

Autumn TRUST Delay Attribution Process

For the attention of all staff who are involved in the Train Delay Attribution Process

Delay Attribution Board
Floor 8
1 Eversholt Street
London
NW1 2DN

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1. Introduction

- 1.1 These arrangements will apply as per DAPR Section F, unless otherwise advised.
- 1.2 The basis of the Autumn Attribution process is to maintain the quality of the data whilst simplifying the process for all those involved in the process.
- 1.3 This document is a supplement to the ‘Autumn Attribution Joint Process’ guidance as detailed in the Delay Attribution Principles and Rules. Any items not covered by this document should be dealt with as per the DAPR.
- 1.4 This update supersedes the 2016 Autumn Attribution process document. Changes have been highlighted.

2. Glossary

ARTL	Agreed Reasonable Time Loss
AWA	Autumn Working Arrangements
DA	Delay Attributers
DAPR	Delay Attribution Principles and Rules
ERHC	Exceptional Rail Head Conditions
FOC	Freight Operating Company
LEVEL 2	Process of dispute resolution
LFNZ	Leaf Fall Neutral Zone
LRA	Low Rail Adhesion
LRAS	Low Rail Adhesion Sites
NZ	Neutral Zone
PRHC	Poor Rail Head Conditions
RHTT	Rail Head Treatment Train
SSA	Static Sander
STP	Short Term Planning
TDA	TRUST Delay Attribution
TOC	Train Operating Company
VSTP	Very Short Term Planning
WSP	Wheel Slip Protection
WSTCF	Wrong Side Track Circuit Failure
WTT	Working Time Table

3. LFNZ – implementation

Train operators and Network Rail should agree criteria against which to activate/de-activate Neutral zones. These should also include mechanisms required to implement real time agreements, as per DAPR F1.4.4. The arrangements that are implemented should be documented and records kept enabling post autumn analysis of the effectiveness of the process. Factors that should be taken into consideration when agreeing criteria for activating Neutral zones may include, but are not limited to:

- Local MetDesk forecasts
- Prevailing conditions on the day
- The extent of RHTT coverage
- Time of day
- Performance of the first train of the day
- The number of consecutive trains losing time in running
- The relative performance of different rolling stock
- Train service stopping patterns
- The availability of detailed information on operating conditions.
- Vegetation Plan delivery

3.1 LFNZ TRUST sections, with reasonable time loss per train as required, should be pre-agreed between each operator and Network Rail and form the basis of a joint list. The information in the joint list may include, but is not limited to, the following items:

- Trust Section
- Direction
- Expected time loss per train*
- Line
- Train Class / Stopping pattern / Timing Load
- Traction type

* Consideration should be given to the first train of the day and excess minutes that are sub-threshold should be treated in accordance with paragraph 6.2 of this document.

3.2 Agreed industry weather reports are published at 04:00 and 15:00 each day with information relating to the expected weather conditions. The Attribution Manager/Route nominee should review this information for each of the areas on their line of route. The information may be used as a guide to manage resources and to determine whether or not Neutral Zones should be implemented.

3.3 When the first train of the day is delayed in excess of the previously agreed minutes, the additional delay may only be attributed to the pre-agreed Neutral Zone; if the time loss is deemed to be reasonable for the conditions of the day by both parties. Initial discussions will be between Network Rail and operators and escalation will be as per section 3.9 of this document.

