Delay Attribution Board

DELAY

ATTRIBUTION

GUIDE

ISSUE DATED – 1st February 2009

Issued by:
Secretary
Delay Attribution Board
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Forward
This Guide is issued by the Delay Attribution Board - a joint industry body remitted to provide guidance to the industry on delay attribution issues.

The Guide is being re-issued in order to incorporate accepted proposals for amendment to the Guide made by various Track Access Parties that were put out to general industry consultation, which closed on the 6th October 2008, and subsequently approved by the Delay Attribution Board and accepted by the Office of Rail Regulation.

Issue Revision and Distribution
This Guide will be updated and distributed, in its complete form, not more than twice per year, with any amendments being marked by a vertical black line in the adjacent right margin, additional/revised wording will be shown in italics, and deletions will be hidden (but the deletion still being shown by the black line in the margin) comparing the new document with the previous publication.

This document is issued to all Track Access Parties by the Delay Attribution Board. From 1st February 2009 this document supersedes the previous version of the Delay Attribution Guide that was issued on 16th September 2007

Delay Attribution Board
Delay Attribution Statement of Good Practice

This Statement of Good Practice is issued by the Delay Attribution Board to parties involved in the Delay Attribution Process. It has been developed in consultation with all Industry Parties and the Board considers it has wide support. While the Statement is not intended to create contractual rights or obligations the Board will expect Industry Parties to have due regard to the Statement when participating in the Delay Attribution Process.

Track Access Parties and their employees involved in the Delay Attribution Process should:

- Work together to achieve the industry vision of Delay Attribution:

  "For all parties to work together to achieve the core objective of delay attribution – to accurately identify the prime cause of delay to train services for improvement purposes",

  and in doing so

- Follow good practice in undertaking the process of delay attribution by:

i) accepting that the prime objective of delay attribution is to identify the prime cause of delay to train services for improvement purposes;

ii) accepting responsibility for ensuring that adequate resources are applied to the delay attribution process and that sufficient controls / processes are in place to ensure that attribution staff remain impartial in the attribution of delay;

iii) committing to train their staff effectively in the process of delay attribution and maintain their competence through a regular programme of competency assessment;

iv) ensuring that all appropriate information and systems are fully utilised / investigated before allocation of any incident to an Industry Party;

v) only challenging attribution of an incident where there are appropriate reasons for doing so, and in so doing only providing substantive information that informs of exactly what is being challenged to enable, where possible, correct attribution;

vi) working together to identify correctly the cause of an incident, no matter who that incident is attributed to, recognising that it may be necessary to re-attribute on the basis of new information;

vii) assisting the delay attribution process by providing whatever information is necessary to enable the correct attribution of delay and confirming the source of the information as required.

viii) working together to identify all delay (even below threshold) where practicable and cost effective;

ix) avoiding adding abusive or derogatory comments to any records (systems based or otherwise) relating to Delay Attribution;

x) to work together to develop key indicators on the accuracy of the delay attribution process that enable each party to identify areas where the process is not being applied effectively and agree to identify and implement action plans to improve the process;

xi) having in place nominated persons for each level of the delay attribution process.

DELAY ATTRIBUTION GUIDE

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SECTION 1: INTRODUCTION

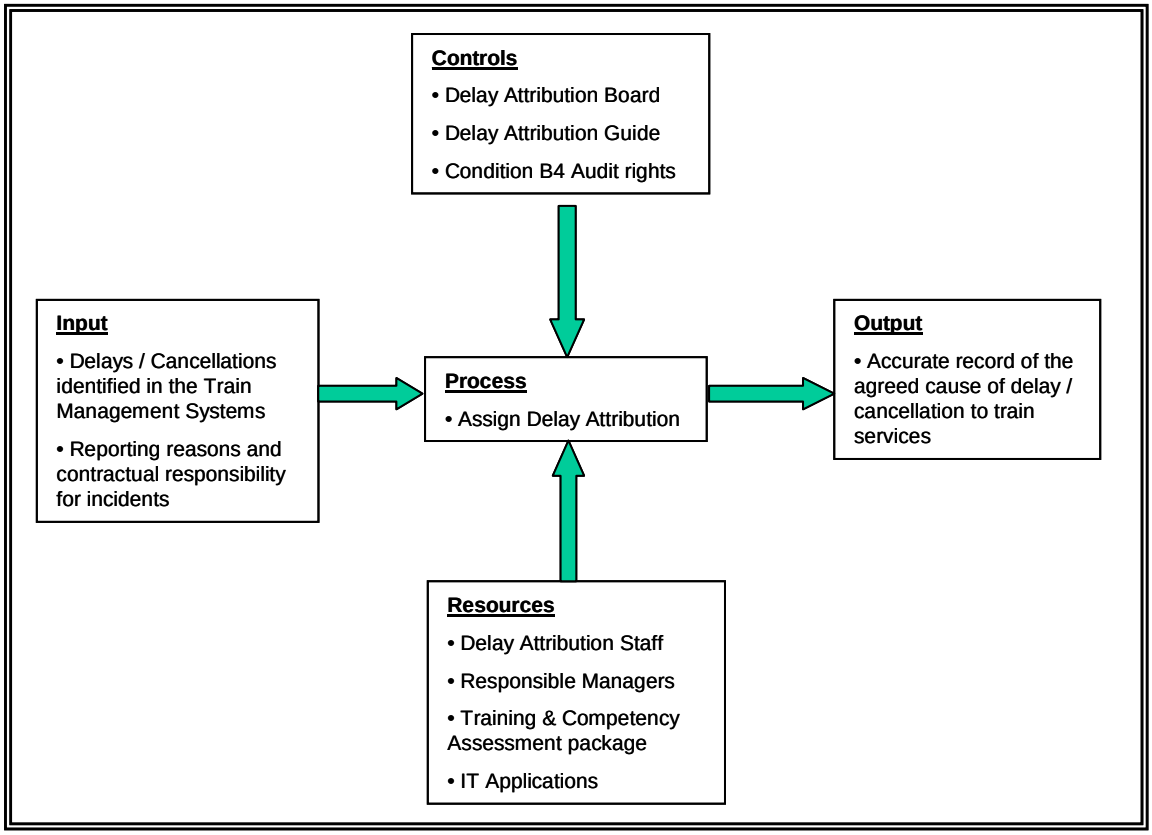
1.1 THE NEED FOR A DELAY ATTRIBUTION GUIDE

1.1.1 The accurate identification of the causes of Minutes Delay, Cancellations, Diversions and other events is of prime importance to enable all parties attributed with such information to identify action plans to improve operational performance. The Delay Attribution Vision and Statement of Good Practice (shown at the front of this document) underpin the way in which this will be achieved.

1.1.2 This document gives guidance on coding and attribution of Minutes Delay, Cancellations etc. so that there is a consistency of application and approach by all parties involved in the process of Delay Attribution.

1.1.3 The Delay Attribution Guide deals with the process of identifying the cause of delays / cancellations on the Network (that are reported in the Train Management Systems) and the process can be shown in diagrammatic form as seen in Diagram 1 below.

Diagram 1: Delay Attribution Process



1.2 CONTEXT OF THE GUIDE

1.2.1 The Delay Attribution Guide is incorporated into and forms part of the Network Code. However, the use of the word "Guide" is important as the document is not intended to cover every particular circumstance. A complete set of "rules" would be a constraint on contract management by the parties.

1.2.2 It is intended that the Delay Attribution Guide is the source of guidance on the delay attribution process as a whole to all Track Access Parties, and others involved in the delay attribution process.

1.2.3 This document can only be amended by the process defined in the Network Code - Part B. In brief this requires a formal proposal for amendment to be made in writing to the Secretary of the Delay Attribution Board (the Board). A period of industry consultation on the proposal for amendment will then take place before the Board considers the merits of adopting the proposal. The Board may then recommend that the proposal for amendment is adopted to ORR whose approval is required before an amendment can take effect. Any changes so approved will come into effect on a defined date, (i.e. will not apply retrospectively before that date). **Note:** this is a short explanatory note – please refer to Network Code Part B 2.5, 2.6 and 2.7 for the full process (which take precedence over this paragraph if there is any doubt).

1.3 PROVISION OF INFORMATION

1.3.1 **All parties involved in the process of correct identification of causes of delay are required to provide any information necessary to facilitate anyone working to establish Delay Attribution.** In order to do this all parties will ensure that adequate lines of communication are established and maintained to provide this information from both their own staff and any of their agents acting on their behalf.

1.4 RELIABILITY EVENTS

1.4.1 When a train is not able to make all the booked calls shown on the train schedule this is referred to in this Guide as a Reliability Event. They can occur in the following circumstances:

- Train cancelled for full journey;
- Train cancelled for part of journey;
- Train diverted from booked route, and fails to call at a booked stop;
- Train runs through a station it is booked to call at but does not stop.

The term Reliability Event is used for all such occurrences in the rest of this document for brevity.

1.5 THE DELAY ATTRIBUTION BOARD

1.5.1 The purpose of the Board (as defined by the Network Code - B 6.1) is to manage and oversee the effectiveness and accuracy of the delay attribution process and use of the Delay Attribution Guide.

1.5.2 In this context the Board will:

- Ensure that delay attribution is undertaken in an unbiased and transparent manner;
- Ensure that appropriate training and competency assessment is available to all persons involved in the process of delay attribution;

- Provide guidance to Industry Parties on the process of delay attribution and the interpretation of the Delay Attribution Guide;
- Make recommendations for changes to the delay attribution process to improve its efficiency and effectiveness and oversee their delivery.

1.5.3 Any correspondence with the Board should be addressed to:

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

1.6 REVISIONS TO THE DELAY ATTRIBUTION GUIDE

1.6.1 Any Track Access Party may propose revisions to the Delay Attribution Guide. Revisions should be made in writing to the address shown in 1.5.3 above and should be submitted providing the following information:

- The name of the sponsor (more than one sponsor may be proposed) – sponsors can only be Access Parties (note: ORR is also able to propose revisions, but a different process is applied when this occurs);
- The proposal – this needs to be precise i.e. proposing to insert specific words, sentences, paragraphs or diagrams into the Delay Attribution Guide and / or delete specific text / diagrams. To facilitate understanding when proposals are put out to consultation there should be one proposal per existing paragraph in the Delay Attribution Guide, unless the proposal covers the replacement / insertion of multiple consecutive paragraphs and it is more sensible to submit the proposal as one proposal;
- Other implications – would the proposed amendment have an impact on other areas beyond the proposed change to the Delay Attribution Guide i.e. as a result of benchmark / systems implications, frequency of event, and management information? Please note this is not an exhaustive list. If so the Sponsor should also suggest a proposed approach to addressing these areas;
- An explanation as to why the proposal is being made including any associated benefits.

1.6.2 Track Access Parties are reminded that whilst the Delay Attribution Guide is part of the Network Code it is also a working document. Proposals for revision should be made with this in mind. The Delay Attribution Board will consider if the proposal is fit for purpose (i.e. will be understandable to the users of the document) and may refer a proposal back to the Track Access Party if it is judged that this is not the case. Any specific rewording should be drafted in plain English.

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

Throughout this and subsequent sections, '*' represents the choice of a character. For example, Y* means a two character code with first letter Y. Similarly '##' stands for the Business Code of a Passenger or Freight Train Operating Company.

2.1 INTRODUCTION

2.1.1 This section is a brief guide to the way in which TRUST identifies the occurrence of train delays and then allows explanation and attribution of these together with Reliability Events.

2.1.2 The TRUST system has essentially four component parts:

- The Train Plan;
- Records of the times at which trains arrive, depart or pass specific locations;
- The cause of train delays and Reliability Events;
- Incidents which can be attributed to the 'responsible' organisation and to which individual train delays and Reliability Events can be allocated.

