

***Delay Attribution Guide***

***September 2016***

***Briefing Document***

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

Delay Attribution Board  
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## INTRODUCTION

This brief supplements, and covers the key changes made within the September 2016 DAG and also incorporates additional process and guidance documents developed by the DAB for improved understanding, application and consistency of the attribution process.

In terms of this September 2016 issue, as you will be accustomed to, some of the changes are just cosmetic or corrective such as amending grammar or minor errors from the previous version. These are shown in the DAG in the normal red font / lined margins but won't be covered in this brief.

Most importantly, the DAB have been reviewing (and will continue to review) the common areas of perceived misinterpretation of the DAG or areas that seem to cause the most 'debate' within the Industry – be it between Operators and Network Rail or indeed internally to the individual parties. Often, many of these 'debates' are just about understanding the principles (that, for many outside the attribution world, can admittedly seem perverse at times).

Therefore you will (hopefully) notice throughout this brief that many of the changes are about trying to drive that improved understanding. It is hoped that having some of the attribution principles set out in black and white, backed up by examples where appropriate, will go some way in reducing the amount of discussions that are occurring and drive more efficiency into the process.

The last two issues of the DAG were subject to re-ordering and renumbering which it is hoped has helped with general referencing and readability of the DAG. You will be pleased to know that this issue has no such changes.

Within this brief, the general briefing notes are in standard black and the DAG entries / references are in blue italics with some additional red font used to highlight key changes where only parts of the entry have changed.

As always, feedback on the DAG and these briefings is always welcome to ensure continual improvement with each issue.

Regards,

Mark Southon  
Board Secretary

## **Part 1: Key changes within the September 2016 DAG**

### **Delay Code Changes**

#### **Delay Codes Removed**

No Delay Codes have been removed in this issue.

#### **Delay Code Additions**

No Delay Codes have been introduced in this issue.

#### **Delay Code Alterations**

Various Delay Codes have had their Description and Abbreviation amended to improve understanding and usage. Please refer to SECTION 5: DELAY CODES in the main brief.

### **SECTION 1: INTRODUCTION**

There are no material changes to Section 1

### **SECTION 2: OVERVIEW OF DELAY ATTRIBUTION AND SYSTEM DEFINITIONS**

There are no material changes to Section 2

### **SECTION 3: CATEGORIES OF TRUST DELAY CODE AND DEFAULT ATTRIBUTION**

There are no material changes to Section 3

## SECTION 4: GUIDANCE ON RESPONSIBILITIES AND CODING OF DELAY INCIDENTS

### **Clarification to Section 4.2.4 Trains Incurring Several Small Delays**

This section has been fully reviewed and updated to improve clarity and understanding of the application of certain elements relating to sub threshold attribution, particularly cumulative delay.

Paragraph 4.2.4.1 has been enhanced in order to clarify that this section relates to sub threshold delay where there is no prior threshold delays attributed.

*4.2.4.1 This section covers trains that have no prior attributable threshold delay but have incurred several small delays below the normal explanation threshold and then suffer or cause a Reactionary Delay of at least as many minutes as the threshold (3 minutes or more for most Operators) and at the time of subsequent delay is the largest cause of lateness*

Paragraph 4.2.4.2 has been reworded for improved clarity and consistency

*4.2.4.2 If the train has been regulated correctly due to its own lateness, or has caused delay to another train, and it is known after investigation why it has previously lost time (e.g. several successive TSRs or examples of station overtimes) then separate Incident(s) should be created with a Delay Code describing the cause and attributed as per the appropriate section of this Guide. The Reactionary Delay of the regulation should then be attributed to and split between the incidents (as appropriate, including the initial sub threshold prime delays) – see principles in 4.1.6. When the below threshold delays are due to P-coded TSRs, the reactionary delay should be coded JB/IQ\*\*, as per paragraph 2.6.7. Where possible, delays below the threshold should be attributed.*

Paragraph 4.2.4.5 is a new entry to cover what is (or isn't) considered cumulative delay being a much debated subject particularly when involving sub threshold delays.

