Possession Protocols (CQCN)

20 September 2017: Version 2
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Possession Protocols (CQCN)

Preface

This document was produced by Aurizon Network Pty Ltd for use in the Central Queensland Coal Network.

Authorisation

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Authorised by: Scott Riedel, GM Network Operations, Aurizon Network

Revision History

<table>
<thead>
<tr>
<th>Version</th>
<th>Issued</th>
<th>Details</th>
<th>Approved By</th>
</tr>
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<tbody>
<tr>
<td>1.0</td>
<td>1 December 2015</td>
<td>First Issue</td>
<td>Sarah Dixon</td>
</tr>
<tr>
<td>2.0</td>
<td>1 December 2017</td>
<td>Second Issue</td>
<td>Scott Riedel</td>
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Preamble

The Possession Protocols comprise a procedure for Aurizon Network that governs its communications and engagement with Operators about the planning of Possessions on the CQCN. The Possession Protocols apply on a consistent basis to all of the CQCN and all Operators.

Aurizon Network’s process of communication and engagement with Operators about Possessions is closely related to its train path planning processes as set out in the Network Management Principles and the System Rules. Accordingly the Possession Protocols should be read in conjunction with the Network Management Principles and the System Rules.

The Possession Protocols are consistent with UT4.

This document is effective from the date given on the front cover until further notice, and is subject to change.

Aurizon Network invites any queries, feedback or comments regarding this document to be directed to access.services@aurizon.com.au
## Definitions and interpretation

### Definitions

<table>
<thead>
<tr>
<th>Defined term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access Agreement</td>
<td>An agreement between Aurizon Network and an Access Holder for the provision of Access.</td>
</tr>
<tr>
<td>Asset Constraints Summary</td>
<td>Has the meaning given to that term in Section 3.2</td>
</tr>
<tr>
<td>CAAC or Critical Asset Alignment Calendar</td>
<td>Means a calendar of Possessions as defined in Section 2.2</td>
</tr>
<tr>
<td>Coal System</td>
<td>Has the meaning given to the term ‘Coal System’ in UT4</td>
</tr>
<tr>
<td>CQCN</td>
<td>The Central Queensland Coal Network encompassing every Coal System</td>
</tr>
<tr>
<td>Cut-off Point</td>
<td>Has the meaning given to that term in Section 4.2</td>
</tr>
<tr>
<td>Daily Train Plan or DTP</td>
<td>The meaning given to that term in UT4 clause 5.1 of Schedule G.</td>
</tr>
<tr>
<td>Emergency Possession</td>
<td>A Possession required to rectify a serious fault with the Rail Infrastructure that Aurizon Network (acting reasonably) considers dangerous to any person, or where severe speed restrictions have been imposed affecting the scheduled Train Services of Railway Operators and that Aurizon Network, complying with the Possession Protocols, will use reasonable endeavours to carry out within seven days after the detection of the fault giving rise to the need for that Possession.</td>
</tr>
<tr>
<td>4 Week Pathing Availability Plan</td>
<td>Means a plan that shows the train paths available to Operators over the plan’s 4WPAP Period</td>
</tr>
<tr>
<td>4WPAP Period</td>
<td>Means the period defined in Section 3.2</td>
</tr>
<tr>
<td>MTP or Master Train Plan</td>
<td>Has the meaning given to that term in UT4</td>
</tr>
<tr>
<td>Network Management Principles</td>
<td>Has the meaning given to that term in UT4</td>
</tr>
</tbody>
</table>
| Operator | Means an entity that is both  
(a) a party to an Access Agreement, and  
(b) responsible under that agreement for conducting above-rail operations |
<p>| Possession | Means the temporary closure and/or occupation by Aurizon Network of part of the rail infrastructure (including closure of track or isolation of any electrical overhead traction system) for the purpose of carrying out Planned Possession, Urgent Possession or Emergency Possession on or in the proximity of the Rail Infrastructure which may affect the safety of any person or property. |
| Possession Change | Has the meaning given in Section 4.2 |
| Possession Protocols | The protocols developed and advised by Aurizon Network from time to time (as varied in accordance with any Access Agreement) for managing and scheduling Possessions. |</p>
<table>
<thead>
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<th>Defined term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>System Rules</td>
<td>Has the meaning given to that term in UT4</td>
</tr>
<tr>
<td>Train Control</td>
<td>Means the management and monitoring of all train movements and of all other operation of rolling stock on the CQCN and of any activities affecting or potentially affecting such train movements or rolling stock operation</td>
</tr>
<tr>
<td>Type 1 Possession Change &amp; Type 2 Possession Change</td>
<td>Each of these defined terms has the meaning given to it in Section 4.2</td>
</tr>
<tr>
<td>Urgent Possession</td>
<td>Means a Possession required to correct problems that Aurizon Network, acting reasonably, considers potentially dangerous to person or property, other than an Emergency Possession</td>
</tr>
<tr>
<td>UT4</td>
<td>Means Aurizon Network’s 2016 Access Undertaking (UT4), as approved by the Queensland Competition Authority on 11 October 2016 and amended from time to time.</td>
</tr>
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</table>

