RAIL OPERATING MANUAL

Subject: Rostering Locomotive Engineers

Implementation Date:

Review By: [5 years from implementation]
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Overview

1.0 Introduction

The purpose of this document is to ensure fit for purpose rosters to deliver safe, efficient and life balance rosters for locomotive engineers using current fatigue risk management principles. The object of a properly constructed working roster is to avoid, as far as is possible, the need for an employee to report for duty when not rostered to do so and to provide the best possible shift patterns given the work available.

All rosters will be constructed so that fortnightly rostered shifts are at or about 80 hours (within 76 to 83 hours is considered acceptable). In constructing rosters single days off work will be minimised as far as practically possible.

Where appropriate, a separate roster of part time shifts will be operated distinct from the full time roster. Where the implementation of a part time roster is linked to a downsizing then the most senior suitable applicant(s) will be appointed to the position.

Rosters may consist of more than 10 work periods each fortnight only when there is no reasonable alternative available. The “overtime” shift will be identified on the roster.

Rosters will be constructed on the basis of work being performed in a depot. They will be based on timetable services, and shunting services, plus other authorised and necessary depot work. New rosters will endeavour, where possible to preserve the existing roster pattern and sequencing.

2.0 Fatigue Risk Management

In late 2016 KiwiRail and the RMTU engaged in two fatigue management workshops which were facilitated by Professor Philippa Gander from the Sleep/Wake Research Centre of Massey University, Wellington. The objective of these workshops was to develop and outline the framework for a new fatigue risk management system for KiwiRail employees who work shift work. This design and development of a new fatigue risk management system is now commencing with the establishment of a combined KiwiRail/RMTU Fatigue Risk Management Group.

As a first step this group will focus on the fatigue risk management system for Locomotive Engineers and Train Controllers. Once this work is completed there will be a need to review and update this ROM to reflect the outcomes of the new fatigue risk management system.

3.0 Future Initiatives

This updated ROM has been agreed to between KiwiRail and the RMTU with the objective of promoting healthy and safe rosters and to assist all involved in understanding and applying rostering and hours of work parameters for Locomotive Engineers. KiwiRail and the RMTU have also agreed that revised rostering parameters may be trialled to enhance safety, economic and social benefits. These initiatives will be managed through the Fatigue Risk Management Group and the KiwiRail Industrial Council.
### Definitions

