



# BEST PRACTICE GUIDE FOR RAILWAY NETWORK STATEMENT

## Railway Working Group meeting

Podgorica, 9<sup>th</sup> June 2010

Directorate-General  
for Energy  
and Transport



EUROPEAN  
COMMISSION

# Contents

- **General layout and structure of the NS and information provided for access conditions and the minimum access package**
- **Information provided by NS on service and service facilities**
- **Information provided by NS on charging and capacity allocation**

# Agenda/Contents

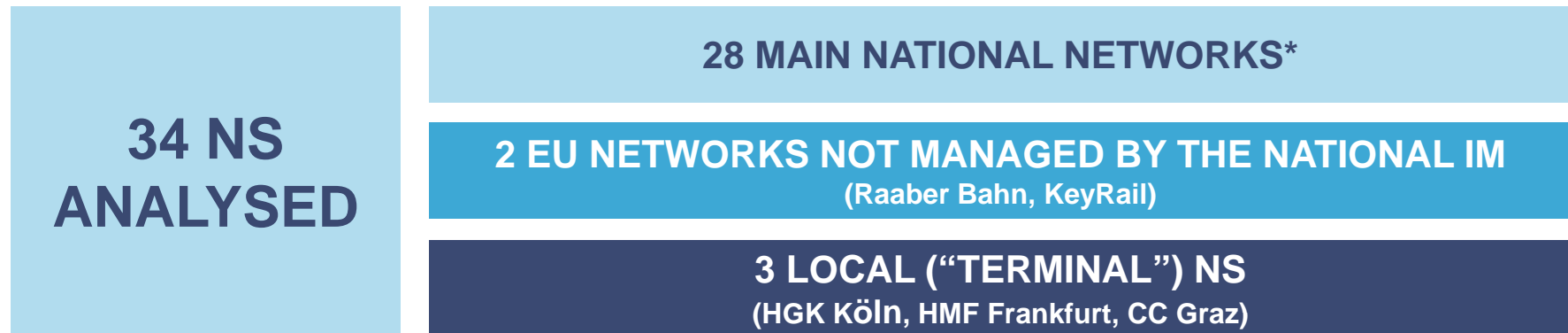
- **General layout and structure of the NS and information provided for access conditions and the minimum access package**
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- Information provided by NS on charging and capacity allocation

# Approach and scope of the analysis (1/2)

## CONSULTANT'S ASSESSMENT

The analysis was aimed at:

- verifying the compliance of existing NS with the provisions of Directive 2001/14/EC, with special focus on the information concerning rail related services & charging
- identify the existing best practices



\* **23 EU COUNTRIES** – all EU27 except for: Cyprus & Malta (no railways), Eire (no NS-derogation from Directive 2001/14), Greece (no reply from the IM to the request of receiving an updated English version of the NS);

**3 BALKAN COUNTRIES** (Croatia, Serbia, Montenegro)

**2 SWISS NETWORKS** (SBB, BLS)

# Approach and scope of the analysis (2/2)

## STAKEHOLDERS' CONSULTATION

- The consultation aimed at verifying the needs and constraints of the organisations involved either in the preparation or utilization of the NS, as well as to gather opinion concerning the existing best practices.
- The questionnaires were particularly focused on assessing the completeness and clarity of information provided by NS on rail related services and charging.

▪ Questionnaires received:	<i>Response rate*</i>
• 22 from RUs and authorised applicants	40%
• 17 from Authorities (Regulatory Bodies & Ministries)	31%
• 16 from IMs	29%

\* N. stakeholders that answered to the questionnaire / Total N. Stakeholders contacted

# General layout and structure

Availability free of charge and online	<b>100%</b> (of the analysed NS*)
Available in English for 2009-10 (as of December 2009)	<b>44%</b> (14 NS)
Available in English for 2010-11 (as of December 2009)	<b>30%</b> (8 NS)
Structured as RNE guidelines	<b>84%</b> (27)
Presentation of relevant national and EU regulations	<b>73%</b> (27 NS)
Specification of NS legal status	<b>84%</b> (31 NS)
Validity period clearly specified	<b>86%</b> (32 NS)
Detailed glossary	<b>78%</b> (29 NS)

\* However not all Annexes to NS are available online

# Information on Access conditions

(Consultant's assessment)

Info on general requirements sufficiently detailed	97% (36 NS)
Info on framework agreements	59% (22 NS)
Role & structure	22% (8 NS)
Req. in terms of third parties approval	49% (18 NS)
Template of access contract provided	68% (25 NS)
Details on operational rules to be respected by RUs	92% (34 NS)
Description of procedures for rolling stock acceptance (extensive or synthetic)	89% (33 NS)
Description of procedures for staff acceptance (extensive or synthetic)	

No particular **best practices** were identified for this section in any of the NS analysed by the Consultant, but it shall be highlighted that the general requirements for the access to the network are presented by almost all the NS analysed.

# Information on Access conditions

## Recommendations

### Framework agreements

2-a	SR	The role and structure of framework agreements should be clearly and accurately defined within the NS.
2-b	R	A model framework agreement should be available, e.g. via a web-link.
2-c	R	The need for third party agreement to a framework agreement (e.g. by a regulator) should be clearly specified.

### Access contracts and operational rules

2-d	SR	The availability of templates or model access contracts should be highlighted in the NS, with a web link provided to enable the reader to inspect the current version.
2-e	R	The operational rules and procedures for both ordinary and special transport should be detailed, where possible, within the NS – where this is not possible, web-links should be provided for the reader to inspect the relevant document.
2-f	R	The procedures for the acceptance of rolling stock and staff should be indicated in the NS, with web-links provided for the reader to locate detailed information. These should include who to apply to, what information is required and a timetable for completion of the process.

**SR: Strongly recommended R: Recommended**



# Information on the Nature of the available Infrastructure

(Consultant's assessment)

	Information availability (n. of NS)			If yes, type of presentation* (n. of NS)			
	Yes	No	% Yes	Tables	GIS maps	Schematic maps	Other
<b>Number of tracks</b>	<b>33</b>	<b>4</b>	<b>89%</b>	<b>16</b>	<b>1</b>	<b>14</b>	<b>6</b>
<b>Track gauge</b>	<b>33</b>	<b>4</b>	<b>89%</b>	<b>13</b>	<b>2</b>	<b>8</b>	<b>11</b>
<b>Loading gauge</b>	<b>29</b>	<b>8</b>	<b>78%</b>	<b>7</b>	<b>2</b>	<b>10</b>	<b>10</b>
<b>Weight limits</b>	<b>31</b>	<b>6</b>	<b>84%</b>	<b>14</b>	<b>1</b>	<b>10</b>	<b>5</b>
<b>Gradients</b>	<b>26</b>	<b>11</b>	<b>70%</b>	<b>16</b>	<b>2</b>	<b>5</b>	<b>2</b>
<b>Maximum speed</b>	<b>28</b>	<b>9</b>	<b>76%</b>	<b>14</b>	<b>1</b>	<b>5</b>	<b>3</b>
<b>Maximum train length</b>	<b>26</b>	<b>11</b>	<b>70%</b>	<b>14</b>	<b>-</b>	<b>3</b>	<b>6</b>
<b>Power supply</b>	<b>34</b>	<b>3</b>	<b>92%</b>	<b>13</b>	<b>2</b>	<b>14</b>	<b>8</b>
<b>Traffic control systems</b>	<b>32</b>	<b>5</b>	<b>86%</b>	<b>10</b>	<b>1</b>	<b>14</b>	<b>11</b>
<b>Signaling systems</b>	<b>31</b>	<b>6</b>	<b>84%</b>	<b>9</b>	<b>1</b>	<b>6</b>	<b>10</b>
<b>Communication systems</b>	<b>33</b>	<b>4</b>	<b>89%</b>	<b>12</b>	<b>1</b>	<b>11</b>	<b>11</b>
<b>ATC systems</b>	<b>26</b>	<b>11</b>	<b>70%</b>	<b>8</b>	<b>1</b>	<b>13</b>	<b>6</b>
<b>Specific traffic restrictions</b>	<b>26</b>	<b>11</b>	<b>70%</b>	<b>10</b>	<b>1</b>	<b>8</b>	<b>7</b>
<b>Period of unavailability</b>	<b>20</b>	<b>17</b>	<b>54%</b>	<b>7</b>	<b>-</b>	<b>-</b>	<b>9</b>

# Information on the Nature of the available Infrastructure

## Best practices identified by the Consultant

COUNTRY / IM	BEST PRACTICES INDICATED	REASONS
<b>Banedanmark (Denmark)</b>	Detailed maps (in appendix)	Very straightforward and complete description of the nature of the network (although some information such as curve radius, congested sections and conditions of the network are missing)
<b>Latvian Railway (Latvia)</b>	Chapter 3 Infrastructure	Clear description of the available infrastructure
	Appendix 8 Division of railway infrastructure (track sections) by categories	Complete description of the characteristics of the railway line
	Appendix 9 Directive “About establishing of train traffic speed”	Complete description of allowed speeds for passenger trains and freight trains per track section
<b>CFL (Luxembourg)</b>	Description infrastructure	Very detailed description of the national line, but probably not feasible for more extended networks
<b>ProRail (Netherlands)</b>	Specific traffic restrictions	Accurate description of traffic restrictions on the line, exhaustive and easy to read and understand
<b>REFER (Portugal)</b>	Description of the Network	Annexes are included in the online document, facilitating the understanding and ensuring a comprehensive and exhaustive communication to the interested parties, preferable than having annexes in separate documents.

# Information on the Nature of the available Infrastructure

Best practices identified by the interviewed Stakeholders

STAKEHOLDER	COUNTRY / IM	BEST PRACTICES INDICATED	REASONS
<b>The Swedish Transport Agency</b>	<b>Banverket (Sweden)</b>	Description of the Network through a web application	A web application is made available by the IM. It describes the nature of the infrastructure, allowing to include more information than on paper and to let users decide the level of information they need to consult.

# Information on the Nature of the available Infrastructure (1/2)

## Recommendations

### Information on available infrastructure

<b>3-a</b>	<b>SR</b>	The extent of the railway network covered by the NS is a crucial feature of the NS and should be clearly illustrated using maps; where possible, these should be GIS maps allowing the customers (RU or authorised applicants) to quickly access infrastructure information on the specific line.
<b>3-b</b>	<b>SR</b>	The connected networks should be specified and should be indicated on the above maps.
<b>3-c</b>	<b>SR</b>	Where available, web-links to the NS of connected networks should be provided.
<b>3-d</b>	<b>SR</b>	Points of contact for relevant connected networks should be provided within the NS list of contacts.

*SR: Strongly recommended R: Recommended*

# Information on the Nature of the available Infrastructure (2/2)

## Recommendations

### Information on available infrastructure

3-e	R	The key characteristics and the level of detail should be standardised by means of a common table of characteristics, with supporting information for each characteristic outlined in more detail by use of text and maps placed in annexes and/or online. This would facilitate comparisons and cross reference between different NS.
3-f	R	The NS should provide a picture of expected network development, both in the short term (over the current NS timetable period of validity) and for the longer term. Best practice will provide an outline of future infrastructure projects or work – with details in an annex and/or via a web-link. This will include impacts on the key characteristics of the new or improved lines, including in particular plans for installation of ERTMS.

*SR: Strongly recommended R: Recommended*

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# Information on Rail related services

## Access to service facilities and supply of services (Annex II.2) 1/2

Service or service facility	CONSULTANT'S ASSESSMENT % of NS with information available		
	List / Location	Infra and technical details	Opening times
Use of electrical supply equipment	65%	47%	n.a.
Passenger stations	74%	35-44%	-
Freight terminals	63%	38-40%	n.a.
Marshalling yards	40%	13%	13%
Refuelling facilities	33%	34%	3%
Train formation facilities	41%	17%	11%
Maintenance workshops & other technical facilities	35%	n.a.	3%
Storage sidings	23%	n.a.	9%

*n.a. = not applicable / not analysed*

# Information on Rail related services

## Access to service facilities and supply of services (Annex II.2) 2/2

Service or service facility	STAKEHOLDERS' CONSULTATION % of NS with <u>detailed</u> information available				
	IMs' responses			RUs' responses	
	YES	N/A*	NO	YES	NO
Use of electrical supply equipment	87%	-	13%	82%	18%
Passenger stations **	87%	-	13%	69%	31%
Freight terminals **	75%	6%	19%	73%	27%
Marshalling yards **	56%	19%	25%	77%	23%
Refuelling facilities **	56%	44%	-	75%	25%
Train formation facilities **	50%	19%	31%	75%	25%
Maintenance workshops & other technical facilities **	33%	47%	20%	57%	43%
Storage sidings **	69%	19%	12%	45%	55%

*n.a. = not applicable / not analysed*

*\* Service not provided*

*\*\* The questions asked to the stakeholders are about the Access to such facilities*



# Information on Rail related services

## Additional services (Annex II.3)

	CONSULTANT'S ASSESSMENT
	% of NS with detailed or partial information available
35-50%	<ul style="list-style-type: none"><li>• Tailor-made contracts for Control of transport of dangerous goods</li><li>• Tailor-made contracts for assistance in running abnormal trains</li></ul>
50-60%	<ul style="list-style-type: none"><li>• Pre-heating of passenger trains</li><li>• Supply of diesel fuel</li><li>• Shunting services</li></ul>
60-75%	<ul style="list-style-type: none"><li>• Supply of traction current</li></ul>
>75%	-