*4.2.4.5 Certain circumstances should be considered as Cumulative Delay in that they may be separate delays but due to the same cause / responsibility. Cumulative delay should be attributed to the same incident cause. Examples of cumulative delay are trains running on low power or TT delay (see 4.3.1.5.2). Unrelated station overtime delays and TSR delays should be considered separate causes and attributed to individual incidents with standard attribution rules applying to reactionary delay.*

Paragraph 4.2.4.6 is also a new entry covering a threshold delay that is identified as being to more than one identified cause, again another area of debate and inconsistent application.

*4.2.4.6 In circumstances where a threshold section delay is demonstrated to be a combination of known separate causes then this delay should be split into relevant sized delays and attributed to incidents with appropriate Delay Codes describing the cause. For example a 3 minute delay split to 1 minute in IR due to a TSR and 2 minutes in RB due to passengers loading*

Paragraph 4.2.4.7 has been added to further aid clarity and understanding by setting out examples of what is, and isn't, considered cumulative delay with the rationale covered for each scenario.

**4.2.4.7 Example scenarios of trains incurring several small delays and the application of cumulative delay**

*Unless stated, all examples presume no other delays and no lateness recovered.*

*The principles demonstrated in the examples shown apply equally to delay causes in the same section as well as different sections. The caveat being that the causes are identified (e.g. RB rather than RZ)*

**Sub Threshold Example 1 - Attribution of TSRs**

*TSR A – 2' coded IS allocated to TIN X*

*TSR B – 2' coded IR allocated to TIN Y*

*TSR C – 2' coded JA allocated to TIN Z*

*The train arrives at destination 6 late and the return working has a 6 late start*

*The 6 late start is split to 3 x 2' delays and split into the 3 separate TSR TINs X, Y and Z*

*If there was a further 3' delay on the inward journey in another TIN then the 6' late start would be attributed to that TIN as the greatest impacting cause*

*Note: TSRs are identified causes with definitive delay codes and can potentially be 3 different causes and 3 different responsibilities, therefore 3 different incidents.*

*Network Rail needs to capture and report all TSRs as separate causal incidents even where they are the same delay cause they are reported as individual events.*

*The exception to this is Blanket Speed restrictions which will be captured in one incident for each DU Area*

**Sub Threshold Example 2 - Attribution of Station Delays**

*Loading bike – 2' coded RS allocated to TIN X*

*Loading wheelchair – 2' coded RQ allocated to TIN Y*

*Late dispatch – 2' coded R1 allocated to TIN Z*

*The train arrives at destination 6 late and the return working has a 6 late start*

*The 6 late start is split to 3 x 2' delays and split into the 3 separate R\* TINs X, Y and Z*

*If there was a further 3' delay on the inward journey in another TIN then the 6' late start would be attributed to that TIN as the greatest impacting cause*

*Note: Station delays are potentially 3 different causes and 3 different responsibilities, therefore 3 different incidents (exceptions such as door problem would be as underpowered trains below).*

**Sub Threshold Example 3 - Attribution of TT incidents**

Autumn A – 2' coded TT allocated to TIN X  
Autumn B – 2' coded TT allocated to TIN Y  
Autumn C – 2' coded TT allocated to TIN Z

The train arrives at destination 6 late and the return working has a 6 late start

The 6 late start is split to 3 x 2' delays and split into the 3 separate TT TINs X, Y and Z

If there was a further 3' delay on the inward journey in another (non leaf fall) TIN then the 6' late start would still be attributed to the TT TINs as they remain the greatest impacting cause.

If one of the TT delays was a 3' delay then the 6' late start would be attributed to that TIN (cumulative leaf fall still outweighing any other cause)

Note: TT coded delay, per DAG 4.3.1.5.2 (main paragraph) and 4.3.1.8 (Example 4), is treated as cumulative despite being attributed to separate incidents.

