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1 February 2017

Chairman  
Delay Attribution Board  
Floor 8  
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London  
NW1 2DN

## **NOTICE OF APPROVAL OF AMENDMENTS TO THE SEPTEMBER 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 18 January 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. The Proposals for Amendment were resubmitted with minor typographical changes on 26 January 2017.
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 1 April 2017.
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', written in a cursive style.

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



**Schedule of approved amendments to the September 2016 Delay Attribution Guide**

**Amendments sought**

**DAB/P277 – Clarification, Tidy Ups and Amendments 1**

**1) Amend wording in 4.4.1.2(f) as follows:-**

f.	Delays associated with train borne safety system faults <b>(NOT cab based)</b>	MT	ATP AWS HABD TCA TPWS WILD	Train Operator (M##*)
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**2) Amend wording in 4.6.1.1 as follows**

4.6.1.1 Use code AG attributing to **the** Operator of train concerned (A##\*). This includes trains overloaded **or with open doors** etc., leaving a Possession or worksite.

**3) Add new circumstance in 4.6.1.2 as follows**

4.6.1.2 Exception:

No.	Circumstances	Delay Code	Incident Attribution
b.	<b>Train running overweight against the timing load</b>	<b>FX</b>	<b>Operator of train involved (F##*)</b>

**4) Add new sentence to the end of current Paragraph 4.6.3.1 as follows:-**

**This includes where trains are planned not to run.**

**5) Amend wording in 4.11.2(f) as follows:-**

f.	Waiting passenger connections within the TOC/Network Rail Connection Policy, where the prime	YL	Prime Incident causing incoming train to be late at that point. If the connecting service
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	incident causing delay to the incoming train is a FOC owned incident		is more frequent <b>than hourly</b> , then separate incidents to are to be created and attributed to Network Rail (OW/OQ**)
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**6) Amend wording in 4.11.2(k and l) as follows:-**

k.	Overtime caused by persons <b>with reduced mobility</b> joining or alighting	RC/RQ <b>as appropriate</b>	Operator of train involved (R##*)
l	Overtime caused by loading or unloading bicycles	RR/RS <b>as appropriate</b>	Operator of train involved (R##*)

**7) Add additional bullets to 4.12.1.17 (under Staff errors should not be considered)**

- **Damage caused by incorrect use of on-track machinery (use Delay Code J8)**
- **Late hand back of possession due to staff communication issues (use Delay Code I5)**
- **Operations staff errors (utilise Delay Codes OC, OK)**

**8) Amend 4.12.2.4(c) as below:-**

c.	Where a TSR <b>or ESR</b> has been imposed due to possession work not being completed or <b>is</b> more restrictive than that planned. <b>(Only where the restriction did not exist prior to the possession)</b>	JG	Network Rail (IQ**)
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**9) Add new condition (d) to 4.12.2.4 as below**

d.	<b>Where an already existing TSR or ESR remains in place due to possession work not being completed or is still more restrictive than that planned.</b>	<b>As appropriate to pre-existing condition not remedied (NOT JG)</b>	<b>Network Rail (IQ**)</b>
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**Re-letter current circumstance 'd' and all subsequent circumstances as appropriate**



**10) Amend wording in 4.13.2.10 as follows**

4.13.2.10 Delay resulting from **line blocks** 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 defect found. **Line blocks** taken to rectify faults and defects should also be allocated to an incident attributed a Delay Code that reflects the need for the possession as per Section 4.12.1

**11) Add new circumstance to 4.15.1.3**

u.	Signal Passed at Danger as a result of Signaller reverting signal in emergency.	Delay Code representing cause of Incident requiring the signal reversion	As appropriate to delay code and responsible party
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Re-letter current 'u' and subsequent 'v' and 'w' entries in table accordingly

**12) Amend 4.15.2.4(k) to read:-**

k.	<b>Head or tail lights are missing, not lit or wrongly displayed</b>	FM or TJ as appropriate to type of train	Operator of train concerned (F##* or T##*)
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**13) Add the word 'GOTCHA' under Network Rail Responsibility in Section 4.15.3.5**

**DAB/P278 – Clarification, Tidy Ups and Amendments 2**

- 1) Amend wording 'wrong regulation' in 2.6.15 to '**incorrect regulation**'
- 2) Amend wording 'physical needs break' in 4.7.2.4 to '**Personal Needs Break**'
- 3) Amend Heading for 4.9 to read:-