# Information on Rail related services

## Additional services (Annex II.3)

	STAKEHOLDERS' CONSULTATION				
	% of NS with <u>detailed</u> information available according to <b>IM</b>			% of NS with <u>detailed</u> information available according to <b>RU</b>	
	YES	Service not provided by the IM	NO	Yes	No
Supply of traction current	56%	31%	13%	93%	7%
Pre-heating of passenger trains	44%	31%	25%	93%	7%
Supply of diesel fuel, shunting and other services	56%	31%	13%	73%	27%
Tailor-made contracts for Control of transport of dangerous goods	-	6%	94%	73%	27%
Tailor-made contracts for assistance in running abnormal trains	8%	8%	84%	58%	42%

# Information on Rail related services

## Ancillary services (Annex II.4)

	<b>CONSULTANT'S ASSESSMENT</b>
	% of NS with <u>detailed or partial</u> information available
<35%	-
35-50%	<ul style="list-style-type: none"><li>• <b>Technical inspection of rolling stock</b></li></ul>
50-60%	<ul style="list-style-type: none"><li>• <b>Access to telecommunication network-</b></li></ul>
60-75%	<ul style="list-style-type: none"><li>• <b>Provision of supplementary information</b></li></ul>

# Information on Rail related services

## Ancillary services (Annex II.4)

	STAKEHOLDERS' CONSULTATION				
	% of NS with <u>detailed</u> information available according to <b>IM</b>			% of NS with <u>detailed</u> information available according to <b>RU</b>	
	YES	Service not provided by the IM	NO	Yes	No
<b>Access to telecommunication network</b>	74%	13%	13%	73%	27%
<b>Provision of supplementary information</b>	44%	25%	31%	57%	43%
<b>Technical inspection of rolling stock</b>	13%	50%	37%	62%	38%

# Information on Rail related services

Best practices



**NO BEST PRACTICE IDENTIFIED BY THE  
CONSULTANT'S EXPERTS OR BY THE  
STAKEHOLDERS**

# Information on Rail related services

## Recommendations

4-a	SR	For all rail related services, provided by the IM and associated companies, complete information on the characteristics of these services should be provided, either directly in the NS or via a list of facilities with web-links.
4-b	SR	Where service facilities are not provided by the IM, at the least a list of the nature and location of such facilities should be provided, with contact details and – where available – a web-link.
4-c	SR	A common approach to the presentation of the access to service facilities and supply of services (in case they are provided by the IM and associated companies) should be agreed to facilitate cross reference from one NS to another. This could be by use of a standardised table of service facilities and services. In particular, for each type of service and service facilities it is necessary to agree on the information to be provided in the NS, i.e. the minimum information (type of data, level of detail) allowing the users (RUs and authorised applicants) to support their preliminary decision making in their planning phase, considering also the feasibility to include each type of data in the NS .
4-d	SR	Where service facilities are owned and operated by the IM, supporting information for each facility and service should be outlined in more detail by use of text and maps placed in either annexes and/or online.

***SR: Strongly recommended R: Recommended***

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# Information on Charging (Minimum Access Package)

Consultant's assessment

## % of NS with information on charging

	Yes	N/A (Charge not applied)	No
<b>Charges on the Minimum Access Package</b>	<b>84%</b>	-	<b>16% (partial information)</b>
<b>Charges that reflects the scarcity of capacity (Art. 7.4)</b>	<b>27%</b>	<b>16%</b>	<b>57%</b>
<b>Charges that reflects cost of the environmental effects (Art. 7.5)</b>	<b>14%</b>	<b>56%</b>	<b>30%</b>
<b>Mark-ups (Art. 8.1-8.2)</b>	<b>40%</b>	<b>30%</b>	<b>30%</b>
<b>Discounts (Art. 9)</b>	<b>43%</b>	<b>27%</b>	<b>30%</b>
<b>Performance Related Charges (Art. 11)</b>	<b>24%</b>	<b>15%</b>	<b>61%</b>



# Information on Charging (Minimum Access Package)

Stakeholders' consultation (IM and Authorities)