**Sub Threshold Example 4 - Attribution of an Underpowered Train**

Underpowered delay A – 2' coded MC in TIN X  
Underpowered delay B – 2' coded MC in TIN X  
Underpowered delay C – 2' coded MC in TIN X

The train arrives at destination 6 late and the return working has a 6 late start

The 6 late start is attributed in full to TIN X

If there was a further 3' delay on the inward journey in another TIN then the 6' late start would still remain a reactionary to TIN X as it remains the greatest impacting incident cause.

Note: Underpowered train delays are the same loco / unit, same cause and same responsibility therefore the same incident. Operator reporting requirements on fleet reliability requires such faults / failures to be allocated to one incident.

## **Amendments to Section 4.3 ADHESION, AUTUMN AND RAILHEAD TREATMENT INCIDENTS**

This section has undergone a full review to ensure it remains appropriate for current operational procedures and attribution processes as well as taking the opportunity to improve general content.

Paragraph 4.3.1.4.1 has been enhanced with the addition of a further bullet covering provision of vegetation compliance and delivery plan for compliance.

### **4.3.1.4.1 Jointly agreed Neutral Zones**

*Network Rail will agree with Train Operator(s) a list of locations where adhesion problems are common. These may be compiled from any supporting source, and are to be presented in the form of a list of affected TRUST delay sections. Examples of such sources are:*

- *Lists of sites vulnerable to low adhesion, as published in the Sectional Appendix.*
- *TRUST sections where performance analysis shows delays in the autumn-related categories to be high.*
- *List of sites where vegetation is non-compliant and vegetation plan delivery status.*

Paragraph 4.3.1.4.2 has been amended slightly to be less process related.

### **4.3.1.4.2 Determining the level of 'reasonable time-loss' in a jointly-agreed Neutral Zone.**

*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.*

Paragraph 4.3.1.5 has been completely rewritten to be more succinct and specific as to what the 'Neutral Zone' concept is for, specifically to remove the 'not fully understood' element.

### **4.3.1.5 The 'Neutral Zone' concept**

*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.*

Paragraph 4.3.1.6 has been reviewed and amended to improve clarity and brought in line with alterations made to the flowchart in 4.3.1.6.1.

Note 1 has been expanded to clarify that sections on a jointly agreed list can be reviewed and amended on the day of delay.  
(Note 2 and 3 remain the same)

### **4.3.1.6 Delays in TRUST sections not on jointly agreed Neutral Zones lists.**

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

*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).*

Note 4 has been clarified in part to remove the much commented on 'expeditiously as possible' phrasing and replaced with per 'Rule Book instructions'. This future proofs this section for any Rule Book changes for autumn reporting.

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

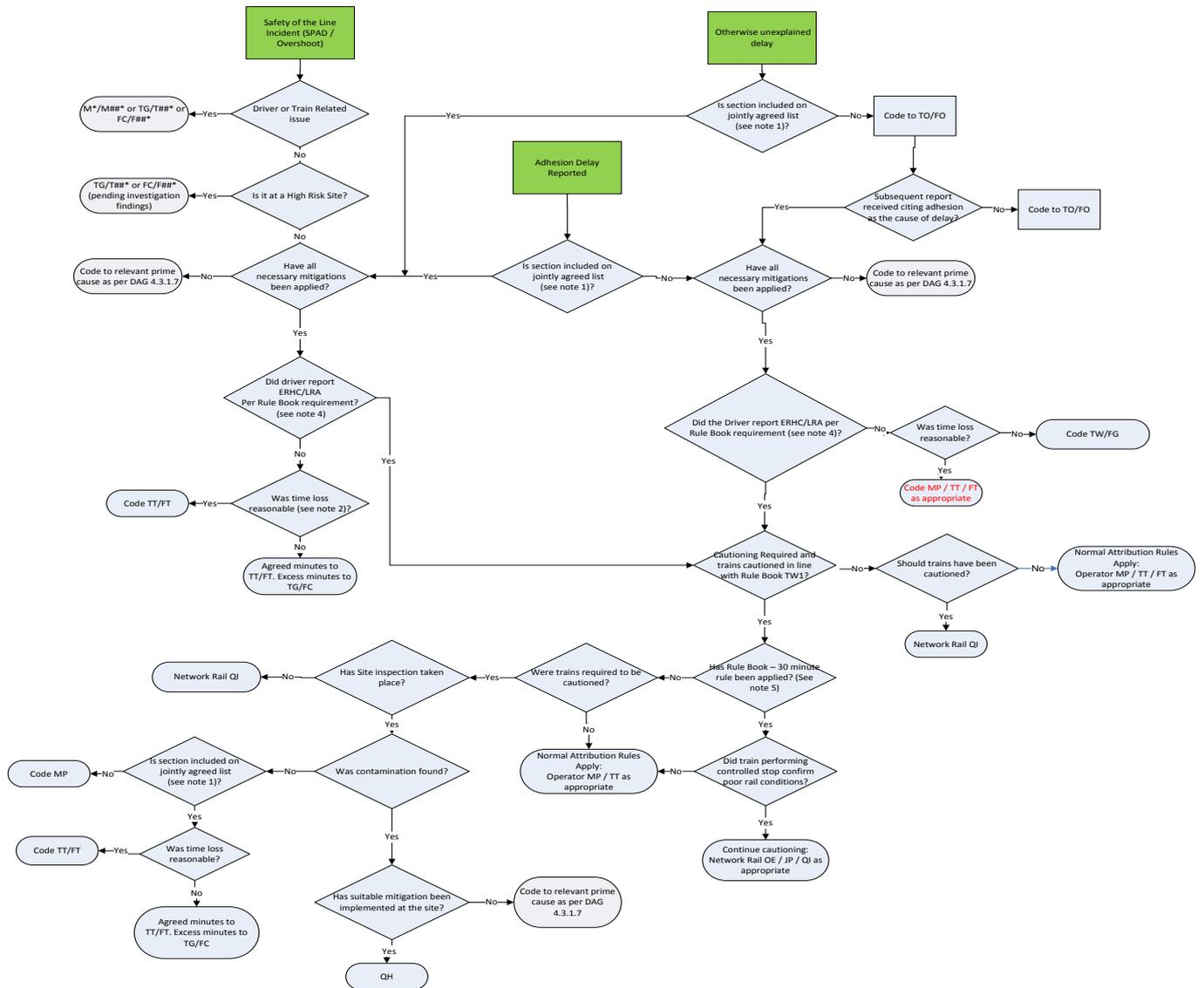
1. *Was the report received in line with Rule Book instructions?*

Note 5 has been completely rewritten as it was considered to be the main area of protracted resolution debates. In essence the DAG Guidance did not align appropriately with the Rule Book processes for site exams. Therefore referencing the relevant Rule Book processes (i.e the 30 minute rule) is considered the appropriate guidance.

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

The flowchart in 4.3.1.6.1 is now an amalgamation of the previous two flowcharts plus incorporating the third flowchart set out in the DAB Autumn Good Practice Guide. Predominantly this is to prevent referencing three different flowcharts when attributing and resolving autumn related delay.

### 4.3.1.6.1 Autumn attribution: joint process: Chart 1



The table set out under 4.3.1.7.1 has also been fully reviewed and amended to improve clarity and understanding. Only the circumstances with alterations are included below.

Circumstances ‘b’ and ‘e’ have been amended / added respectively to improve understanding of the use of Delay Code JP.

Circumstance ‘f’ (the old ‘e’) now relates to the Rule Book requirements.

Circumstance ‘g’ (the old ‘f’) has been clarified to cover the fact that cautioning will usually occur when contamination is ‘suspected’ as a Safety Measure. This was deemed more appropriate rather than the current ‘contamination present’ which caused debate when retrospective reports stated no contamination was found.

