Procedures for Feasibility Studies

Complementary document (handbook) to Description of the Timetabling and Capacity Redesign Process

Version 1.0

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Content

Version history

VERSION	RESPONSIBLE	DATE	CHANGES
0.1	Ádám Kertai Junior Capacity Manager	2021-03-31	Document created by Ádám Kertai
0.2	Ádám Kertai Capacity Manager	2021-06-09	Inclusion of remarks provided by CM AG and FTE
0.3	Ádám Kertai Capacity Manager Zsolt Ungvári Capacity Manager	2021-07-15	Inclusion of remarks provided by TTR PG
0.4	Ádám Kertai Head of Capacity Process Management	2021-09-02	Inclusion of remarks provided by TTR PG and FTE
0.5	Ádám Kertai Head of Capacity Process Management	2021-10-20	Inclusion of the remarks from: • Legal Matters Working Group • FTE • Sales & Timetabling Working Group
0.6	Ádám Kertai Head of Capacity Process Management	2021-10-27	Inclusion of the remarks from: • Legal Matters Working Group • TTR Process Group
1.0	RNE General Assembly	2021-12-07	Version 0.6 approved by the RNE General Assembly on 7 December 2021

Disclaimer, application, and transition period

This document is intended as a handbook for the implementation of the so called Feasibility Studies of the TTR Process as described by RNE. As neither legislation nor IT-systems are currently adapted to enable all the elements of TTR, individual TTR elements can only be implemented by the infrastructure managers to a limited extent for the upcoming timetable periods, starting in December 2024. If and when the legislation and IT-systems fully enable the implementation of all the elements of TTR, the different RNE handbooks on those elements should be applied to the process." The exact details for the transitional period will be elaborated in the Basic Requirements which would be subject to RNE GA approval in May 2022.

Infrastructure Managers and Allocation Bodies should adapt their internal processes and the Network Statement in line with the Procedures for Feasibility Studies from X-15, where X denotes the first timetable referring to the complete roll-out of TTR.

1. Introduction and scope of this document

This document describes the process by which Infrastructure Managers and Allocation Bodies (hereafter IMs) have to handle the feasibility studies in line with the TTR principles. Path studies/ feasibility studies enable Applicants to examine the feasibility of new or amended service concepts, using an iterative process with IMs and/or partner Applicants to develop them further to order paths for the annual or running timetable. In addition, feasibility studies are mostly connected to passenger traffic. In case the intention of traffic is known sufficiently before the timetable change, Applicant should not wait until the feasibility study process to express their demands, they should already do it via the Capacity Needs Announcement until X-24.

Feasibility studies can be requested from X-15 until X+12, taking into consideration the timelines defined in chapter 7. However, the reception of a Feasibility studies request should not lead to a revision of the Capacity Partitioning. Either there is foreseen pre-constructed capacity which could suit the study request or if not, then unplanned capacity has to be used for checking the feasibility.

IMs, who are RNE members, have committed to follow this Handbook and by this promote internationally harmonised capacity management processes over the single European railway area.

2. Reference documents

This handbook follows and is based on the principles set down in the:

- Directive 2012/34/EU
- Description of the Timetabling and Capacity Redesign Process
- RNE Process Handbook for International Path Allocation
- Procedures for Capacity Strategy

3. Reasons for feasibility studies

Feasibility studies are requested by the Applicants to give a good understanding and indication on the manner that paths could fit in the timetable before they place their official path requests. However, a response to a feasibility study is not binding for the IMs. Therefore, the feasibility study result is not a commitment to a path allocation. The feasibility study can be requested due to various reasons:

- path study of new traffic,
- the published Capacity Supply does not provide enough information to the Applicant (e.g. Capacity Supply only contains TCRs),
- Capacity Supply does not coincide with the Applicants' demand (e.g., an Applicant intends to operate a different rolling stock or apply a different stopping pattern),
- elaboration of path details in the case of TCRs.

4. Feasibility Studies in the context of TTR

In TTR capacity planning will start with the preparation of the Capacity Strategy, in which the IMs will describe the main principles for each railway line. In addition, the IMs will define whether they will later publish the Capacity Supply in the form of preplanned paths or leave the capacity as unplanned taking into consideration that the harmonisation of the cross-border lines has to be achieved.

If the Capacity Supply is published in the form of:

- preplanned paths, chapter 6.2.1. shall be applied.
- unplanned capacity, chapter 6.2.3. shall be applied

In case the harmonisation of the form of certain categories (e.g. regional traffic) cannot be achieved, then chapter 6.2.2 shall be applied.