	% of NS with information on charging methodology			% of NS with information on charging scales		
	Yes	N/A (Charge not applied)	No	Yes	N/A (Charge not applied)	No
<b>Charges on the Minimum Access Package</b>	<b>89%</b>	<b>-</b>	<b>11%</b>	<b>94%</b>	<b>-</b>	<b>6%</b>
<b>Charges that reflects the scarcity of capacity (Art. 7.4)</b>	<b>42%</b>	<b>47%</b>	<b>11%</b>	<b>42%</b>	<b>47%</b>	<b>11%</b>
<b>Charges that reflects cost of the environmental effects (Art. 7.5)</b>	<b>11%</b>	<b>73%</b>	<b>16%</b>	<b>11%</b>	<b>73%</b>	<b>16%</b>
<b>Mark-ups (Art. 8.1-8.2)</b>	<b>31%</b>	<b>69%</b>	<b>-</b>	<b>31%</b>	<b>69%</b>	<b>-</b>
<b>Discounts (Art. 9)</b>	<b>37%</b>	<b>37%</b>	<b>26%</b>	<b>42%</b>	<b>37%</b>	<b>21%</b>
<b>Performance Related Charges (Art. 11)</b>	<b>74%</b>	<b>10%</b>	<b>16%</b>	<b>61%</b>	<b>17%</b>	<b>22%</b>
<b>Reservation Charges (Art. 12)</b>	<b>50%</b>	<b>50%</b>	<b>-</b>	<b>47%</b>	<b>47%</b>	<b>6%</b>

*Note: Percentage range due to the fact that the information is a synthesis of several aspects.  
Blank cells indicate that the topic was not investigated or the assessment of the topic is not applicable.*

# Information on Charging (Minimum Access Package) 1/2

## Best practices identified by the Consultant

COUNTRY / IM	BEST PRACTICES INDICATED	REASONS
<b>Infrabel (Belgium)</b>	Charging principles	The section is straightforward and allows calculating total train charge easily.
<b>Network Rail (UK)</b>	Charging principles	Completeness of the information provided about charging, although the presentation is not particularly clear and straightforward

## Best practices identified by the interviewed Stakeholders

STAKEHOLDER	NS PREPARED BY	BEST PRACTICES INDICATED	REASONS
<b>The Swedish Transport Agency</b>	<b>Banverket (Sweden)</b>	Description of the Network through a web application	A web application is made available by the IM. It describes the nature of the infrastructure, allowing to include more information than on paper and to let users decide the level of information they need to consult.

# Information on Charging (Minimum Access Package) 2/2

## Best practices identified by the interviewed Stakeholders

STAKEHOLDER	COUNTRY / IM	BEST PRACTICES INDICATED	REASONS
<p><b>The Hungarian National Transport Authority</b></p>	<p><b>VPE (Hungary)</b></p>	<p>Charging Methodology</p>	<p>The NS displays the methodology, through which justifiable costs and expenses are measured and used for setting charges and performance indicators that are used for the charge-setting.</p> <p>The Charging Methodology is prepared every five years by the capacity allocation (and charge-setting) body. The regulatory body checks the compliance of the data collection and the cost allocation determined in the Charging Methodology.</p>

# Information on Charging (Minimum Access Package) (1/3)

## Recommendations

### General recommendations

<b>5-a</b>	<b>SR</b>	The description of charging methodology should be set out in brief in the NS, with a web-link provided for the reader to access further, more detailed information. This should include the data used to determine changes and the analysis undertaken using it.
<b>5-b</b>	<b>SR</b>	The rules used for calculating charges should be clearly indicated in the NS, with a web-link provided for the reader to access further, more detailed information.
<b>5-c</b>	<b>SR</b>	A table of tariffs should be provided in the NS. These should include all relevant differentiation, e.g. by type of vehicle, line, speed or type of path and make clear whether charges are levied per vehicle-km, train-km, gross tonne-km or path.
<b>5-d</b>	<b>R</b>	Where tariffs are complex, a software tool or other aid should be provided for railway undertakings to calculate the charges they will face for a particular traffic flow.

*SR: Strongly recommended R: Recommended*

# Information on Charging (Minimum Access Package) (2/3)

## Recommendations

### General recommendations

<b>5-e</b>	<b>R</b>	Information should be provided in the NS on whether and how charges are expected to change over the short and medium term. This should include modifications to charges within the existing system of charges, as well as any broader changes to the system of charges that are envisaged.
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### Specific recommendations

<b>5-f</b>	<b>SR</b>	Information on charges in the NS should be kept clear and concise, with web-links provided for the further, more complex detail.
<b>5-g</b>	<b>R</b>	Scales of charges (tariff levels) shall be included even if the charges are not set by the IM, but by another body (Ministry or Regulation Authority).

*SR: Strongly recommended R: Recommended*

# Information on Charging (Minimum Access Package) (3/3)

## Recommendations

### Specific recommendations

<b>5-h</b>	<b>R</b>	Where there are different components to the applicable charge – e.g. mark-ups, environmental charges etc – these should be clearly identified (i.e. presented separately from the basic charges) and the rationale for their level explained.
<b>5-i</b>	<b>R</b>	It should be clearly stated that all relevant charging components are identified in the NS, allowing the reader safely to conclude that where a component is not identified, there is no such component to the charging system.
<b>5-j</b>	<b>R</b>	If discounts are provided for, the NS shall clearly specify which lines are concerned, which type of trains are entitled to pay the discounted charges, what is the time period during which the discount will be applicable.
<b>5-k</b>	<b>R</b>	Any performance regime provisions should be clearly explained.

*SR: Strongly recommended R: Recommended*

# Information on Charging for track access to service facilities and supply of services (Annex II.2)

## Consultant's assessment

### % of NS with information on charging

	<b>Yes</b> <i>(also for facilities managed by other operators)</i>	<b>Yes</b> <i>( only for facilities managed by the IM)</i>	<b>Yes</b> <i>but the information is incomplete</i>	<b>No</b> <i>information at all</i>
<b>Use of electrical supply equipment</b>	11%	24%	19%	46%
<b>Refuelling facilities</b>	3%	14%	19%	64%
<b>Passenger stations</b> , their buildings & other facilit.	3%	39%	11%	47%
<b>Freight terminals</b>	3%	28%	14%	56%
<b>Access to Marshalling yards</b>	-	36%	14%	50%
<b>Train formation facilities</b>	-	36%	14%	50%
<b>Storage sidings</b>	-	17%	14%	69%
<b>Maintenance workshops</b> & other techn. facilities	3%	10%	14%	73%

# Information on Charging for track access to service facilities and supply of services (Annex II.2)

## Stakeholders' consultation (IM and Authorities)

	% of NS with information on charging methodology			% of NS with information on charging scales		
	Yes	N/A (Service not provided)	No	Yes	N/A (Service not provided)	No
<b>Use of electrical supply equipment</b>	50%	22%	28%	56%	22%	22%
<b>Refuelling facilities *</b>	28%	55%	17%	28%	55%	17%
<b>Passenger stations</b> , their buildings & other facilit. *	45%	22%	33%	50%	22%	28%
<b>Freight terminals *</b>	41%	47%	12%	53%	47%	-
<b>Marshalling yards *</b>	41%	35%	24%	53%	35%	12%
<b>Train formation facilities *</b>	33%	39%	28%	44%	39%	17%
<b>Storage sidings *</b>	50%	17%	33%	66%	17%	17%
<b>Maintenance workshops &amp; other techn. Facilities *</b>	27%	40%	33%	36%	36%	28%

\* The questions asked to the stakeholders are about the Access to such facilities



# Information on Charging for additional & ancillary services (Annex II.3-4)

## Consultant's assessment

### % of NS with information on charging

	Yes <i>(also for facilities managed by other operators)</i>	Yes <i>( only for facilities managed by the IM)</i>	Yes <i>but the information is incomplete</i>	No <i>information at all</i>
<b>ADDITIONAL SERVICES</b>				
Supply of Traction current	14%	22%	17%	47%
Pre-heating of passenger trains	3%	14%	8%	75%
Supply of diesel fuel	3%	11%	6%	80%
Shunting services	6%	20%	11%	63%
Tailor-made contracts for Control of transport of dangerous goods	-	8%	17%	75%
Tailor-made contracts for assistance in running abnormal trains	3%	8%	17%	72%
<b>ANCILLARY SERVICES</b>				
Access to telecommunication network	-	9%	14%	77%
Provision of supplementary information	-	14%	19%	67%
Technical inspection of rolling stock	3%	3%	14%	81%

# Information on Charging for additional & ancillary services (Annex II.3-4)

## Stakeholders' consultation (IM & AU)

ADDITIONAL SERVICE	% of NS with information on charging methodology			% of NS with information on charging scales		
	Yes	N/A (Service not provided/ no answer)	No	Yes	N/A (Service not provided/ no answer)	No
	Supply of Traction current	31%	31%	38%	31%	31%
Pre-heating of passenger trains	24%	47%	29%	24%	53%	24%
Shunting and other services	22%	50%	28%	24%	47%	29%
Tailor-made contracts for Control of transport of dangerous goods	31%	56%	13%	17%	61%	22%
Tailor-made contracts for assist. in running abnormal trains	44%	44%	12%	31%	44%	25%
<b>ANCILLARY SERVICES</b>						
Access to telecom. network	-	50%	50%	13%	50%	38%
Provision of suppl. information	20%	47%	33%	27%	47%	27%
Techn. inspection of rolling stock	-	81%	19%	-	81%	19%

## Information on Charging (Services)

Best practices



**NO BEST PRACTICE IDENTIFIED BY THE  
CONSULTANT'S EXPERTS OR BY THE  
STAKEHOLDERS**

# Information on Charging (Services)

## Recommendations

### Charges for access to service facilities and supply of services

6-a	SR	Where the service facilities are owned and operated by the IM or associated companies, an outline of the principles on which the applicable charges are based shall be provided, as well as the charging levels for the basic services, if the information is complex the detail can be provided via web-links.
6-b	SR	Where the service facilities are not owned or operated by the IM, contact points and web-links for information on charging for the owners/operators should be provided.

*SR: Strongly recommended R: Recommended*

## Information on Capacity Allocation

Consultant's assessment

Information provided extensively and clearly by

Procedures to request capacity	95% (35 NS)
Capacity allocation procedures and conditions	92% (34 NS)
Detailed schedule of the allocation process	59% (22 NS)
Capacity allocation principles and criteria	81% (30 NS)
Procedures for appeals	59% (22 NS)
Principles governing the coordination process	73% (27 NS)
Procedures in case of congested infrastructure	57% (21 NS)
Priority criteria in case of congested infrastructure	62% (23 NS)
Measures to be taken in the event of disturbance	68% (25 NS)
Cooperation for capacity allocation *	24%-30%

\* Percentages range since the information is a synthesis of several aspects

# Information on Capacity Allocation 1/2

## Stakeholders' consultation's (RU)

	% of NS with information	
	Yes	No
Arrangements regarding track maintenance possessions	60%	40%
Availability and nature of framework agreements	72%	28%
Information on performance regime	57%	43%
Measures taken to ensure the adequate treatment of freight services, international services and requests subject to the ad hoc procedure	60%	40%
Conditions by which account is taken of previous levels of utilisation of capacity in determining priorities for the allocation process	54%	46%
Details of restrictions on the use of infrastructure	58%	42%
Procedures which shall be followed and criteria used where infrastructure is congested	63%	37%

# Information on Capacity Allocation 2/2

## Stakeholders' consultation's (RU)

	% of NS with information	
	Yes	No
Principles governing the coordination process	77%	23%
Schedule for the application and allocation processes	73%	27%
Requirements governing applicants	75%	25%
Procedures according to which applicants may request capacity from the infrastructure manager	62%	38%
Charging principles and tariffs	62%	38%
Nature of the infrastructure which is available to railway undertakings and the conditions of access to it	71%	29%

# Information on Capacity Allocation

## Best practices identified by the Consultants

<b>COUNTRY / IM</b>	<b>BEST PRACTICES INDICATED</b>	<b>REASONS</b>
<b>ProRail (Netherlands)</b>	Description of allocation process	The process is presented by a clear scheme, easy to understand.
	Schedule of Path Requests and Allocation Process	Clear and exhaustive. The use of the table improves comprehensibility.
	Further Description of the Processes	Detailed and clear
	Non-usage / Cancellation Rules	Clear and exhaustive
	Exceptional Transports	Unambiguous definition of the types of exceptional transport



# Information on Capacity Allocation

Best practices identified by the interviewed Stakeholders

STAKEHOLDER	COUNTRY / IM	BEST PRACTICES INDICATED	REASONS
<b>Nederlandse Spoorwegen (Dutch RU)</b>	<b>ProRail (Netherlands)</b>	Procedure for requesting capacity allocation	High level of detail in relation to procedures according to which applicants may request capacity from the infrastructure manager, schedule for the application and allocation processes, principles governing the coordination process.

# Information on Capacity Allocation

## Recommendations 1/3

### General information on availability and nature of infrastructure capacity

7-a	SR	The general capacity characteristics / constraints of the available infrastructure should be clearly set out in the NS. This should be, for instance, in maximum number of trains per hour (given a specified mix of types of train).
7-b	SR	A clear statement that the allocated capacity is non-transferable and non-tradable should be included in the NS.
7-c	R	It should be clearly indicated where the infrastructure is designated for particular specialised traffic; equally, it should be clearly stated where no such designation applies.
7-d	SR	Clear information should be provided on capacity reservation for the purposes of maintenance, with possible implications for operations indicated. This would include the days and hours for which each line is closed, or for which capacity is limited, for instance by single track working. Where this is not possible, a commitment should be included to provide this at least a stipulated number of days in advance of the work taking place.
7-e	R	A standardised form for capacity requests should be developed and publicised via the NS; with the form itself being available as an annex or web-link.

**SR: Strongly recommended R: Recommended**

# Information on Capacity Allocation

## Recommendations 2/3

### Principles and criteria for capacity allocation

7-f	SR	Clear statements of the principles and criteria for capacity allocation should be provided in the NS.
7-g	SR	The NS should clearly specify the Coordination Process applied including the timetable.
7-h	SR	The NS should provide clear information on the procedures for capacity allocation where capacity is congested, including any prioritisation criteria that apply on congested sections and the timetable.
7-i	R	Where capacity is congested, the NS should clearly indicate the IM's procedure for undertaking Capacity Analysis and preparing its Capacity Enhancement Plan.
7-j	R	The impacts of any Framework Agreements on available capacity should be clearly indicated, with implications for new capacity requests outlined.

*SR: Strongly recommended R: Recommended*

# Information on Capacity Allocation

## Recommendations 3/3

### Principles and criteria for capacity allocation

7-k	SR	The appeals process for challenging decisions on capacity allocation should be clearly set out within the NS, with contact points and web-links provided for any third party arbiters associated with the process and a timetable for considering appeals.
7-l	SR	Any 'use it or lose it' provisions should be clearly detailed.
7-m	R	Allocation principles should be presented also for the capacity of service facilities, in case these are managed by the IM.

*SR: Strongly recommended R: Recommended*

# Harmonization of Network Statements

## Stakeholders' consultation

### Opinion of RU on the harmonisation of NS across Europe

Share / No. of respondent RU	Opinion	Comments / Remarks
<b>62% (13 RU)</b>	<b>Yes</b>	Harmonisation will help to define the conditions for using the infrastructure all across the EU. RU shall be included in the process of harmonization of NS. Some special information, etc. should be allowed because of the different circumstances and business cases on every country
<b>14% (3 RU)</b>	<b>Yes, but there are issues to be considered</b>	It will be useful only if it provides one centralised tool for the consultation and the order of all the paths through the different country. NS is a too serious document to be left to the discretion of IM on their own. Harmonization of NS should not be an harmonisation of services to the lowest common denominator resulting in an excessive simplification of NS. Country specific setting should not be neglected. Decreasing the quality of the NS to promote harmonisation is not acceptable.
<b>14% (3 RU)</b>	<b>No</b>	Further harmonisation is not needed. The existing legislation has to be implemented in all EU Member States. Having different NS allow for individuating best practices. Harmonising now may result in downward levelling.
<b>10% (2 RU)</b>	<b>Not relevant for our business</b>	

# Harmonization of Network Statements

## Stakeholders' consultation

### Opinion of Authorities on the harmonisation of NS across Europe

Share / No. of respondent RU	Opinion	Comments / Remarks
<b>65% (11 AU)</b>	<b>Yes</b>	<p>A standardised form and structure may help the opening up the market and reduce entry barriers. In the process of harmonisation, co-operation of the regulatory bodies may be useful even if the elaboration of the network statements does not fall under their scope.</p> <p>Complete harmonization can be very complicated in the first phase. However, the setting of common minimum parameters could be useful for the operation of a European railway network.</p>
<b>23% (4 AU)</b>	<b>Yes, but there are issues to be considered</b>	<p>Infrastructure is financed in every country in a completely different way which necessarily leads to different access charges.</p> <p>For small network harmonised NS could result in being more complicated than possibly necessary.</p> <p>Harmonisation of network statements should not result in being an additional cost driver.</p> <p>Harmonisation of NS in terms of detailed information and application: charging scheme, performance scheme and priority rules may be quite hard, due to different interpretation of 2001/14/EC.</p> <p>Harmonisation is desirable and feasible so long as it takes account of the different characteristics of networks.</p>
<b>12% (2 AU)</b>	<b>No</b>	<p>Directive 2001/14/EC provides a sufficient framework for the establishment of the NS. It should be ensured the proper application of existing law.</p>

# Harmonization of Network Statements

## Recommendations

### General information on availability and nature of infrastructure capacity

8-a	R	A <b>common level of detail</b> should be agreed amongst IM, in order to provide reasonably detailed information to the RU and authorised applicants that are exploring the possibility of starting new services on the network. The level of detail should be such as to allow discerning the characteristics of the single branches, in view of planning and estimating the feasibility and viability of new services.
8-b	R	In perspective, the use of <b>web tools</b> should be encouraged in order to provide RU with up to date and sufficiently detailed information, especially in view of international cooperation between IM (e.g. for International Corridors)  To this aim EICIS- the existing European Infrastructure Charging Information System run by RNE – could be considered as a good practice to be used by all IM.
8-c	R	NS should include all the points mentioned in Annex I of the Directive 2001/14/EC, clearly stating whether the information is not provided because not applicable (e.g. information on specific services not presented since such services are non provided by the IM; information on discounts and mark-ups on charges not presented since actually they actually do not exist).

**SR: Strongly recommended R: Recommended**

Thank you for your kind attention

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