- 3.4 When delays occur on any day in non pre-agreed Neutral Zones and full investigations by both Network Rail and train operator result in the delay remaining unexplained, and there is evidence of consistent time loss either above or below threshold by services on that TRUST Section, then consideration should be given to the implementation of a Neutral Zone for that TRUST Section. Evidence of consistent time-loss should include, but is not limited to, consideration of:
- Types of rolling stock
 - Stopping patterns
 - Time of day
 - Number of consecutive trains losing time
 - On board treatment equipment is working as planned (e.g. sanders, WSP)
- 3.5 Network Rail and operators should confer to reach agreement on the implementation of Neutral Zones on relevant Route Sections and reasonable time loss for each section. Discussions may be held at any time during the day and may be instigated by either party.
- 3.6 Network Rail will arrange for the creation of a “TT/FT” Neutral Zone incident for the relevant TRUST Section(s), detailing in the free form text, the time the agreement for use of the incident was agreed and the time the agreement ceased. Also, agreement on reasonable time loss and the direction in which the TT/FT applies (i.e. Up, Down or Up & Down) to be input such that it appears in the header text of the TRUST incident.
- 3.7 Any agreement on reasonable time loss may be amended at any time by mutual agreement between the two parties. This also includes the withdrawal of any pre-agreed Neutral Zones. This will be detailed in the free form text stating the time that the amendment was agreed or the time that it was agreed to withdraw the pre-agreed Neutral Zone.
- 3.8 Any agreement reached will continue until terminated by mutual agreement that there is no longer consistent unexplained loss of time on that TRUST Section(s) and if not already terminated will automatically lapse at 01:59 hrs each day.
- 3.9 Network Rail and the operator need to have an agreed escalation process. Should agreement not be possible then the delays involved will be referred to Level 2. The reasons for failure to agree must be recorded in the incident.
- 3.10 If the time loss within a Neutral Zone appears to be inconsistent then investigate as per section 5 of this document.
- 3.11 It is recommended that a weekly review of all pre – agreed Neutral Zones takes place between Network Rail and operator(s) throughout the autumn season. This should also include consideration of introducing new locations that have been identified as autumn progresses

4. Creation of LFNZ Incidents

- 4.1 If there is requirement for a Neutral Zone it should be created on the day in question and NOT in advance.
- 4.2 One incident for each operator affected for each **Neutral Zone** section should be created, coded **TT/FT** with the appropriate Responsible Manager. The freeform text should state “Neutral Zone A..... – B..... *Operator*. Agreed time loss: Mins”

No Network Delays are to be set up.

5. Delay attribution within agreed LFNZ's

- 5.1 If a train delay occurs within an agreed Neutral Zone, the following factors should be considered first:
- Whether there are any other known Network Rail or train operator causes known at the point of delay. Should an operator become aware of an explanation for time lost in running, this must be shared with Network Rail.
 - Whether it is a reactionary delay due to loss of path for another reason.

If any other cause is identified, the delay should be allocated to the relevant incident or if required a new incident created.

If no other cause is identified, it should be determined whether the delay is within **Reasonable Time Loss**. If it is, attribute the delay to the correct TT/FT incident. If the delay is above the agreed reasonable time loss, then any additional delay should be investigated and attributed accordingly (see section 5.3).

- 5.2 If the Section is planned to be treated (i.e. that treatment is planned in the autumn mitigation programme) and no treatment has been undertaken then the associated unexplained loss in running delay should be coded as per the DAPR to **OE/OQ****, or the TT/FT incident that has been created changed to OE if it were created earlier.
- 5.3 If the **Reasonable Time Loss** is exceeded the delay should be treated as described in section 6 below.

6. Treatment of delay in excess of the ARTL

- 6.1 Although it is noted that excess delay should be coded TW/FG, it is also noted that attribution that is based on reasonableness and pragmatism. As such the following guidance applies.
- 6.2 Sub-threshold delay in excess of the ARTL should be treated as any other excess minutes and where reasonable and practicable should be investigated to identify a cause and/or should be allocated to a Neutral Zone where no cause is identified.

- 6.3 Threshold delay in excess of ARTL should be investigated to identify a cause and/or should be allocated as per the DAPR to TW/FG where no cause is identified.
- 6.4 If a consistent pattern of trains are exceeding the ARTL then Network Rail and the operator will discuss and agree what is a reasonable time loss in the conditions which are prevailing at the time.
- 6.5 If it is agreed that a greater time loss is “reasonable” you should update the free form text with the time and reasons why, and with whom (e.g. Attribution Manager) this has been agreed with.
- 6.6 Particular consideration should be given to the first train of the day.