5. Path request system

For best results, it is recommended that Applicants use the Path Coordination System PCS (Internet-based communication system for the optimisation of international train path coordination) for initial

requests already. Any feasibility study can then be based on the complete information contained in PCS. The PCS process is described in the "PCS Documentation"[1].

6. Feasibility study process description

6.1 List of involved stakeholders

Stakeholder	Roles and involvement
Leading IM	The IM, which • is available for leading Applicants for general advice, • checks that the feasibility study request is formally correct, • coordinates the feasibility check, • initiates all possible steps to ensure coordinated answers to feasibility study requests, • interacts and actively communicates with all involved IMs and the Leading Applicant. Acts as an information turntable for involved IMs.
Leading Applicant	The Applicant which • coordinates the feasibility study request, • especially, where an active response from Applicants is needed, • is the primary communication point both for the international leading entity and for the Leading IM.
Involved IMs	Other IMs involved in the planned traffic.
Involved Applicants	Other Applicants are involved in the planned traffic.

6.2 Introduction of feasibility study requests

6.2.1 No feasibility study request is required

If the Applicants have submitted their demand through Capacity Needs Announcement (hereafter CNA) and the Capacity Supplies published by the IMs contain corresponding preplanned paths, the Leading Applicant -by default- should not request feasibility study. However, in case the published path details (departure/arrival times) are not in line with the Applicant's expectations, it shall be still possible for the Applicant to place a feasibility study request after the publication of the Capacity Supply (X-11) until the deadlines defined in the current Handbook.

6.2.2 Partwise feasibility study

If the Applicants have submitted their demand through CNA, but not every Capacity Supply is published in the form of preplanned paths, the Leading Applicant:

- by default should not request a feasibility study from the IMs who published the Capacity Supply with preplanned paths. However, in case the published path details (departure/arrival time) are not in line with the Applicant's expectations, it shall be still possible for the Applicant to place a feasibility study request after the publication of the Capacity Supply (X-11).
- may request a feasibility study, from the IMs who have decided that they will leave the capacity in the Capacity Supply as an unplanned capacity for tailor-made requests, from X-15 at the earliest.

Before placing a partwise feasibility study request, the Leading Applicant has to choose which IMs and which period of the train run would be involved in the feasibility study request. In addition, it should also be possible after placing the feasibility study request to invite those IMs to the feasibility study process who were originally not notified.

[1] More information can be found here: PCS Documentation | CMS RNE

6.2.3 Full feasibility study request

If the Applicants have not submitted their demand through CNA (e.g. new demand emerged for a temporary service) or intend to launch its service differing from the published Capacity Supplies (e.g. Applicant would like to apply a different stopping pattern) or the IMs have decided that they will leave the capacity as unplanned for tailor-made requests in the Capacity Supply, the Leading Applicant may request a feasibility study for the whole train run from X-15 at the earliest.

6.3 Phases of the feasibility study process

6.3.1 Harmonisation / Harmonisation Conference

This is the first phase of the feasibility study process and serves as the feasibility study preparation. In this phase, all the mandatory data required to the feasibility study should be provided by the Applicants. If any of the Applicant disagrees with the feasibility study request, it should be indicated.

6.3.2 Feasibility study request

A feasibility study request is submitted to the Leading IM by the Leading Applicant. The request should contain which IMs and which period of the train run would be involved in the feasibility study process. The IMs may reject the feasibility study if

- implausible information has been provided by the Applicants,
- there is little time between the time of submission of the feasibility study and the first foreseen day of operation,
- it is foreseen that the IMs will not be able to prepare the feasibility study result. In such a case, the IMs should notify every involved stakeholders within 5 calendar days from the date of the feasibility study request stating the reason why is it not possible to prepare the feasibility study result.

6.3.3 Feasibility study elaboration

The Leading IM should appoint an IM to start the feasibility study process. After that, the appointed IM prepares the timetable for path study results or for the feasibility study elaboration dialog with the Applicants. The elaborated path section should be in line with the neighboring one. If other IMs are also involved in the feasibility study process, the coordination of their work should be coordinated by the Leading IM (an example is presented in Annex A).
In the case of the partwise feasibility study, it should be possible that the Leading IM invites other IMs (who are involved in the train run but were originally not invited by a feasibility study request) to participate in the feasibility study elaboration process.
After review, the IMs may consider going into Dialog with the Applicants. If it is not the case, the Leading IM sends the coordinated feasibility study result to the Applicants.

6.3.4 Feasibility study elaboration dialog (optional)

The feasibility elaboration dialog phase is optional and is designed to allow both Applicants and IMs to analyse and work in their respective timetables.