**Interpretation**

(1) Where Aurizon Network is required under the Possession Protocols to issue a document in respect of all Coal Systems, Aurizon Network may elect to issue two or more separate documents, provided that these documents are not inconsistent with one another and, taken together, relate to all Coal Systems.

(2) All references in this document to Sections are references to sections of this document, unless otherwise stated.
1 Introduction

1.1 Context
The Possession Protocols set out the basis on which Aurizon Network will communicate and engage with all Operators about the planning of Possessions on the CQCN. The purpose of the Possession Protocols is to establish a communication and engagement process that is
> straightforward,
> transparent,
> clear, and
> consistent for all Operators.
The implementation of the process set out in the Possession Protocols will facilitate the effective and efficient operation of the CQCN, and thereby facilitate the effective and efficient utilisation of access rights by Operators.

1.2 Scope
This document details the process by which Aurizon Network will communicate and engage with all Operators about the planning of Possessions throughout the Possession lifecycle.

This document does not detail the internal management processes by which Aurizon Network determines the quantum, duration and timing of Possessions, after taking into account safety, operational, asset management, contractual, coal supply chain, risk and other matters.
2 Tactical (long-term) planning of Possessions

2.1 Purpose
The purpose of this Section 2 is to specify how Aurizon Network will communicate and engage with all Operators about its tactical (long-term) planning of Possessions.

2.2 Notification of proposed Possessions
Every month Aurizon Network will publish to all Operators a calendar of proposed Possessions for each of the Coal Systems for a period of no less than 12 months and no more than 24 months, with the first month of that period being the month after the month of publication. For example, the first month of a calendar published in November will be December. The CAAC will also be available off the Aurizon Network Customer Portal at customeronline.aurizon.com.au.

This calendar, being the ‘Critical Asset Alignment Calendar’ or ‘CAAC’, will
> provide the date, starting time and ending time of each proposed Possession over this period, and
> specify the critical asset(s) affected by the proposed Possession.

<table>
<thead>
<tr>
<th>Example of CAAC information on a particular proposed Possession</th>
</tr>
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<tbody>
<tr>
<td>Coal system</td>
</tr>
<tr>
<td>Date</td>
</tr>
<tr>
<td>Starting time</td>
</tr>
<tr>
<td>Ending time</td>
</tr>
<tr>
<td>Asset activity</td>
</tr>
<tr>
<td>Critical asset(s) affected by Possession</td>
</tr>
</tbody>
</table>

Each CAAC issued by Aurizon Network will be effective from the date of its issue, and will automatically supersede the preceding CAAC.

Over the life of a CAAC Aurizon Network will issue Asset Constraints Summaries (see Section 3) that cover days that are already covered by that CAAC. If this double coverage occurs, the current Asset Constraints Summary shall prevail over the CAAC in respect of the ‘double covered’ days.