#### 4.0 Definitions

<p>| <strong>As Required Remaining Hours (ARRH)</strong> | The remaining time of a shift (which is 3 or more hours) following observing the minimum 10 hour break between shifts as per clause 10. |
| <strong>As Required Same Hours (ARSH)</strong> | The hours of a rostered cancelled shift as per clause 12. |
| <strong>Bust</strong> | A work period where the mandatory relief shift length as per the matrix in clause 9 has been exceeded. |
| <strong>Consecutive At Risk Shifts</strong> | At risk shifts are deemed to be consecutive where there are less than 24 hours off duty between each shift. |
| <strong>Crew Couplings</strong> | The outbound and inbound journey/s assigned to a locomotive crew during a work period. |
| <strong>Extra Work Period</strong> | Any Work Period which is additional to those shown on the master roster. |
| <strong>Footplate Time</strong> | The time spent in the locomotive cab or driving a motor vehicle for crewing purposes commencing with the scheduled train departure and ending with the scheduled arrival time of the return train at its destination. Stand over time and Personal Needs Break time are not included. |
| <strong>General Observed Rest Period (GORP)</strong> | Stand down hours of the next shift which encroach on the minimum 10 hour break between shifts. |
| <strong>Home Rostered Time (HRT)</strong> | Back in depot by rostered book-off time. |
| <strong>Mandatory Time off (MTO)</strong> | Stand down period assigned for crew to mitigate the effects of fatigue. Crews are not to be rostered to work during this period. |
| <strong>Mandatory Relief Shift Length (MRSL)</strong> | The time within which a crew must be relieved and have booked off from duty as per the matrix in clause 9. |
| <strong>Master Roster</strong> | Confirmed depot work plan and activity compiled into fortnightly patterns of work (shifts and duties). |
| <strong>Mini Roster</strong> | Individual assignment of fortnightly patterns of work with specific shifts and duties. |
| <strong>Off Duty Day</strong> | A day on which a crew is not normally rostered to commence a shift. It is not a booked off day e.g. not required to work on a public holiday. |
| <strong>Personal Needs Break</strong> | A period of 30 minutes to provide a rest period for train crews as per clause 5.8. |
| <strong>Relief Shifts</strong> | Relief shifts will be provided in rosters to cover annual leave, recertification, training, sickness, special trains and other special arrangements. |
| <strong>Standby Shift</strong> | A Standby shift is one on which the crew has no duties allotted. 8 hours is to be shown on the roster for fortnightly hours (and payment) purposes. |
| <strong>Stand-over Time</strong> | Time spent waiting at an out depot for your return train. |</p>
<table>
<thead>
<tr>
<th><strong>Substitute Shift</strong></th>
<th>A work period that replaces a rostered work period (excluding a standby shift) starting on the same day as the original rostered shift and if worked, takes the place of a rostered shift for guaranteed fortnightly payment purposes.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Train Crew</strong></td>
<td>Staff performing locomotive cab operational functions on main line trains.</td>
</tr>
<tr>
<td><strong>Level A at Risk Shift</strong></td>
<td>Any shift commencing prior to 2300 hours and finishing at or after 0300 hours or any shift commencing at or after 2300 hours and before 0400 hours which is longer than 4 hours.</td>
</tr>
<tr>
<td><strong>Level A (AN) at Risk Shift</strong></td>
<td>Any shift finishing at or after 0300 hours.</td>
</tr>
<tr>
<td><strong>Level A (AE) at Risk Shift</strong></td>
<td>Any shift commencing prior to 0400 hours.</td>
</tr>
<tr>
<td><strong>Level B At Risk Shift</strong></td>
<td>Any shift finishing at or after 0100 hours and before 0300 hours or commencing at or after 0400 hours and before 0600 hours or any shift of less than 4 hours duration which would have otherwise been deemed a Level A at Risk Shift.</td>
</tr>
<tr>
<td><strong>Level B (BN) at Risk Shift</strong></td>
<td>Any shift finishing at or after 0100 hours and before 0300 hours.</td>
</tr>
<tr>
<td><strong>Level B (BE) at Risk Shift</strong></td>
<td>Any shift commencing at or after 0400 hours and before 0600 hours.</td>
</tr>
<tr>
<td><strong>Non at Risk</strong></td>
<td>Any shift commencing at or after 0600 hours and finishing before 0100 hours.</td>
</tr>
</tbody>
</table>
Roster Development

5.0 Preparation and Implementation of Rosters

Train timetables are reviewed on a continual basis to meet the needs of our customers. Also periodic reviews of depot workloads will be carried out to ensure resource levels reflect the operating requirements. These reviews may include work studies of total or specific depot operations. Likewise, changes to work patterns and practices may be ongoing to ensure that we remain a cost competitive and efficient operator.

These changes will normally result in a need to change crew rosters which is a process that happens in consultation with union representatives. The extent of change to the roster will determine which procedure will apply in implementing the changed roster and the length of time available for consultation about the changes. An outline of the roster planning and change process is Appendix A.

5.1 Preparation of Rosters

Preparation of crew rosters are the responsibility of the Linehaul Planning Manager. Linehaul Planning determines the changes required because of train timetable variations and local managers determine the changes required because of variations to shunting services and other terminal operations. The Linehaul Planning Manager will determine the extent of flexibility required in the roster / staff establishment.

Linehaul Planning will prepare revised crew rosters and with the local Linehaul Operations Manager consult with union representatives concerning the changes according to the following procedures.

Five days prior to initial posting of a Level B or Level C roster proposal, the company will provide union representatives with notification of the impending roster content change to allow planning for local union membership discussions.

5.2 Level A Variations

Level A variations include changes to the commencement/finishing times of shifts, and changes to the content of shifts.

Level A variations are restricted to those that can be practically and reasonably incorporated into the existing crew roster without effectively changing the construction (i.e. shift patterns, days of work) of that roster. Level A variations will be discussed informally with union representatives prior to posting.

Proposals for Level A variations will be posted not less than 14 days prior to implementation along with a list of those shifts which are varied from the previously operative rosters.

Where required, changes will be made by consultation on a daily alteration basis where there is a need to introduce the changes within the two week notification period.
5.3 Level B Variations

Level B variations include changes that alter the construction of the existing crew roster, and may involve variation to shift patterns, days of work and the redistribution of shifts within a roster to equalise hours. Not more than 25% of the roster will be varied using this method. The intent of level B roster changes is to preserve as much as possible the existing shape of the roster.

Proposals for Level B variations will be advised to union representatives not less than four weeks prior to the proposed implementation date. A period of not greater than 7 days is available for union representatives to consider the proposal and provide feedback and a further 7 day period for the union and the company to consult on any further changes necessary to the proposal. RMTU roster delegates will be provided a total of 8 hours paid time to undertake this work (note - no more than 2 delegates to be released at any one time).

