

***Delay Attribution Guide***

***April 2017***

***Briefing Document***

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

## INTRODUCTION

This brief supplements, and covers the key changes made within the April 2017 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 April 2017 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.

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.

### **IMPORTANT INFORMATION**

*Recent editions of the DAG were subject to re-ordering and renumbering which it is hoped has helped with general referencing and readability of the DAG. This was part of a longer term objective to reformat the DAG completely into a Rule Book style loose leaf document.*

*This reformatting is planned to take place in June 2017 along with a further key development – the renaming of the DAG itself – pending the Industry Consultation process.*

*If successful, from June 2017 the Delay Attribution Guide (DAG will be retitled the Delay Attribution Rules and Principles (DAPR).*

*If this does come to fruition a full supporting communication plan will be developed and provided to Industry in advance of the change.*

As always, feedback on the DAG (or DAPR as it may be) these briefings and Process Guides is always welcome to ensure continual improvement with each.

Regards,

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Board Secretary

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## **Part 1: Key changes within the April 2017 DAG**

### **Delay Code Changes**

#### **Delay Codes Removed**

No Delay Codes have been removed in this issue.

#### **Delay Code Additions**

Delay Code ZS, ZU, R8 and T8 have been introduced in the April 2017 DAG

#### **Delay Code Alterations**

Delay Codes FO and TO have had their description amended

Delay Codes ZW, ZX, ZY and ZZ have been amended in terms of description and use.

*(See also Section 5 updates below for further details)*

### **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

### 4.6.1.2 New Circumstance added:

Train Overweight scenario has been added for completeness in line with amendment made to FX description in Sept 16.

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

### 4.8.8 New Section added:

This entry have been introduced to complement the Process Guide Document (PGD10) released in late 2016 covering Permissive Working (Calling-On) at stations and covers the common circumstances. See also 4.11.2 below.

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

<i>No.</i>	<i>Circumstance</i>	<i>Delay Code</i>	<i>Incident Attribution</i>
<i>a</i>	<i>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.</i>	<i>OC where advice is an aid to the Signaller</i>  <i>OZ where advice is part of agreed Operational Procedure</i>	<i>Network Rail OQ**</i>
<i>b</i>	<i>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.</i>	<i>OC where Signaller was aware</i>  <i>OD where Control were aware but failed to advise Signaller</i>	<i>OQ**</i>

#### **4.10.2 New Section introduced:**

This section was developed as a direct result of feedback received at the DAB Industry Workshop in 2016. It covers considerations and guidance for allocation of delays and cancellations during line blocking incidents that result in short notice re-planning of the train service and delivery of that revised plan. Due to the varied nature of such incidents it would be to constraining to prescribe specific allocation of responsibility.

For the avoidance of doubt this new section should **not** be taken to include TSR/ESR restrictions.

#### **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 Planning STP processes (officially bid, validated, uploaded)	QM	QQ**
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.

**4.11.2(f) Clarification**

Amendment made relating to the service frequency for connections as this entry was previously in contradiction with OW Delay Code description in Section 5.

No.	Circumstance	Delay Code	Incident Attribution
f.	Waiting passenger connections within the TOC/Network Rail Connection Policy, where the prime incident causing delay to the incoming train is a FOC owned incident	YL	Prime Incident causing incoming train to be late at that point. If the connecting service is more frequent than hourly, then separate incidents to are to be created and attributed to Network Rail (OW/OQ**)

#### 4.11.2 New circumstances (al) and (am)

These new entries have been introduced to complement the Process Guide Document (PGD10) released in late 2016 covering Permissive Working (Calling-On) at stations and cover the common circumstances. See also 4.8.8 above.

<i>No.</i>	<i>Circumstance</i>	<i>Delay Code</i>	<i>Incident Attribution</i>
<i>al</i>	<i>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.</i>	<i>R3 / R4 / R5 as appropriate</i>	<i>To Operator of train for which operational procedure is not confirmed as completed</i>
<i>am</i>	<i>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.</i>	<i>R5</i>	<i>Operator of train stopped in wrong position. (Train held outside is YO as reaction)</i>

#### 4.12.1.17 Additional bullets added:

For improved clarification with further scenarios that should not be considered for use with JL Delay Code

- *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)*

#### 4.12.2.4 Clarifications:

Revisions to condition (c) and a new condition (d) for the purpose of clarifying where JG Delay Code was previously utilised inappropriately.