2.3 Comments from Operators
Aurizon Network is open to comments from any Operator on each CAAC following its issue and will consider all comments received from all Operators. The outcome of Aurizon Network’s consideration of any comments received will be reflected in the next CAAC that is issued by Aurizon Network to Operators, as set out in Section 2.2.
3 Short-term planning of Possessions

3.1 Purpose
The purpose of this Section 3 is to specify how Aurizon Network will communicate and engage with Operators about its short-term planning of Possessions.

3.2 Notification of Asset Constraints Summaries
Aurizon Network will issue to Operators each Monday (subject to the following paragraph) an Asset Constraints Summary for all of the Coal Systems. At the same time Aurizon Network will also issue to Operators a 4 Week Pathing Availability Plan in accordance with the applicable System Rules, if any, and/or the Network Management Principles.

When a Monday is a public holiday, Aurizon Network may, following earlier advice to Operators, elect to issue the Asset Constraints Summary and the 4 Week Pathing Availability Plan on the business day that precedes that Monday.

The Asset Constraints Summary and the 4 Week Pathing Availability Plan shall be internally consistent and shall relate to the 28 day period commencing at 00:00 hours on the Monday (this period being the ‘4WPAP Period’).

The ‘Asset Constraints Summary’ is a report that sets out all Possessions, including all Urgent Possessions, if any, planned by Aurizon Network as at the date of that report.

For each Possession during the relevant 4WPAP Period an Asset Constraints Summary will specify
> the date, starting time and ending time of that Possession,
> the critical asset(s) affected by the Possession, and
> the resulting impact on the affected Coal System’s access availability.

Aurizon Network shall prepare each Asset Constraints Summary and 4 Week Pathing Availability Plan having regard to the then latest MTP and CAAC.

Each Asset Constraints Summary issued by Aurizon Network will be effective upon being issued to Operators, and will automatically supersede the preceding document of the same type.

Each Asset Constraints Summary issued will be subject to variation by Aurizon Network under Section 4.
4 Variation to short-term planning of Possessions

4.1 Purpose
The purpose of this Section 4 is to specify how Aurizon Network will communicate and engage with Operators about variations, including Urgent Possessions and Possessions taken on an opportunistic basis, to its short-term planning of Possessions.

4.2 Alteration of Asset Constraints Summaries
During the life of each Asset Constraints Summary Aurizon Network may determine to
> cancel Possessions included in that Asset Constraints Summary,
> vary Possessions included in that Asset Constraints Summary, and/or
> plan new Possessions to take effect during that Asset Constraints Summary’s 4PWAP Period each being a ‘Possession Change’.

Possession Changes fall in two categories, namely
> Possession Changes that take effect before the Cut-off Point, each such change being a ‘Type 1 Possession Change’, and
> Possession Changes that take effect after the Cut-off Point, each such change being a ‘Type 2 Possession Change’.

The ‘Cut-off Point’ means 23.59 hours on the second Sunday during the period covered by the current Asset Constraints Summary. Given that the Asset Constraints Summary is (usually) issued each Monday for the 4 week period commencing on that Monday, the Cut-off Point will vary between being 14 days hence (immediately after the issue of the latest Asset Constraints Summary) and 7 days hence (immediately before the issue of the next Asset Constraints Summary).

If Aurizon Network has determined to make any Type 1 Possession Changes, it will promptly (i.e. during the life of the current Assets Constraints Summary) issue to Operators a varied Asset Constraints Summary, which automatically supersedes the original Asset Constraints Summary. The varied Asset Constraints Summary will reflect only Type 1 Possession Changes.

If Aurizon Network has determined to make Type 2 Possession Changes, it will notify them to Operators as part of the next regular Asset Constraints Summary to be issued under Section 3.2 (i.e. Type 2 Possession Changes will not necessitate the issue of a varied Asset Constraints Summary).
5 Emergency Possessions

5.1 Purpose
The purpose of this Section 5 is to specify how Aurizon Network will communicate and engage with Operators about Emergency Possessions.

5.2 Notification of Emergency Possessions
Aurizon Network will notify Operators of Emergency Possessions as soon as practicable.