The final revised roster will be posted not less than 14 days prior to implementation along with a list of those shifts which are varied from the previously operative roster.

Where required, changes will be made by consultation on a daily alteration basis where there is a need to introduce the changes within the two week notification period.

5.4 Level C Variations

Level C variations include changes that:
- alter the staff establishment.
- alter crew couplings or the distribution of work between depots.
- substantially alters the amount of relief and standby coverage in rosters.
- introduce substantial changed work practices at a location and can include level A and B changes.

Proposals for Level C variations will be advised to union representatives not less than six weeks prior to the proposed implementation date.

Where a proposal being presented involves a downsizing of a depot, the written advice to employees and representatives will be proceeded by telephone advice to union representatives at which time the course of action concerning any additional consultation processes required will be decided upon.

The union representative will respond to the company roster proposal within two weeks after receipt with the employee’s views and any counter proposal. Paid time off will be given to RMTU roster delegates to complete and submit a counter proposed roster using the following matrix (note - no more than 2 delegates to be released at any one time);

<table>
<thead>
<tr>
<th>Rostered Links</th>
<th>0 – 30</th>
<th>31 and over</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hours off</td>
<td>8 hours</td>
<td>16 hours</td>
</tr>
</tbody>
</table>

The company will subsequently consult with union representatives to resolve any issues. Where couplings are at issue the procedures detailed for couplings will apply.

The final revised roster will be posted not less than 14 days prior to implementation.
5.5 Crew Resourcing

During the development of the timetable the Company will revise depot establishments and crew couplings, where necessary, using the following criteria:-

- the primary considerations will be safety and economics.
- the social consequences of couplings will also be considered and where the timetable allows couplings within more desirable hours, will be relatively evenly distributed between depots, taking into account other day shift work available at each depot.

5.6 Consideration of Alternative Crew Couplings

Should the employee’s consider crew couplings should be other than those proposed by the Company the union representatives are to provide alternatives together with information supporting their request for a change.

Should a suggested alternative involve considerable restructuring of the timetable, have an affect on customer service or increase Company costs, it will not be proceeded with. Should union representatives for each location disagree on alternatives the Company will determine which couplings will be implemented.

5.7 Couplings Meeting

A meeting of representatives from each depot affected, and, where appropriate a national union representative, will be convened subsequent to the posting of a roster proposal, where there is a requirement to resolve couplings issues.

5.8 Personal Needs Breaks

Personal needs breaks of 30 minutes will be scheduled in the coupling/timetables of shifts in excess of 4 hours but in the course of normal operations will be arranged between the Locomotive Engineer and Train Control, dependent on timekeeping of trains. Where possible this break should be taken midway through the shift. Where suitable facilities exist this may be arranged away from the locomotive.

5.9 Information for Consideration

Proposals submitted to union representatives will contain (as appropriate):

- a copy of the new timetable;
- crew couplings;
- the proposed roster;
- shift analysis sheet detailing shift construction;
- a copy of the notice to staff;
- a summary of the number of positions affected;
- the implementation date of the roster
6.0 Failure to Reach Agreement

Where notice given by the Company pursuant to clauses 5.2, 5.3 and 5.4 has expired and the hours of work do not exceed the normal maximum shift length specified in Clause 9, and the Company considers it has allowed sufficient opportunity for consultation then the roster will be referred to a Committee comprising one Company representative and one representative nominated by the General Secretary of the Union to adjudicate, with the objective to facilitate the successful implementation of the roster.

If the parties still fail to agree the Company will advise the national/local union representatives of this and may proceed in whole or in part with its intentions.

Where the notice arises from a proposal that introduces extended length hours of work as specified in Clause 9 of this manual and agreement cannot be reached, the matter will be referred to the disputes committee provided in the Collective Agreement. If the matter is unable to be resolved by this Committee, the Company may proceed in whole or in part with its intentions.

7.0 Posting of Rosters

When proposed rosters are delivered to union representatives the proposal will also be posted to inform all staff.

The final roster will be posted at least 14 days before implementation commencing on the Sunday of “A week” unless a shorter period is agreed because of delays during the consultation process.

Copies of the Master roster will be made available to employees.

8.0 Holiday Rosters

To allow for a reduced timetable to operate over the Christmas holiday period the master roster may be suspended.

The normal six week consultation period will not apply. Instead rosters will be developed by Linehaul Planning and forwarded to terminals with as much notice as circumstances allow. This will be not less than three weeks before implementation, including one week to enable staff to comment.

