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Chairman
Delay Attribution Board
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NOTICE OF APPROVAL OF AMENDMENTS TO THE APRIL 2016 DELAY ATTRIBUTION GUIDE

1. This notice is given under Condition B2.7.2 of the Network Code. Terms defined in the Network Code have the same meaning in this notice. References in this notice to Conditions are references to Conditions of the Network Code.
2. On 8 July 2016 the Delay Attribution Board (DAB) submitted Proposals for Amendment to the Office of Rail and Road (ORR) in accordance with Condition B2.7.1.
3. The Secretary to the DAB has confirmed the reasons for the proposed amendments and these have been accepted by the DAB following the consultation process, as required by Condition B2.7.1.
4. For the purpose of Condition B2.7.2. ORR now gives notice to the DAB that it approves the Proposals for Amendment, as set out in a schedule to this notice. The amendments will take effect on 18 September 2016.
5. A schedule of the approved Amendments to the Delay Attribution Guide is attached to this notice.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Gerry Leighton'.

GERRY LEIGHTON
Duly authorised by the Office of Rail and Road



Schedule of approved amendments to the April 2016 Delay Attribution Guide

Amendments sought

DAB/P271 – Autumn 1

Amendments to Section 4.3

1) Amend first sentence of 4.3.1.4.1 to read:-

Network Rail will agree with Train Operator(s) a list of locations where adhesion problems are common.

2) Add additional bullet to 4.3.1.4.1:-

- List of sites where vegetation is non-compliant and vegetation plan delivery status

3) Amend first sentence of 4.3.1.4.2 to read:-

Network Rail will also agree with Train Operators, in relation to the list above, the number of 'Minutes Delay' in a given delay section which shall normally be agreed as the maximum 'reasonable time-loss' for inclusion in the "Neutral Zone" incidents as described above. **This agreement will be made between Lead Route and Operators which may include any bespoke agreements with non-lead Routes.**

4) Amend last sentence of Note (N.B) under 4.3.1.4.4 to read:-

Network Rail and Train Operators should consider the mechanisms required to make such real-time agreement the subject of a permanent amendment, if desired

5) Replace 4.3.1.5 with:

The "Neutral Zone" is intended as a pragmatic approach to managing the increased level of delays experienced during the autumn period and is based upon 'most likely' cause principles.

6) Amend circumstances and re-lettering within 4.3.1.7.1 as follows

| | | | |
|----|---|----|---------------------|
| b. | Vegetation within network boundaries is not in accordance with prevailing Network Rail standards, including where signals or track side signs are obscured by vegetation and where trains strike branches - not due to the weather. | JP | Network Rail (IQ**) |
|----|---|----|---------------------|



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| | | | |
|---|--|----|---------------------|
| d | Contamination is present but agreed vegetation measures are completed | QH | Network Rail (QQ**) |
| e | Contamination is present and agreed vegetation measures are not completed | JP | Network Rail (IQ**) |
| f | Railhead examination not carried out in line with Rule Book requirements after ERHC and/or LRA railhead report (as per chart 4.3.1.6.1) | QI | Network Rail (QQ**) |
| g | Cautioning of trains when contamination is suspected or confirmed | QI | Network Rail (QQ**) |
| h | Special working implemented for leaf fall track circuit operation | QJ | Network Rail (QQ**) |

(Circumstances not shown remain unaltered)

7) Amend 4th bullet under 4.3.1.7.5 to read:-

- Delays due to failure to complete the railhead treatment programme, **for whatever reason**, should be attributed in accordance with DAG 4.3.2 (see also DAG 4.3.1.7.4).

8) Delete 5th bullet under 4.3.1.7.5 'It is acknowledged that...'

9) Add the following example attribution in 4.3.1.8 under and to support Example 4

Example Attribution to train 2A00

3' coded TT allocated to TIN A

4' coded TT allocated to TIN B

4' coded TT allocated to TIN C

5' coded TT allocated to TIN D

12' coded IB allocated to TIN E

Train 2A00 then causes a 4' reactionary delay to train 2B00.

The 4' reactionary delay to 2B00 is attributed as reactionary to TIN D as the greater of the TT impacts



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10) Amendments to 4.3.2.3 as follows:-

Amend Incident attribution to for situation 'h' to read 'Network Rail (OQ**)'

Add situations j and k as below:

| | | | |
|----|--|----|---------------------|
| j. | Failure of a RHC train | OM | Network Rail (OQ**) |
| K | Delays caused by the non-treatment of the rail head as a result of circumstances i and j above | OE | Network Rail (OQ**) |

DAB/P272 Autumn 2

Amendments to Section 4.3

1) Remove 'and 4.3.1.6.2' from 4.3.1.6 to read:-

The notes below relate to the annotated reference points in flow-charts 4.3.1.6.1

2) Amend Note 1 under 4.3.1.6 as follows:

Note 1 The jointly agreed Neutral Zone list can be updated on the day in question and thus a poorly performing section can be agreed to be included real time (i.e sections that are not included on a pre-agreed list can be subsequently agreed to be 'switched on' (or off) on the day due to prevailing conditions.

3) Amend Note 4 under 4.3.1.6 as follows:

Note 4 For a Driver's report of ERHC/LRA to be considered valid, the following criteria must be adhered to:

1. Was the report received in line with current Rule Book instructions?
2. Was the report sufficiently specific to allow for appropriate site investigation and corrective action to be taken?

If a site is correctly reported and subsequent Drivers are being advised of the reported conditions pending examination, no requirement to report poor conditions is incumbent upon those subsequent Drivers. Attribution of delays so caused will be determined by the findings of the investigation.

4) Remove current Note 5 under 4.3.1.6

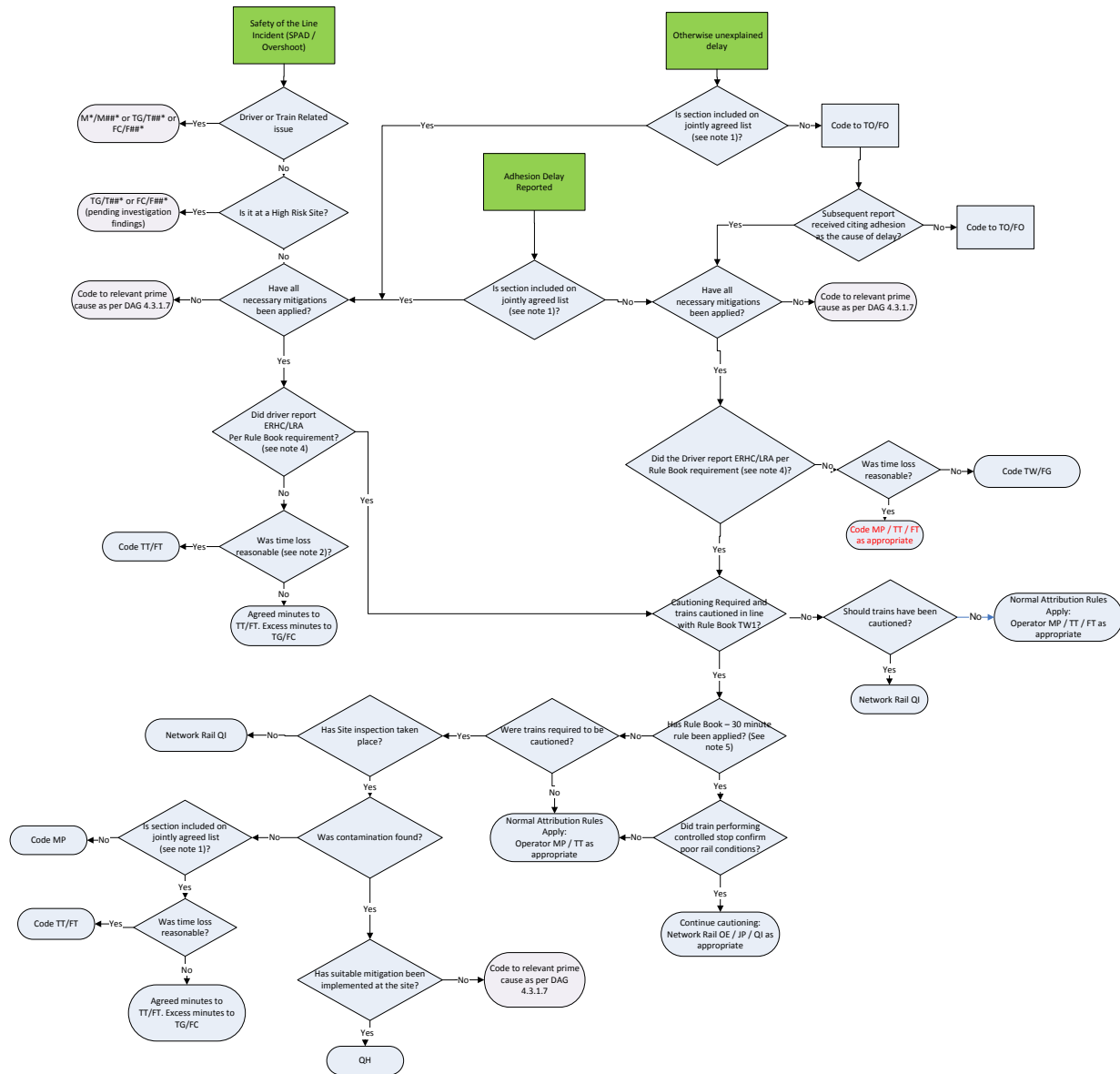
5) Add new Note 5 under 4.3.1.6:-

Note 5 If the relevant Rule Book module is applied, even if the driver did not need to report the adhesion, then the process is applied as stated



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6) Remove current flow diagrams 4.3.1.6.1 and 4.3.1.6.2 and replace with that appended to this Proposal for Change as a new 4.3.1.6.1



DAB/P273 Section 5 Changes – FOC

Amend the listed Delay Code Descriptions and Abbreviations to those as shown below:-

(Codes omitted and Blanks shown below remain unaltered)



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| | | |
|----|---|------------|
| AA | | WTG ACCEPT |
| AG | Wagon load incident including adjusting loads or open door | |
| AH | | YARD EQUIP |
| AK | Safety incidents and mishaps (e.g. derailments, fire or chemical spill) in off network freight yard or terminal (including private sidings where it affects FOC services) | YARDSAFETY |
| AX | Failure of off network infrastructure (FOC or private) | OFFNET INF |
| AZ | Other Freight Operating Company cause, to be specified, in off network terminals or yards | YARD OTHER |
| FA | | DANG GOODS |
| FC | | FOC DRIVER |
| FE | | NO T-CREW |
| FG | | PRO DRIVER |
| FH | Planning issues including loco diagrams or RT3973 restriction not requested | PLAN ISSUE |
| FJ | | HOLD REQST |
| FL | Train cancelled at FOC request or planned not to run | |
| FM | | LAMP ISSUE |
| FP | | FOC ROUTE |
| FS | | ETCS O-RDE |
| FX | Freight train running at lower class or speed than planned classification or overweight | TRAIN SPEC |

DAB/P274 Section 5 Changes – NR

Amend the listed Delay Code Descriptions and Abbreviations to those as shown below:-

(Codes omitted and Blanks shown below remain unaltered)

| | | |
|----|---|------------|
| IF | | PANEL FLR |
| II | | SIG CABLE |
| IK | | TELECOMS |
| IM | | BALISE FLR |
| IP | | POINT HEAT |
| IQ | Trackside sign blown down, missing, defective, misplaced | |
| IS | Track defects (other than rail defects) inc. fish plates, | TRACK FLT |