#### 4.3.1.7.1 **Guidance in respect of Network Rail attributable incidents**

<i>No.</i>	<i>Circumstances</i>	<i>Delay Code</i>	<i>Incident Attribution</i>
<i>b.</i>	<i>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.</i>	<i>JP</i>	<i>Network Rail (IQ**)</i>
<i>e.</i>	<i>Contamination is present and agreed vegetation measures are not completed</i>	<i>JP</i>	<i>Network Rail (IQ**)</i>
<i>f.</i>	<i>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 )</i>	<i>QI</i>	<i>Network Rail (QQ**)</i>
<i>g.</i>	<i>Cautioning of trains when contamination is suspected or confirmed</i>	<i>QI</i>	<i>Network Rail (QQ**)</i>

Within 4.3.1.7.5 bullet 3 has been removed and bullet 4 has been rewritten to be clear that failure to treat the railhead, regardless of reason should be coded to failure to treat and not the reason it wasn’t treated (e.g. failure of the treatment train) – see also 4.3.2.3 below

Bullet 5 covered the commercial arrangements between Network Rail and Operators for Operating treatment trains and was considered superfluous and was removed.

(The first two bullets remain unaltered and are not shown below).

#### 4.3.1.7.5 **Principles of Railhead treatment attribution (to be taken to include all forms of treatment utilised by the Network Rail routes**

- *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).*

The autumn attribution guidance in 4.3.1.8 has been enhanced in Example 4 with the scenario described currently being set out as a worked example. This is the one area where misapplication and debate has occurred previously (and supports the ‘cumulative’ amendments in 4.2.4 above)

**4.3.1.8 Additional Guidance On The Attribution Of Reactionary Delays Incurred Related To Leaf-Fall And Adhesion Attribution.**

**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*

**Two additional circumstances to the table 4.3.2.3 under Railhead Conditioning Trains have been made for clarity. Circumstance ‘k’ particularly supports the clarity sought in 4.3.1.7.5 above**

**4.3.2.3 Likely situations:**

<i>j.</i>	<i>Failure of a RHC train</i>	<i>OM</i>	<i>Network Rail (OQ**)</i>
<i>k.</i>	<i>Delays caused by the non-treatment of the railhead as a result of circumstances i and j above</i>	<i>OE</i>	<i>Network Rail (OQ**)</i>

### Additions to Section 4.7.2 Waiting Train Crew

The exceptions covered under 4.7.2.3 have been enhanced to cover circumstances where train crew are booked 'passenger' on trains 'planned' to be cancelled. This differentiates the circumstances from where unplanned disruption occurs but factors in the reduced mitigation opportunities for crews already on duty prior to planned changes being made for the next day.

#### 4.7.2.3 Exceptions:

d.	<i>If prior to working their train (after booking on duty), the relevant train-crew were booked to travel passenger on a train that was a Planned Cancellation (i.e. P* coded in line with the 22.00 cut off the previous day as per DAG 3.1.5) - Where diagram commences post the 22.00 agreement deadline.</i>	FH / TI	<i>Operator of train crew booked pass (F##* / T##*)</i>
e.	<i>If prior to working their train (after booking on duty), the relevant train-crew were booked to travel passenger on a train that was a Planned Cancellation (i.e. P* coded in line with the 22.00 cut off the previous day as per DAG 3.1.5) - Where diagram is already in operation prior to the 22.00 agreement deadline.</i>	<i>As appropriate to incident causing the Planned Cancellation</i>	<i>Responsibility of incident causing the Planned Cancellation</i>

### Amendment to Section 4.11 STATION OPERATING DELAYS

Circumstance 'ag' has been amended to Delay Code OZ (from OC).

#### 4.11.2 Likely situations:

ag.	<i>Signaller prevents passage of train after request to recover item where item is not considered an obstruction of the line.</i>	OZ	<i>Network Rail (OQ**)</i>
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## Clarification to Section 4.13 POSSESSIONS AND INFRASTRUCTURE TRAINS INCIDENTS

This section has been fully reviewed and updated to improve understanding and application of incidents relating to possession overruns and delays to engineering trains involved with possession works.