The final roster will be posted at least two weeks before implementation and mini-rosters posted 10 days prior to implementation. Notwithstanding the foregoing paragraphs the annual leave provisions of the Collective Agreement will apply.

Rosters will be constructed on the basis of normal rostering practice and will wherever possible conform to the ratios that apply in the master roster.

The normal rotation of roster links will not be affected by the suspension of the roster e.g. Person on Link 17 preceding the holiday roster will be placed on Link 18 when the normal roster recommences. However due regard must be given to appropriate shift patterns.
The following criteria will be employed in determining the order in which employees will be selected to take leave where, because of reduced train requirements it is necessary to fix the time at which annual leave will be taken in accordance with the Collective Agreement:

- Employees with outstanding annual leave who have not made previous arrangements to take this leave
- Employees who have not applied to take leave at any other time in the new leave year.

If these criteria have been applied or are not applicable the employee(s) who would have been rostered on the cancelled services had they been still working on the master roster.

Every effort should be made to share the requirement to take leave so that (a) particular employee(s) do(es) not have to take an extended period of leave whilst others in a similar position are not required to take any.
Hours of Work

9.0 Shift Length

Shifts worked by single person crews or where the crew consists of one qualified Locomotive Engineer only, on locomotive hauled main line services the Locomotive Engineer will be rostered in accordance with the following matrix.

In exceptional circumstances the company may propose a shift length that exceeds the normal maximum up to the extended length limit specified in the following matrix.

In proposing such shifts the company must consider the work content and environmental factors that may impact upon employees performing this shift. These may include but are not limited to the following;
- Number of consecutive extended shifts
- Opportunity for breaks during work
- Variation of work/routes where possible

<table>
<thead>
<tr>
<th>Master/Mini Roster</th>
<th>Shift Commencement Time</th>
<th>Normal Maximum Shift Length</th>
<th>Extended Length (By Agreement)</th>
<th>Footplate Maximum (all)</th>
<th>Mandatory Relief Shift Length</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>00:01 – 03:59 (AE)</td>
<td>10:00</td>
<td>10:30</td>
<td>8:30</td>
<td>11:00</td>
</tr>
<tr>
<td></td>
<td>04:00 – 05:59 (BE)</td>
<td>10:30</td>
<td>11:00</td>
<td>9:00</td>
<td>11:00</td>
</tr>
<tr>
<td></td>
<td>06:00 – 13:59</td>
<td>11:00</td>
<td>N/A</td>
<td>9:30</td>
<td>11:30#</td>
</tr>
<tr>
<td></td>
<td>14:00 – 15:59 (BN)</td>
<td>10:30</td>
<td>11:00</td>
<td>9:00</td>
<td>11:00</td>
</tr>
<tr>
<td></td>
<td>16:00 – 23:59 (AN)</td>
<td>10:00</td>
<td>10:30</td>
<td>8:30</td>
<td>11:00</td>
</tr>
</tbody>
</table>

# - shifts with an 11 hour 30 minute maximum for mandatory shift length are notated on rosters with this symbol.

Shifts worked by crews working under ATM conditions with two qualified Locomotive Engineers in the cab, or operating shunting services, or other depot work may be rostered to a maximum of 11 hours.

In cases of fatigue or ill health an employee may request relief at an earlier time. Such requests will not be unreasonably made, nor relief withheld.

Where an employee has a prior commitment, they may request to be back in their depot by their rostered book-off time. Such requests must be made prior to when they book on and will not be unreasonably made, nor relief unreasonably withheld.

A maximum of two extra work periods may be worked in any pay fortnight.

Staff are required to book on at the rostered time, and book off at the cessation of the shift which will be the actual time of arrival of the service plus the appropriate book off time.

Locomotive Running employees rostered to run mainline trains or shunting services will be booked on at a time in advance of the actual time required to perform the train running or terminal preparation functions. This booking on allowance is provided for the Locomotive
Engineer to check Bulletins and other special instructions and attend to matters of correspondence. The standard booking on allowance shall be 25 minutes but this may be varied by the company in consultation with local union representatives to take account of circumstances specific to a location.

Crews will be booked on in advance of shunting staff when there is a requirement to carry out preparation/start up duties that cannot be ordinarily completed in the time that shunting staff are checking their work orders and equipment.

A standard booking off allowance of 15 minutes will apply for crews of mainline trains to facilitate the checking in of equipment and to enable any correspondence to be completed. Booking off allowance for shunting crews will only be provided if there is a special need.