**4.9 TIMETABLE AND RESOURCE PLANNING INCIDENTS**



4) Amend Heading for 4.9.1.3 to read:-

4.9.1.3 Guidance for the attribution of **Planning related delays**

5) Amend descriptions in Section 5I as below

IM	Infrastructure Balise Failure ( <b>TASS / ETCS / ERTMS</b> )	BALISE FLR
IT	<b>Rough ride or</b> bumps reported - cause not known	TRACK NFF
I6	Delays as a result of <b>line blocks / track patrols</b>	TRK PATROL

6) Amend description in Section 5O as below

OQ	Incorrect Simplifier ( <b>where produced by Ops staff</b> )	SIMPLIFIER
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7) Amend descriptions in Section 5P as below

PN	VSTP service delays of <b>under 5 minutes</b> caused by regulation and or time lost in running.	VSTP DELAY
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8) Amend descriptions in Section 5Q as below

QA	WTT Schedule and or LTP process including <b>incorrect</b> simplifiers ( <b>where produced by Capacity Planning</b> ).	WTT SCHED
QM	Train Schedule <b>VAR/STP</b> process including <b>incorrect</b> simplifiers ( <b>where produced by Capacity Planning</b> )	STP SCHED

9) Amend description in 5X as below

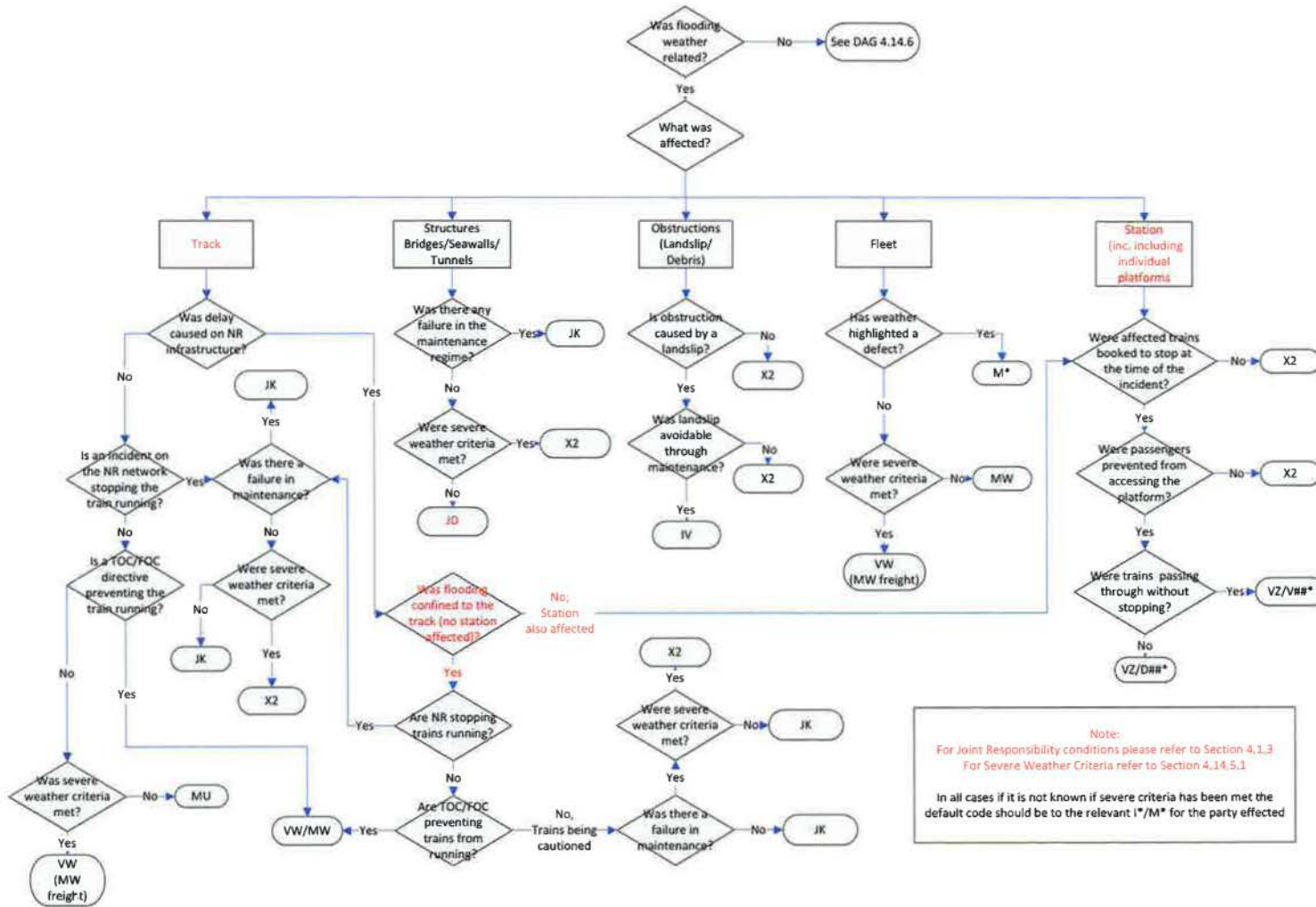
XU	Sunlight on signal or dispatch equipment <b>where all reasonable mitigation has been taken</b>	SUN OBSCUR
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10) Amend description in 5Y as below

