

Delay Attribution Board

Supplementary Briefing Document
to the February 2009 Edition of the
Delay Attribution Guide

Issue Dated – 01st February 2009

Issued By:
The Secretary
Delay Attribution Board
Floor 7
40 Melton Street
London
NW1 2EE

Delay Attribution Board

Supplementary Briefing Document to the February 2009 Edition of the Delay Attribution Guide

Introduction

The aim of this document is to inform users of the main changes to the February 2009 edition of the Delay Attribution Guide (DAG)

Rail industry parties submitted proposed changes to the September 2007 DAG and these were circulated in three phases for industry consultation. The Office of Rail Regulation approved the last of these proposals on the 10th December 2008 and the amendments take effect on the 01st February 2009. The changes were processed in accordance with the Network Code Condition B2.5 – B2.7 (inclusive).

The extensive changes in this edition are as a result of industry consultation on a wide range of proposals. These changes include the addition of new sections including clearer definitions of Primary and Reactionary Delay, guidance on the allocation of delays in connection with stations and the introduction of guidance for attribution of incidents in connection with the European Railway Traffic Management System - ERTMS. There are some major amendments to guidance for 'weather' related incidents with the introduction of flowcharts providing the user with a more logical approach to determining the correct coding of these kinds of incident. There are minor amendments to layout and content aimed at improving clarity of, and access to, the information contained within the DAG.

The tables below highlight the significant changes. Each of the following sections of this supplementary document details:

1. the section of the DAG affected
2. the change made and
3. the reason for the change

This information is consistent with that given to the ORR when these changes were submitted for approval.

Delay Attribution Board

DAG Section Affected	2.6 Incidents
Change	Addition of paragraphs in section 2.6 Paragraphs 2.6.7 through to 2.6.17 added. These paragraphs give guidance on the use of Railtrack Manager code when attributing incidents in TRUST.
Reason for change	Issues have been raised across a number of routes with respect to the use of the Railtrack Manager code when attributing incidents in TRUST. This becomes a particularly difficult issue when the incidents cause delays across geographic boundaries of responsibility. Clarity on the correct use of the Railtrack Manager Code has been determined after consideration of business reporting requirements and any documented Network Rail procedures indicating the intended purpose and use of the code historically. The agreed underlying principle is that the Railtrack Manager Code represents the location of an incident and that this is not necessarily the location of the first delay.

DAG Section Affected	2.7 Definitions
Change	Addition of new section 2.7 Definitions Section 2.7 deals with primary and reactionary delay Sub-sections 2.7.1, 2.7.2, 2.7.3 and 2.7.6 are new sections Sub-sections 2.7.4 and 2.7.5 are the sections 2.6.7 and 2.6.8 of the 2007 DAG.
Reason for change	The introduction of this addition to the DAG is required as currently there is no clear definition provided for Primary Delay or Reactionary Delay. Right-first-time attribution requires definitions and policies associated with interpreting train movements and the identification of a responsible train in any interaction in order to remove doubt and ambiguity.

DAG Section Affected	3.2 Categories of TRUST Delay Code and their Default Attribution
Change	New section 3.2.6 added to provide guidance for situations that may be Passenger Charter excludable
Reason for change	Currently the DAG does not provide any guidance as to specific circumstances when incidents may be passenger charter excludable, sections 3.2.4, 3.2.5 & 3.2.6 give guidance for consistent interpretation of the circumstances when it should apply and a process to follow when requests are made to re-code incidents.

DAG Section Affected	4.2 Acceptance in Freight Terminals/Yards
Change	Additional circumstance (e) appended to table in section 4.2.2
Reason for change	This change is to provide guidance for the attribution of delays caused to freight services where delay is caused solely by the location of the train being different to that in the normal schedule, e.g. the freight train is in the wrong place. This kind of scenario is readily identifiable where passenger services are delayed due to being in unplanned platforms but does not address freight terminal/yard operating issues.