2.2 THE TRAIN PLAN

2.2.1 TRUST accesses the Train Schedule, the timetable for each individual train that is planned to operate on a given day. The arrival and departure time at all calling points and also the passing time at other key locations is included as part of the schedule. Normally, schedules are created through interface with the Access Planning systems within Network Rail. However, Network Rail Controls can create schedules principally for Very Short Term Planned specials (advised to Network Rail outside the normal Operational Planning Unit timescales). Depending on the timescale of creation, these can be either Applicable or Non-Applicable timetable services for Performance regime purposes, though they are all subject to normal Delay Attribution.

2.3 TRAIN TIME REPORTS

2.3.1 By either automatic (direct links to TRUST from modern signalling systems) or manual (keyboard input) means, it is possible to report the times that trains arrive, depart or pass Recording Points. These are a specific sub-group of all locations shown on a train's schedule and normally reflect stations or yards at which major activity takes place and key junctions. TRUST also treats all origin and destination locations for a given train as pseudo Recording Points, if required, although normally this is only necessary for freight trains.

2.3.2 By comparing the time at which a train actually arrives at, departs from or passes a Recording Point with that shown in the Train Schedule, TRUST is able to calculate the 'Lateness' at that particular point. This comparison is be made against the Working Timetable.

2.4 RECORDING OF RELIABILITY EVENTS

2.4.1 Full train cancellations and the majority of partial cancellations can be recorded directly in TRUST. Only trains diverted to an alternative destination can be recorded as diversions. For other types of Reliability Event the Failure to Stop report should be used in respect of all locations at which the train is booked to call. See paragraph 1.4.1 for definition of Reliability Events.

2.5 DELAY CAUSATION

2.5.1 By comparing two successive recordings of Lateness, TRUST identifies any 'Minutes Delay' that a train has incurred. It is these Minutes Delay, essentially incremental Lateness, that are pivotal to the TRUST delay explanation and attribution process as they can be attributed to Train Operators, Network Rail or its suppliers using the Incident concept (see Section 2.6). The Lateness at a given Recording Point, subject to a train being able to recover lost time, is the aggregate of all the individual Minutes Delay from origin to that Recording Point.

2.5.2 Minutes Delay fall into three categories:

- Late starts where the Minutes Delay is equal to the Lateness of departure;
- Location delays which are Minutes Delay incurred between the arrival at and departure from the same Recording Point at which a train is booked to call. This is known as 'station/yard overtime';
- Section delays which are Minutes Delay incurred between two successive recordings at different Recording Points.

2.5.3 Once Minutes Delay have been identified as having been incurred, the TRUST system will seek explanation of these. This includes unrecovered time where Recovery Time is shown in the Train Schedule between two successive Recording Points and a late running train arrives/passes the second location late. Firstly it will look to see if there is 'Network Delay' for that location or section between two successive TRUST Recording Points. A Network Delay is used to explain small delays (normally), up to a specified threshold, that will be inflicted upon every train due to a particular problem, for example, a Temporary Speed Restriction or a signal failure requiring trains to stop and the driver to be cautioned past the signal by the signaller.

2.5.4 Any Minutes Delay that cannot be explained 'automatically' by a Network Delay are then directed to a particular point (normally a Network Rail Control or signalbox) for explanation subject to any minimum threshold that may have been set. Delays below this threshold are *excluded* from the explanation and attribution process and are known as 'Derived Delays'. However, sometimes these will be explained and attributed to provide additional information for performance management purposes but will not feature in Performance Regime calculations. As part of a system based communication process to reduce the level of telephone calls, these initial 'Delay Requests' for a particular station could be sent to a Train Operator's representative for initial explanation although Network Rail would still be responsible for attribution.

2.5.5 As part of the Train Consist reporting procedures, Freight Operators are required to input a 'Late Start Reason Code' (Delay Code) when a train leaves a private siding or yard late. This might include Simplified Direct Reporting freeform text, which is added to support the use of a particular delay code, e.g. the inward service that caused a late start for which code Y* has been used.

2.5.6 The delay explanation for those above the threshold or those explained by Network Delays is in the form of a TRUST Delay Code that indicates the cause, e.g. points failure, locomotive failure, wrong regulation. The Delay Code consists of two characters with the first indicating the general type of delay: Infrastructure failure, Network Rail Production or Train Operator problem etc. The second allows categorisation to provide more detail.

2.5.7 When trains are recorded in TRUST as 'cancelled' either throughout or for the first or last parts of their booked journey, a Cancellation Code is mandatory. Similarly for trains diverted from their booked route and which start or terminate at a location off this route. These codes are those Delay Codes that are meaningful for cancellations/diversions.

2.6 INCIDENTS

2.6.1 The TRUST Incident concept allows allocation of instances of Minutes Delay and/or Reliability Events to a particular occurrence and attribution to a 'responsible' organisation.

2.6.2 Each separate and unconnected occurrence resulting in Minutes Delay and/or Reliability Events is set up by Network Rail staff as a TRUST Incident. They may also be created for other events in which case they have no relevance to train performance schemes until Minutes Delay etc. are allocated to them. It is a partly structured 'log entry' describing the event and includes five particularly important fields:-

- Incident Title (up to 30 characters)
- Description Code (TRUST Delay Code)
- Responsible Manager Code
- Acceptance Status Code
- Free format text (currently maximum of 30 lines).

2.6.3 The type of occurrence is codified using the TRUST Delay Code that best describes it. This coding attracts a default Responsible Manager Code identified by TRUST. However, it is possible to overtype this if the automatic attribution is at variance to the Contractual responsibility for that particular event.

2.6.4 The Responsible Manager Code consists of four characters. Normally the first coincides with the initial letter of the Delay Code to drive the automatic attribution process. However, any can be matched to a Network Rail Production code (OQ**) and there is also some flexibility with other codes to reduce the number of different Responsible Manager Codes required for each organisation. This is detailed in paragraph 3.2.3.

2.6.5 The middle two characters are the finance systems Business Code for the organisation involved. There are separate ones for each Network Rail Route, TOC, Freight Operator and TRC plus a few support companies. These also drive the security arrangements for browse and update access as they also form part of the user NCI sign-on (see section 6).

2.6.6 The last character allows the subdivision of a particular organisation to reflect different managerial responsibilities. For certain Train Operators the last character differentiates between trains operated under different Track Access Agreements. The system allows these to be changed by staff in the Responsible Manager's organisation. In particular, Train Operators may wish to use this facility to assist with identification of attribution to their own sub-contractors but the last letter must not be altered without Network Rail's agreement if the Incident would switch to a different Access Contract. Network Rail will not be responsible for correct allocation of managerial responsibility

within another company's organisation but will set up required codes in the TRUST Systems Tables.

2.6.7 The Railtrack Manager Code represents the location of the incident that caused the delay minutes or cancellations. Whilst this overriding principle should be applied when attributing incidents, care must be taken to fully investigate each incident to ensure it is correctly applied.

2.6.8 Where a delay is caused on another Route or GM Area as a result of a TRUST section spanning two Routes or GM Areas, the delay in the case of an asset failure should be attributed to the owner of the asset responsible for the failure (through use of the Responsible Manager Code) and to the area in which the asset failed (through use of the Railtrack Manager Code).

2.6.9 In the case of incidents involving, for example, animals on the line, vandalism or trespass where a location has been identified the Railtrack Manager Code used in the TRUST incident should represent the Route or GM Area that the incident occurred on.

2.7.0 When incidents occur where a specific location has not been identified, i.e. an unconfirmed report of stone throwing, the Responsible Manager and Railtrack Manager Codes used should represent the Route or GM Area of the TRUST section that the delay alert is generated on. This should be the default code generated by the TRUST DA system.

2.7.1 Where a Route or GM Area have running lines that cross each other or run adjacent to each other and an incident occurs on one Route or GM Area resulting in trains being delayed, i.e. as a result of a fire on NR infrastructure, the delay should be attributed a Responsible Manager and Railtrack Manager Code that represents the Route or GM Area that the original incident occurred on.

2.7.2 If an incident occurs off the Network e.g. a security alert or fire and it doesn't directly affect an asset but does affect more than one station, yard, depot or running lines, a separate primary incident should be created for each directly affected location. The Railtrack Manager should represent these locations, not withstanding the requirements of the DAG when one incident for each affected train operator is required.

2.7.3 If an incident occurs off the Network and directly affects an asset and in the process affects more than one station, yard, depot or running line, the incident should be created in accordance with the DAG and the Responsible and Railtrack Manager codes should reflect the GM Area that owns the affected asset.

2.7.4 If a security alert is on the Network and affects more than one station, yard, depot or running line the incidents should be created in accordance with the DAG and the Responsible Manager and Railtrack Manager Codes attributed should represent the GM Area that the incident occurred on.

2.7.5 Cross-boundary delays due to wrong regulation should be attributed to the Route or GM Area that were responsible for causing the delay. The Railtrack Manager and Responsible Manager codes must represent the Route or GM area whose signalbox made the last wrong regulating decision.

2.7.6 Cross Boundary Delays resulting from VSTP. These incidents are an exception to the rule as the incident can be the result of a decision made in a remote location not represented by any Railtrack Manager Code and the limitations of the current delay attribution system do not allow for the kind of complexity faced with these types of incident. Therefore;

*2.*7.6.1 *When delays occur as a result of schedule errors, including VSTP moves, the incident should be attributed a Railtrack Manager Code that represents the Route or GM Area that the delay alert is generated on (because that is where the incident first manifests itself) and a Responsible Manager Code indicating the responsibility for the creation/validation of the VSTP that caused the incident.*

*2..*7.7 *Railtrack Manager Code Attribution Examples:*

A. Incident with a known location

- *A train is delayed or held on Route or GM Area 'A' due to an asset failure that has occurred at an identified location on Route or GM Area 'B'. The delay should be attributed to an incident with the Railtrack Manager code of Route or Area 'B'.*

B. Incident with no known location

- *A train is delayed or held on Route or GM Area 'A' as a result of an incident for which no known location has been identified. The delay should be attributed to an incident with the Railtrack Manager code of Route or Area 'A'.*

C. Where lines run adjacent or cross over each other

- *Where Route or GM Area 'A' running line crosses over Route or GM Area 'B' running lines and an incident occurs on Route or Area 'A' affecting trains on Route or Area 'B', the delay should be attributed to an incident with a Railtrack Manager code of Route or Area 'A'.*

D. Wrong Regulation

- *A delay on Route or Area 'B' caused by wrong regulation by the last signalbox on Route or GM Area 'A' should be attributed to an incident with a Railtrack Manager Code of Route or Area 'A' as the owner of the signalbox that caused the delay.*

E. Schedule Errors including VSTP moves.

- *Where a train has incurred delay due to a schedule error, the delay should be attributed to an incident with a Railtrack Manager representing the Route or GM Area where the delay alert has been generated.*

F. Fail to Mitigate incidents

- *When Route or GM Area 'A' requests a 'failure to mitigate' incident (that is attributed to a Train Operator) to be created on Route or GM Area 'B' for an incident that originated on Route or Area 'A' then the Railtrack Manager should be that of Route or Area 'A'.*

- *When Route or GM Area 'A' requests a 'failure to mitigate' incident (that is attributed to Network Rail) to be created on Route or GM Area 'B' for an incident that originated on Route or Area 'A' but has been exacerbated by a failure to mitigate by Network Rail on Route or Area 'B', then the Railtrack Manager should be that of Route or Area 'B'.*

2.7.8 It is important that TRUST incidents are updated as new or later, more accurate information comes to light, particularly information that relates to the Delay Code and Responsible Manager. All information which assists the process of accuracy and clarity should be entered promptly, and reference made to the source of data/information in the freeform text.

2.7 DEFINITIONS

2.7.1 Primary Delay

A Primary Delay is a delay to a train that results from an incident that directly delays the train concerned, irrespective of whether the train concerned was running to its schedule (schedule includes booked platform or line) at the time the incident occurred, i.e. the delay is not the result of another delay to the same or other train. Primary Delay should not be attributed a 'Y' reactionary code.

2.7.2 Reactionary Delay

A Reactionary Delay is a delay to a train that results from an incident that indirectly delays the train concerned, i.e. the delay is the result of a prior delay to the same or any other train.