YO	Waiting platform/station congestion/platform <b>alteration</b>	PLATFORM
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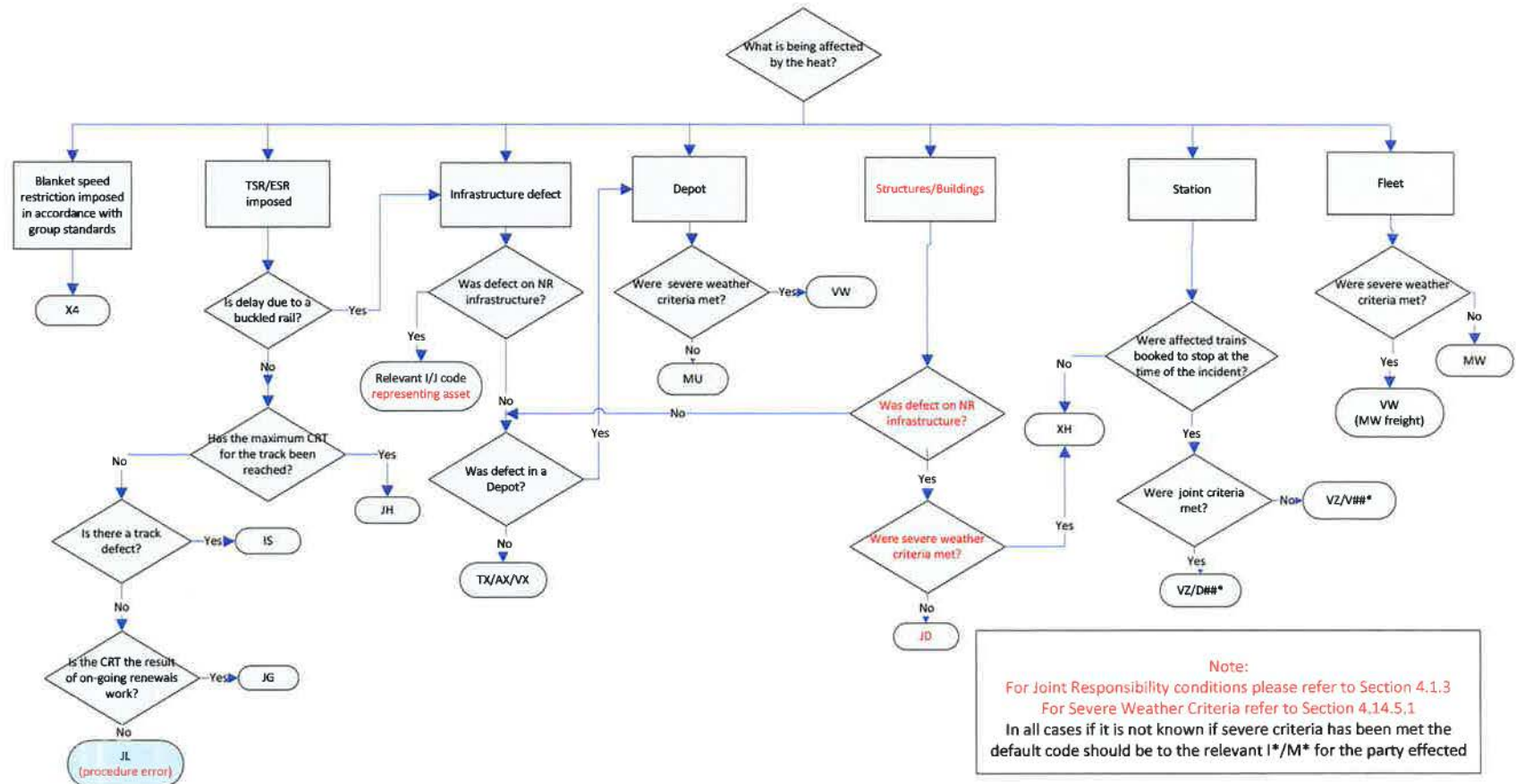
# DAB/P279 – Flooding Flowchart