Pre-existing restrictions not rectified during a possession should continue to be coded to the prior reason code and responsibility and not JG.

<i>c.</i>	<i>Where a TSR or ESR has been imposed due to possession work not being completed or is more restrictive than that planned. (Only where the restriction did not exist prior to the possession)</i>	<i>JG</i>	<i>Network Rail (IQ**)</i>
<i>d.</i>	<i>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.</i>	<i>As appropriate to pre-existing condition not remedied (NOT JG)</i>	<i>Network Rail (IQ**)</i>

**4.13.2.10 Amendment:**

Amended to remove references to T2, T12 and GZAM as outdated terminology now collectively known as 'line blocks'.

*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*

**4.15.1.3 New circumstance (u):**

This circumstances has been added covering a SPAD as a result of action by the Signaller in an emergency situation.

<i>u.</i>	<i>Signal Passed at Danger as a result of Signaller reverting signal in emergency.</i>	<i>Delay Code representing cause of Incident requiring the signal reversion</i>	<i>As appropriate to delay code and responsible party</i>
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**4.15.2.4(k) Amendment :**

This change has been made to simplify and improve the wording bringing it in line with the description of FM and TJ Delay Codes in Section 5

<i>k.</i>	<i>Head or tail lights are missing, not lit or wrongly displayed</i>	<i>FM or TJ as appropriate to type of train</i>	<i>Operator of train concerned (F##* or T##*)</i>
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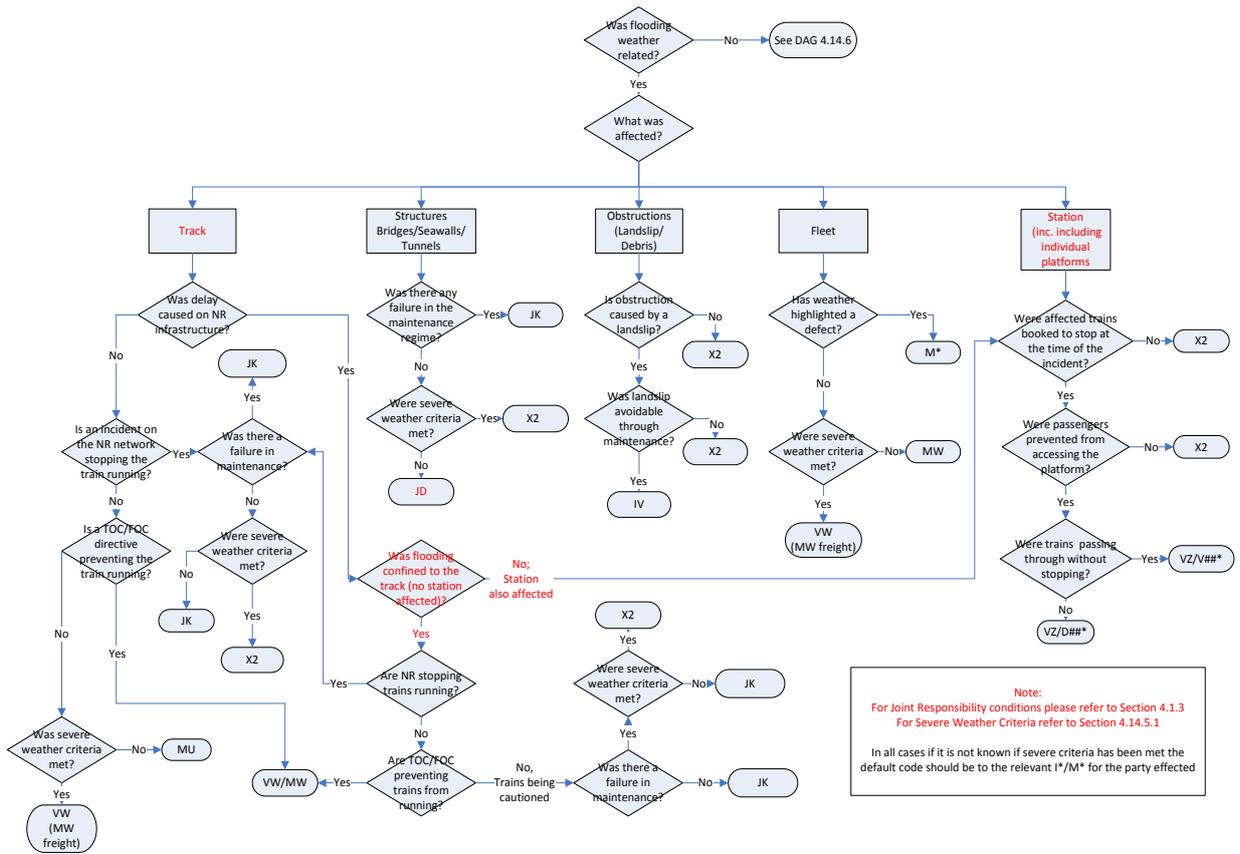
**4.15.3.5 New Equipment added:**

'GOTCHA' has been added under Network Rail Responsibility for No Fault Found being a new piece kit being introduced across the network.