2.7.3 Section 4.1.10 provides an example of attribution of a series of delays occurring to a Plymouth to York train. In the example given, trains held behind the Plymouth to York train held approaching Derby should be attributed to the signal failure as a Primary Delay until dissipation of the queue of trains has begun. Any delays to trains joining the queue after this train should be treated as Reactionary Delays.

2.7.4 All Delay Minutes and Reliability Events explained under 2.5.3, 2.5.4, 2.5.5 or 2.5.7 can then be attributed to the 'prime' incident. This includes the Y Reactionary Delays which describe Delay Minutes caused, normally away from the immediate vicinity of the incident, due to the consequential late running of one or more trains that have been delayed by it. The reporting number of the other train involved in the Reactionary Delay should be shown in the free format delay text field. Minutes Delay requiring explanation as per 2.5.4 can be allocated to an existing Incident if they are incurred in the vicinity of its occurrence (i.e. not a Reactionary Delay), once investigation has shown no other incident has occurred, in which case they pick up the same Delay Code as the Incident. Reactionary delays (Y*) must not be used against P-coded incidents; a fresh incident should be created in accordance with Sections 4.29* and 4.8*.*

2.7.5 It follows that TRUST Incidents must not have a Y Delay Code. The analysis of Reactionary Delays in a particular area (irrespective of the Incident) allows identification of delays resulting from managerial procedures (including those in the Access Conditions like Train Regulation). On the other hand the full effect of particular Incidents (both prime cause and knock-on) can be measured by extraction of Incident information.*

2.7.6 Where a train diverted from its scheduled line or platform causes a delay, Reactionary Delay is allocated to the prime incident that caused the diversion, irrespective of the lateness of the diverted train. Any excessive delay incurred to the diverted train within the diversion should be investigated as a potential new prime incident. Where the diverted train is delayed by a new prime incident the further delay should be allocated to the new prime incident and not the reason for the diversion.

SECTION 3: CATEGORIES OF TRUST DELAY CODE AND DEFAULT ATTRIBUTION

3.1 BASIS OF ATTRIBUTION

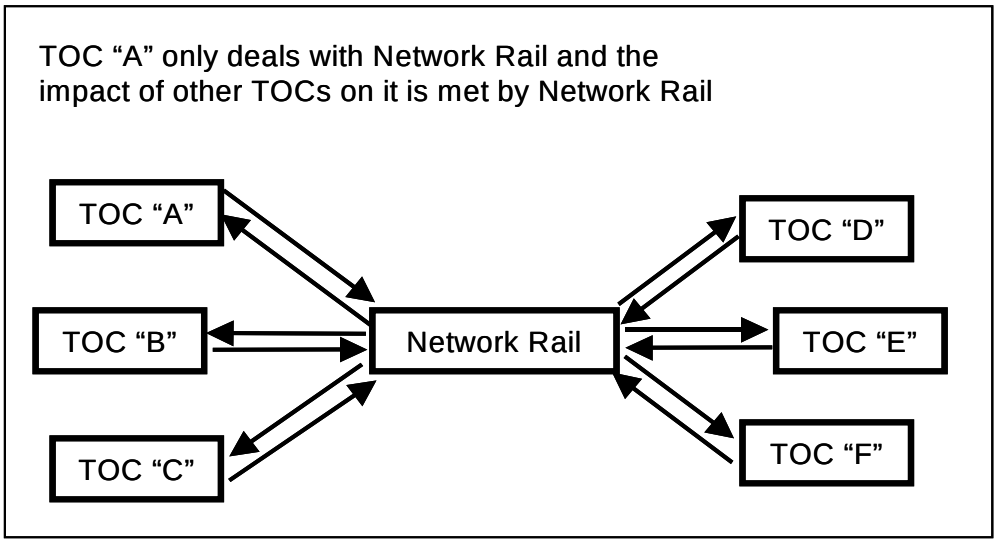
3.1.1 The Guide reflects the principles of the Track Access performance schemes by regarding the roles of the Track Access Contract parties as below:

- Network Rail - Operator of Infrastructure (The Network)
- Train Operator - Operator of Trains

3.1.2 Where, in these roles, either party contracts with another organisation then any Minutes Delay or Reliability Events as a result of a separate contract are still attributable to the party concerned. As far as a Train Operator is concerned this includes responsibility for Incidents associated with hiring resources and access to stations (including Major Stations) and Light Maintenance Depots.

3.1.3 Under the Access Contracts Network Rail is responsible for the effects of one Train Operator, but only as an Operator of Trains (see 3.1.1), on another in respect of problems on the Network Rail infrastructure, the so-called 'Star Model'. So that the full impact of an occurrence can be evaluated and to support certain Open Access Contracts all Minutes Delay and Reliability Events will be allocated to the associated TRUST Incident.

Figure 1 - Schematic of the Star Model



3.1.4 Attribution will normally be to the prime cause of delay, which may be the initial reported cause of the delay or the symptom by which a more complex prime cause manifests itself.

3.1.5 If an operator's service is delayed due to overcrowding as a result of another operators train either being cancelled or delayed, any delay or cancellation is to be attributed to prime cause of why the initial train was delayed or cancelled.

3.2 CATEGORIES OF TRUST DELAY CODE AND THEIR DEFAULT ATTRIBUTION

3.2.1 As mentioned in Section 2, the TRUST Delay Codes are used to describe the TRUST Incident causing Minutes Delay and/or Reliability Events. The initial letter of its TRUST Delay Code drives the automatic default attribution of a TRUST Incident. If the Delay Code describes an occurrence normally attributable to Network Rail or its contractors, then it and the Incident location allow selection of the default Responsible Manager Code, reflecting the geographic nature of Network Rail. If the TRUST Delay Code is normally associated with Train Operator causes, its combination with the identity of the first train allocated to the Incident allows TRUST to identify the default Responsible Manager Code. This reflects the ability of Train Operators to operate across the Network.

3.2.2 Clearly there will always be certain scenarios where the default attribution is not appropriate. These will either be identified directly by Network Rail or as part of the contract management process in real time or after the event.

3.2.3 In drawing together this Guide, cognisance has been taken of the emerging Contractual responsibilities upon Train Operators, Network Rail and Network Rail's Contractors, and to ensure that these are encompassed as far as possible in the Delay Codes. The table below gives details of the categories including the default attribution and the form of the associated Responsible Manager Code. The full list of codes is shown in Appendix A. Changes to these codes will be advised through an update of this Guide.

Delay Code Category	Brief Description	Default Attribution and Responsible Manager Code Form	Other Valid Responsible Manager Codes (Proposed)
A	Freight Terminal Operations Causes	Operator(s) of trains affected (A##*)	O***
F	Freight Train Operator causes (excluding Fleet and Terminal problems)	Operator (F##*)	O***
I and J	Non Passenger's Charter Excludable infrastructure problems	Infrastructure Maintainer (IQ**)	C*** Q*** O***
M	Passenger and Freight Train Operator Fleet problems	Operator (M***)	D*** O***
O	Network Rail Operating causes	Network Rail (OQ**)	
P	Planned or excluded delays/cancellations	See paragraph 3.2.5 (PQ**)	O***
Q	Network Rail internal non-Operating causes	Network Rail (QQ**)	O***

Delay Code Category	Brief Description	Default Attribution and Responsible Manager Code Form	Other Valid Responsible Manager Codes (Proposed)
R	Station Operations Causes	Operator(s) of passenger trains affected (RH**)	D*** O***
T	Passenger Train Operator causes (excluding Fleet and Station problems)	Operator (TH**)	D*** O***
V	Passenger's Charter excludable events the responsibility of Passenger Train Operators	Operator (VH**)	D*** O***
X	Passenger's Charter excludable events the responsibility of Network Rail	Network Rail (XQ**)	D*** O***
Y	Reactionary/consequential delays arising as a result of trains being delayed earlier by a given incident	As per Incident to which they are allocated	
Z	Unexplained delays and cancellations	As per individual Access Contracts	O***

3.2.4 *Although reference to Passenger's Charter excludable events has no relevance for non-passenger Operators, the separate coding of such events allows any Passenger Operator to separately identify any associated Minutes Delay or Cancellations for exclusion from Passenger's Charter figures. While this document seeks to identify likely circumstances where Passenger's Charter exclusion may apply and provide a definition of when Passenger's Charter exclusion criteria have been met, it is the Train Operator's prerogative as to whether any particular incident is excludable.*

3.2.5 *In the event of a request to exclude a particular incident being received which does not appear to accurately reflect the circumstances of the incident or meet the criteria laid down for passenger charter excludable delays (As defined in DAG 3.2.6), the request must be further confirmed with the operator, to avoid errors. The operator should be asked to justify the details of the request, which must then be entered in the freeform and the incident recoded. Such recoding should not be undertaken without supporting justification being provided and documented*

3.2.6 For passenger charter exclusion criteria to have been met then at least one of the following principles should apply: -

- *the relevant authorities advising the public not to travel due to adverse weather*
- *the Met Office issuing a severe weather notice to the industry*
- *other modes of transport are being affected by severe weather e.g.*
  - *motorway traffic being disrupted*
  - *airports being affected*
  - *local roads been affected*
  - *ferry sailings having been suspended*
- *a railway asset is operating outside of the design parameters due to the conditions being experienced*
- *an incident that is not avoidable by industry partners and is not the responsibility of a railway industry company*

- *an impact on the operation of the railway caused by individuals or organisations outside of the railway industry*

3.2.7 Where the cause is known about in advance and can be excluded contractually from the Track Access Performance Regime, for example certain Temporary Speed Restrictions (TSR's) and Possessions, the appropriate P* Code (Planned or excluded Delays/Cancellations) is used. In these circumstances the known occurrence of such delays is normally reflected in the Train Schedule on the day in the form of Recovery Time, often shown on a subsequent TRUST section, or inflated point to point running times. In some cases payment will have been made for this under Schedule 4 or through an Amended Timetable mechanism. It should be noted that Condition of Track/Structure speed restrictions will not necessarily qualify in this way contractually. Some will be attributable to Infrastructure Maintainers. The default Responsible Manager Code will be a Network Rail one (of the form PQ**) but this may be overridden as described in Sections 4.29 and 4.8

3.2.8 P* Codes may also be used to avoid allocation of particular Minutes Delay and/or Reliability Events to either Track Access Party and hence exclude them totally from the Performance Regime. The codes PE, PG and PK are to be used, under certain conditions explained in the Business Process Manual, when a planned train cancellation does not have its schedule cancelled in the Train Service Database (TSDB). All TSDB cancellations are automatically coded PD. TRUST/TOPS inputters must not use this latter code. The code PL is only to be authorised for use by Account Executives for specific Incidents (with Responsible Manager Code PH**) where the Train Operator and Network Rail agree to the exclusion of all delays and cancellations for that Operator only. If other Operators are affected then a separate Incident must be created for the Operator concerned. Suitable documentation must support each use of this code.

SECTION 4: GUIDANCE ON CODING OF INCIDENTS *AND* CONTRACTUAL RESPONSIBILITIES IN REAL TIME

4.1 INTRODUCTION

4.1.1 This section gives detailed guidance to Network Rail Control, Performance and other staff on how many types of occurrence causing Minutes Delay and/or Reliability Events should be codified, and identifies likely situations where the default attribution may need to be overridden. It should be noted that the list is not exhaustive. The contracting parties will be expected to agree attribution for events not fully covered by this Guide or for which exceptional circumstances apply. See paragraph 1.2.1.