Amend flowchart in DAG 4.14.5.7, alterations shown in red.



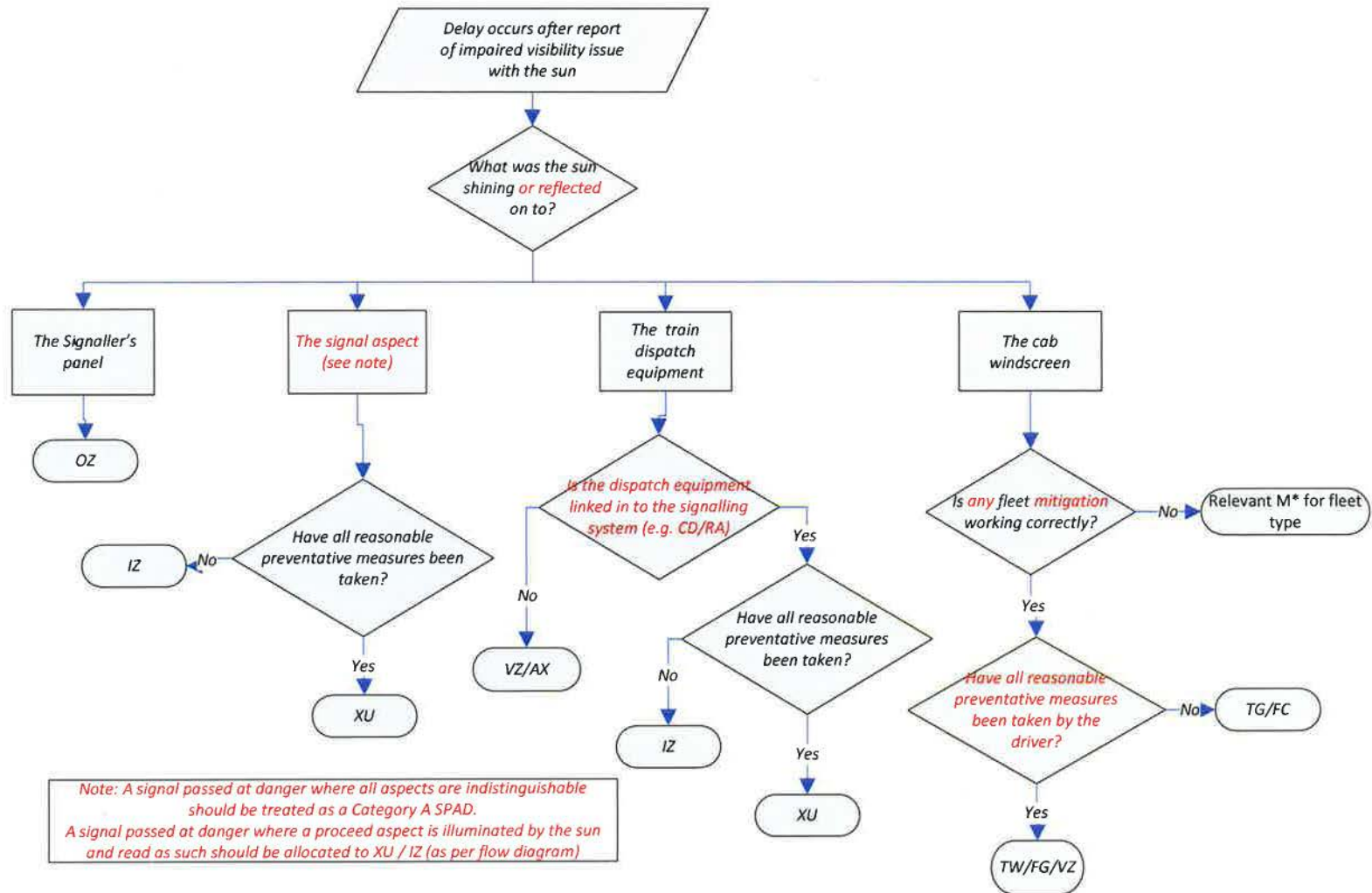
## DAB/P280 – Heat Flowchart

Amend flowchart in DAG 