6.3.5 Feasibility study result

This is the last phase of the feasibility study process. The feasibility study result should at least contain the arrival/departure times of those stations which have been indicated by the Applicant in the feasibility study request. In case the Capacity Supply created by the IMs contain the information which satisfies the minimum requirements of the feasibility study result (arrival/departure times of those stations which have been indicated by the Applicant in the feasibility study request), the IMs can directly refer to the Capacity Supply. The Leading Applicant acknowledges the offered coordinated path sections from the IMs to continue with the Path Request Harmonization phase. After that, each Applicant is suggested to use the result of the feasibility study when placing the path request.

7. Timelines for feasibility studies

7.1 Timeline concerning annual path request placed on time

Feasibility study requests can be placed for annual path requests from X-15 at any time. However, the IMs can only provide an answer (positive[2] or negative[3]) until X-9, if the Leading Applicant places the feasibility study request before X-10.

7.2 Timeline concerning late path requests

Feasibility study requests concerning late path requests can only be placed after X-10 until X-2. The IMs provide (positive[3] or negative[4]) feedback for feasibility study requests in case of late path requests after X-10 at any time, with the obligation to do it after the final offer deadline (X-5.5), within 30 calendar days.

7.3 Timeline concerning recurrent ad hoc requests

Feasibility study requests concerning recurrent ad hoc requests can be placed after the late path request deadline (X-2). The IMs should provide feedback (positive[3] or negative[4]) for feasibility study requests in case of recurrent ad hoc traffic within 30 calendar days.

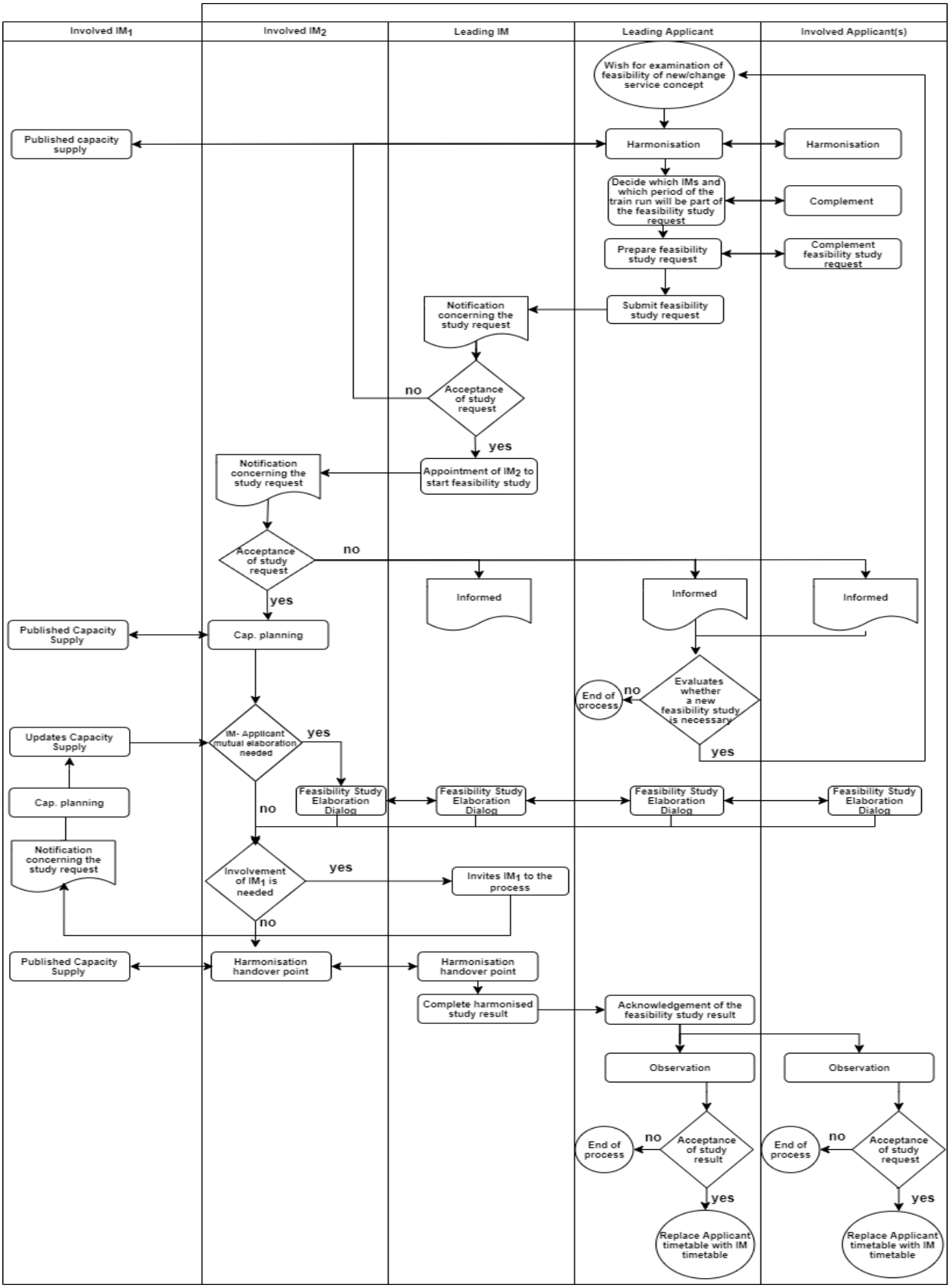
7.4 Timeline concerning rolling planning requests

