



Guidelines

for Capacity Needs Announcements (CNA)
version 1.0

Disclaimer: The English language version of this document shall be controlling in all respects and shall prevail in case of any inconsistencies with translated versions.

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1.0	Fabian Hunkeler	23.11.2021	Document approved by the FTE PA.

1. Introduction to the document

The purpose of these Guidelines is to support the Railway Undertakings (hereafter RUs) gathered in FTE in the implementation of the TTR element: Capacity Needs Announcements (hereafter CNAs). The Guidelines provide a TTR-compliant process, which should help RUs to harmonise CNAs and to understand CNAs purposes, including the follow-up IM-RU consultations. The Guidelines should be published following the debate in the FTE Plenary Assembly and make publicly accessible also for non-FTE RUs and other applicants. The annexes can be updated by the FTE office following the consent of the respective working group.

2. Executive summary

Why is it important to submit CNAs?

CNAs are a very important instrument within the TTR process that gives all applicants a great chance to participate in the design of the future capacity. It is very important to actively take part since it allows applicants to influence that:

- Capacity products prepared by IMs reflect the real market needs,
- Capacity usage is balanced between freight services, passenger services, and capacity restrictions,
- TCRs and accompanying traffic solutions are acceptable for the market.

What is a CNA?

A CNA is early information to IMs about the future planned traffic. To make the best possible usage of capacity, applicants should provide as many details as reliably possible, using the standardised format. CNAs for passenger market are likely to be very detailed, while in the freight market most applicants would probably submit their needs in a general way (e.g. number of paths from origin to destination per week). Most of the fields are optional and supporting both general and detailed submissions.

Simplified overview of the process:

X-36 to X-24	RUs, non-RU applicants and final customers communicate together and decide who submits the CNA for each traffic. The CNAs are internationally harmonised between involved partners. Any entity with an interest in capacity may submit CNAs.
X-24	Deadline for CNA submission
X-24 to X-18	Applicants are available for IMs in case clarifications are needed. Afterwards, applicants are consulted on the Capacity Models, including the variants of traffic solutions for Major and High impact TCRs. Applicants can cross-check if their needs are reflected.
X-18 to X-11	IMs that pre-plan their network use the information from CNAs and the following consultations to construct the capacity products.
X-11	Capacity Supply is published, all pre-planned products and Major, High and Medium impact TCRs are available in a 365-days overview. TTR advance planning ends.

3. Reference documents and IT systems

The Guidelines are based on the:

- Description of the 'Timetabling and Capacity Redesign Process (TTR)' ([v2.0](#))
- RNE Procedures for Temporary Capacity Restriction Management ([v1.0](#))
- RNE Procedures for Capacity Model ([v1.0](#))

RailNetEurope provides the European Capacity Management Tool ([ECMT](#)), which shall be used for the management of Capacity Needs Announcements. The respective FTE WG should supply to IMs the basic functional requirements and advise the ECMT Change Control Board in the process of the further development.

4. About CNAs

This chapter introduces the reader to the CNAs in general, explains why it is important to participate in the process, what CNAs are and who is in charge of their management.

4.1. Importance and benefits of CNAs

One of the crucial parts of TTR is the European-wide introduction of advance planning, which takes place before the first capacity requests are placed. This allows that potential capacity conflicts and congestions are detected already at an early stage, giving more time to mitigate the situation with suitable measures. Applicants will be guided through and consulted by the IMs in the iterative process.

CNAs are a very important instrument within TTR, it gives all applicants a great chance to participate in the design of the future capacity. It is very important that applicants actively take part to utilise this benefit. A proper submission of CNAs allows applicants to influence that:

- Capacity products prepared by IMs reflect the real market needs,
- Capacity usage is balanced between freight services, passenger services, and capacity restrictions,
- TCRs and accompanying traffic solutions are acceptable for the market.