4.1.2 Normally all Minutes Delay (whether direct or reactionary) and/or Reliability Events as a result of an occurrence will be allocated to one TRUST Incident and will be attributable to the Responsible Manager identified. There are two principal exceptions.

a) Occurrences arising out of other Access Agreements, such as those due to Station Operating activities or delays or Reliability Events arising on infrastructure not operated by Network Rail. The latter includes depots, yards, private sidings and London Underground or Eurotunnel lines (see sections 4.2, 4.13, 4.15 and 4.27).

b) Incidents attributed as 'Joint Responsibility' due to being in connection with a station and preventing the passage of a train at the time it is scheduled to stop and the access of passengers to or from that train, examples include:

- Fatalities (4.10)
- Fires, including false alarms (4.11)
- Security alerts (4.27)
- Trespass, including threats of suicide (4.36)
- Weather affecting station buildings (4.39)

Circumstances may arise where Joint Responsibilities criteria are met for only a limited period within the overall duration of the incident.

4.1.3 For the two principle exceptions specified in section 4.1.2 a separate TRUST incident needs to be created for each Train Operator affected. However, where trains of one Operator so delayed then affect those of another Operator elsewhere on the Network the delay to the second Operator's train should be attributed to the Incident created for the first Operator. These will then be attributed to Network Rail under the Star Model when analysed for contractual purposes. In addition special arrangements are necessary for certain incidents subject to a Formal Inquiry (see section 4.20).

4.1.4 *Where reference is made to a Train Operator this refers to the following Passenger and Freight Train Operating Companies:*

Operating Company	***Parent Company***	***Bus Code***
ADVENZA FREIGHT	*ADVENZA FREIGHT LTD*	*PI*
ARRIVA TRAINS WALES	*ARRIVA TRAINS WALES LTD*	*HL*
c2c	*c2c RAIL LTD*	*HT*
CHILTERN RAILWAYS	*THE CHILTERN RAILWAY COMPANY LTD*	*HO*
COLAS RAIL (FORMERLY AMEC)	*COLAS RAIL LIMITED*	*RG*
CROSSCOUNTRY TRAINS	*XC TRAINS LTD*	*EH*
DIRECT RAIL SERVICES EXPRESS	*DIRECT RAIL SERVICES*	*XH*
EAST MIDLANDS TRAINS	*EAST MIDLANDS TRAINS LTD*	*EM*
ENGLISH WELSH & SCOTTISH RAILWAY	*ENGLISH WELSH & SCOTTISH RAILWAY HOLDINGS LTD*	*WA*
ENGLISH WELSH & SCOTTISH RLY INT	*ENGLISH WELSH & SCOTTISH RAILWAY HOLDINGS LTD*	*WA*
EUROSTAR (UK)	*EUROSTAR (UK) LIMITED*	*GA*
FIRST CAPITAL CONNECT	*FIRST CAPITAL CONNECT LTD*	*EG*
FIRST GREAT WESTERN TRAINS	*FIRSTGROUP PLC*	*EF*
FIRST SCOTRAIL	*FIRST SCOTRAIL LTD*	*HA*
FREIGHTLINER	*FREIGHTLINER LTD*	*DB*
GB RAILFREIGHT	*GB RAILFREIGHT LTD*	*PE*
GRAND CENTRAL	*GRAND CENTRAL RAILWAY COMPANY*	*EC*
HEATHROW CONNECT	*HEATHROW EXPRESS OPERATING COMPANY LTD*	*EE*
HEATHROW EXPRESS	*HEATHROW EXPRESS OPERATING COMPANY LTD*	*HM*
HULL TRAINS	*HULL TRAINS COMPANY LTD*	*PF*
LONDON MIDLAND	*LONDON & BIRMINGHAM RAILWAY LIMITED*	*EJ*
LONDON OVERGROUND RAIL OPERATIONS	*LONDON OVERGROUND RAIL OPERATIONS LIMITED*	*EK*
MERSEYRAIL ELECTRICS 2002	*MERSEYRAIL ELECTRICS (2002)*	*HE*
NATIONAL EXPRESS EAST ANGLIA	*LONDON EASTERN RAILWAY LTD*	*EB*
NATIONAL EXPRESS EAST COAST	*NXEC TRAIN LIMITED*	*HB*
NORTH YORKSHIRE MOORS RAILWAY	*NORTH YORKSHIRE MOORS RAILWAY*	*PR*
NORTHERN RAIL	*NORTHERN RAIL LIMITED*	*ED*
SERCO RAIL OPERATIONS	*SERCO LIMITED*	*SD*
SOUTH WEST TRAINS	*STAGECOACH SOUTH WESTERN TRAINS LTD*	*HY*
SOUTHEASTERN	*LONDON & SOUTH EASTERN RAILWAY LTD*	*HU*
SOUTHERN	*NEW SOUTHERN RAILWAY LIMITED*	*HW*
TRANSPENNINE EXPRESS	*FIRST / KEOLIS HOLDINGS LTD*	*EA*
VIRGIN TRAINS	*WEST COAST TRAINS LTD*	*HF*
WEST COAST RAILWAY CO	*WEST COAST RAILWAY COMPANY LTD*	*PA*
WREXHAM & SHROPSHIRE RAILWAY	*WREXHAM, SHROPSHIRE & MARYLEBONE RAILWAY COMPANY LTD*	*EI*

4.1.5 While the following list contains details of the Non-Template (Bespoke) Passenger Train Operating Companies:-

- Heathrow Express (HM)
- London Underground Ltd (XC/B/E)
- Pre Metro Operations (PK)
- West Coast Railway Co. (PA)

Note: The names in the above list are correct at the time of approval.

4.1.6 Engineering trains and on-track machinery (including those servicing possessions) are now subject to a live incentivised performance scheme. It is therefore vital that delays to these trains are attributed delay codes and responsible manager codes, subject to the full provisions of this guide. Section 4.9 refers.

4.1.7 When agreeing attribution of Minutes Delay, or Reliability Events the contractual responsibility of Network Rail and Train Operators to mitigate the effects of an Incident should be taken into account. This includes where one of the Track Access Contract parties refuses a reasonable request (usually defined with reference to any contingency / service recovery plans that may have been agreed) to terminate one or more trains short of destination to prevent knock-on effects continuing for an extended period on intensively diagrammed services. A separate incident attributed to the party concerned is to be created for the effects of such failure to mitigate.

4.1.8 In the case of incidents where Network Rail is held to be at fault, if the acts or omissions of the Train Operator were such as to prevent the mitigation of delay then the additional delays must be attributed accordingly. The converse also applies to the acts or omissions of Network Rail, its staff or agents, in the case of incidents where a Train Operator is at fault.

4.1.9 As mentioned in paragraph *2.7.4*, the group of Y* Codes (Reactionary Delays) are used to describe the effect of late running due to an earlier occurrence on the same or other trains. Although the Minutes Delay carry a separate TRUST Reactionary Delay Code they are still attributed to the principal Incident (i.e. the one that has the largest number of Minutes Delay allocated to it that contribute to the lateness at that point). Where two or more Incidents have had the same affect then the Reactionary Delay must be split equally between them.

4.1.10 If the largest cause of delay is a succession of unexplained sub-threshold cumulative delays, whether attributed as such or otherwise, the provisions of DAG Section 4.33 apply.

Example

Suppose a Plymouth to York train is delayed as follows:-

At Plymouth: 10 minutes due to vehicle defect.
Approaching Bristol: 3 minutes due to loss of path.
Approaching Derby: 8 minutes due to signal failure.
Approaching Sheffield: 4 minutes due to waiting platform (due to its late running it has lost its platform 'slot').

The Minutes Delay approaching Bristol would be attributed to the vehicle defect but using the Delay Code YC or YD to describe its loss of path. If no time were regained then the 4 Minutes Delay approaching Sheffield would also be attributed to the vehicle defect using code YO since the 13 Minutes Delay due to this exceeds the 8 Minutes Delay due to the signal failure. However, if the train had regained all but 5 minutes by the time it left Birmingham, the delay outside Sheffield would be attributed to the signal failure since only 5 minutes of the lateness approaching Sheffield is due to the vehicle defect. It is important that the effects of subsequent incidents are properly taken into account when considering the attribution of reactionary delays, and determining where the earlier incident's effects have ceased.

Apart from YL in respect of FOC delays (See 4.28.1), the only other exception is where the main or only cause of delay is a P* coded incident in which case the code Q* (especially QL for TSR incidents) is to be used, reflecting that the location of the Recovery Time in the train schedule does not avoid conflicts with other trains after the TSR has been encountered. See Sections 4.29 and 4.34.

4.1.11 Additional guidance for the correct attribution of Reactionary Delay in other scenarios is given in the following sections:

2.7 Definitions
4.2 Acceptance into Freight Terminals/Yards
4.17 Late Start from Origin
4.23 Regulation and Signalling of Trains
4.28 Station Operating *Delays*

4.1.12 In the event of a train regaining all lost time, no attributed delay incurred prior to such a recovery may be considered as a valid cause for subsequent delay. Such delays must be investigated and attributed either to a direct cause, or as reaction to a further incident causing conflicting late running.

4.1.13 Y* coded delays should be split if the working to which it relates has 2 or more incidents with minutes of the same value on it.

i.e. 2J61 – 4" YD 000001
4" YO 000002

2G64 – 4" YI 000001
4" YI 000002.

4.1.14 A special type of Incident may affect trains of a Template Schedule 8 Train Operator. These are contractually known as Joint Responsibility Incidents and fall into two categories. The first are specifically those at stations which both prevent a Train entering or passing through a station at the time it is scheduled to do so and access

for passengers through the station to or from the Train. An example is a security alert where passengers are not allowed access to the platforms and Trains are not allowed to operate through or into the station. A Joint Responsibility Incident would not apply where a train is held at a platform due to an incident on the station. All such occurrences must have a separate TRUST Incident for each Template Schedule 8 Train Operator affected and be given a Responsible Manager Code of the form DH**.

4.1.15 The various scenarios covered in this section are listed below:

4.2 Acceptance into Freight Terminals/Yards
4.3 Adhesion Problems Including Leaf-Fall
4.4 Animals on the Line
4.5 Bridge Strike
4.6 Cancellation of Freight Services
4.7 Duplicate Delays
4.8 Planned and Emergency Possessions (including Overruns)
4.9 Engineers On-Track Equipment & Engineering Haulage Train Failure or Other Problem
4.10 Fatalities and Injury Caused by Being Hit by a Train
4.11 Fires (including False Alarms)
4.12 Fleet Equipment Problems
4.13 Fleet Depot Delays (including Major Maintenance Depots)
4.14 Flooding
4.15 Freight Terminal / Yard /Other non-Network Rail Operated Infrastructure Delays
4.16 Infrastructure Equipment Failure
4.17 *Late Start from Origin*
4.18 Loading Problems
4.19 Marshalling of Train Incorrect
4.20 Mishaps and Major Safety Incidents
4.21 Minutes Delay not Apparently due to Network Rail
4.22 TRUST Berth Errors
4.23 Regulation and Signalling of Trains
4.24 Safety Problems Reported by Staff or Public
4.25 Remote Condition Monitoring Equipment
4.26 Railhead Conditioning Trains
4.27 Security Alerts
4.28 Station Operating Delays
4.29 Temporary (Including Emergency) Speed Restrictions
4.30 The Special Train
4.31 Timetable and Resource Planning Errors
4.32 Trackside Signs Including TSR/ESR Board Defective/Blown Down
4.33 Trains Incurring Several Small Delays
4.34 TRUST Outages
4.35 Vandalism/Theft/Trespass
4.36 Waiting Traincrew
4.37 Weather Effects
4.38 Wires Down and Other OLE Problems
4.39 Failure of Tass Balise System
4.40 Failure of ECTS/ERTMS Balise System

N.B. In the sections below '##' means the Business Code of the Train Operating Company/Companies Concerned, and '*' indicates a choice of letter/number.

4.2 ACCEPTANCE INTO FREIGHT TERMINALS/YARDS

4.2.1 Normally the Minutes Delay will be allocated to the appropriate A*, F* or M* Code Incident occurring in the terminal/yard and attributed to the Freight Operator whose trains are affected, with a separate incident being created for each Freight Operator involved.

4.2.2 Likely exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure defect or problem on Network Rail operated infrastructure outside the terminal/yard	I*/J*/X* as appropriate	See section 4.16
b.	Incident within yard/terminal, off Network Rail operated infrastructure, causing trains to be delayed entering the yard	Appropriate A*, F* or M* Code	Freight Operator(s) - separate Incident for each Operator involved (A##*)
c.	Freight Operator of train waiting outside terminal/yard does not provide information on incident in terminal/yard	AA	Operator of train concerned (A##*)
d.	Delays to other trains because an early running freight train cannot enter terminal	OB	Network Rail (OQ**)
e.	*Where a train is not in its booked siding/yard on Network Rail Infrastructure and as a result causes a Reactionary Delay that would not have occurred if it were in its booked siding/yard on Network Rail Infrastructure (subject to occurrences of any further incident causing delay), reactionary delay is allocated to the incident that caused the train to be in the wrong siding/yard on Network Rail Infrastructure.*	*Appropriate Y* Code*	*Principal Incident causing train to be in the wrong siding/yard.*

4.3 ADHESION PROBLEMS INCLUDING LEAF-FALL

4.3.1 Introduction

The principles of this common attribution process were devised and agreed by the Autumn Attribution Working Group (comprising Network Rail and Operator representation) on 01 July 2002. Based on principles of reasonableness and pragmatism, the procedures and the guidance, if applied in the right spirit, have the potential to reduce disputes in the coming autumn.

4.3.2 Use of flowchart

This guidance should be read in conjunction with the flowchart “Autumn Attribution 2002 Joint Process” (see paragraph 4.3.9) as this encapsulates the overall process flows for determining responsibility for delays.

4.3.3 Business processes

This guidance needs also to be read in conjunction with separate instructions that deal with how the initial delay attribution is to be used for calculations under the Operator performance regimes and for more general performance management reporting.

4.3.4 Definition of Autumn

For the purposes of the document, the period defined as "Autumn" shall be synchronous with the days during which the Sandite Programme is operated or planned by Network Rail for that year. This allows for Route variations in conditions and hence Autumn attribution period, and also for early implementation or extension or termination of the Sandite period to be taken into account.

All should note that the title of this section has been amended to remove specific reference to the Autumn period. This is because the scope of the guidance includes adhesion problems outside the Autumn period only (see paragraph 4.3.8-3 for details).

4.3.5 Principles

The process for attribution is dependant on two crucial pieces of information:

- Lists of **jointly agreed Delay Sections**;
- Jointly agreed definitions of '**reasonable' time-loss** values for each jointly agreed delay section.

These crucial pieces of information need to be worked out in advance between Network Rail and the Train Operators and supplied to attribution staff

In jointly agreed Delay Sections and where the level of delay is within the 'reasonable' time loss, then attribution of that delay will be to a **Neutral Zone** in accordance with paragraph 4.3.6.

4.3.5.1 Jointly agreed Delay Sections

Each Region will agree with those Train Operators providing a train service within that Region, 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;
- Sites treated in accordance with a Sandite Programme;
- TRUST sections where performance analysis shows delays in the autumn-related categories to be high.

The list will be agreed on a multi-lateral basis where appropriate but include details on a bilateral basis as follows.

The list should include details of whether Autumn attribution in that section is to be considered as the responsibility of one party or as part of the "Neutral Zone" (see 4.3.6 and 4.3.9 below), and provide delay coding details.

4.3.5.2 Determining the level of 'reasonable' time loss in a jointly-agreed Delay Section

Each Zone/Region will also agree with the relevant Train Operators, in relation to the list above, the number of minutes delay in a given delay section which shall normally be deemed as the maximum "reasonable" time loss for inclusion in Network Rail- or Operator-attributable or "Neutral Zone" incidents as described above. The "Reasonable" time loss agreed with the operator may be specific to particular classes of train or traction type (though see also below, with regard to use of Network Delays). The following factors should be considered when agreeing reasonable time loss:

- Length of TRUST Section;
- Number of stations or station stops in section;
- Number and severity of gradients in section;
- Number of agreed low adhesion sites in section;
- Number of programmed Sandite sites in section;

- Previous experience and local knowledge;
- Traction type, class & characteristics;
- Train weight and trailing load;
- Local micro-climate and topography;
- Impact of Defensive Driving as defined in Draft Railway Group Standard GO/RT 3251, particularly as influenced by the factors above.

In determining the normal level of reasonable time-loss, it is important that the value represents an average level of time loss based on the section for the trains taking account of different times of day, climatic and atmospheric situations. Consideration needs to be given to whether the first train of the day in the section should be accorded a different time loss figure.

4.3.5.3 Role of Area Delivery Groups

In respect of 4.3.5.1 & 4.3.5.2 above, the Regional focus for determining the list of sections and reasonable time loss should be the Area Delivery Group (ADG) (or equivalent).

4.3.5.4 Mitigatory actions

In determining both the attribution of delays within a section to a Responsible Manager or to the Neutral Zone (see below) and the level of reasonable time-loss, there should be regard to the extent to which any of the parties has undertaken mitigatory actions prior to the Autumn period to prevent or reduce train delays. Examples of this would be the extent to which Network Rail has undertaken effective measures in tackling deciduous vegetation that can lead to adhesion problems, or where a Train Operator has undertaken to have sanding equipment fitted to trains.

So that the potential for dispute is minimised, it is recommended that the extent to which these measures (or the absence thereof) influence the responsibility for delay, or the level of time loss, is agreed in advance by the ADG.

4.3.5.5 Review of lists

The jointly agreed list will be agreed annually prior to the Autumn season and be subject to mutual review. Annual agreement does not preclude amendment by all-party agreement at any time, either in respect of the list of Delay Sections or "reasonable" time loss levels applied. For instance, in the event of delay levels indicating that a further section should be added to the list of sites where problems may be expected, this may be affected immediately upon the consent of the affected parties. "Reasonable" time loss will also have to be determined, as stated in section 4b.

NB: Nothing in Section 3.5 or Section 4b precludes the real-time mutual agreement of an amendment to the list of agreed sections or "reasonable time loss", which may be applied to one or more train delays. Regions and Operators should consider the mechanisms required to make such real-time agreement the subject of a permanent amendment, if desired.

4.3.5.6 Use of Network Delay facility

Where Network Rail and affected Train Operators jointly determine that it is appropriate, Network Delays may be allocated to specific incidents, to allow for the automatic capture and attribution of "reasonable" time loss. If this facility is employed, the automatic attribution must correspond to the level of jointly agreed "reasonable" time loss agreed with all Operators operating a given class of train within that section.

Use of a Network Delay requires that differential levels of time-loss be expressed by class of train - not by traction type. Network Delay levels may be expressed

individually for each train class. A maximum of 10 Network Delays may be entered in a TRUST section in either direction.

Care must be taken to ensure that the existence of a Network Delay does not lead to capture of train delays that ought properly to be attributed to other causes. It is primarily for use on those occasions when it becomes obvious that many trains are being affected by autumnal problems, as a means of expediting the attribution process. When, on any given day, or at a given time of day, it is clear that trains are not routinely losing time in the section, then the Network Delay must be switched off.

4.3.6 The 'Neutral Zone' concept

The "Neutral Zone" is a new concept, intended to allow for the fact that the exact circumstances of delay due to the wheel/rail interface are complex, not fully understood by the industry, and that attribution staff frequently suffer from a lack of detailed information.

4.3.6.1 Setting up Neutral Zone incidents

Initial attribution of "Neutral Zone" incidents will be on a TRUST Section or Route Section-specific basis. For each section, one incident per directly affected Operator is to be created at a periodicity to be agreed with that Operator, using delay code **TT** (**FT** for Freight Operators) and the Network Rail Manager code for the APM/GM area in which the section sits. The Responsible Manager code is the Train Operator covered by the incident. The Delay Code must be used for this **and no other** purpose.

The attribution to Responsible Manager code is purely for systems purposes. It should not be regarded as a Train Operator delay code and delays attributed to the TT/FT delay code remain an industry opportunity if successfully tackled.

4.3.6.2 Use of Neutral Zone incidents

It is important this code is only used:

- Provided other possible causes of train delay have been investigated, considered and exhausted;
- Provided normal reactionary delay principles are applied.

The way in which Delay Code TT/FT is treated in the performance regimes and within general performance analysis is not covered by this guidance.

It is feasible that a train may be delayed by several leaf-fall incidents, each of a low order of minutes but with a larger cumulative impact. If that same train is then delayed further by an incident such as a points failure, that defect may be the largest single incident contributing to the total lateness, although the cumulative effect of Leaf-fall remains the majority cause of delay. Under normal attribution principles, this largest single incident would be used to determine the attribution of reactionary delay i.e. reactionary delays to other services would be attributed to the points failure.

However, Leaf-fall is widely accepted as a generic delay cause representing a challenge to the entire industry, in much the same way as Unexplained delay, and as such should be dealt with in a similar fashion to cumulative Unexplained delay. Therefore, attribution of reactionary delay, where Leaf-fall is the majority delay cause (but the largest single incident causing delay is not Leaf-fall), should be to the majority delay cause, the provisions of DAG paragraph 4.1.5 notwithstanding.

"if Leaf-fall is determined to be the highest cause of delay, then reactions should be attributed to the principle Leaf-fall incident (i.e. the one that has the largest number Minutes Delay allocated to it that contribute to the lateness at that point).

Where two or more Leaf-fall incidents have the same effect then Reactionary Delay must be split equally between them. Subsequent 'reaction to the reaction' should follow DAG paragraph 4.1.9"

4.3.7 Delays in TRUST Sections not on jointly agreed lists

The **Notes** below relate to the annotated reference points on the flow-chart

Delays arising from a Driver's report of exceptional railhead conditions.

Note 1. For a driver's report to be considered as valid, the following criteria must be adhered to (as per Rule Book, section H):

1. Was the report received as expeditiously as possible, given prevailing reporting methods at the location affected?
2. Was the report sufficiently specific to allow for appropriate site investigation/corrective action to be taken?

If the answer to either question is "No", the report is considered invalid and delay should be coded TZ/FZ as shown.

If a site is correctly reported and subsequent drivers are being advised of the reported conditions pending examination, no requirement to report poor conditions is incumbent upon those subsequent drivers. Attribution of delays so caused will be determined by the findings of the investigation.

Note 2 If a valid report is received, it will be necessary to determine whether the examination was carried out in an appropriate manner. The test of appropriateness is whether given the circumstances the report was acted upon and examination carried out in a timely fashion. Relevant circumstances include (without limitation):

- Location;
- Potential impact on safety;
- Potential impact on performance;
- Number of low adhesion reports for this site;
- Number of low adhesion reports to be acted upon;
- Train service density.

In the event of the response to the report and/or the test proving unsatisfactory, the examination is considered invalid and should be coded QI as shown.

Delays arising once a site examination has been carried out.

Note 3 In respect of the dryness of the rails upon examination, consideration should be given to the prevailing weather conditions at the time the report was received and the effects of any change in the conditions between the time of report and time of examination.

If there is evidence of wetness on the rails (but not contamination) this will fall within the scope of ADRC Determination 11 and a view must be taken, in the particular case, as to whether the actual time-loss was reasonable in the circumstances. If the time loss is considered to be reasonably explained by the wetness on the rail, delays may, if the parties agree, go to the Neutral Zone or be dealt with in accordance with previous agreements.

4.3.8 Additional Coding Guidance

4.3.8.1 Guidance in respect of Network Rail/Infrastructure Maintainer-attributable incidents

No.	Circumstances	Delay Code	Incident Attribution
a.	Failure to maintain the Contractually-agreed flail strip	JP	Infrastructure Maintainer (IQ**)
b.	Trains striking overhead branches or vegetation, not due to weather factors	JQ	Infrastructure Maintainer (IQ**)
c.	Signals or trackside signs obscured by vegetation	JR	Infrastructure Maintainer (IQ**)
d.	Failure to operate the agreed Sandite programme	See TAG Section 4.26 and section 3 below	See TAG Section 4.26 and section 3 below
e.	Special working implemented for leaf-fall track circuit operation	QJ	Network Rail (QQ**)

4.3.8.2. Guidance in respect of Operator-attributable incidents

No.	Circumstances	Delay Code	Incident Attribution
a.	Signal Passed at Danger or station overrun due to Leaf-fall contamination at ERHC site	TG/FP	Operator of train (T***/F***)
b.	Failure of On-train adhesion equipment e.g. WSP, sanders	M* as appropriate to vehicle type	Operator of train (M***)
c.	Minutes in excess of agreed “reasonable” time loss for a given train in an agreed section or at an agreed location	TG/FZ	Operator of train (T***/F***)

4.3.8.3 Guidance in respect of Adhesion difficulties that arise outside Autumn period *(**Note** that site examination may indicate that certain of these circumstances apply within the Autumn period also)*

No.	Circumstances	Delay Code	Incident Attribution
a.	Where there is grease on the railhead due to incorrect working of a flange greaser and/or the Infrastructure Maintainer is asked to clean the railhead.	IZ	Infrastructure Maintainer (IQ**)
b.	Where contamination of the railhead is due to spillage of substances from a train	M* as appropriate to vehicle type	Train Operator causing problem (M##*)
c.	Where water or ice is found upon the running railhead outside Autumn period only (Conductor Rail icing, see DAG Section 4.39)	MP	Train Operator (M***)
d.	Where oil, grease or other substance, except water or ice, whose source cannot be identified, is found on railhead	OZ	Network Rail (OQ**)

4.3.8.4 Handite

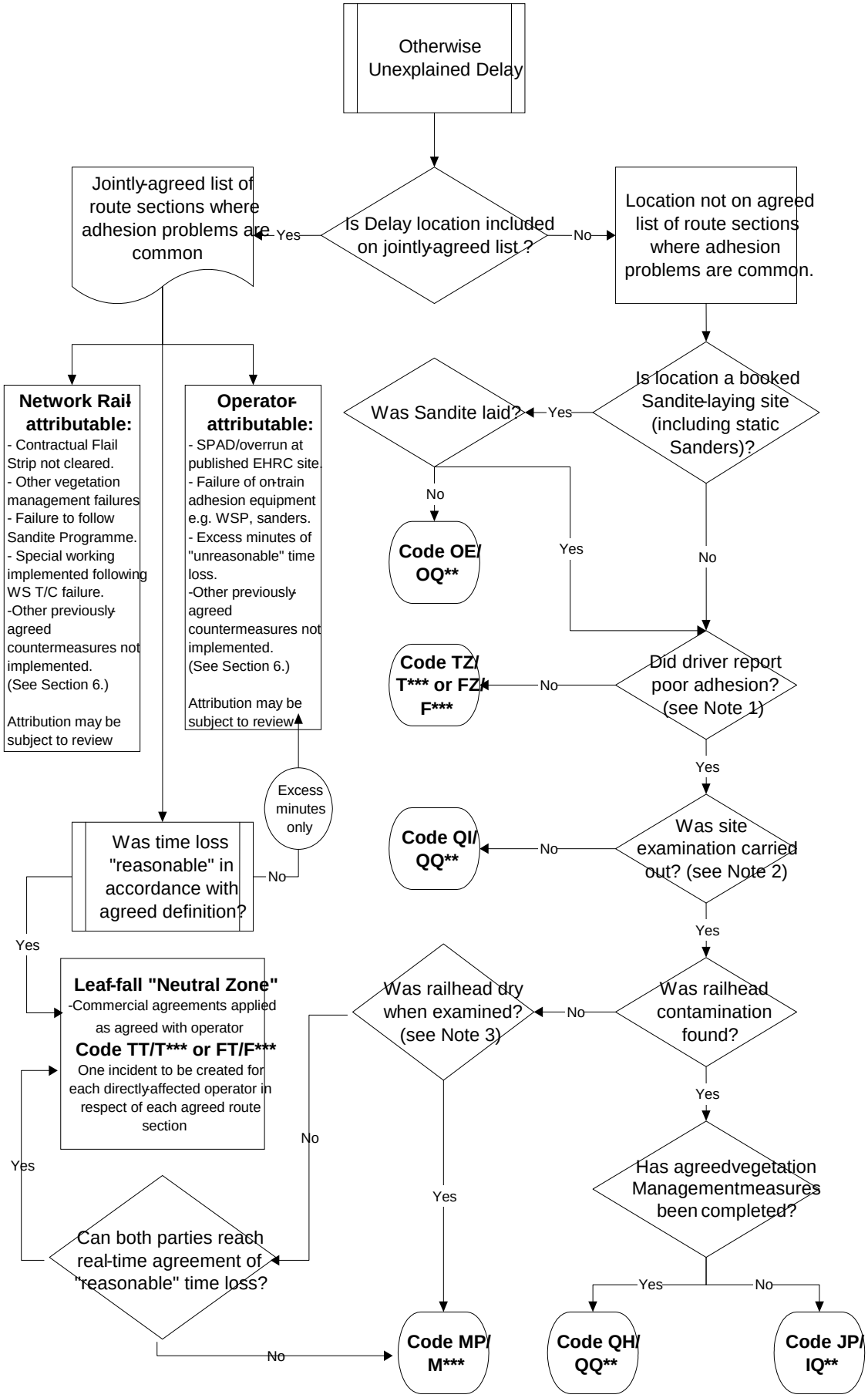
In the event of Handite being laid as part of a booked programme, the consequences of failing to adhere to that programme should be attributed in accordance with the principles of DAG Section 4.26, i.e. attributed to Network Rail/Contractor as appropriate. Where Handite is laid in reaction to evidence of contamination, attribution of delay resulting from the application should be to the base cause, i.e. to the reason for the contamination being present.

4.3.8.5 Principles of Sandite attribution

- In the event of Sandite services not gaining access to the line on time or at all (i.e. Cancelled) howsoever caused, initial attribution of delays caused by the impact of the failure to apply Sandite should be to Network Rail.
- If a Sandite service is unable to complete its programme due to problems with the unit or Sandite equipment initial attribution of delays caused by the impact of the failure to apply Sandite should be to Network Rail.
- If the Sandite train is rendered unable to complete its programme because of an incident or incidents the responsibility of an operator or contractor, the delays to the Sandite service and reaction thereto should be attributed to that incident as per normal reactionary delay principles for any train. Delays due to failure to complete the Sandite programme should be attributed in accordance with DAG Section 4.26 (see 4.3.8.4 above).

It is acknowledged that many Operators act as contractors to Network Rail, to supply maintenance or traincrew services in respect of Sandite services, and that delays due to any failure under this contract may be reflected via the commercial settlement of Autumn attribution. This guidance does not preclude the subsequent re-attribution of such incidents if required by such a commercial agreement, but as any such policy would not be nationally applicable it is outside the document's terms of reference.

4.3.9 Autumn attribution: 2002 Joint process: Chart 1



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

During the period that leaf-fall and adhesion principles apply, special arrangements apply for attribution of reactionary delays. It is recognised that a train may be delayed by several leaf-fall incidents, each of a relatively low order of minutes but with an overall larger cumulative impact. In such cases, attribution of reactionary delay, where leaf-fall is the majority delay cause (but not the largest single incident causing delay), should be to the majority delay cause. For example, if a train is delayed a total of 16 minutes to several FT/TT incidents, and a further 12 minutes to a points failure, reactionary delay would be attributed to leaf-fall, being the majority delay cause.

Example 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.

Example 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.

Example 3 – reactionary delay attribution to two or more leaf-fall incidents of the same magnitude

Where a train is delayed by different leaf-fall incidents, all of which have the same number of minutes attributed, attribution of reactionary delay should be to the TOC-specific leaf-fall reactionary delay incident for the Train Operator of the train that **causes** the reactionary delay. For example, if an MML train is delayed by three leaf-fall incidents, all of 3 minutes magnitude, and then delays a Thameslink train, the delay to the Thameslink service should be to the MML leaf-fall reactionary delay incident for the day concerned.

Example 4 – reactionary delay attribution when leaf-fall is the largest overall delay cause

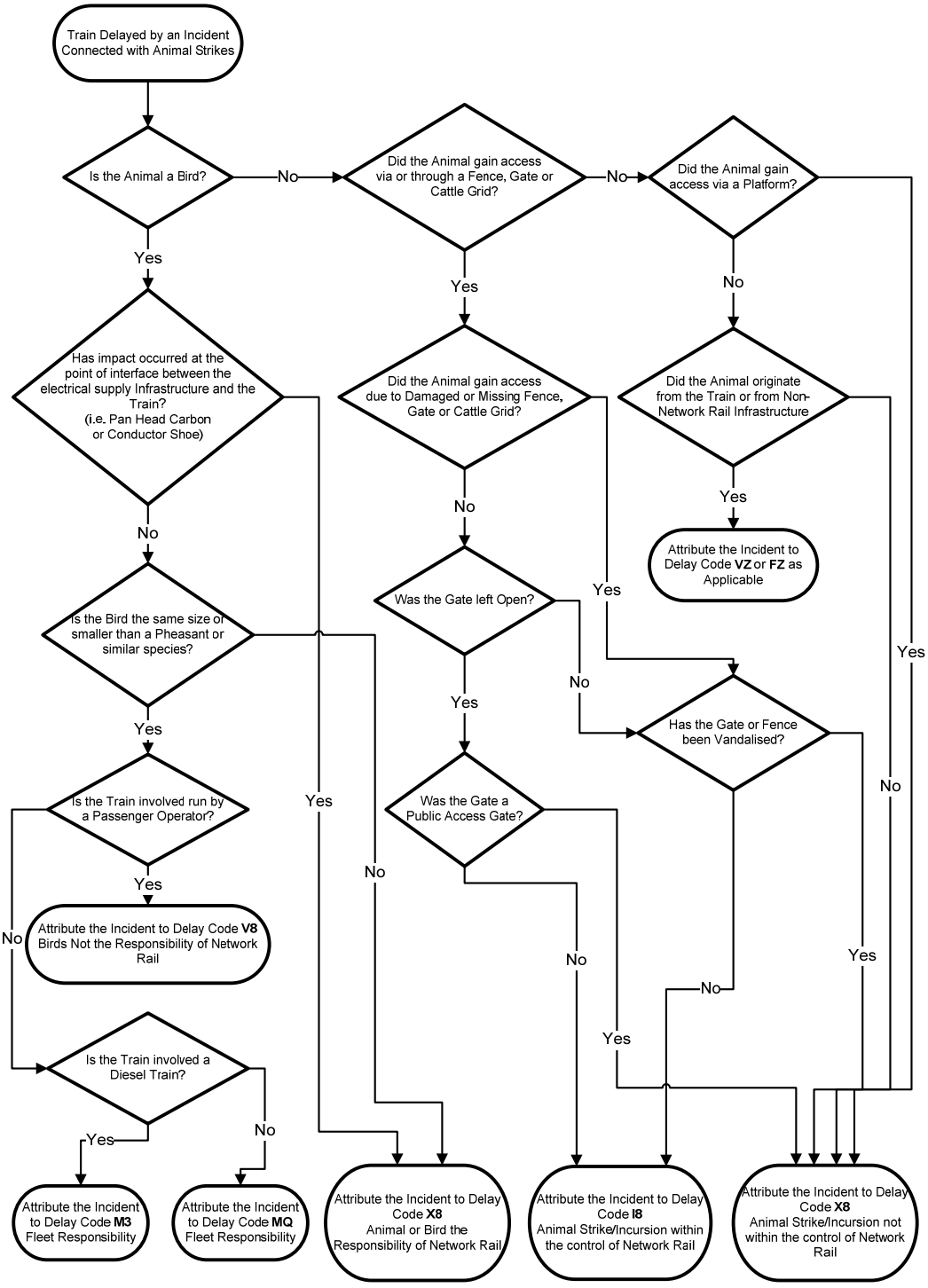
Where a train is delayed, for example, 16 minutes due to 4 separate leaf-fall incidents and 12 minutes due to a points failure, and then causes reactionary delay, the reactionary delay should be attributed to the TOC-specific leaf-fall reactionary delay incident for the Train Operator that **causes** the reactionary delay.

