyms
AOT Te Wai Horotiu (Aotea) Station
BTM Waitematā (Britomart) Station
KRD Karanga-a-Hape Station
MTE Maungawhau (Mt Eden) Station
CER Communications Equipment Room
PTD Platform to Track Detection
OHLE Overhead Line Equipment
O/L Overlap
TSC Traction Sectioning Cabin
TVS Tunnel Ventilation System
XP Cross Passage
FOR INFORMATION
DRAWN
P. McKenna
CHECKED
L. Fischer
APPROVED
S. Vaddella
DATE
14/10/22
PROJECT: CITY RAIL LINK
ZONE: SYSTEMWIDE
TITLE: CRL Rail Corridor Chainage of Interest Karanga a Hape to Maungawhau and NAL
DOCUMENT: CRL - SYW - SYE - LKA - SDR - 800086 A04
Link Alliance
PROUDLY DELIVERING CityRailLink


AUCKLAND
NEW MARKET
PARK ROAD (B23)
KHYBER PASS (B24)
M-WAY ON RAMP (B25)
SOUTHERN M-WAY (B26)
M-WAY OFF RAMP (B27)
NORMANBY ROAD OVER BRIDGE
MT EDEN TSC
BRITOMART CUT AND COVER
BRITOMART EAST
BRITOMART WEST
AOTEA
AOT R01
AOT R00
KARANGAHAPE
KRD R00
KRD R01
MT EDEN ROAD OVER BRIDGE
FENTON STREET FOOTBRIDGE
PORTERS AVENUE FOOTBRIDGE
DOMINION ROAD OVERBRIDGE
GEORGE STREET CROSSING
GLEN EDEN
NOTES
KEY
LEGEND (REFER TO ET52005)
REFERENCE FILES
FOR CONSTRUCTION
CITY RAIL LINK
SYSTEM WIDE
TRACTION POWER
PROPOSED SECTIONING DIAGRAM
CRL - SYW - TRP - LKA - DRG - 000003
000

15.4 Appendix 4 – KiwiRail Traction Overhead Minimum Approach Distance (MAD) Poster