4.2. How a CNA looks like?

A CNA is early information to IMs about the future planned traffic. The CNA contains standardised data fields regarding desired timetable, stopping pattern, frequency and train parameters. To make the best possible usage of capacity, applicants should provide as many details as reliably possible. CNAs for passenger market are likely to be very detailed, while in the freight market most applicants would probably submit their needs in a general way (e.g. number of paths from origin to destination per week). Most of the fields are optional and supporting both general and detailed submissions.

4.3. Who can submit a CNA?

A CNA can be submitted by any entity with interest in capacity usage (RU, ministry of transport, region, freight forwarder, industry), that is an important difference to a path request. Entities do not require a valid railway licence, nor to be based in the country of network for which they wish to submit CNAs. The entity which creates the initial CNA (leading applicant) can nominate for any geographical area (section between any infra points) an applicant from another company. The responsible applicant takes over the responsibility for the section to complete the CNA and also becomes the partner for the IMs for further consultations (Capacity Model/Supply, TCRs). The nomination is not limited to the period before the CNA submission, thus a non-RU applicant can submit the CNA from origin to destination and any time later nominate an RU for further dialogues with IMs.

5. CNA Process

This chapter explains the process for CNAs and further IM-applicant consultations that follow in the TTR advance planning and utilise the data from CNAs.

5.1. Pre-CNA phase (X-36 to X-24)

<p>X-36 to X-26</p>	<p style="text-align: center;">Pre-preparatory works</p> <p>In general, applicants should start conducting the market research and evaluating their own business plans.¹</p> <p><u>Demand-driven traffic:</u> RUs contact the final customer for instance the competent authorities for PSO (passenger) and freight forwarders/industries (freight). They should agree with them who will submit the CNA for the particular traffic, whether the entity will do it itself or ask the RU.</p> <p><u>Supply-driven traffic:</u> RUs examine potential partnerships with other applicants and agree with them who will be the leading applicant and thus open the initial CNA. If the partners are unknown at this stage, the leading applicant will create the CNA on its own and do the nomination at the later stage.</p>
<p>X-26</p>	<p>Latest deadline for leading applicants to open the initial CNA (or carry forward the CNA from previous timetable periods) and nominate the applicants responsible for each geographical area.</p>
<p>X-26</p>	<p>Latest deadline for IMs to provide information about Major/High impact TCRs if they wish that the CNA consider these particular TCRs. The CNA process is triggered by IMs.</p>

¹ Especially in the first TT-periods, Applicants might approach IMs for historical data about their traffic.

<p>X-26 to X-24.75</p>	<p style="text-align: center;">CNA harmonisation</p> <p>Responsible applicants fill in the CNA data with as detailed and reliable information as possible at that time.²</p>
<p>X-24.75 to X-24</p>	<p style="text-align: center;">Consistency check</p> <p>Leading applicants perform a consistency check of the CNAs they are in charge and fix with responsible applicants any inconsistency. Afterwards, they submit the CNA to IMs.</p>
<p>X-24</p>	<p style="text-align: center;">Deadline to submit CNAs to IMs</p> <p>IMs are obliged to keep all submitted CNAs and any connected communication as strictly confidential. The confidentiality provision does not apply for the other responsible applicants nominated for the same CNA by the leading applicant. Depending on the line and processing status of the Capacity Model, new CNAs and significant CNA updates submitted after X-24 might be not fully considered by IMs. Nevertheless, it is still better to submit a CNA after the deadline than not at all.</p>

5.2. Capacity Model phase (X-24 to X-18)

The information in CNA are used by IMs as one of the important sources to design the future Capacity Models and identify the traffic solutions during TCR periods.