Feasibility study requests concerning rolling planning requests can only be placed after the final offer deadline (X-5.5). The IMs should provide feedback (positive[3] or negative[4]) for feasibility study requests in case of rolling planning within 30 calendar days.

[2] Positive feedback: The IMs provide an answer according Annex B, containing arrival and departure times.
[3] Negative feedback: The IMs cannot provide an answer to the feasibility study request, as there is no available capacity satisfying the demand of the Applicant.

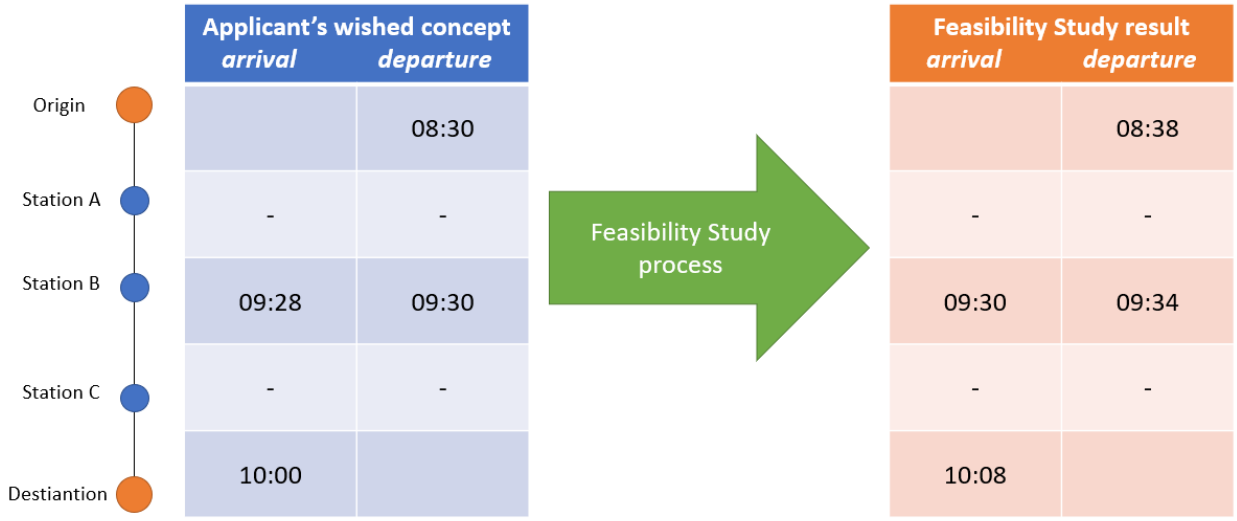
Annex A – Process Diagram: feasibility studies

The process diagram below complements the document and displays the whole feasibility study process, including IM_1 who published the Capacity Supply in the form of preplanned paths, and IM_2 and IM_3 (Leading IM) have published unplanned capacity in the Capacity Supply.