Statistics on crew utilisation and eleven hour breaches will be provided at each KiwiRail/RMTU Industrial Council (KIC) meeting.

10.0 Shift Rotation

Shift rotation is an ingredient in roster construction.

A minimum of 12 hours off between shifts will occur in;
- Master roster construction,
- Mini roster development, and
- Day of operations shift coverage pre-planning.
- Note - the 12 hours off between shifts relates to rostered time only (it does not include additional working hours due to late running train time etc.)

Research has demonstrated that it is preferable that ‘forward rotation’ be applied to rosters – this is the practice where the shift pattern has starting times that progressively move forward, thus creating an enhanced rest period between shift.

Because of the nature of our operation it will often not be possible for rosters to consist of ‘absolute’ forward rotation. To cater for this the following backward shift rotation parameters have been developed for night shifts when absolute forward rotation cannot be achieved.

Backward shift rotation of no more than 2 hours between consecutive shifts and a maximum of 4 hours over 5 consecutive shifts can occur for shifts starting between 0001 and 0700 hours.

The 12 hours off between shifts limits the extent of backward rotation for other shift patterns.
The following matrix identifies the maximum number of “At Risk” shifts that may be worked consecutively by Locomotive Engineers:

<table>
<thead>
<tr>
<th>Work Period “At Risk” Level</th>
<th>Maximum Number of Work Periods</th>
<th>Mandatory Time Off</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>3</td>
<td>2 nights in bed – start after 0900 hours</td>
</tr>
<tr>
<td>A</td>
<td>4 (Where total rostered hours of the 4 shifts do not exceed 28 hours)</td>
<td>2 nights in bed – start after 0900 hours</td>
</tr>
<tr>
<td>A &amp; B</td>
<td>4</td>
<td>2 nights in bed – start after 0900 hours</td>
</tr>
<tr>
<td>B</td>
<td>5</td>
<td>2 nights in bed – start after 0900 hours</td>
</tr>
</tbody>
</table>

Where there is a block of ‘Level A’ shifts only the priority order for constructing these shifts into rosters as per the first line in the above matrix is:
- Block of 3 ‘Level A’ shifts (results in mandatory time off - 2 nights in bed and start after 0900 hours),
- If this is not possible then a block of 2 ‘Level A’ shifts (mandatory time off - 1 night in bed and cannot start back on a ‘Level A’ at risk shift). If this is not possible this may be varied by mutual agreement between the RMTU roster representative and KiwiRail,
- Last option is a single ‘Level A’ At Risk shift on its own.

Where a shift’s actual finish time is at or after 0200 hours it will be deemed to become a level B at risk shift and where the actual finish time is at or after 0400 hours, it will be deemed to become a level A at risk shift for determining mandatory time off in accordance with the matrix above. In these cases the employee is to advise the Roster Centre to confirm the appropriate mandatory time off where actual hours and consecutive shifts are in accordance with the matrix above.

Where an employee is off duty on sick leave on a designated at risk shift, the shift will still be counted as an at risk shift for determining mandatory time off in accordance with the matrix above.

It is recognised that 2300 hours to 0700 hours is the normal key sleep period. Consideration should be taken of the extent that shifts encroach into this timeframe.

Other consideration when determining appropriate shift patterns are:
- variation e.g. Shunt v mainline, different routes.
- Preferable to intersperse long and short shifts

Master rosters are developed to minimise mandatory time off occurring in day of operations. However in day of operations these situations occur due to:
- late running trains,
- additional work (primarily new jobs) are introduced outside of the master roster, or
- short notice (planned and unplanned) staff absences (annual leave, sickness, bereavement etc).
When a Locomotive Engineer has less than 10 hours off between shifts (CEA clause 23.3.1), or has reached the maximum of Level A at risk shifts as per the matrix in this clause, the following will apply for payment purposes;

<table>
<thead>
<tr>
<th>Item</th>
<th>Payroll Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 10 hours off between shifts</td>
<td>GORP (general observed rest period)</td>
<td>• GORP will be applied to the hours of the next shift which encroach on the minimum 10 hour break</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Should the remaining hours of the next shift be less than 3 hours, the employee will be booked GORP for the whole shift</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Should the remaining hours of the next shift be 3 hours or more the employee will be booked ‘As Required Remaining Hours’ - the expectation is they will report to work for these hours (except where there has been separate agreement not to attend for these hours due to fatigue or impact on sleep patterns due to working extended hours)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• No loss of pay, allowances and benefits</td>
</tr>
<tr>
<td>Reached the maximum number of level A ‘at risk’ shifts (now requires ‘2 nights in bed’)</td>
<td>GMSD (general mandatory stand down)</td>
<td>• GMSD will be applied to the 1 or 2 subsequent shifts (and hours) that a locomotive engineer cannot attend work</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• No loss of pay, allowances and benefits</td>
</tr>
</tbody>
</table>
Day of Operations

11.0 Extra Work Periods

11.1 Opt In/Opt Out System

Between the publishing of Mini Rosters and the commencement of the rostered fortnight Locomotive Engineers should select one of the following options to indicate their availability to work an Extra Work Period on their Rostered Day Off (RDO).