In the table for 4.13.1 below, only the circumstances amended or added are included.

### 4.13.1 Engineers ON-TRACK Equipment and Engineering Haulage Train Failure

No.	Circumstances	Delay Code	Incident Attribution
c.	<i>"Yellow Plant" or Engineers' train awaiting access to a possession site (including being held at originating location for a late starting possession).</i>	17	<i>Network Rail organisation managing the possession (IQ**)</i>
d.	<i>"Yellow Plant" or Engineers Train late coming out of possession or work site due to the work in possession or work site running late or completing late. (NOT a Possession Overrun)</i>	17	<i>The Party responsible for the work site where the problem arose (IQ**).</i>
e.	<i>"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)</i>	15	<i>The Party responsible for the work site causing the overrun (IQ**).</i>
g.	<i>Engineers train late coming out of possession site due to waiting train-crew, vehicle fault or other train operator problem (Possession Overrun)</i>	<i>Where overrun is purely due to the train involved (all works complete) and possession gives up on the train's departure F*/M*/A*</i>	<i>Train Operator (F##*/M##*).</i>
h.	<i>Engineers train late coming out of possession site due to waiting train-crew, vehicle fault or other train operator problem (Possession Overrun)</i>	<i>Where overrun is due to works incomplete regardless of any train issues 15</i>	<i>Network Rail organisation managing the possession (IQ**)</i>

**Note:** *Where a possession overrun is due to any work being incomplete, regardless of the circumstances above, delay code 15 should be used as set out in 4.13.2.5*

Circumstance 'c' has been enhanced to cover where engineering trains are held at originating point as well as outside the possession. It also clarifies that the possession manager is the responsible party for the late start of the possession (and not the root cause of the late start to the possession as was misinterpreted previously)

Circumstance 'd' has been enhanced as an engineer's train could come out late from a possession as the related works are running late - not all trains leave at the hand back of the entire possession and therefore not a possession overrun related delay.

Circumstance 'e' is a new entry covering when the engineer's train is late out of the possession when it is a possession overrun and that late start is a direct reaction to the overrun.

Circumstances 'g' and 'h' have been added to clarify a commonly misunderstood difference in circumstances relating to engineering trains 'causing' overruns.

In essence when the overrun is solely due to the train (not works related) then the appropriate Operator responsibility should be used. However, if the issue with the train has caused the physical works in the possession to overrun then it should still be classed as a possession overrun (works not complete)

The note added at the foot of the table also reiterates the principle for the avoidance of doubt.

Paragraph 4.13.2.6 has been enhanced and clarified to cover the scenario where a possession is handed back but with assets left in failure mode (where those assets were part of the works within that possession) or where works are still not completed.

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

Paragraph 4.13.2.7 has been added to clarify that the late start of a possession (regardless of reason) has no bearing on the use of Delay Code I5 for any resulting overrun.

*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.*

Paragraph 4.13.2.8 has been added to clarify (and distinguish from 4.13.2.6 above) that any asset that is left in failure mode (regardless of reason) but NOT related to the works within a possession should be coded to the respective asset failure.

*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.*

Paragraph 4.13.2.10 has been clarified to capture current process and reporting requirements whereby any delays relating to track patrols, including late hand back, should be coded to I6 to distinguish these from booked possessions (that would be coded I5).

*4.13.2.10 Delay resulting from T2, T12 or GZAM 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 defect found. T2, T12 and other 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*

The circumstances within 4.13.2.19 below have been fully reviewed to improve clarity and understanding. As before entries unaltered are not included.

Circumstance ‘e’ has been enhanced to clarify that an overrun due to works being incomplete, regardless of reason, should be coded to I5 as an overrun and NOT to the reason for the works being incomplete – and critically to specifically cover the inclusion of communications issues from site. Circumstance ‘f’ has been enhanced to reiterate circumstance 4.13.1g above so as to ensure it is not overlooked.

Circumstance ‘n’ reiterates using I6 for patrols that are given back later than the agreed time as 4.3.2.10 above.

Circumstance ‘o’ clarifies that if a patrol is given back late due to finding a defective asset then the relevant Delay Code for that asset should be utilised rather than I6. Again, reiterating 4.3.2.10.

Circumstance ‘r’ covers that Delay Code I5 should be utilised for all possession overruns including where staff action / errors are the cause.

#### 4.13.2.19. Circumstances and Exceptions

e.	<i>Overrun of Possession due to incomplete works (regardless of reason) or due communication issues to and from site.</i>	<i>I5</i>	<i>Network Rail organisation managing the possession or work site where the problem arose (IQ**)</i>
f.	<i>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).</i>	<i>F* / M* / A*</i>	<i>Train Operator (F##* / M##*)</i>
g.	<i>Where the possession over-run is caused by problem with the train plan (either for trains booked to pass during the possession or engineering trains booked from the possession).</i>	<i>QB / QM</i>	<i>Network Rail (QQA*).</i>
k.	<i>Waiting for a line blockage to be given up to pass a booked train during the planned times of the possession or track patrol. (Excluding track patrol blocks). If published any P* code allowance should be utilised.</i>	<i>I5 or I6 as appropriate</i>	<i>Network Rail organisation causing the overrun (IQ**).</i>

<i>4.13.2.19 continued</i>			
<i>n.</i>	<i>Overrun of patrol beyond the agreed times (excluding where any defect is found).</i>	<i>I6</i>	<i>Network Rail organisation managing the possession which overruns (IQ**). (Excess minutes only).</i>
<i>o.</i>	<i>Overrun of patrol as the result of a defect found.</i>	<i>I*/J* As applicable to asset.</i>	<i>As Per Section 4.12.1 (Excess minutes only).</i>
<i>q.</i>	<i>Overrun of possession, due to the removal of staff from a worksite(s) – regardless of reason for removal.</i>	<i>I5</i>	<i>Network Rail organisation managing the possession which overruns (IQ**)</i>
<i>r.</i>	<i>Overrun of possession due to a substandard action or inaction of maintenance staff or any agent working on behalf of the Possession Manager.</i>	<i>I5</i>	<i>Network Rail organisation managing the possession which overruns (IQ**)</i>

#### **Clarification and Amendments to Section 4.15.1 Mishaps and Major Safety Incidents**

This section has been amended to be brought in line with the alterations made in the April 2016 DAG with the introduction of the Holding Code Process.

*4.15.1.1 If an incident occurs on Network Rail infrastructure, for which the outcome of a Formal Inquiry, as convened in accordance with current group standards, is required to establish responsibility and this could lie with at least one Train Operator, then refer to the Holding Code section 4.15.4. If two or more Train Operators are responsible, a separate Incident may be required for the trains of each. The conclusion of the formal investigation may enable the attribution to be resolved and will allow the Incident(s) to be recoded as appropriate. In all other cases the Incident to be coded as per 4.15.1.2 and or 4.15.1.3*

#### *4.15.1.3 Particular codes:*

<i>No.</i>	<i>Circumstances</i>	<i>Delay Code</i>	<i>Incident Attribution</i>
<i>e.</i>	<i>Displaced conductor rail.</i>	<i>I1 or where agreed use Holding Code D*</i>	<i>As appropriate to either Network Rail (IQ**) or Operator of train concerned where Holding Code agreed</i>

## SECTION 5: APPENDIX A – DELAY CODES

A full review of delay code descriptions and abbreviations was carried out with Industry Parties to improve both elements to not only assist in the application of the delay codes but to better inform downstream analysis and reporting capabilities.

Below can be found a few of the key description changes made as part of this review with comments to support as appropriate. The full suite of changes are highlighted in the DAG.

AG - Wagon load incident including adjusting loads or open door

AX - Failure of off network infrastructure (FOC or private)

AK - Safety incidents and mishaps (e.g. derailments, fire or chemical spill) in off Network Rail network freight yard or terminal (including private sidings, and stations – where it affects FOC services)

FH - Planning issues including loco diagrams or RT3973 restriction not requested

FL - Train cancelled at FOC request or planned not to run

FX - Freight train running at lower class or speed than planned classification or overweight  
(Expanded to include trains overweight for improved identification)

IQ - Trackside sign blown down, missing, defective, mis-placed

IV - Earthslip/subsidence/breached sea defences (not the result of severe weather on the day of failure)

(Expanded to clarify that IV - and not an X code - should be used when the failure occurs on a day not directly affected by the severe weather – i.e. X codes should only apply where the severe weather and failure occur on the same day)

OD - Delayed as a result of Route Control decision or directive

OP - Failure of TRUST or SMART system preventing recording and investigation of delay

(Expanded to clarify that OP is only to be used where recording and investigation of delays is prevented and not where a Partie's access to TRUST is lost and subsequently causes a delay)

RC - Pre-booked assistance for a person with reduced mobility joining/alighting

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)

RQ - Un-booked assistance for a person with reduced mobility joining/alighting

RP - Passenger dropped object whilst boarding/alighting from train and train delayed at TOC request

V8 - Train striking bird (pheasant or smaller)

XA - Trespass (Including non-intentional)

XC - Fatalities or injuries caused by being hit by train (Including non-intentional)

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)

## **Part 2: Process and Guidance Documents appended to the DAG**

### **PGD1 – PRIME Cause definition / Examples (Issued September 2015)**

This Process Guide formally defines the term 'Prime Cause' (added to the April 2016 DAG) It is supported with examples of application by a number of common scenarios that should be used for briefing or referencing.

### **PGD2 – Reactionary Delay Attribution Examples (Reissued January 2016)**

This Process Guide contains explanations on how to allocate reactionary delays being a critical element of the attribution process. They are demonstrated with worked examples for what are considered the most common scenarios.

### **PGD3 – Y code application (Reissued April 2016)**

This Guide was derived from the brief that supported the Y code changes for the April 2015 DAG. It contains descriptions of all the Y codes and examples of usage.

### **PGD4 – Dispute and Resolution Process Guide (Issued September 2015)**

This Guidance Process was designed for Operators and Network Rail Routes covering disputes and resolution principles to enable timely attribution and resolution.

### **PGD5 – Delay Management TIN reattribution process (Issued September 2015)**

This Process Guide was designed for the reattribution of Management TINs including appropriate actions and timescales. It sets out there needs to be a common understanding of communication requirements between parties.

### **PGD6 – Joint Responsibility (Reissued April 2016)**

This Guidance Document sets out what does and doesn't constitute Joint Responsibility and provides a reference table for the attribution of individual trains when joint responsibility criteria has been determined. Additionally it sets out some common examples of when Joint Responsibility does and doesn't apply to aid understanding.

### **PGD7 – Holding Code (Issued March 2016)**

This guidance document sets out the appropriate use and processes to be applied by all Parties when considering an incident for Holding Code status. It prescribes what scenarios should and shouldn't be considered for a Holding Code and covers the process to follow should a Holding Code be agreed

### **PGD8 – Delay Allocation Entering and Leaving the network (Issued May 2016)**

This guidance document covers various scenarios, in diagrammatic form, of delays caused to trains waiting to enter or leave the Network Rail network.

### **PGD9 – Delay Allocation Managing Freight Services (Issued May 2016)**

This guidance document covers various scenarios of freight trains retimed / rescheduled under the Managing Freight Services during Disruption (MFSdD) Control instructions and the attribution of any subsequent delays.

**ALL THE PROCESS AND GUIDANCE DOCUMENTS CAN BE FOUND ON THE DAB WEBSITE**

**<http://www.delayattributionboard.co.uk/DAB%20Process%20and%20Guidance%20documents.html>**