4.14.5.8, alterations shown in red.



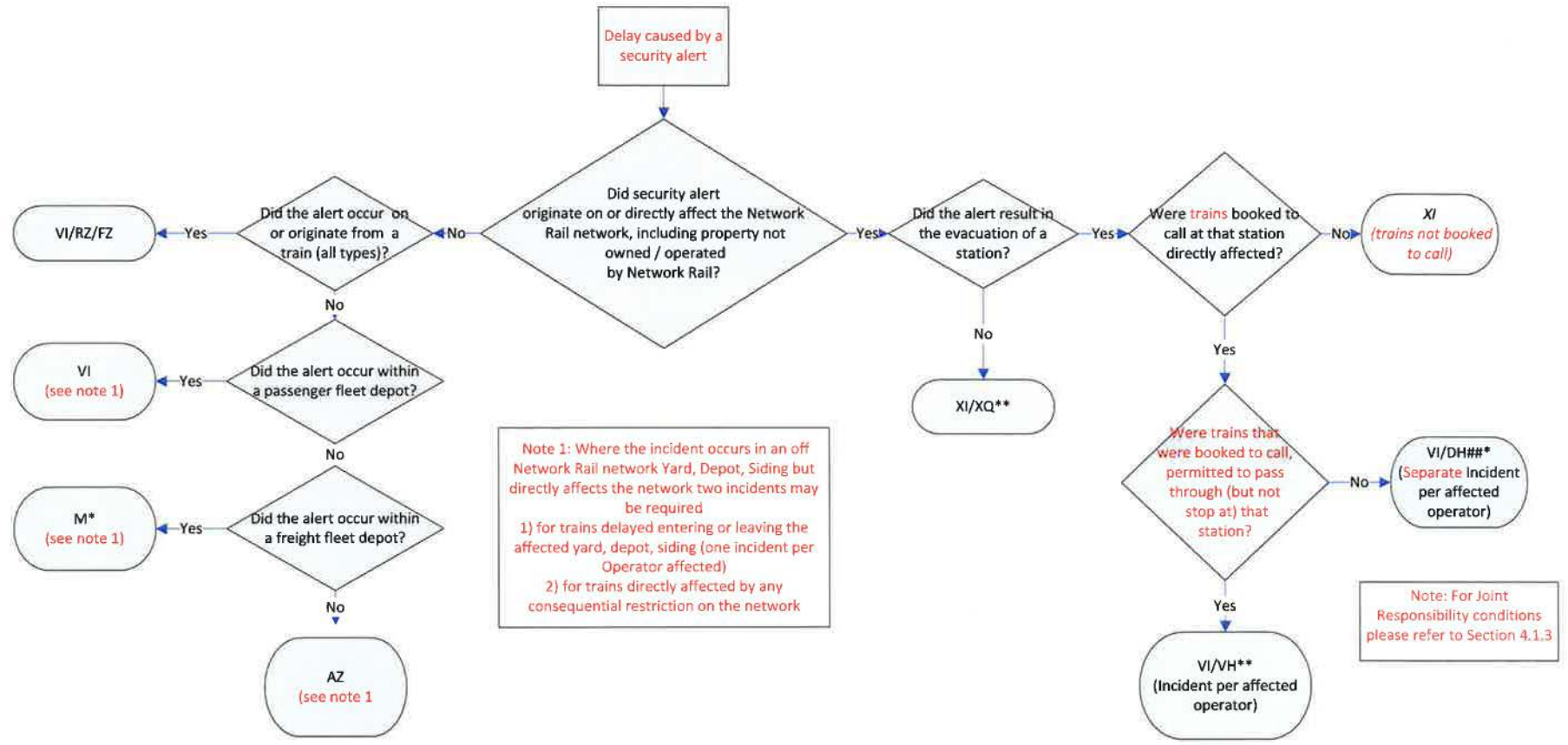
## DAB/P281 – Sun Flowchart

Amend flowchart in DAG 4.14.5.10, alterations shown in red.