<table>
<thead>
<tr>
<th>Indication Options</th>
<th>Indicated on Roster</th>
</tr>
</thead>
<tbody>
<tr>
<td>Available</td>
<td>OFF DUTY ***</td>
</tr>
<tr>
<td>Not Available – Off By Request</td>
<td>OFF BY REQUEST</td>
</tr>
<tr>
<td>No Indication</td>
<td>OFF DUTY</td>
</tr>
</tbody>
</table>

To provide this indication on the above options Locomotive Engineers must contact the Roster Centre prior to the commencement of the respective fortnight. Should a selected option status change throughout the fortnight the Locomotive Engineer should contact the Roster Centre as soon as possible to advise of this change.

11.2 Assignment of Extra Work Periods

In determining the assignment of Extra Work Periods in each rostered fortnight period the following process will be used – determined by the fortnight number on the master roster;
- ‘A’ week will start at the bottom and work up for each separate roster, and
- ‘B’ week will start at the top and work down for each separate roster.

The ROM hours of work rules and contractual requirements in the CEA will apply and be adhered to in assigning Extra Work Periods e.g. not to encroach into the 12 hours after and before rostered shifts.

11.3 Communication Process for Mini Roster Changes

When seeking a variation of hours of duty on the Mini Roster the employee affected shall be verbally consulted in accordance with the short notice change provisions of the Collective Agreement.

A summary of Mini Roster variations will also be listed on the daily alteration sheet which shall be posted at each depot/terminal by no later than 1200 hours the previous day.

Notwithstanding the provisions of the previous paragraph the daily alteration sheet for Monday shall be posted by 1200 hours on the previous Friday.

Should public holidays interrupt the normal sequence of work periods on a roster, staff shall be consulted and variations posted by 1200 hours on the day before the holiday period begins.

If an employee completes his/her shift before the 1200 hours daily alteration sheet has been posted or his/her next rostered work period is interrupted by Off Duty days or other authorised...
absence, the employee may confirm his/her next work period hours by contacting the Roster Centre at the end of their shift.

Where an employee’s hours of duty have been varied in accordance with the previous paragraph any subsequent variation will also be subject to the short notice change provisions of the Collective Agreement.

The alteration sheet will be updated at specified times and a “final” sheet forwarded after midnight of the day concerned for timesheet checking.

12.0 Job Cancelled

Where a job is cancelled prior to the Mini Rosters (fortnightly rosters) being posted the employee will be assigned standby hours or a substitute shift with similar hours of work pattern to the original shift.

Where a job is cancelled after the fortnightly roster is posted, the employee will be booked “As Required Same Hours” on the daily alteration sheet (note the exception for job cancelled with greater than 72 hours’ notice on a public holiday in clause 13 below). Prior to the commencement of the “As Required Same Hours” shift, the employee may be requested to work a substitute shift in accordance with clause 23.7.1 of the Collective Agreement with actual shift commencement times complying with the shift rotation parameters of clause 10. If no substitute shift is available, the employee will report to work for the hours of the original shift to undertake depot duties, cover late trains etc.

When a job is cancelled on a day when an employee is working an “Off Duty” day - they will revert to Off Duty unless the shift is cancelled on the actual day of the shift in which case they will revert to “As Required Same Hours” unless the employee elects to be booked Off Duty.

13.0 Public Holidays

When an employee wishes to opt out of working on a public holiday they will give KiwiRail 14 days’ advance notice prior to the commencement of the fortnight that the public holiday will occur in.

Where a rostered shift is cancelled due to a public holiday and a portion of the shift falls outside the actual public holiday, KiwiRail will pay the employee for the full cancelled shift. Where there are two shifts cancelled for one public holiday then the hours for the largest shift will be paid for the public holiday while the smaller shift hours will be treated as part of the 80 hour guaranteed fortnight payment.