Annex B – Feasibility study result

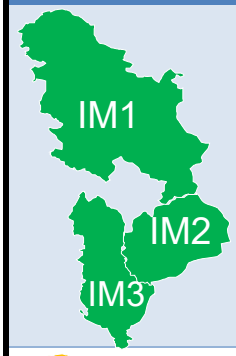
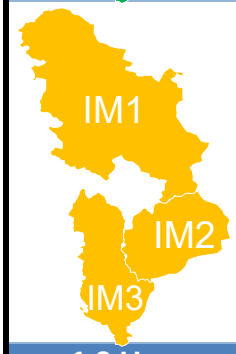
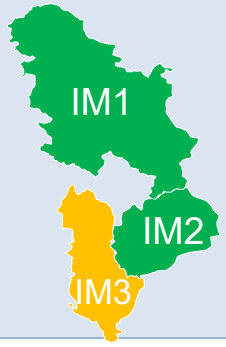
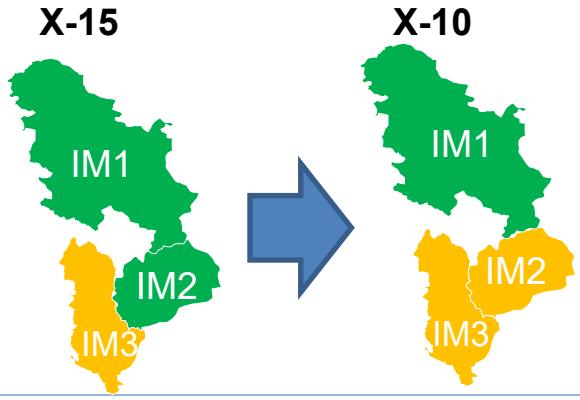
As it is indicated in the figure below, the feasibility study result should contain the arrival/departure times of those stations which had been indicated by the Leading Applicant in the feasibility study request. In the presented example, the Applicant intends to stop the train at station B and no inquiry was placed concerning station A and station C. As a consequence, the feasibility study result will contain the arrival/departure time of the indicated stations only (origin, Station B, destination). (Note that the IMs may decide to provide a more detailed feasibility study result as well.)

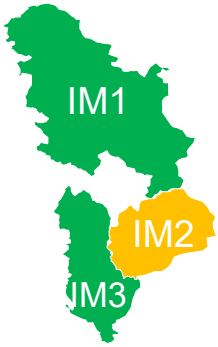


Annex C – Feasibility use cases

I. International Traffic

- Differences among the IMs – within the IMs the Capacity Supplies are coordinated

1.1 Use case (basic)	Explanation
 *In case the Capacity Supplies are not harmonised within an IM, use case 1.3 shall be applied.*	**X-36**: IM1, IM2, IM3 define in the Capacity Strategy that the capacity in the Capacity Supply will be published with pre-planned paths. **X-13.5**: IM1, IM2, IM3 publish the draft coordinated Capacity Supply. **X-11**: IM1, IM2, IM3 publish coordinated Capacity Supply.
	**X-36**: IM1, IM2, IM3 define in the Capacity Strategy that the capacity in the Capacity Supply will not contain pre-planned paths. **X-15:** Leading Applicant may request a feasibility study from the IMs. **X-9:** The IMs prepare the coordinated feedback.
1.2 Use case (only the edge is orange)	**Explanation**
 *In case the Capacity Supplies are not harmonised within an IM, use case 1.3 shall be applied.*	**X-36:** IM1 and IM2, have defined in the Capacity Strategy that the capacity in the Capacity Supply will be published with pre-planned paths, while IM3 has stated that they will not publish path details. **X-15:** Leading Applicant may request a feasibility study from IM3. **X-13.5:** IM3 prepares the answer which is coordinated with the draft Capacity Supplies of IM2 and IM1.
	**X-36:** IM1 and IM2, have defined in the Capacity Strategy that the capacity in the Capacity Supply will be published with pre-planned paths, while IM3 has stated that they will not publish path details. **X-15:** Leading Applicant requests a feasibility study from IM3. **X-15 – X-10:** During Feasibility Study Elaboration the involvement of IM2 becomes important. IM2 is invited to participate in the feasibility study process. **X-13.5**: IM3 and IM2 prepare the answer for the feasibility study which is coordinated with the Capacity Supplies of IM1 and IM2.

1.3. Use case (mix situation)	Explanation
	**X-36**: IM2 defines in the Capacity Strategy that the capacity in the Capacity Supply will be published with pre-planned paths, while IM1 and IM3 have stated that they will not publish path details. **X-15:** A feasibility study is requested from every IM. **X-13.5:** The IMs prepare the answer for the feasibility study request. IM2 may directly refer to the already published Capacity Supply.
	**X-36:** IM1 and IM3, define in the Capacity Strategy that the capacity in the Capacity Supply will be published with pre-planned paths, while IM2 has stated that they will not publish path details. **X-15** A feasibility study is requested from every IM. **X-13.5:** The IMs prepare the answer for the feasibility study request. IM1 and IM3 may directly refer to the already published Capacity Supply[4].

[4] The IM prepare the feasibility study result in the capacity broker or in the national tool. In addition, ECMT should make it possible to display the feasibility result in a Capacity Supply view which contains only the path details of the feasibility study without having other paths there.