Delay Attribution Board

DAG Section Affected	4.3 Adhesion Problems Including Leaf-fall
Change	Re-word last paragraph of 4.3.6.2
Reason for change	<p>It is widely understood within the industry that during leaf-fall, it is acceptable to create “blanket” TRUST incidents to allow for the simple allocation of reactionary delays to cumulative leaf-fall causes. This is a pragmatic measure to support the capture of such delays to the correct cause, if not the correct incident within the many that cumulatively comprise the impact of leaf-fall.</p> <p>This DAG amendment allows for reactionary leaf-fall delays to be allocated to the principal incident or incidents causing delay, rather than to a “bulk reactionary” incident. This amendment will also allow easier validation of reactionary delays, as the reactionary chain will sit in one incident.</p>

DAG Section Affected	4.4 Animal Strikes
Change	Replace the section ‘4.4 - Animals On the Line’ with new section 4.4 Animal Strikes
Reason for change	<p>Following the issue of guidance note DAB-16 the Delay Attribution Board concluded that, to avoid future uncertainty, there was a need to amend the Delay Attribution Guide, particularly to remove any confusion there may be within the provisions of DAG 4.4. The Delay Attribution Board Subgroup developed this amendment. The introduction of the flowchart provides a logical approach to attribution and avoids the ambiguity previously encountered in respect of incidents in connection with ‘bird strikes’.</p>

DAG Section Affected	4.8 Planned and Emergency Possessions
Change	<p>Sections 4.8, 4.34 and 4.37 deleted.</p> <p>Incorporate guidance given in these sections into one new section 4.8 Planned and Emergency Possessions</p>
Reason for change	<p>This change brings all guidance relating to attribution of incidents into one section in the DAG. Guidance on attribution of incidents enhanced to cover specific delays resulting from track patrolling and possession overruns. It also clarifies the responsibility for worksites and reflects this in attribution coding.</p> <p>The Weekly Operating Notice (WON) has an entry against each item that states which organisation is the possession manager, the principles of attribution that have been used in the past is to use this possession manager to denote the organisation that own the possession. The possession manager therefore has overall responsibility for possession management.</p> <p>In order to avoid delays to train services, work in possessions needs to be completed on time, possessions lifted and running lines returned to operational use as planned. Where possessions do overrun, corrective actions need to be appropriately targeted to avoid recurrence. It is imperative therefore that the cause of overruns are identified and correctly attributed to incidents.</p> <p>A Possession Manager, as given in the (WON), has overall responsibility for the timely completion of works in a possession and for the possession being handed back as planned. It should also be possible to identify a manager responsible for a specific worksite within a possession, particularly where the possession has only one worksite.</p>

Delay Attribution Board

DAG Section Affected	4.10 Fatalities and Injuries
Change	Amendments to 4.10.1 and 4.10.2
Reason for change	The change is intended to clarify Network Rail's responsibility for delays caused by trespass with that trespass resulting in death or injury on Network Rail infrastructure for a wider variety of causes than only being struck by trains.

DAG Section Affected	4.10 Fatalities and Injuries
Change	Clarification of 4.10.2(d)
Reason for change	To improve consistency in the attribution of some scenarios of fatality / injury attribution when it relates to stations. This proposal sets out to clarify circumstances under which incidents of fatality or injury at stations may be attributed to Train Operators.

DAG Section Affected	4.12 Fleet Equipment Problems
Change	Amendment to Clauses 4.12.1 and 4.12.4
Reason for change	This change refers to new delay codes created to enable attribution to The European Rail Traffic Management System (ERTMS). This system is becoming the standard for re-signalling schemes and is already beginning to be deployed on certain parts of the network. The system differs considerably from the conventional line-side signalling system of today with the major distinction being that equipment is mounted on-board trains to provide an in-cab signalling system.

DAG Section Affected	4.14 Flooding
Change	Deletion of current section 4.14.2 Convert the current text after 4.14.2 into separate numbered sections Also change the delay code XW to X2
Reason for change	4.14.2 Refers to rapid response, which was part of the old IMC2000 contract and no longer applicable to attribution. As part of the other proposals delay code X2 has been created for the impact of flooding due to the weather.

DAG Section Affected	4.14 Flooding
Change	Renumber 4.14.3 to 4.14.5 Delete the current situation D as incorporated into A Additional wording in B and C. Add new sections D, E, F and G
Reason for change	Weather is playing a large part of the reasons for delay, the current DAG limits the identification of weather impact with most types of weather being coded the same. The proposal will split weather types out into sub-groups allowing for better identification and ultimately mitigation of weather causes.