7. Reactionary delay

- 7.1 **Reactionary delay to a single leaf-fall incident.** If a train is delayed by a leaf-fall incident, then reactionary delays caused or incurred by that train will be attributed to that leaf-fall incident, as per standard reactionary delay principles.
- 7.2 **Reactionary delay attribution to multiple leaf-fall incidents** where a train has been delayed by multiple leaf-fall incidents, attribution of reactionary delay is to that incident causing the majority delay, i.e. if one incident contains 7 minutes and another incident 5 minutes, then the reactionary delay will be attributed to the 7 minute incident.
- 7.3 **Reactionary delay attribution to two or more leaf-fall incidents of the same magnitude** then Reactionary Delay must be split equally between the leaf-fall incidents. Subsequent reaction to the reaction should follow DAPR paragraph F1.8.
- 7.4 **Reactionary delay attribution when leaf-fall is the largest overall delay cause** where a train is delayed, for example, 16 minutes due to 4 separate leaf-fall incidents and 12 minutes due to a points failure, and then causes reactionary delay, the reactionary delay should be attributed to the largest TT/FT incident. If the TT/FT incidents are equal, then the reactionary delay should be split equally between them.

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 to TIN D as the greater of the TT impacts

8. Reports of Poor or Exceptional Railheads

- 8.1 The rule book allows for a driver to report Exceptional Rail Head Conditions (ERHC) at any location likely to cause more than anticipated difficulties in stopping at a location listed in the Sectional Appendix. Locations where low rail adhesion is anticipated are listed in the Sectional Appendix. At these listed locations a driver should only report ERHC not Poor Rail Head Conditions (PRHC) and a site exam should be then undertaken.
- 8.2 At non-listed Low Rail Adhesion Sites when a driver reports experiencing conditions worse than would be expected,, a rail examination may need to be undertaken in line with Rule Book TW1 (see below).
- 8.3 If a driver stops out of course to report Exceptional Rail Head Conditions or Poor Rail Head Conditions (as applicable in section 8.1) or where a train is unable to maintain traction adhesion, or gain traction adhesion from a standing start, providing that the operator has made reasonable effort to mitigate this and there is no accusation against driver technique, the following process should be followed;

The Train Delay Attributor should: -

- Check whether the location is a booked treatment site, (RHTT, leaf fall gang, SSAs) and if so check whether the treatment has been undertaken. **If the treatment has not been undertaken, attribute to OE/OQ** as per DAPR.**
 - **Where TW1 section 28.2 of the Rule Book has been implemented, operationally it is deemed attribution should follow the following principles:**
 - Operations Control tell you that the rail head has been inspected and nothing unusual has been found; or
 - Operations Control tell you that the rail head has been inspected, and improvement treatment carried out.
- 8.3 When the Signaller cautions any following trains after a valid report of Poor or Exceptional Rail Head Conditions, the delays should be attributed to **QI/QQ**** pending the outcome of any site examination undertaken.
- 8.4 Where a site examination has been undertaken the following points should be considered:
- If the site examination confirms leaf contamination is present then the delay should be coded to **QH/QQ**** or **JP/IQ** if the vegetation management standard has not been maintained.
 - If no contamination is found then the incident should be coded as follows: -

Section included on jointly agreed list	TT/FT/**** <i>if time-loss was reasonable</i>
Section not included on jointly agreed list	MP/****
If time loss is not reasonable	TG/TW/FC/FZ

In all events the incident text should be updated with full evidence and the equipment field updated with the relevant loco or unit number.

Where attribution is based on a MOM's report this should be provided at Level 2 to support the initial attribution.