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| | | |
|----|--|------------|
| | wet beds etc. | |
| IT | | TRACK NFF |
| IV | Earthslip/subsidence/breached sea defences (not the result of severe weather on the day of failure) | |
| IW | Non severe weather - snow/ice/frost affecting infrastructure equipment | INF WEATHR |
| I4 | OHLE/third rail power supply failure or reduction | |
| I6 | Delays a result of track patrolling blocks | |
| I9 | | INFRA FIRE |
| JA | | TSRNOT EAS |
| JB | | TSR REACTN |
| JD | Structures - Bridges/tunnels/buildings/embankments (not bridge strikes) | |
| JG | ESR/TSR due to works not completed or cancelled possession (where restriction did not exist prior to possession) | |
| JL | Network Rail staff oversight or error (Maintenance / Infrastructure) | STAFF ERR |
| JP | | VEGETATION |
| JS | | TRACK COND |
| JX | | MISC OBJCT |
| J2 | Network Rail train dispatch equipment failure (excluding telecoms equipment) | |
| J3 | | AXLE C FLR |
| J5 | | MIS REPORT |
| J8 | | OTM DAMAGE |
| OA | | ENDVR REG |
| OD | Delayed as a result of Route Control decision or directive | |
| OG | Ice on conductor rail/OHLE | ICING |
| OH | ARS software problem (excluding scheduling issues and technical failures) | |
| OK | Delay caused by Operating staff oversight, issues or absence (excluding signallers and Control) | |
| OM | | RHC FAIL |
| OP | Failure of TRUST or SMART system preventing recording and investigation of delay | |
| OQ | | SIMPLIFIER |



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| | | |
|----|--|------------|
| OW | | FOC CONECT |
| PN | VSTP service delays of 5 minutes or under caused by regulation and or time lost in running. | |
| PT | TRUST berth offset Inaccuracies | OFFSET ISS |
| QH | | RAILCONTAM |
| QI | | CAUTCONTAM |
| QN | | VSTP SCHED |
| QP | | PLND REACT |
| QT | | COMMERCIAL |
| XA | Trespass (including non-intentional) | |
| XC | Fatalities or injuries caused by being hit by train (including non-intentional) | |
| XP | | BRIDGE HIT |
| XQ | | BRIDGE OPN |
| XR | | CABLE VAND |
| XU | Sunlight on signal or dispatch equipment | |
| XV | Fire or evacuation due to fire alarm of Network Rail buildings due to vandalism (not including stations) | VANDL FIRE |
| XW | | HIGH WIND |
| X1 | | SPL WRKING |
| X3 | | LIGHTNING |
| X4 | | BLKT SPEED |
| ZW | | UNATT CANC |
| ZX | | UNEX START |
| ZY | | UNEX OTIME |
| ZZ | | UNEX LOSS |

DAB/P275 Section 5 Changes – TOC

Amend the listed Delay Code Descriptions and Abbreviations to those as shown below:-

(Codes omitted and Blanks shown below remain unaltered)

| | | |
|----|---|------------|
| MD | | BELOW SBAR |
| ML | | WAGN/COACH |
| MN | | BRAKE/WHLS |
| MP | Rail / wheel interface, adhesion problems (including ice on the running rail) | |
| MR | | SANDER |
| MS | | ALOC STOCK |



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| | | |
|-----------|--|-------------|
| MT | Confirmed train borne safety system faults (not cab based) | SYST FAULT |
| MU | | DEPOT OPS |
| MW | | WEATHR FLT |
| M8 | | ABOVE SBAR |
| M9 | | FLEET NFF |
| M0 (zero) | Confirmed train cab based safety system fault (including GSMR) | CAB SAFETY |
| RC | Pre-booked assistance for a person with reduced mobility joining/alighting, | BKD ASSIST |
| RK | Waiting passenger connections authorised by TOC but outwith TOC/Network Rail connection policy | |
| RL | Special Stop Orders - authorised by TOC Control (including any delay at point of issue) | |
| RO | | PASS ILL |
| RP | Passenger dropped object whilst boarding/alighting from train and train delayed at TOC request | |
| RQ | Un-booked assistance for a person with reduced mobility joining/alighting, | UBKD ASST |
| RR | Loading or unloading reserved bicycles | BIKE RSVD |
| RS | Loading or unloading un-reserved bicycles | BIKE URSVD |
| RT | | EXCES LUGG |
| RU | | LOST LUGG |
| R3 | | STAFF MSNG |
| TA | Train-crew/loco/stock/unit diagram issues | DIAG ISSUE |
| TB | | TOC REQUEST |
| TG | | TOC DRIVER |
| TH | | T-MGR/COND |
| TJ | Tail lamp or headlamp missing, not lit or wrongly displayed | LAMP ISSUE |
| TS | | ETCS O-RDE |
| TW | | PRO DRIVER |
| VB | | VANDALISM |
| VF | | VANDL FIRE |
| VH | | COMM CORD |
| VR | | PRO DRIVER |
| VW | | SEV WEATHR |
| V8 | Train striking bird (pheasant or smaller) | SMALL BIRD |



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NR/P193 Possession Overruns and Engineer Trains

1) Amend DAG 4.13.1 to read as follows (key changes shown in red)

4.13.1 Engineers On-Track Equipment and Engineering Haulage Train Failure

| No | Circumstances | Delay Code | Incident Attribution |
|----|---|--|--|
| a. | Self-propelled on track equipment (“Yellow Plant”) failure or defect including late start from any stabling point or yard. | MV | Party under whose Access Agreement the move is being made (M#**) |
| b. | Engineers train failure or defect including late start from any yard or stabling point | F*/M* | Train Operator (F##* / M##*) |
| c. | “Yellow Plant” or Engineers’ train waiting access to a possession site (including being held at originating location for a late starting possession) . | 17 | Network Rail organisation managing the possession (IQ**) |
| d. | “Yellow Plant” or Engineers Train late coming out of possession or work site due to the work in the possession or work site running late or completing late . (NOT a Possession Overrun) | 17 | The Party responsible for the work site where the problem arose (IQ**). |
| e. | “Yellow Plant” or Engineers Train late coming out of possession or work site due to the work in the possession or work site running or completing late . (Possession Overrun) | 15 | The Party responsible for the work site causing the overrun (IQ**). |
| f. | Engineers train or Yellow Plant late coming out of possession site due to waiting train-crew, vehicle fault or other train operator problem (No Possession Overrun) | F*/M*/A* | Train Operator (F##*/M##*). |
| g. | Engineers train late coming out of possession site due to waiting train-crew, vehicle fault or other train operator problem (Possession Overrun) | Where overrun is purely due to the train involved (all | Train Operator (F##*/M##*). |



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| No | Circumstances | Delay Code | Incident Attribution |
|----|--|---|--|
| . | | works complete) and possession gives up on the train's departure F*/M*/A* | |
| h. | Engineers train late coming out of possession site due to waiting train-crew, vehicle fault or other train operator problem (Possession Overrun) | Where overrun is due to works incomplete regardless of any train issues I5 | Network Rail organisation managing the possession (IQ**) |

Note: Where a possession overrun is due to any work being incomplete, regardless of the circumstances above, delay code I5 should be used as set out in 4.13.2.5

2) Remove current 4.12.2.3 being an exact copy of 4.12.2.2

3) Add / amend titles, paragraph numbering and wording as follows (key alterations in red):

4.13.2.3 Emergency Possessions

4.13.2.4. When diversions or single line working are necessary due to an emergency possession or unplanned blockage of the route any 'Minutes Delay' are attributed to the appropriate incident as per Section 4.12.1. **The incident should be coded to the appropriate I*/J*/Q*/X* Code to reflect the actual reason for the possession.**

4.13.2.5 Possession Overruns

4.13.2.6 Where a possession is likely to, or has overrun (and a delay is likely to be caused owing to a late hand back), an incident should be created for each such event. The details to be recorded must include the identification of the nature of works being undertaken, the estimated time of overrun, line(s) affected, and details identifying from whom the information was received. The incident should then be attributed to Delay Code I5. For the purposes of attribution in accordance with this section, it should be noted that the term "Overrun" also includes the completion of any associated **signalling work (associated with the possession)** after the possession



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has been given up, in the event of such remedial works being required. It also includes the giving up of any OHLE or 3rd Rail isolation or assets left in failure mode (where associated with the possession works)

4.13.2.7 Possession overruns as a consequence of a late start to the possession (regardless of reason) should be coded to I5. A decision is required as to whether the work required to be undertaken will still enable the booked hand back time to be maintained or if the works will be reduced in scope or cancelled.

4.13.2.8 Assets (unrelated to the physical possession works) left in failure mode after a possession is given up (regardless of reason for failure) should be allocated a delay code representing the asset failure.

4.13.2.9 **Patrolling Blocks**

4.13.2.10 Delay resulting from possessions taken for the purpose of track inspections or patrolling should be allocated to an incident attributed with Delay Code I6. This includes where delay is caused by the agreed duration of a possession or block being exceeded. However, if the overrun has been the result of the inspection finding a defect requiring attention then the resulting delay should be allocated to an incident that reflects the nature of the asset defect found. T2, T12 and other blocks taken to rectify faults and defects should be also allocated to an incident attributed a Delay Code that reflects the need for the possession as per Section 4.12.1

4.13.2.11 **Single Worksite Possession**

The Trust Responsible Manager for 'Minutes Delay' in the event of an overrun is the Possession Manager.

4.13.2.12 **Multiple Worksite possessions**

The TRUST Responsible Manager for 'Minutes Delay' in the event of an overrun is the Possession Manager as listed in the WON. Where an individual worksite has caused the overrun the Possession Manager should identify the TRUST Responsible Manager responsible for that worksite overrun and arrange for the incident to be re-attributed as necessary. If a single work site Responsible Manager cannot be identified then Delay Minutes should remain attributed to the Possession Manager.

4.13.2.13 In either of the circumstances described in paragraphs 4.13.2.11 or 4.13.2.12 above, where delay is identified as being caused by an agent acting for the Possession or Worksite Manager the delay should be attributed to the Possession or Worksite Manager (as appropriate)

Note: -. When identifying the owner of the worksite that has caused the overrun, if the cause of the problem is of a FOC or On-Track Machine nature Section 4.13.1 should be consulted



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4.13.2.14 Infrastructure Trains

4.13.2.15 Where an infrastructure train is delayed entering a possession “waiting acceptance” purely because the site is not ready to accept the train (as opposed to infrastructure failure or train failure for example), or where an infrastructure train is delayed leaving a possession for reasons which are the responsibility of the Possession Manager, but the possession does NOT overrun, then the delay should be allocated to an incident coded I7 and attributed in accordance with DAG Section 4.13.1

4.13.2.16 If ‘Minutes Delay’ are incurred by **infrastructure** trains running in their booked path on approach to the possession site but are delayed waiting for the possession to be (partly) given up as per published arrangements for the possession, the Incident to be coded **I5 / I6 (as appropriate)** and attributed to Network Rail.

4.13.2.17 If the **infrastructure** train is running significantly late, the ‘Minutes Delay’ to be allocated to the principal Incident causing the train to be late on the approach to the possession site.

4.13.2.18 In either of the circumstances in 4.13.2.15 and 4.13.2.16 above, where delay is identified as being caused by an agent acting for the Possession Manager the delay should be attributed to the Possession Manager

4.13.2.19 Circumstances and Exceptions

| | | | |
|----|--|----------|---|
| e. | Overrun of Possession due to incomplete works (regardless of reason) or due communication issues to and from site. | I5 | Network Rail organisation managing the possession or work site where the problem arose (IQ**) |
| f. | Overrun of Possession, solely due to the failure of an Engineers Train or On-Track Machine (where the offending train is still in situ and all works completed). | F*/M*/A* | Train Operator (F##*/M##*). |
| g. | Where the possession over-run is caused by problems with the train plan (either for trains booked to pass during the possession or | QB / QM | Network Rail (QQA*). |



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| | | | |
|----|---|----------------------------------|--|
| | engineering trains booked from the possession) | | |
| j. | Track patrol published in the WON (Where published any P* code allowance should be utilised). | I6 | Network Rail organisation managing the possession (IQ**). |
| k. | Waiting for a line blockage to be given up to pass a booked train during the planned times of the possession or track patrol . If published any P* code allowance should be utilised. | I5 or I6 as appropriate | Network Rail organisation causing the overrun (IQ**). |
| n. | Overrun of patrol beyond the agreed times (excluding where any defect is found) . | I6 | Network Rail organisation managing the possession which overruns (IQ**). (Excess minutes only). |
| o. | Overrun of patrol as the result of a defect found . | I*/J* As applicable to asset. | As Per Section 4.12.1 (Excess minutes only). |
| q. | Overrun of possession, due to the removal of staff from a worksite(s) – regardless of reason for removal | I5 | Network Rail organisation managing the possession which overruns (IQ**). |
| r. | Overrun of possession due to a substandard action or inaction of maintenance staff or any agent working on behalf of the Possession Manager. | I5 | Network Rail organisation managing the possession which overruns (IQ**). |

(Circumstances not shown in table above remain as per current DAG)



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