Delay Attribution Board

DAG Section Affected	4.16 Infrastructure Equipment Failure
Change	4.16.13 and Appendix A, Section J New code J5 for NR DOO monitor failure
Reason for change	<p>In certain Network Rail routes, Driver Only Operation (DOO) monitors are the responsibility of Network Rail to maintain and thus when they fail, attribution is to a Network Rail responsible manager code.</p> <p>Currently DOO monitors are not covered in the DAG and are coded to IZ which is a generic code not signifying a known cause. This prevents future analysis by cause code. Better cause code analysis will be possible on NR DOO monitor failures allowing a greater understanding of the delays caused and locations affected.</p>

DAG Section Affected	4.16 Infrastructure Equipment Failure
Change	New Clause:- 4.16.14 ETCS/ ERTMS Equipment Failure
Reason for change	<p>The European Rail Traffic Management System (ERTMS) is becoming the standard for re-signalling schemes and is already beginning to be deployed on certain parts of the network.</p> <p>The system differs considerably from the conventional line-side signalling system of today with the major distinction being that equipment is mounted on-board trains to provide an in-cab signalling system. This amendment indicates where attribution is made to failures of the signalling infrastructure.</p>

DAG Section Affected	4.17 Late Start from Origin
Change	Amend heading to 4.17 LATE START FROM ORIGIN. Amend paragraph s4.17.1 and 4.17.3. Insert new paragraphs 4.17.2 and 4.17.5
Reason for change	<p>This proposal expands the existing section 4.17 to include late starts not only due to late inward services. The addition of these paragraphs under 4.17 clarifies the point at which delays resulting from incidents may cease to become reactionary delays.</p> <p>In addition, it brings the guide into line with Access Disputes Panel (ADP) determinations ADP7 and ADP16.</p>

DAG Section Affected	4.23 Regulation and Signalling of Trains
Change	Existing paragraph 4.23.2 amended
Reason for change	The addition of the inserted text " <i>that caused the need to regulate</i> " emphasises that the need to regulate is driven by the occurrence of a previous delay/incident and that delay attribution seeks to identify the prime cause of that incident

DAG Section Affected	4.28 Station Operating Delays
Change	New paragraph 4.28.5 inserted
Reason for change	This change is proposed to provide guidance for the attribution of delays caused to passenger services where delay is caused solely by the location of the train being different to that in its schedule, e.g. the train is in the wrong place.

Delay Attribution Board

DAG Section Affected	4.28 Station Operating Delays
Change	Moved current 4.39.4 through to 4.39.8 to Section 28. Re-numbered as 4.28.6 through to 4.28.10
Reason for change	Provide a definition within the station delay section regarding the attribution of incidents that result in both the closure of the platforms and access of trains booked to stop at that station. This section was in the weather section of the DAG and the station section had no reference made to the circumstances surrounding joint responsibility.

DAG Section Affected	4.28 Station Operating Delays
Change	New section added:- 4.28.11 Guidance for the allocation of delays caused by an incident at a station.
Reason for change	Provides a definition within the station delay section regarding the allocation of delays at stations resulting from incidents occurring at the station or on a platform within the station. This includes incidents that result in both the closure of the platforms and access of trains booked to stop at that station/platform. Adding a flow chart provides an easy to follow logic to aid allocation of delays associated with incidents at stations.

DAG Section Affected	4.35 Vandalism/Theft/Trespass
Change	Delete circumstances K and L from table 4.35.1. Renummer remaining circumstances.
Reason for change	W' Delay Codes no longer valid.

DAG Section Affected	4.35 Vandalism/Theft/Trespass
Change	New wording in 4.35.1
Reason for change	To improve consistency in the attribution of some scenarios of fatality / injury attribution in connection with stations – particularly in instances of ‘threats’ to the Network. This change clarifies attribution of such incidents

DAG Section Affected	4.35 Vandalism/Theft/Trespass
Change	To include an additional paragraph at section 4.35.5
Reason for change	The determination of ADP 30 makes clear that under circumstances such as a train coming to a sudden halt, the correct attribution for the purposes of Schedule 8 will be determined on the balance of probabilities relating to the incident concerned. This proposal clarifies the position that alleged object strikes need to be investigated fully by both parties without any preconceived notion as to the root cause.

Delay Attribution Board

DAG Section Affected	4.36 Waiting Train-crew
Change	Additional text in 4.36.3a
Reason for change	This proposal brings the guide into line with determinations ADP7 and ADP16 in that a Reactionary Delay can only occur if the Train Operator of the outgoing service is the same operator as the incoming service.

DAG Section Affected	4.37 Weather
Change	Replace the current section 4.39.1 with the new sections 4.37.1 and 4.37.2 Section 4.37.2 is a new section incorporating the last 2 sections of the previous 4.39.1
Reason for change	The proposal is to provide guidance on when the effect of the weather meets the criteria for passenger charter exclusion by drawing attention to other types of transport that may have been affected.

DAG Section Affected	4.37 Weather
Change	Add new sections 4.37.3 and 4.37.4
Reason for change	Provide brief guidance on the impact of joint criteria incidents and their relationship to station activities.

DAG Section Affected	4.37 Weather
Change	<p>Renumber 4.37.2 to 4.37.5.</p> <p>Situation A, B, C, D, E, G, H, I, J. & K have been reworded</p> <p>The delay code in C has been changed to MU</p> <p>A delay code in E has been added</p> <p>The delay code in F has been changed to X5. (Note this reference to X5 is incorrect and should read X4 (New delay code) which is consistent with the flowcharts 4.37.6a and 4.37.6c).</p> <p>The delay code in G has been changed to XT</p> <p>The delay code in I has been changed to XW</p> <p>The delay code in J has been changed to X2 (New delay code)</p> <p>The delay code in P has been changed to X1 (New delay code)</p> <p>Situation L is unchanged</p> <p>Situations M, N,O,P & Q are all re-lettered</p> <p>R,S,T,U,V & W are all new situations</p>
Reason for change	Provide guidance on the use of existing and new delay codes in relation to common types of specific weather delays.

DAG Section Affected	4.37 Weather
Change	In Table 4.37.5 amend circumstance M and O.
Reason for change	Current text 'Infrastructure Maintainer (WR**)' no longer valid and inconsistent with 'X' Delay Codes given against the circumstances.

Delay Attribution Board

DAG Section Affected	4.37 Weather
Change	New section 4.37.6a - Delay code guidance for dealing with the impact of wind
Reason for change	Flowcharts have been used within the revised section to assist in the attribution of delays caused by weather categories

DAG Section Affected	4.37 Weather
Change	New section 4.37.6b - Delay code guidance for dealing with the impact of flooding
Reason for change	Flowcharts have been used within the revised section to assist in the attribution of delays caused by weather categories

DAG Section Affected	4.37 Weather
Change	New section 4.37.6c - Delay code guidance for dealing with the impact of heat
Reason for change	Flowcharts have been used within the revised section to assist in the attribution of delays caused by weather categories

DAG Section Affected	4.37 Weather
Change	New section 4.37.6d - Delay code guidance for dealing with the impact of snow/ice or frost
Reason for change	Flowcharts have been used within the revised section to assist in the attribution of delays caused by weather categories

DAG Section Affected	4.40 Failure of ETCS/ERTMS Balise System
Change	New Clause:- 4.40 Failure of ETCS/ ERTMS Balise System
Reason for change	ERTMS is becoming the standard for re-signalling schemes and is already beginning to be deployed on certain parts of the network. The system differs considerably from the conventional line-side signalling system of today with the major distinction being that equipment is mounted on-board trains to provide an in-cab signalling system.

DAG Section Affected	Section 7 Index
Change	The index has been moved from Section 7 and inserted on page 4 of the guide as part
Reason for change	The logical location of an index to the DAG is at the front of the document. This will enable easier reference to the appropriate section of the DAG when attributing incidents.

Delay Attribution Board

DAG Section Affected	Appendix A, Section F – Freight Operating Company Causes
Change	New delay codes FI and FS
Reason for change	<p>ERTMS is becoming the standard for re-signalling schemes and is already beginning to be deployed on certain parts of the network.</p> <p>The system differs considerably from the conventional line-side signalling system of today with the major distinction being that equipment is mounted on-board trains to provide an in-cab signalling system. The ETCS/ ERTMS system can be impacted upon by a number of factors and circumstances including human errors being made. These errors can now be made both on the infrastructure side as well as on the freight/ train operating side and distinction between the two will need to be made in order to map the true primary cause of any delay.</p>

DAG Section Affected	Appendix A, Section I – Infrastructure Causes
Change	Amended descriptions of codes IV and IW
Reason for change	Weather is playing a large part of the reasons for delay, the current DAG limits the identification of weather impact with most types of weather being coded the same. The proposal will split weather types out into sub-groups allowing for better identification and ultimately mitigation of weather causes.