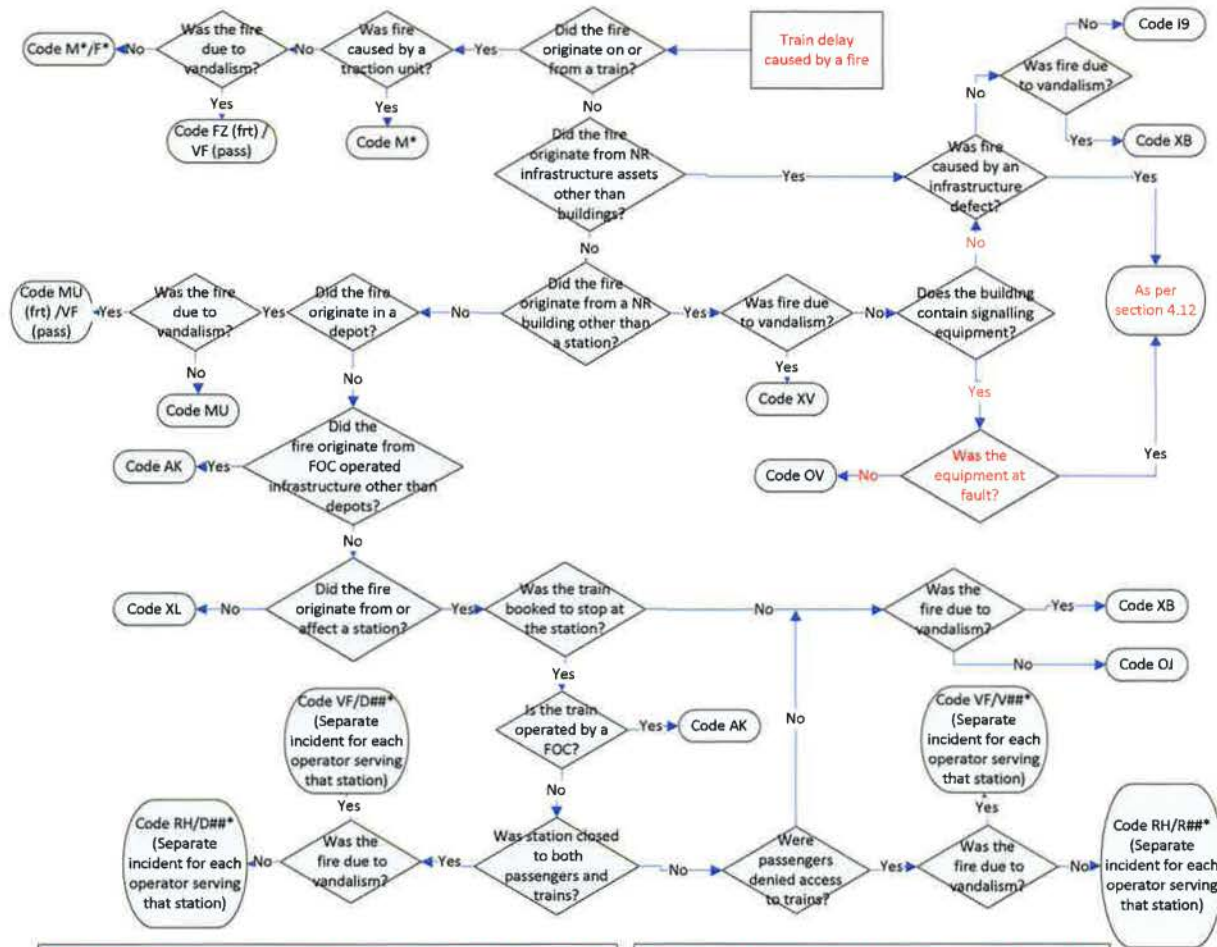


**DAB/P282 – Security Alert Flowchart**  
**Amend flowchart in DAG 4.14.7.7, alterations shown in red.**



## DAB/P283 – Fires Flowchart

Amend flowchart in DAG 4.14.8.8, amendments shown in red.



Note: Where the incident occurs in an off Network Rail network Yard, Depot, Siding but directly affects the network two incidents may be required  
 1) for trains delayed entering or leaving the affected yard, depot, siding (one incident per Operator affected)  
 2) for trains directly affected by any consequential restriction on the network

Note: For Joint Responsibility conditions please refer to Section 4.1.3  
 In regard to the flow chart the word Fire should also be read as fire alarms, including false alarms.  
 Throughout this flow chart the term 'station' can also refer to the platform at which the train is booked to call

## DAB/P284 – Permissive Working

**Add new 4.8.8:-**

### **4.8.8 Permissive Working at stations**

No.	Circumstance	Delay Code	Incident Attribution
a	Member of station staff has not confirmed with the Signaller that a train has stopped in the correct part of the platform, meaning the second train for that platform has been held outside.	OC where advice is an aid to the Signaller  OZ where advice is part of agreed Operational Procedure	Network Rail OQ**
b	Either of the trains involved is longer than planned but there was notification of this. The Signaller has routed the second train into the booked platform, and the train doesn't fit.	OC where Signaller was aware  OD where Control were aware but failed to advise Signaller	OQ**

For further scenarios and allocation relating to Permissive Working at stations please refer to Process Guide Document 10  
Renummer current 4.8.8 to 4.8.9 continue numerical sequence.

**Add new scenario to 4.11.2 as follows:-**

No.	Circumstance	Delay Code	Incident Attribution
al	Member of station staff has not confirmed with the Signaller after a splitting or joining procedure that the train(s) was positioned in the correct part of the platform. The second train for that platform is then held outside pending confirmation.	R3 / R4 / R5 as appropriate	To Operator of train for which operational procedure is not confirmed as completed



am	Platform staff have stopped a train in the wrong part of the platform and as a consequence a second train booked in the same platform is held outside.	R5	Operator of train stopped in wrong position. (Train held outside is YO as reaction)
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Add second Note under 4.11.2 table as follow:-

Note: For further scenarios and allocation relating to Permissive Working at stations please refer to Process Guide Document 10

**DAB/P285 – Unexplained 1**

**Amend Description and Abbreviations for ZW, ZX, ZY and ZZ as follows:-**

CODE	CAUSE	ABBREVIATION
ZW	Uninvestigated Cancellations System Roll-Ups only	SYS CANC
ZX	Uninvestigated Late Start System Roll-Ups only	SYS L-STRT
ZY	Uninvestigated Station Overtime System Roll-Up only	SYS OTIME
ZZ	Uninvestigated Loss in Running System Roll-Up only	SYS LIR

**Add new Delay Codes, Description and Abbreviations as follows:**

CODE	CAUSE	ABBREVIATION
ZU	No Cause Identified After Full Investigation by Both Parties ( <b>A 'Full Investigation' will be one including all avenues of investigation agreed as reasonable by both Parties</b> )	NOCAUSE ID
ZS	No cause ascertainable for a Sub Threshold Delay causing Threshold Reactionary (where agreed by both Parties)	NOCAUSE AS

### **DAB/P286 – Unexplained 2**

**Amend Description and Abbreviations for FO and TO in Section 5F, 5T and 5O as follows:-**

<b>CODE</b>	<b>CAUSE</b>	<b>ABBREVIATION</b>
FO	Time lost en-route believed to be Operator cause and information required from Operator (Ops Responsibility)	LIR UNEX
TO	Time lost en-route believed to be Operator cause and information required from Operator (Ops Responsibility)	LIR UNEX
OU	Delays not investigated by Network Rail	NOT INVEST

**Add new Delay Codes, Description and Abbreviations to Section 5R and 5T as follows:**

<b>CODE</b>	<b>CAUSE</b>	<b>ABBREVIATION</b>
R8	Delay at Station believed to be Operator cause and information required from Operator (Station Responsibility)	STN UNEX
T8	Delay at Station believed to be Operator cause and information required from Operator (Ops Responsibility)	STN UNEX