<p>X-24 to X-21</p>	<p style="text-align: center;">Creation of draft Capacity Models</p> <p>IMs work on Capacity Models and applicants should be available for IMs in case of clarifications about their CNAs are needed. At X-21, IMs publish the draft Capacity Models and the variants of traffic solutions³ for Major and High impact TCRs. Access is provided to applicants.</p>
<p>X-21 to X-18</p>	<p style="text-align: center;">Capacity Model consultation</p> <p>Applicants are consulted, they can cross-check if their needs are reflected in the Capacity Models and also express their opinion on the traffic solutions for Major and High impact TCR periods. IMs should remove inconsistencies and try to find solutions with applicants on how to solve the conflicting capacity needs.⁴ The final Capacity Models are published at X-18.</p>

² The leading applicants might on case by case basis agree with their partners on different deadlines, the harmonisation of CNA can start earlier and also the consistency check time reduced.

³ By a traffic solution is understood a plan which traffic volumes are to be affected by TCRs and how.

⁴ The IMs should set up joint procedures for cases when an agreement with the involved stakeholders cannot be reached even after iterative consultation, this might consist of the congestion declaration and or the application of allocation principles to priorities certain traffic volumes.

5.3. Capacity Supply phase (X-18 to X-11)

While in the Capacity Model phase, the discussion was more general and about the traffic volumes, starting with the Capacity Supply phase, IMs utilise more detailed information from CNAs.

<p>X-18 to X-11</p>	<p style="text-align: center;">Construction of Capacity Supply</p> <p><u>Pre-planned infrastructure</u>: IMs use the detailed information from CNAs and the following iterative consultations to construct the capacity products (pre-planned paths, capacity bandwidths). These products shall take into consideration the Major/High/Medium impact TCRs and TCR windows.</p> <p><u>Not pre-planned infrastructure</u>: IMs consult applicants on Major/High impact TCRs and Medium impact TCRs (to the extent they are known) using the updated Capacity Model and the variants of traffic solutions (IMs’ deadline X-13.5). Leading applicants wishing to know path details can request a feasibility study.</p>
<p>X-11</p>	<p style="text-align: center;">Capacity Supply publication</p> <p>Capacity Supply is published, all pre-planned products and Major, High, and Medium impact TCRs are available in a 365-days overview. TTR advance planning ends.</p>

6. Annex A: CNA dates for the first TTR timetable periods

Annex A should help FTE members to transfer the relative deadlines⁵ in chapter 5 to the real months and years. The exact days should be agreed for each timetable period between IMs and RUs in the respective group and published in RNE and FTE calendars.

TT2025

Timeline	Timeline	Milestone/Action
X-26	September 2022	Deadline for IMs to trigger and leading applicants to open the initial CNAs
X-24.75	November 2022	Deadline for responsible applicants to fill in CNA data
X-24	December 2022	Deadline to submit the Capacity Needs Announcements
X-21	March 2023	Deadline for IMs to publish draft Capacity Models
X-18	June 2023	Deadline for IMs to publish final Capacity Models
X-11	January 2024	Deadline for IMs to publish final Capacity Supply

TT2026

Timeline	Timeline	Milestone/Action
X-26	September 2023	Deadline for IMs to trigger leading applicants to open the initial CNAs
X-24.75	November 2023	Deadline for responsible applicants to fill in CNA data
X-24	December 2023	Deadline to submit the Capacity Needs Announcements
X-21	March 2024	Deadline for IMs to publish draft Capacity Models
X-18	June 2024	Deadline for IMs to publish final Capacity Models
X-11	January 2025	Deadline for IMs to publish final Capacity Supply

Disclaimer: The implementation of the CNA process is envisaged for TT2025, nevertheless, the scope of the implementation in the first TT-periods in more countries might be limited (for instance to lines with international relevance or lines with high saturation). For exact details, please consult the [One Stop Shop](#) or the [Network Statement \(4.9.3.1\)](#).

⁵ X - #, a deadline referring to the Annual Timetable change (X) and the number of months (#) in advance of this deadline.

7. Annex B: Frequently asked questions (FAQ)

The following questions were received by more stakeholders:

How to prevent double CNAs for the same traffic?