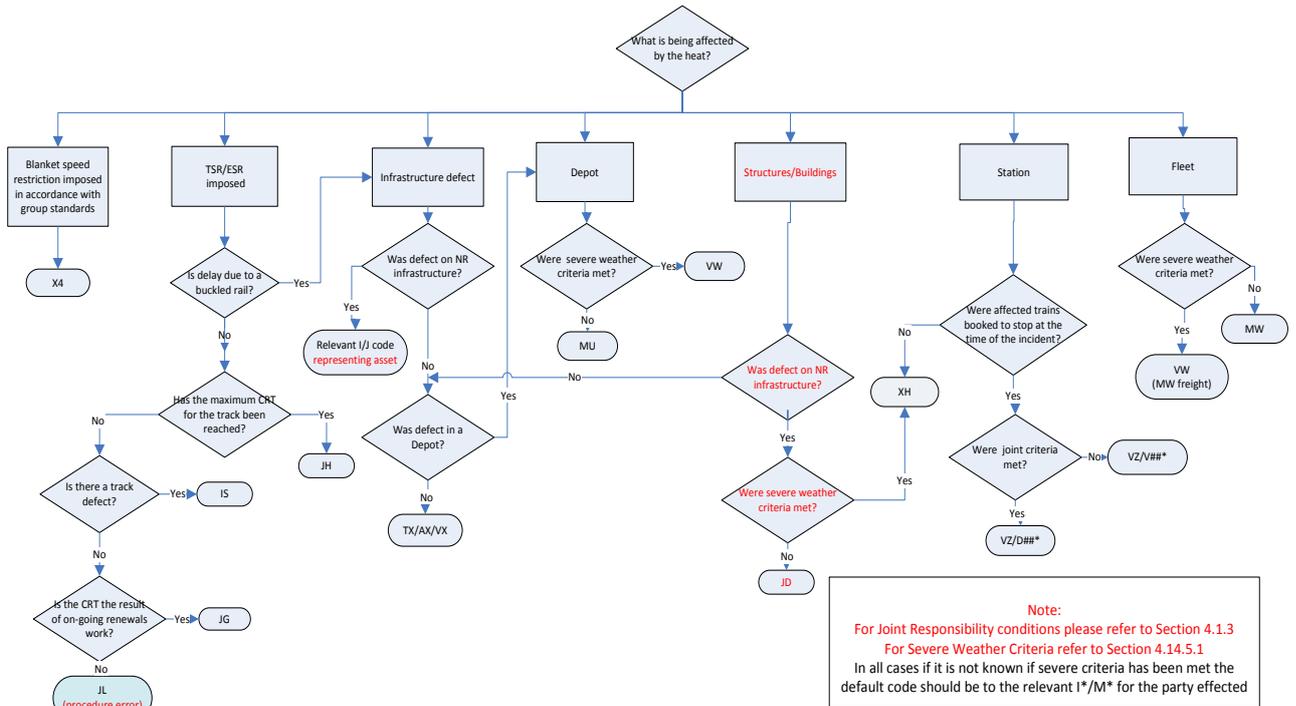
**Flowcharts**

During 2016 a full review of all the flowcharts in the DAG was undertaken to identify an errors, omissions or content requiring better clarity. The following pages contain those flowcharts that have been amended as part of that initial review. Full flowcharts are shown for ease of referencing with all changes shown in red.

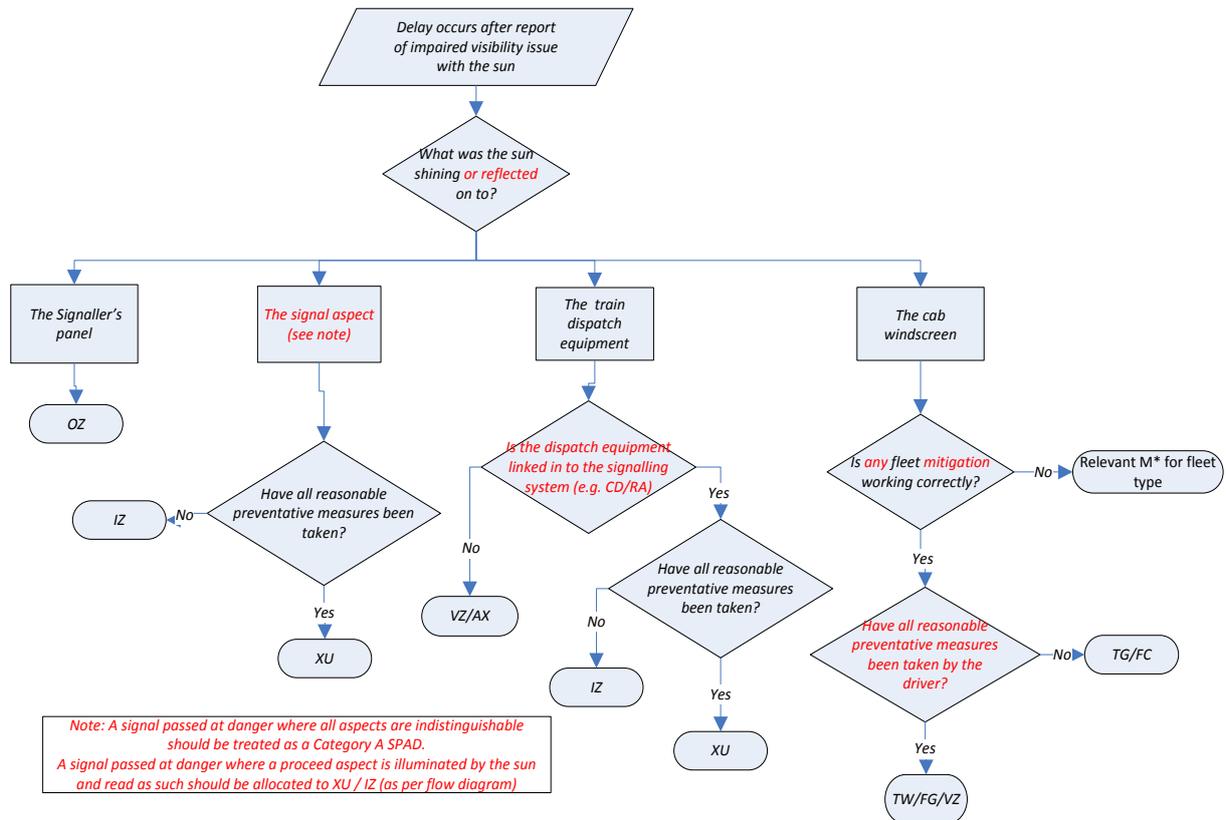
### 4.14.5.7 Flooding flowchart:-



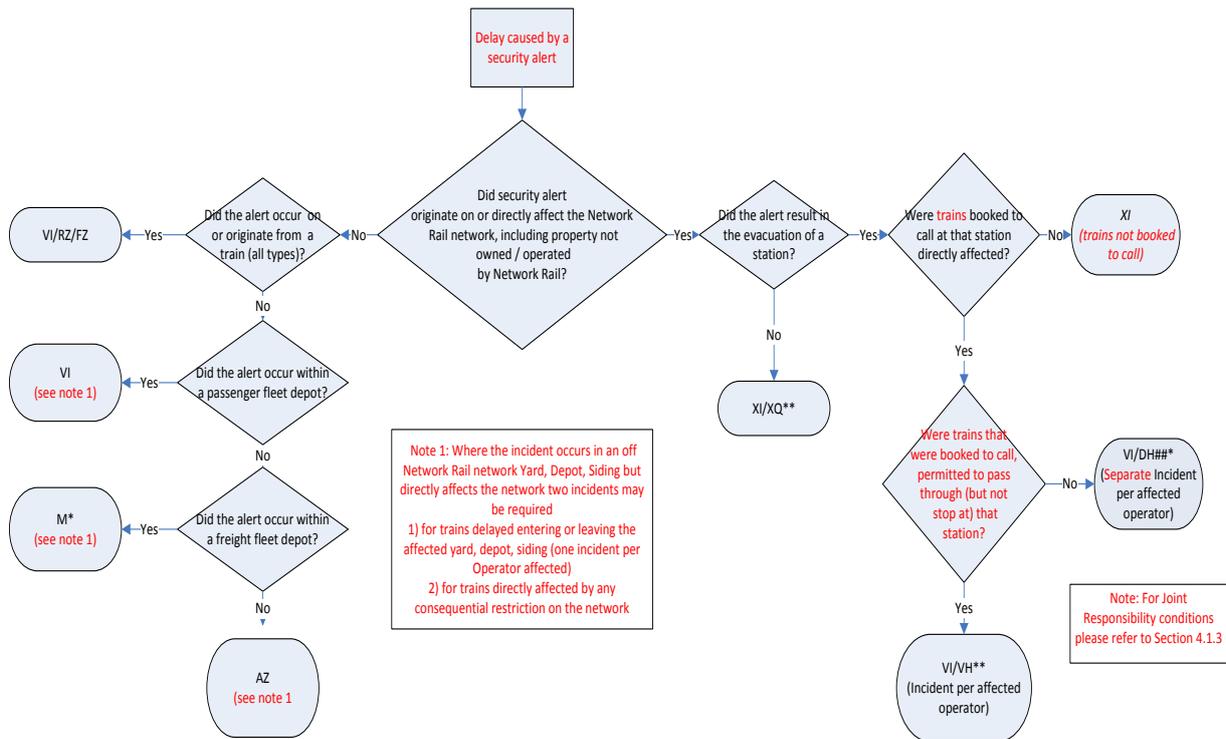
### 4.14.5.8 Heat Flowchart:-



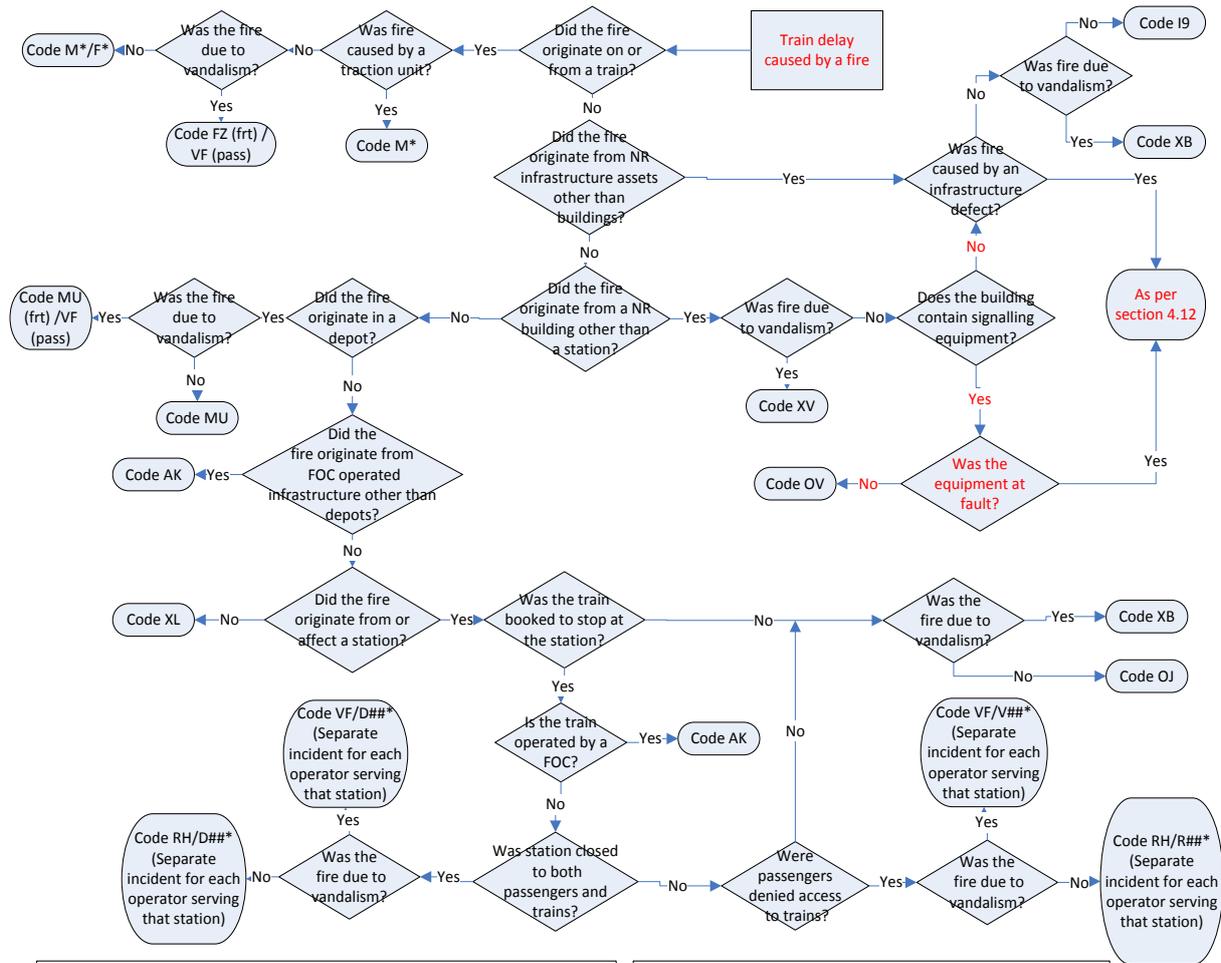
#### 4.14.5.10 Sun Flowchart:-



#### 4.14.7.7 Security Alert Flowchart:-



### 4.14.8.8 Fire Flowchart:-



**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

## SECTION 5: DELAY CODES

Below is set out the new and amended Delay Codes and descriptions made as part of ongoing Delay Code management with comments to support as appropriate.

The changes below are designed to help improve the processes relating to the investigation, resolution and downstream analysis of unexplained delays. Improved data capture (even without identified causes) can still allow performance improvement analysis and opportunities. Please see Process Guide Document (PGD12) for further information

### Amended Description and Abbreviations for FO, TO and OU as follows:-

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

### New Delay Codes, Description and Abbreviations to Section 5R and 5T as follows:

Two new delay codes introduced for improved investigation opportunities within Train Operators (and should prevent misuse of RZ delay code for station delays pending investigation)

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

### Amended Description and Abbreviations for ZW, ZX, ZY and ZZ as follows:-

The four current Z\* Delay Codes are now to be utilised specifically for System Roll Ups ONLY. Two new Delay Codes have been introduced to capture the two main scenarios that have seen Z\* Codes utilised over previous years. This change will assist in improved data recording and analytical capabilities.

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

### New Delay Codes, Description and Abbreviations as follows:

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

The following (selected) description changes have been made for consistency, improved understanding and clarity.

<i>IM</i>	<i>Infrastructure Balise Failure (TASS / ETCS / ERTMS)</i>	<i>BALISE FLR</i>
<i>IT</i>	<i>Rough ride or bumps reported - cause not known</i>	<i>TRACK NFF</i>
<i>I6</i>	<i>Delays as a result of line blocks / track patrols</i>	<i>TRK PATROL</i>
<i>PN</i>	<i>VSTP service delays of under 5 minutes caused by regulation and or time lost in running.</i>	<i>VSTP DELAY</i>
<i>XU</i>	<i>Sunlight on signal or dispatch equipment where all reasonable mitigation has been taken</i>	<i>SUN OBSCUR</i>

All other (minor) amendments to Delay Code descriptions are highlighted red in the new DAG

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

### **PGD1 – PRIME Cause definition / Examples**

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**

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**

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**

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**

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**

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**

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**

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**

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.

### **PGD10 – Permissive Working**

This guidance document covers various scenarios relating to the process of 'calling-on' at stations and the relevant responsibility of each scenario. It particularly covers the principle that station staff communication with the Signaller is seen as acting as an agent to Network Rail in the same vein that a member of platform staff dispatching another TOCs service is seen.

### **PGD12 – Uninvestigated and Unexplained**

This guidance document supports the amendments to the Z Codes (reclassification of ZW, ZX, ZY and ZZ and introduction of ZS and ZU) as well as the two new Delay Codes R8 and T8.

It sets out the appropriate use of these Delay Codes, supported by process guidance in relation to the investigation and resolution of delays deemed unexplained or uninvestigated.

### **PGD13 - Fatalities**

This guidance document supports and builds on PGD6 and specifically covers fatalities being an area cited by Industry as in most need of improved guidance supported with flow diagrams and further example incidents specific to fatalities.

### **Process Guides in the final stages of development:-**

#### **PGD11 – Queue of Trains**

This guidance document is being developed to provide improved understanding on the allocation of delays for trains in a stationary (and moving) queue of trains.

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

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