Where a job is cancelled after the fortnightly roster is posted and it is more than 72 hours prior to the commencement of the public holiday shift, the employee will be booked off work and paid the hours of the shift as a public holiday as per clause 25.3 of the Collective Agreement. If the job cancellation is within 72 hours of the public holiday shift commencing, the ARSH (As Required Same Hours) provisions in clause 12 above will apply unless the employee elects to be booked off work and paid the hours of the shift as a public holiday as per clause 25.3 of the Collective Agreement.
14.0 Standby and Relief Shifts

Standby shifts to cover 'Level A' at risk shifts will only be at the start or end of a sequence of at risk shifts.

Standby shifts are placed in master rosters to facilitate relief and to minimise the need for employees to work Extra Work Periods.

Crews rostered Relief or Work Train who do not have other work allocated by 1200 hours the previous day (1200 Saturday in the case of Monday) will be rostered Standby having regard for shift patterns and the short notice change provisions of the Collective Agreement.

Standby crew will be allocated a Contact period and a Utilisation period which will be shown on the Master Roster or alteration sheet.

14.1 Relief Shift

Staff assigned to Relief links will be utilised for any work in the roster for which they hold the necessary qualifications.

When assigning employees to a Relief link due regard will be given to appropriate shift rotation and wherever possible avoid the necessity for staff to work repeat links of the at risk shift patterns. However where no reasonable or economic alternative is available staff are required to work the shifts rostered.

Where staff assigned to a Relief link are used to relieve a full fortnight of a working link the Off Duty days shown in the working link will apply.

Where staff assigned to a Relief link are used to relieve less than a full fortnight link, a full link will be prepared by the Crew Roster Centre and will consist of the working shifts to be relieved supplemented by Standby shifts. The Off Duty days will be those shown on the Master Roster for the Relief link unless otherwise agreed between the employee and the Roster Co-ordinator.

The Off Duty days, once determined, may not be altered subsequent to the posting of the Mini Roster.

In each case the links will be confined to at or about 80 hours for the fortnight on up to 10 shifts (within 76 to 83 hours is considered acceptable). Where there are less than 10 shifts an additional Off Duty day will be shown on the Mini Roster.

Where staff are approaching a Relief link and desire that consideration be given to determining certain days in the link as Off Duty, to enable them to plan for specific events, they are to make application with the Roster Co-ordinator at least 3 weeks in advance of the Relief link.

The Roster Co-ordinator will record the consideration request and must take this into account when allocating Relief links.
If there is no work available for staff assigned to a full or part Relief link the shifts will be deemed Standby shifts and will be worked within the provisions for these shifts as per Clause 14.

14.2 Contact Time

Employees rostered Standby are required to be contactable for 8 hours. The Contact period will be specified on the Master Roster or alteration sheet and will take into account appropriate shift rotation.

Standby staff are Not Off Duty and must be able to report for work during the Contact period. In normal circumstances that is expected to be 20 minutes plus travelling time during the day and 30 minutes plus travelling time at night.

Although the employee is obliged and required to be able to be contacted:
- there is no objection to the person leaving his/her home for short absences provided the Crew Roster Centre are advised, an alternative contact telephone number is supplied and the location visited will not unreasonably prolong the ability to report for work without delay,
- alternatively, an agreed period of absence may be reached with the Crew Roster Centre,
- if an arrangement is made to be away from telephone contact whilst engaged in activities at home and the person concerned is subsequently required for duty the company may use other means to establish contact.

Employees rostered Standby who cannot be contacted and who do not subsequently provide a satisfactory explanation will be booked Absent Without Leave and the fortnightly wage payment will be reduced by eight hours.

If the contact period of an employee on Standby has expired and the employee is then approached to work a shift the hours of work provisions of the Collective Agreement will apply and any subsequent shift worked will be deemed to be an Extra Work Period.

14.3 Utilisation Time

Standby shifts will have a Utilisation period of 12 hours which shall commence at the same time as the Contact period. The Utilisation period will be specified on the Master Roster or alteration sheet.

Shifts assigned to Standby staff “on the day” must have rostered hours that fall completely within the Utilisation period unless otherwise agreed.

Shifts assigned to Standby staff prior to the day of operation may fall outside the Utilisation period provided due regard is given to appropriate shift rotation. The short notice change provisions of the Collective Agreement will apply.

Where a Standby shift Utilisation time spans two days and the second day is designated ‘Off Duty’, the shift may fall any time within the Utilisation period.
14.4 Allocation of Standby Work

Jobs will first be allocated to Standby shifts that were previously Relief, Work Train subject to the compatibility of the Utilisation time. Where there is more than one qualifying Standby shift, jobs will be allocated progressively determined by the fortnight number on the Master Roster, starting at the top and working down for each separate roster for ‘A’ week and starting at the bottom and working up for each separate roster for ‘B’ week.