In general, IMs are responsible for identifying a duplicating CNA (only IMs have access to all CNAs), nevertheless, applicants should support them in this as much as possible. Two counter-measures were integrated into the process. Firstly, the applicants check with the final customers if they do not wish to submit the CNA themselves or if they had not asked other RU to do so. Secondly, in the CNA data structure is an open field “Type of contract/Comment”, which should be used by applicants to indicate for what service they are going to compete. Moreover, IMs have for each CNA a contact point at the applicant, which can be used for clarifications.

What is the synergy between CNAs and announcements to RBs about new open-access passenger traffic?

In some countries, the passenger RUs wishing to launch new open-access services are obliged to announce to regulatory bodies their intention by X-18 (to give RBs time to potentially perform the economic equilibrium test). Currently, there is no synergy between CNAs and this announcement, however, the long-term goal would be assessing the utilisation of CNAs also for this purpose. Please note that the information to RBs is not identical to CNA, for instance, the passenger capacity of rolling stock and operation plans for at least next three timetable periods are not requested via the CNA process.

Is there any minimum data input for a CNA?

No, only the CNA dossier name, origin and destination are mandatory fields. However, IMs are unable to prepare Capacity Models and Supplies reflecting market needs if sufficient reliable information is not provided by applicants. Therefore, it is recommended to enter more detailed information for instance data to identify the route (enter primary location codes PLC), especially, in the passenger business.

Do applicants have to provide CNAs if they have no details or information about the transport?

There is no legal obligation to submit CNAs, however, there can be benefits for applicants if they submit them (see 4.1). The data fields in the CNA data structure are almost all optional, giving a lot of freedom to fill in what is more reliable. If the applicant does not know any details about the transport, it is worthwhile to ask if someone else does – in some cases, the final customer can be advised to provide the information or take over the responsibility for the CNA. And finally, if not CNA is submitted, it does not exclude the applicant from the next IMs-applicants rounds of consultation.

Are applicants consulted in the advance planning?

Yes, several times from X-24 to X-11. First is the potential bilateral clarification with IMs on CNAs between X-24 and X-21. X-21 to X-18 is the consultation on the draft capacity model, which might be depending on the line accompanied by additional consultations for TCR periods and the CNA-conflict process. The period after X-18 consists of iterative consultation rounds on the capacity supply and TCRs, on lines that

are not pre-planned, applicants can also request additional consultation via the feasibility study process.

Is there a difference between national and international CNA process?

No. One of the key pillars of TTR is to align national procedures and move towards the single European railway area in the capacity management. The state of the art is that an applicant has no barrier and new processes to learn when wishes to access capacity in a new network. Therefore, there shall not be differences for CNAs for train planning limited to a single network and for multi-network planning. Contrary to a path request, where the requesting applicant has to be authorised to place a request, in the CNA process, this limitation does not exist, thus an RU does not have to be in a position of a licence in the country where places a CNA. It is also worthwhile to stress out that there are no “national CNAs for international traffic”, the CNA management is always done for the complete journey, the applicants have to harmonise the CNA from the real origin to the real destination, while IMs shall follow the same approach and not limit their view (and Capacity Model/Supply harmonisation) only until the handover points.

Can a leading applicant change the partner applicant (responsible applicant for a certain geographical area)?

Yes. The partner applicant can be changed or appointed after X-24 as well. The leading applicant can also decide that will go over the whole advance planning on its own for all geographical areas, also for those where is not in possession of the licence. The nomination of the partner can also be done in the path request phase or in the case of non-RU applicants, even after the allocation.

Does the CNA submission guarantee capacity allocation?

No, CNA process does not lead to pre-allocation. Via the CNA process, the applicants can influence the design the future capacity products in order that they suit their business needs. Also, the capacity conflicts can be detected in the earlier time. Nevertheless, it can also happen that the capacity designed by a particular applicant is at the end requested by and allocated to another applicant.