8.5 Report of poor railheads after the event

- If investigations undertaken by both parties (including any subsequent investigations) conclude that reasonable time loss was a result of adhesion/ wet rails or general autumn related conditions expected for the time of year, and this is confirmed by a train crew report, then the delay can, if both parties agree, be coded to **MP or TT** (as appropriate). In these circumstances the following criteria must be met;
 - a. That the investigations have included due cognisance to the extent to which any of the parties have undertaken reasonable endeavours to mitigate the delay. For example, failure to mitigate may include the location being booked to be treated by the RHTT and was not treated, sanders were fitted to the train and were not operational.
 - b. That the delay is agreed between both parties as reasonable loss in running. Particular consideration should be given to the first train of the day.
 - c. If the delay is considered to be excessive, then the incident should remain coded to TG/FZ and should be referred to Level 2 for further investigation.

In all cases, if an incident is recoded to MP, the incident text should be endorsed with the result of the relevant investigations.

9. WSTCFs due to leaf contamination

- 9.1 When a WSTCF occurs, the trains following must be cautioned until the maintainer has attended and repaired the fault. The maintainer will report the cause of the WSTCF.
- 9.2 Set up the incident initially with the code **IC** (Track Circuit Failure) with the remarks **'Wrong Side Failure'** included in the description and free form fields. If the maintainer reports that the failure was either caused by leaves (or was likely to have been caused by leaves) then the incident is recoded as **QJ**, and the additional wording **'Wrong Side Track Circuit Failure due to Leaf Contamination'** must now be entered in the free form field. The TC I.D should also be included in the equipment field

10. Special working for leaf fall track circuit operation

- 10.1 Locations where leaf fall contamination is prone to cause wrong side track circuit failures are designated as High Risk Sites.
- 10.2 All High Risk Sites are divided nationally into geographical areas. When more than two WSTCFs occur in one such area within seven days of each other, Special Working is introduced at all High Risk Sites within that area, even if no WSTCFs have occurred at them. This reduces line capacity; and the resultant delays should be attributed to **QJ** as per DAPR.
- 10.3 When special working is introduced in an area, a **QJ** incident should be set up each day for each High Risk Site on that area, including the words "Area (number) triggered" in the description and freeform text.

11. Delays connected with Railhead conditioning trains

11.1 These delays will always be attributed to Network Rail and **never** to the TOC or FOC.

Code	Circumstances
OE	Delays caused by a failure to operate the Rail head treatment trains or to place the Rail head treatment train where or when programmed.
QA	Delays caused by inadequate pathing for a RHC train (WTT)
QM	Delays caused by inadequate pathing for a RHC train (STP)
QN	Delays caused by inadequate pathing for a RHC train (VSTP)
OA/OB	Delays caused by the incorrect regulation of a RHC train
OM	Delays caused by a technical failure associated with a RHC train (NOT the delays resulting from the failure to treat the railhead)
OS	Late start or delays caused by a RHC train taking an unusually long time in a section or at a location.

12. Cause codes for Network Rail autumn related delays

Code	Circumstances
JP	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.
QH	Contamination is present but agreed vegetation measures are completed
JP	Contamination is present and agreed vegetation measures are not completed
QI	Railhead examination not carried out in line with Rule Book requirements after ERHC / LRA railhead report
QI	Cautioning of trains when contamination is present
QJ	Special working implemented for leaf fall track circuit operation

13. Delay Codes for train operator autumn related delays

M* as appropriate for vehicle type	Failure of on train adhesion equipment (e.g. WSP, sanders)
TG/FC	Signal passed at danger or station over shoot at an ERHC site due to contamination (as published in the sectional appendix or Autumn working arrangements (AWA) -
TW/FG	Minutes in excess of agreed 'reasonable time-loss' in agreed Neutral Zone or location

14. APPENDIX A - Autumn Attribution Joint Process

F1.6.1 Autumn attribution: Joint process:

