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11 October 2017

Chairman  
Delay Attribution Board  
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## **NOTICE OF APPROVAL OF AMENDMENTS TO THE JUNE 2017 DELAY ATTRIBUTION PRINCIPLES AND RULES**

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 28 September 2017 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 10 December 2017.
5. A schedule of the approved Amendments to the Delay Attribution Principles and Rules is attached to this notice.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Gerry', is written over a light blue circular stamp.

**GERRY LEIGHTON**  
**Duly authorised by the Office of Rail and Road**



**Schedule of approved amendments to the June 2017 Delay Attribution Principles and Rules**

Amendments sought:

**DAB P294 – Infrastructure Failures on – off network**

**1. Amend DAPR H1.2(a) to read:-**

a.	Infrastructure defect or problem on Network Rail <b>network</b> infrastructure affecting trains entering the Network Rail network	I*/J*/X* as appropriate	See Section O1 and also Process Guide PGD14
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**2. Amend DAPR H3.3(a) to read:-**

a.	Infrastructure defect or problem on Network Rail <b>network</b> infrastructure affecting trains entering the Network Rail network	I*/J*/X* as appropriate	See Section O1 and also Process Guide PGD14
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**3. Add new bullet to DAPR O1.1:-**

- Failures caused as a direct result of an off Network Rail network infrastructure fault or failure (See Process Guide PGD14)

**DAB P295 – Stock Swaps**

**1. Add new Section K9 as below:-**

**K9 Stock Swaps**

No	Circumstance	Delay Code	Incident Attribution
a	The Signaller carries out an unplanned stock move and there are no pre-agreed localised arrangements in place between Network Rail and the Operator	OC	Network Rail (OQ**)
b	Network Rail Control agrees to a stock swap and re-plans with no delay impact foreseen. The Signaller deviates from the Control plan.	OC - Where no rationale is provided for the deviation from the plan.	Network Rail (OQ**)
		Where the rationale for deviation is explained allocate to that reason.	Reaction to reason identified

Note: For further scenarios and attribution relating to Stock Swaps please refer to Process Guide Document (PGD16)



**2. Add new situations into N2 as below:**

No.	Circumstance	Delay Code	Incident Attribution
an	Operator request via Station Control Point to swap two units on different platforms to form different services.  No additional stock moves required and no Network Rail involvement.	As per Operator reason for requirement	As per Operator reason for requirement
ao	The Signaller carries out an unplanned stock move in line with pre-agreed localised arrangements between Network Rail and the Operator	As per reason for requirement	As per reason for requirement

*Add additional note under N2 to read:-*

Note: For further scenarios and attribution relating to Stock Swaps at stations please refer to Process Guide Document (PGD16)

**DAB P296 - TRUST Errors**

**1. Amend Section E3 TRUST Berth Errors to read as follows:-**

**E3 TRUST Reporting Errors and Anomalies**

E3.1 TRUST Berth errors occur due to anomalies in TRUST automatic reporting, whereby a train might appear to lose time as the result of an inaccurate report, only to recover it immediately. This can still occur even if the Berth Offsets are agreed as being accurate.

E3.2 In certain circumstances, these anomalies may be sufficiently pronounced to cause the generation of a Delay Alert. Such anomalous reports and incorrect TRUST timings should be highlighted and corrected in accordance with the relevant standards as set out in the Performance Data Accuracy Code before application of what is set out in E3.3 to E3.5 below.

E3.3 If both parties agree that the Delay Alert has been entirely generated due to an inaccurate report and would not have been generated otherwise, the delay alert generated should be attributed to an incident coded PT. Any resulting above threshold reactionary delay should be re-attributed to the largest identified cause at that point.

E3.4 If both parties agree that a sub threshold delay has occurred, but has been artificially inflated to create an above threshold delay alert due to an inaccurate report then a new incident coded PT is to be created to account for the spurious delay (ONLY) and the remaining sub-threshold delay and any reactionary delay attributed to it is to be attributed as per normal attribution rules.



E3.5 If both parties agree that an above threshold delay alert has occurred which has been artificially inflated due to an inaccurate report, but is of sufficient magnitude that it would have been generated anyway, the delay itself and any reactionary delay is to be attributed as per normal attribution rules, with no time removed.

Note: For the supporting process covering the identification and correction of TRUST anomalies please refer to PGD15

### **DAB P297 – Service Recovery**

#### **1. Add new Section M3 as below:-**

#### ***M3 Service Recovery***

##### **M3.1 Activities relating to Service Recovery**

No.	Circumstances	Delay Code	Incident Attribution
a.	Waiting for authorised Special Stop Orders to be issued	RL	Operator of train involved (R##*)
b.	Waiting for unauthorised Special Stop Orders to be issued	RJ	Operator of train involved (R##*)
c.	Special Stop Order within TOC and Network Rail Contingency Plan or agreed as part of a Service Recovery Plan	YM	Prime incident causing train to require SSO
d.	Special Stop Order authorised by TOC Control but outwith the TOC and Network Rail Contingency Plan	RL	Operator of train involved (R##*)
e.	Special Stop Order not authorised by TOC Control and outwith the TOC and Network Rail Service Recovery Plan	RJ	Operator of train involved (R##*)
f.	Waiting passenger connection not authorised by TOC Control and outwith the Connectional policy.	RI	Operator of train being held (R##*/T##*)
g.	Waiting passenger connections authorised by TOC Control but outwith the TOC and Network Rail Connectional Policy or Service Recovery Plan	RK/TM	Operator of train being held (R##*/T##*)



h.	Waiting passenger connections within the Connectional Policy or agreed as part of a Service Recovery Plan	YL	Prime incident causing incoming train to be late at that point
i.	Waiting passenger connections from other modes of transport (e.g bus replacement)	RM / T3	Operator of train being held (R##*/T##*)
j.	During an ongoing disruptive incident a member of train crew is stepped up / reallocated duties for service recovery purposes.	YN	Prime incident necessitating the reallocation of train crew
k.	In relation to an ongoing disruptive incident it is agreed to cancel a train (in full or part) to reduce services through the affected area.	YR	Prime incident necessitating the cancellation decision
l.	In relation to an ongoing disruptive incident a unit / loco is stepped up / reallocated to another service for service recovery purposes.	YU	Prime incident necessitating the unit / loco to be reallocated to another service

Note: In all Service Recovery scenarios shown above the decisions and activity should be recorded as part of the 'SRCT' process to aid appropriate and efficient attribution of any associated delays.

## **DAB P298 – Process Guides**

### **1. Add new Section A7 as below:-**

#### **A7 Process Guide Documents**

A7.1 The Board also produces Process Guide Documents (PGD) to supplement and support the DAPR. These documents are not part of the DAPR itself but have been developed to provide either suitable process advice or further assistance in the understanding and application of Delay Attribution principles



## DAB/P299 – Vandalism Tidy Up

### 1. Reformat Q4.1(b) as shown below

No.	Circumstances	Delay Code	Incident Attribution
b.	<p>Where it is identified:</p> <p>That an Infrastructure failure is due to vandalism or theft (other than to cables); or</p> <p>Objects have been placed deliberately on Network Rail Infrastructure, including in points; or</p> <p>Objects that have been thrown or fired at trains or the track on Network Rail Infrastructure, whether from outside railway premises or from railway premises including stations, and adjacent property (such as car parks); or</p> <p>Objects being thrown or fired from Network Rail Infrastructure at trains or onto track on non-Network Rail Infrastructure (including LUL).</p>	XB	Network Rail (XQ**)