### **DAB/P287 – Line Blocking Incidents**

**Add a Note under each of the following Section tables**

**4.7.2.3 Waiting Train Crew**

**4.9.2.3 Stock Provision of Stock**

**4.9.2.6 Provision of Specified Equipment and**

**4.9.1.2 Planning**

**That reads:-**

Note: For delays and cancellations associated with Unplanned Line Blocking Incidents see Section 4.10.2

**Add new DAG Section 4.10.2 line blockage section as part of 4.10 Service Recovery and Contingency Plans Section as set out below:-**

#### **4.10.2 Delays Emanating From Unplanned Line Blocking Incidents**

4.10.2.1 This section covers delays resulting from situations where unplanned line blocking incidents occur which require short notice revisions to the train plan for the next days(s) or even week(s). For the purposes of this section, unplanned line blockages are considered as an event occurring where:-

- It is known an individual line or entire route will be fully or partially restricted for the following day(s)

4.10.2.2 Excluding the unplanned line blocking incident itself, some of the circumstances that may generate delays as a result of the unplanned line blocking incident are:-

- Individual Schedules uploaded as part of the contingency plan contain errors
- Part or all of the overall contingency train Plan doesn't work (even if individual schedules do)
- The agreed train (unit / loco / wagon) resource plan doesn't work or can't be resourced
- The agreed Train Crew resource plan doesn't work or can't be resourced
- The agreed Yard resource plan doesn't work or can't be resourced
- Required Industry resources are not available to re-plan and agree a validated train plan
- Agreement cannot be reached over the amended plan or a pre agreed contingency plan is enforced as default
- Timescales do not allow re-planning (e.g. incident happens at 21:30 for the 22:00 cut off)
- Other factors impacting the implementation of the plan (e.g. stock balancing affected by another impacting event or a required route closed for a possession)

4.10.2.3 In such circumstances set out in 4.10.2.2, consideration should be given to the allocation of the resulting delays based on the circumstances of each occurrence and critically whether Parties have taken reasonable steps to avoid and/or mitigate the effects of the incident (delays or cancellations) on the following day(s).



4.10.2.4 It should be considered that attribution direct to the causal line blocking incident itself should cease once an agreed amended plan is in place.

4.10.2.5 Where opportunity exists and dependent on the time of occurrence and scale of the incident, the revised plan for Passenger Operators could be agreed prior to 22:00 on the day of the incident occurring. For Freight Operators the MFSdD process should be applied.

For incidents expected to last for more than 3 days the revised plan should be progressed under the standard STP Timetable Planning processes. (see section 4.9.1)

4.10.2.6 Once the agreed plan is in place, considerations made when reviewing allocation of subsequent delays or cancellations should factor whether they could have effectively been mitigated under the circumstances by any Party (see also 4.1.5); Any failure to take such steps shall be regarded as a separate incident to the relevant Party (See DAG 4.7.2 Crew Resourcing; DAG 4.9.2 Stock Provision and DAG 4.9.1 The Train Plan for associated scenarios and principles).

**Likely Scenarios:-**

No.	Circumstances	Delay Code	Incident Attribution
a	The cancellation or late start could have been pre-empted and therefore planned	TZ / FZ / OD	Train Operator (T#** / F#**) or Network Rail (OQ**) as appropriate
b	A decision was made for no plan to be implemented (where opportunity exists) and operations were managed on a day to day basis.	OD	Network Rail OQ**
c	Planning issues where the plan was initiated and uploaded through VSTP Control arrangements under best endeavours.	QN (for individual schedule issues) OD (for issues with the train plan).	Network Rail (QQ** / OQ**)
d	Schedule issues where the agreed plan was processed and uploaded through standard Capacity	QM	QQ**

	Planning STP processes (officially bid, validated, uploaded)		
e	The conditions of the block or restriction change daily (i.e. not a solid state) where a line may open in stages or partially open with restrictions.	Plan should reflect daily situation and be attributed as appropriate scenarios above	Plan should reflect daily situation and be attributed as appropriate scenarios above

4.10.2.7 Different considerations may be appropriate for Freight Operators given the nature of their business and operations. In such cases please refer to DAB Process Guide Document 9 – Managing Freight Services during Disruption for principles of attribution in these circumstances.