Jobs will then be allocated to the Standby shifts that are shown on the Master Roster. Where there is more than one qualifying Standby shift to fill a vacancy the job will be allocated progressively determined by the fortnight number on the master roster, starting at the top and working down for each separate roster for ‘A’ week and starting at the bottom and working up for each separate roster for ‘B’ week.

Where Standby hours are allocated to staff who were previously rostered for particularly short shifts the hours of work provisions of the Collective Agreement will apply.

Where the actual finishing time of a shift preceding a Standby shift encroaches upon the ten hour minimum rest period, the Standby shift Contact and Utilisation times shown on the Master Roster or alteration sheet will not be varied. Rostering staff must not however call upon the employee until the ten hour minimum rest period has elapsed (the GORP provisions in clause 10 apply).

14.5 Payment for Standby Shifts

8 hours is to be shown on the roster for fortnightly hours and payment purposes, employees who are allocated work from a Standby shift will be paid a minimum of 8 hours or the actual time worked if the shift exceeds 8 hours.
Leave Management

15.0 Annual Leave

The Linehaul Operations Manager will prepare, manage and provide an LE Terminal Leave Plan. The Leave Plan will show the availability of LE leave periods within that Terminal. Other requirements such as seasonal trains and operational requirements need to be taken into consideration when these will affect the availability of leave - this will be endorsed on the Leave Plan.

Staff should plan leave applications taking into account the information recorded on the Terminal Leave Plan. However, should there be a genuine desire to take leave in a “full” period applications can be made however these applications will be subject to the Company being able to provide additional relief.

15.1 Application Procedures

Locomotive Engineers apply for planned leave using the “Staff Leave Notification” form. Once fully completed each form is to be presented to the Linehaul Operations Manager for consideration. The Linehaul Operations Manager will normally action the application within 48 hours, after which the individual concerned will be advised whether the leave has been approved, not approved, or held for later decision. The Linehaul Operations Manager may consult with the Roster Co-ordinator in making a decision on the application.

Staff are encouraged, or rostered, to take annual leave in periods of not less than 2 weeks at a time coinciding with pay fortnights. It is recognised that this may not always be practical and that “off weeks” and shifts off during the week may be requested and granted.

When staff apply for a NZR Staff Welfare Trust house they should also submit a proforma application for annual leave subject to being allocated a house. Staff must ensure the leave programme can cater for the period sought before applying for the Welfare Trust house.

A stand down system will operate for terminals where too many applications are received for “popular” leave periods. These can vary from terminal to terminal. Outside the popular periods preference will be based on the date the application is received.

15.2 Approval of Annual Leave

Annual leave will be approved if staff are available to cover the applicants absence provided that this can be arranged at no additional cost to the company.
Other Matters

16.0 Roster Classification

Rosters will be classified reflecting the highest qualification needed to carry out the duties assigned.

In some locations separate rosters may be provided for specialist functions such as driving passenger services only, a combination of passenger and freight services or freight services only. In these cases they will be classified as A1 and A2 rosters.

Crews will be required to be available for all work for which they hold qualifications/certifications. For instance a locomotive engineer on a Railcar or Passenger Roster must also be available for work on other rosters at the depot.

16.1 “A” Roster Crews

Advancement from an A2 roster to an A1 roster will be determined using the ‘senior most suitable’ criteria. Seniority is determined by the date employees attain their first grade qualification.

16.2 ATM Crews

Crews on ATM trains (where there are two locomotive Engineers) are to share driving duties. It is expected that one Locomotive Engineer will assume the “book on” functions and drive the outward portion of the journey with the second Locomotive Engineer assuming the “book off” functions driving the homeward portion.

Where a casual Locomotive Engineer is rostered as a member of a train crew on an ATM train and the other employee rostered is a full time employee who is a qualified Locomotive Engineer and certified to operate the class of trains being run, then the casual Locomotive Engineer will work under the direction of the full time employee.

17.0 Training/Recertification

Each employee undertakes theory recertification at two yearly intervals. The local Linehaul Operations Manager is responsible for managing the theory recertification process and will arrange for employees to be rostered into this activity.

No less than two weeks’ notice is to be given for theory tests. Where re-certification requires a variation to hours of duty this will be done by consultation with the employee.
Appendix A – Roster Development Process

Roster Planning – Normal Operation (Level C Variation example)