DAG Section Affected	Appendix A, Section I – Infrastructure Causes
Change	Amend description of Delay Code I6
Reason for change	To specifically identify delays resulting from patrolling possessions

DAG Section Affected	Appendix A, Section J – Further Infrastructure Causes
Change	New delay code JA
Reason for change	Currently no delay code exists to correctly identify excess minutes against a planned track-work TSR that exceeds the engineering allowance or is imposed when no engineering allowance has been agreed in the Rules of the Route.

DAG Section Affected	Appendix A, Section J – Further Infrastructure Causes
Change	Add new delay codes JH and J6
Reason for change	Delay codes created to represent the effect of lightning strikes and critical rail temperatures on the infrastructure.

Delay Attribution Board

DAG Section Affected	Appendix A, Section J – Further Infrastructure Causes
Change	New Code J7 to represent ERTMS failure.
Reason for change	ERTMS is becoming the standard for re-signalling schemes and is already beginning to be deployed on certain parts of the network. The system differs considerably from the conventional line-side signalling system of today with the major distinction being that equipment is mounted on-board trains to provide an in-cab signalling system.

DAG Section Affected	Appendix A, Section O – Network Rail Operating Causes
Change	Deletion of delay code OF
Reason for change	New delay code suggested to replace OF with an X* code, as blanket speed restrictions are imposed due to extreme weather conditions, which by their nature should be passenger charter excluded.

DAG Section Affected	Appendix A, Section O – Network Rail Operating Causes
Change	Amendment to code OC to include incorrect ERTMS instruction
Reason for change	ERTMS is becoming the standard for re-signalling schemes and is already beginning to be deployed on certain parts of the network. The system differs considerably from the conventional line-side signalling system of today with the major distinction being that equipment is mounted on-board trains to provide an in-cab signalling system.

DAG Section Affected	Appendix A, Section Q – Network Rail Non-operating Causes
Change	Delete delay code QK
Reason for change	New delay code suggested to replace QK with an X* code, the regulations are only implemented in semaphore signalling areas where all economic mitigation has been undertaken, as such severe weather criteria should apply and the delays be coded to external causes.

DAG Section Affected	Appendix A, Section Q – Network Rail Non-operating Causes
Change	New delay Code QP. Amend description for Delay Code QL
Reason for change	To differentiate between reactionary delays due to P coded speed restrictions and P coded Possessions

Delay Attribution Board

DAG Section Affected	Appendix A – Section R – Station Operating Company Causes
Change	Add new delay code RW
Reason for change	Delay code created following review of weather to cover a type of station delay that is not currently covered.

DAG Section Affected	Appendix A, Section T – Passenger Operating Company Causes
Change	New code TS
Reason for change	<p>ERTMS is becoming the standard for re-signalling schemes and is already beginning to be deployed on certain parts of the network.</p> <p>The system differs considerably from the conventional line-side signalling system of today with the major distinction being that equipment is mounted on-board trains to provide an in-cab signalling system.</p> <p>This additional code covers delays resulting from on-board system operation.</p>

DAG Section Affected	Appendix A – Section V – Passenger’s Charter Excludable – TOC Responsibility
Change	Add new delay code VX
Reason for change	The proposal is to cover a gap in delay codes for excludable events off Network Rail infrastructure.

DAG Section Affected	Appendix A, Section X – Passenger’s Charter Excludable – Network Rail Responsibility
Change	Delete delay code XX
Reason for change	Delay code only exists for items on the line due to the effect of weather; it is considered to be more beneficial to attribute to which type of weather deposited the item on the line.

DAG Section Affected	Appendix A, Section X – Passenger’s Charter Excludable – Network Rail Responsibility
Change	Amend code XB
Reason for change	To provide greater clarity between items on the line due to the effects of the weather as opposed to being the result of an act of vandalism.

DAG Section Affected	Appendix A, Section X – Passenger’s Charter Excludable – Network Rail Responsibility
Change	<p>Add new delay codes XH, X1, X2, X3 and X4</p> <p>Change cause text and abbreviation of delay code XT</p> <p>Change cause text of delay code XW</p>
Reason for change	New delay codes being created to split the effects of weather away from one generic x* code and changes to the current ones to identify more specific causes.

Delay Attribution Board

DAG Section Affected	Appendix B
Change	Remove Responsible Manager Code appendices B1 to B27 inclusive .
Reason for change	The Responsible Manager list in previous revisions has not been maintained. Once the guide is issued the list becomes uncontrolled. A list of current Responsible Manager codes should be sought from Route Data Quality Specialists.

----- End -----