4.4 ANIMAL STRIKES

4.4.1 The term 'Animal Strikes', as used in this section, is intended to represent incidents resulting from the incursion of animals and birds and the impact of those animals and birds on railway operations, infrastructure and train mounted equipment and/or the operation of that equipment. For the purpose of attribution, delays caused by the cautioning of trains due to potential animal incursion are to be treated in the same way as delays due to the cautioning of trains due to an actual animal incursion.

4.4.2 In the flowchart 4.4.3 below; the answer to the question as to whether the bird is the same size or smaller than a pheasant is to be determined by the average weight of the species of the bird involved, irrespective of the number of birds involved in the incident.

4.4.3 Animal Strikes



4.5 BRIDGE STRIKES

4.5.1 For the purposes of delay attribution, a Bridge Strike is defined as an incident in which a road vehicle or its load, or a waterborne vessel or its load, impacts with the fabric of a Bridge:
An incident in which a rail vehicle or its load collides with a bridge is not a Bridge Strike but is an incident to be recorded under 4.9 or 4.8 as applicable.

4.5.2 A bridge strike shall be coded XP and all delays caused by a bridge strike shall be allocated to Network Rail.
This coding shall be used prior to and after an examination of the bridge by a Bridge Strike Nominee when:

- trains are stopped in accordance with Rule Book Section T16.7
- a Signal Box Special Instruction is in place permitting trains to continue to run over or under the bridge;
- trains continue to run in accordance with the Operating Instruction for a late reported Bridge Strike or in accordance with an Operating Instruction for Bridge Strikes by light vehicles.

4.6 CANCELLATION OF FREIGHT SERVICES

4.6.1 Unless a freight train is clearly cancelled as a result of an Incident attributable to Network Rail, it will be the responsibility of the Freight Operator to advise the reason to the Network Rail Route Control responsible for the immediate vicinity of the point of cancellation. If no such information is available, then Code FL to be used.

4.7 DUPLICATE DELAYS

4.7.1 Due to current TRUST handling of out of sequence train timing reports, a single instance of Minutes Delay may appear twice either with the same or different coding and attribution. Delay Code PJ should be employed for attribution of the Duplicate minutes.

4.8 PLANNED AND EMERGENCY POSSESSIONS

4.8.1 This section covers delays resulting from the need to divert trains, operate Single Line Working or other special method of working trains (including during signalling disconnections) due to a pre-planned possession or other blockage of one or more tracks and for which there is no Recovery Time or amendment of train schedules.

4.8.2 For pre-planned possessions (those shown in Weekly Operating Notices or associated notices), Account Executives and Operational Planning and Asset Managers must ensure that information is available in advance to the Route Performance and Control organisations to allow the correct coding and attribution of such Incidents. The Account Executive must advise what arrangements were agreed with Train Operators regarding retiming of trains.

4.8.3 Where Guidance in this section specifies the use of a P delay code, reactionary delay as a result of attribution to this incident should be allocated to a separate incident, coded QP. In the event that a possession causes reactionary delay in an area controlled by a different Area Production Manager (or equivalent) to that where the possession is located, the QP incident to which those delays are attributed should have a Network Rail Manager code matched with that of the P-code possession incident. In the event that more than one P-coded possession is responsible, the*

Network Rail Manager code should match that of the P-coded possession contributing the largest number of delay minutes at the point of reactionary delay. If two or more possessions contribute an equal number of minutes, DAG section 4.1.9 applies. The Description of the QP-coded incident must include a reference to the Incident number of the P-coded possession.

4.8.4 ***Emergency Possessions***

When diversions or single line working are necessary due to an emergency possession or unplanned blockage of the route any Minutes Delay are attributed to the appropriate incident as per Section 4.16. This ensures that the appropriate I/J*/Q*/X* Code is used to reflect the actual reason for Possession.*

4.8.6 ***Possession Overruns***

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 S & T work after the possession has been given up, in the event of such remedial works being required. It also includes the giving up of any OLE isolation.

4.8.7 Delay resulting from T2, T12 or GZAM possessions taken for the purpose of track inspections/Patrolling should be allocated to an incident attributed with Delay Code I6. Where delay is caused by the agreed duration of a possession/block being exceeded the delay should be allocated to an incident attributed with Delay Code I5 and treated as a possession overrun. 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 be allocated to an incident attributed a Delay Code that reflects the need for the possession as per Section 4.16.

4.8.8 ***Multiple Worksite possessions***

The TRUST Responsible Manager for minutes delay in the event of an overrun is the Possession Manager as listed in the WON. The Possession Manager should identify the TRUST Responsible Manager responsible for the worksite overrun and arrange for the incident to be re-attributed as necessary. If a single TRUST Responsible manager cannot be identified then delay minutes should remain attributed to the Possession Manager.

4.8.9 ***Single Worksite Possession***

The Trust Responsible Manager for minutes delay in the event of an overrun is the Possession Manager.

4.8.10 In either of the circumstances above, where delay is identified as being caused by an agent acting for the Possession Manager the delay should be attributed to the Possession Manager

Note: -. When identifying the owner of the worksite that has caused the overrun, if the cause of the problem is of a FOC/On-track machine provider nature Section 4.9 should be consulted.

4.8.11 ***Infrastructure Trains***

Where an infrastructure train is delayed entering a possession "waiting acceptance" purely because the site is not ready to accept the train (as opposed to infrastructure failure or train failure for example), or where an infrastructure train is delayed leaving a possession for reasons which are the responsibility of the Possession Manager, but the possession does NOT overrun, then the delay should be allocated to an incident coded I7 and attributed in accordance with DAG Section 4.9.

4.8.12 ***Waiting To Pass Booked Trains During Possessions***
If Minutes Delay are incurred by trains running substantially in their booked path on approach to the possession site but are delayed waiting for the possession to be (partly) given up as per published arrangements for the possession, the Incident to be coded I6 and attributed to organisation in charge of Possession (Network Rail if non-TRC work).

4.8.13 *If the train is running significantly late, the Minutes Delay to be allocated to the principal Incident causing the train to be late on the approach to the possession site.*

4.8.14 *Likely Circumstances:*

No.	***Circumstances***	***Delay Code***	***Incident Attribution***
a.	*Train Operator(s) and Network Rail agree not to retime trains for pre-planned Possessions between the Recording Points where the work is taking place, and sufficient Recovery Time exists to avoid delays to other services*	*PF*	*Not the responsibility of any organisation (PQ**)*
b.	*Train Operator(s) and Network Rail agree not to retime WTT trains for pre-planned Possessions between the Recording Points or where Network Rail fail to make necessary re-timings.* • *the work is taking place but delays exceed maximum Recovery Time per train; or* • *no recovery time exists to avoid delays to other services.*	*QB*	*Network Rail (QQ**)* *(Excess minutes only)*
c.	*Train Operator(s) and Network Rail agree not to retime trains for pre-planned TSRs but in doing so delay other trains not included in the agreement*	*QL*	*Separate incident for such trains attributed to Network Rail (QQ**). This includes any trains operated by Operator(s) party to the agreement, but which would not otherwise have been delayed or for which adequate Recovery Time is not available.*

No.	Circumstances	Delay Code	Incident Attribution
d.	*Train Operator(s) and Network Rail agree not to retime trains for pre-planned Possessions but in doing so delay other trains not included in the agreement*	*QP*	*Separate incident for such trains attributed to Network Rail (QQ**). This includes any trains operated by Operator(s) party to the agreement, but which would not otherwise have been delayed or for which adequate Recovery Time is not available.*
e.	*Overrun of Possession, not due to the failure of an Engineers Train or On-Track Machine*	*I5*	*As Per Section 4.16*
f.	*Overrun of Possession, due to the failure of an Engineers Train or On-Track Machine*	**	*As Per Section 4.9*
g.	*Where possession over-run is due to a late start caused by problem with the train plan*	*QM*	*Network Rail (QQ**)*
h.	*T2 or T12 taken to repair a defect*	*I*/J* As applicable*	*As Per Section 4.16*
i.	*Track patrol possession not published in the WON*	*I6*	*Organisation owning the possession (I#**)*
j.	*Track patrol published in the WON* *If published any P* code allowance should be utilised*	*I6*	*Organisation owning the possession(I#**)*
k.	*Waiting for a block to be given up to pass a booked train during the planned times of the block. (excluding track patrol blocks)* *If published any P* code allowance should be utilised*	*I5*	*Organisation causing the overrun (I#**)*
l.	*Trains weaving fast to slow etc due to a track patrol* *If published any P* code allowance should be utilised*	*I6*	*Organisation owning the possession (I#**)*
m.	*Cover speed imposed due to a track patrol* *If published any P* code allowance should be utilised*	*I6*	*Organisation owning the possession (I#**)*

No.	Circumstances	Delay Code	Incident Attribution
n.	*Overrun of patrol beyond the agreed times where reason is unknown*	*I5*	*Organisation owning the possession which overruns (I#**)* *(Excess minutes only)*
o.	*Overrun the result of a defect found*	*I*/J** *As applicable*	*As Per Section 4.16* *(Excess minutes only)*

4.9 ENGINEERS ON-TRACK EQUIPMENT AND ENGINEERING HAULAGE TRAIN FAILURE OR OTHER PROBLEM

No.	Circumstances	Delay Code	Incident Attribution
a.	Self-propelled on track equipment **("yellow plant")** failure or defect and late start from stabling point/Yard.	MV	Contractor under whose Access Agreement the move is being made (MR*#)
b.	Engineers' train failure or defect including late start from yard or stabling point	F*/M*	Train Operator. Usually *WAE for EWS trains, *DBI for Freightliner
c.	**"Yellow Plant"** or Engineers' train awaiting access to possession site.	I7	Attributed to the prime cause of this why possession is taken late.
d.	**"Yellow Plant"** or Engineers Train late coming out of possession/ work site due to work in possession/work site late. (Possession Overrun)	I7 (or I5 if overrun results)	Contractor responsible for work site where problem arose (IQ**).
e.	Engineers' train late coming out of possession site due to waiting traincrew, vehicle fault or other train operator problem	F*/M* /A*	Freight train operator (F##*/M##*).
f.	Yellow Plant late coming out of possession site due to waiting traincrew, vehicle fault or other train operator problem	MV	Yellow Plant operator (M##*)

Note: If **"Yellow Plant"** or engineers train late from Siding / Yard or stabling point awaiting possession to be taken then attribution is to the prime cause as why possession is taken late.

4.10 FATALITIES AND *INJURIES-*

4.10.1 The terms "fatality" and "injury" as used in this section, include persons having been struck by a train.

4.10.2 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Fatality *or injury* on Network Rail Infrastructure including the track in stations or in the vicinity of a station **except** in cases where **both** access of passengers to/from trains **and** the passage of trains at the time they are scheduled to stop is prevented (see next text box below)	XC	Network Rail (XQ**) @ **ADRC Determination 27**
b.	Fatality *or injury* on Network Rail Infrastructure including the track in stations or in the vicinity of a station which prevents **both** the passage of a train at the time it is scheduled to stop **and** the access of passengers to/from that train. Note that this applies only to template passenger operators, some of whose trains stop at that station.	VC	Joint Responsibility - separate Incident to be created for each Operator directly affected (DH**) (See 4.10.4. below)
c.	Fatality *or injury* on non-Network Rail operated infrastructure affecting trains of non-passenger Operator	AZ/FZ	FOC - separate Incident to be created for each affected (A##*/F##*)
d.	*Fatality or injury on a station platform caused by a train (with no trespass at the point of contact)*	VC/FZ	Train Operator of the train involved (F##*/V##*)
e.	Fatality *or injury* on a train, or as a result of falling from a train.	VC	Train Operator of train on which the person was travelling (V##*)

@ One Incident will be sufficient for all such Operators.

4.10.3 In all cases, the closure of access must be undertaken by a responsible person and be reasonable and justified in the circumstances, which should be detailed in the incident freeform.

4.10.4 Circumstances may arise where Joint Responsibility criteria are met for only a limited period within the overall duration of the incident; for example, the police may initially close the line and the station, but then allow one to be re-opened, while keeping the other closed. In certain circumstances multiple incidents may be required as defined in 4.10.2 above.

4.10.5 Note that, in the event of Joint Responsibility being applicable in accordance with the guidance above, an incident should be created for each operator incurring at least one direct delay in respect of any train booked to call at the station affected during the period of closure. Any subsequent direct delays in respect of trains booked to stop incurred by that operator should be attributed to this incident. Subsequent directly affected trains not booked to call should be attributed to Network Rail.

4.10.6 The above section notwithstanding, normal arrangements apply in respect of the attribution of reactionary delay (see paragraph 4.1.2.).

4.10.7 Initial attribution in accordance with the guidance above should be reviewed by performance/account teams to ensure that all parties have taken reasonable steps to avoid and/or mitigate the effects of the incident. Any failure to mitigate delay must be attributed to the responsible party in accordance with DAG paragraph 4.1.4.

4.11 FIRES (INCLUDING FALSE ALARMS)

4.11.1 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Lineside fire on Network Rail operated Infrastructure, except where caused by a traction unit, cable or other infrastructure defect.	I9	Network Rail (IQ**).
b.	Lineside fire caused by infrastructure equipment defect	Appropriate I*/J* Code	As per Section 4.16
c.	Lineside fire caused by traction unit	Appropriate M* Code	Train Operator of train causing fire (M##*)
d.	Fire external to railway infrastructure (including those that spread to railway infrastructure)	XL	Network Rail (XQ**)
e.	Fire in station buildings or on platform where trains may pass through and though scheduled to stop do not do so: ▪ ***Not vandalism***	RH	Train Operators – separate incident for each Operator serving that station at the time of the incident (RH**)
	• ***Caused by vandalism***	VF	Train Operators – separate incident for each Operator serving that station at the time of the incident (V##*)
f.	Fire in station buildings or on platform: ▪ Which prevents the passage of a train at the time it is scheduled to stop **but not** the access of passengers to / from that train; ▪ Affecting Train Operators, none of whose regular trains are booked to call at station.		
	• **Not vandalism**	OJ	Network Rail (OQ**)
	• **Caused by vandalism**	XB	Network Rail (XQ**)

No.	Circumstances	Delay Code	Incident Attribution
g.	Fire in station buildings or on platform which prevents the passage of a train at the time it is scheduled to stop **and** the access of passengers to / from that train. • ***Not vandalism***	RH	Joint Responsibility – separate incident for each Operator serving that station at the time of the incident (DH**)
	• ***Caused by vandalism***	VF	Joint Responsibility – separate incident for each Operator serving that station at the time of the incident (DH**)
h.	Fire in Network Rail buildings other than stations: • **Caused by vandalism**	XV	Network Rail (XQ**)
	• **Not vandalism**	OV	Network Rail (OQ**)
i.	Fire on platforms or in station buildings affecting FOC Trains booked to call at stations	AK	FOC Trains (A##*)
j.	Fire in freight yard / terminal including private sidings	AK	Freight Operator(s) – separate incident for each affected (A##*)
k.	Fire in Fleet depot: • **Caused by vandalism**	VF	Passenger Operator(s) – separate incident for each affected (VH**)
	• **Not vandalism**	NC	Separate incident for each Train Operator affected
l.	Fire on passenger train • **Caused by vandalism**	VF	Operator of train involved (V##*)
	• **Not vandalism**	MY	Operator of train involved (M##*)
m.	Fire on freight train	MY	Operator of train involved (M##*)

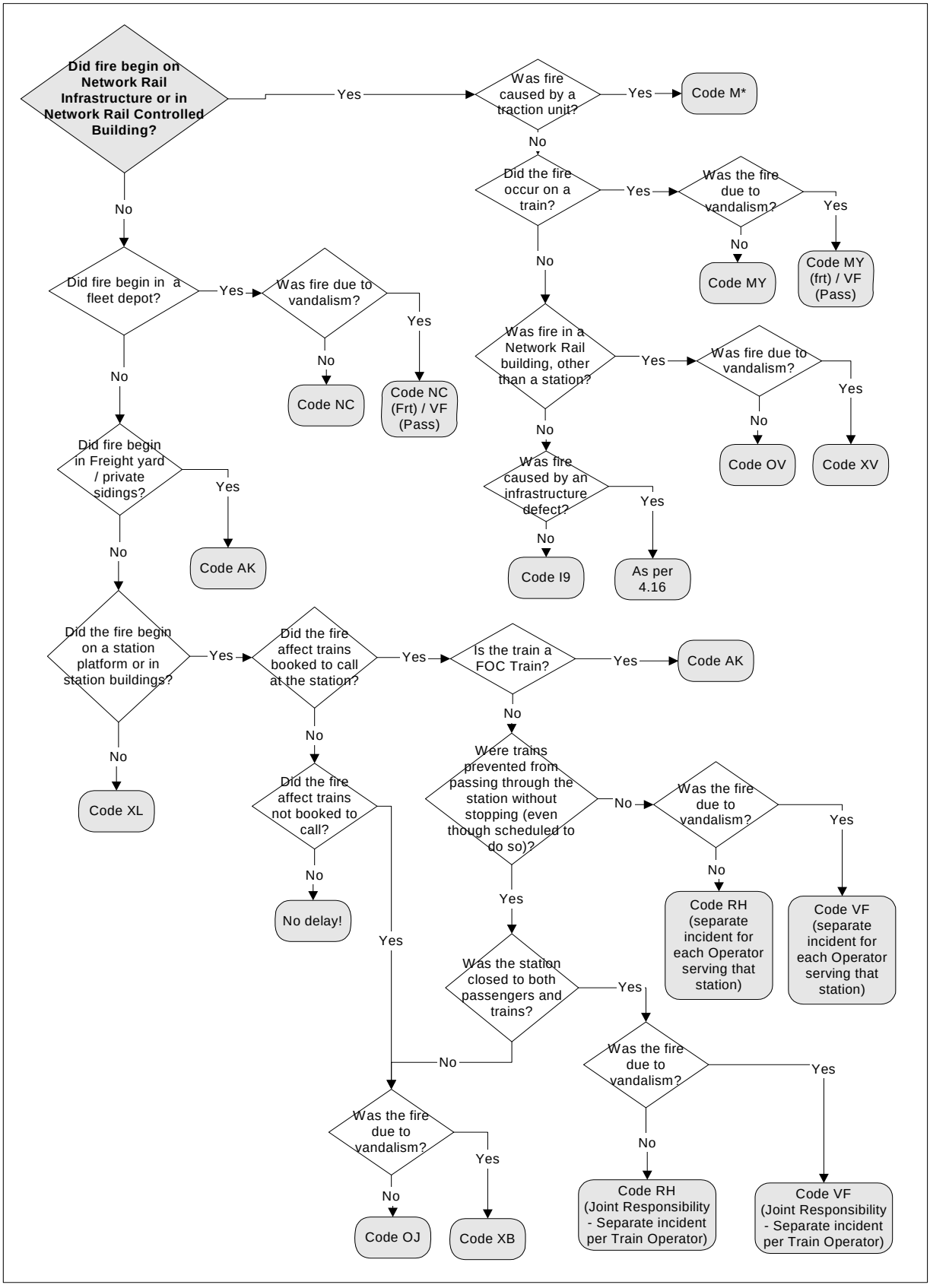
4.11.2 In all cases, the closure of access must be undertaken by a responsible person and be reasonable and justified in the circumstances, which should be detailed in the incident freeform.

4.11.3 Circumstances may arise where Joint Responsibility criteria are met for only a limited period within the overall duration of the incident; for example, the police may initially close the line and the station, but then allow one to be re-opened, while keeping the other closed. In such circumstances multiple incidents may be required as defined in 4.10.2 above.

4.11.4 Note that, in the event of Joint Responsibility being applicable in accordance with the guidance above, an incident should be created for each operator incurring at least one direct delay in respect of any train booked to call at the station affected during the period of closure. Any subsequent direct delays in respect of trains booked to stop incurred by that operator should be attributed to this incident. Subsequent directly affected trains not booked to call should be attributed to Network Rail.

4.11.5 The above section notwithstanding, normal arrangements apply in respect of the attribution of reactionary delay (see paragraph 4.1.2).

4.11.6 Flowchart identifying attribution of various types of fire



4.12 FLEET EQUIPMENT PROBLEMS

4.12.1 Incidents to be given the appropriate M* *or N** Code and attributed to Train Operator whose train has suffered a failure or similar problems (M##*).

4.12.2 Likely exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	If there is severe weather affecting most modes of transport and causes problems to passenger traction units or vehicles	VW	Train Operator (V##*)
b.	Sandite vehicle /snowplough /weedkiller /break-down train failure or problems	OM	Network Rail (OQ**)
c.	Engineers On-Track machine failure or problems (except in possessions)	MV	Train Operator under whose Access Agreement the movement is made (M##*/*MR***)

4.12.3 NB: Multi-Purpose Vehicles (MPV's) are frequently deployed as Railhead Conditioning (RHC) trains. In the event of such a vehicle suffering mechanical failure while operating in this capacity, coding of the incident must be in accordance with DAG paragraph 4.26.4

4.12.4 Changes to Appendix A have resulted in a considerable net increase in TOC M* *and N** delay codes. Certain traction types now require different delay codes to be used in respect of particular defects. In respect of those traction types, it is the responsibility of the TOC to advise Network Rail which code should be used. If no information is provided inputters should select the code described as "[vehicle type]:other" (see Appendix A, section M *and N*). No expansion or amendment of Network Rail's investigative responsibilities is implied.

4.13 FLEET DEPOT DELAYS (INCLUDING MAJOR MAINTENANCE DEPOTS)

4.13.1 Normally the Minutes Delay will be coded with the appropriate F*, M* or T* Code and allocated to an incident attributed to the Operator of the train(s) involved. Separate Incidents are to be created for each Operator directly affected with Responsible Manager Code F##*, M##* or T##*, as appropriate.

4.13.2 Likely exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure defect or problem on Network Rail operated infrastructure outside the depot	I*/J*/X* as appropriate	See section relating to particular type of problem

No.	Circumstances	Delay Code	Incident Attribution
b.	Right time departure delayed waiting passage of late running train(s)	YF or YG as appropriate	Main Incident(s) causing other train(s) to be late at that point
c.	Right time departure delayed waiting passage of early running train	OB	Network Rail (OQ**)

4.13.3 Where the Depot is not Network Rail operated infrastructure, it will be the responsibility of the Operator of the train delayed to provide the necessary information to Network Rail to accurately allocate the Minutes Delay to an Incident. Often this will be by use of the Late Start Reason Code in the TOPS/SDR Departure input. Any incident attributed on the basis of such input must state the data source in the freeform text. When a Y* code is used the Operator must advise Network Rail the reporting number of the delayed inward working. The TRUST Delay Attribution inputter must ensure that this reactionary delay is attributed to the prime incident. If no information is provided, then the Delay Minutes will be allocated to an Incident coded MZ attributable to that Operator.

4.14 FLOODING

4.14.1 Where flooding occurs affecting Network Rail infrastructure an incident should be raised coded (JK/IQ**).

4.14.2 Where widespread flooding occurs, disrupting other forms of Transport, such as closure of a number of major roads, or where trains are delayed as the result of the Route Flood Prevention Procedure, the incident should be coded to (*X2*, XQ**).

*4.14.*3 In addition if the railway line is the lowest point in the surrounding area, other forms of transport may not be affected as they may be on higher ground therefore it may be legitimate to use code *X2*

4.14.4 If there are no other forms of transport in the area and the railway is flooded then it may be legitimate to use code *X2*

4.14.5 Likely examples:

No.	Circumstances	Delay Code	Incident Attribution
a.	Flooding caused by drainage being inadequately maintained.	JK	Network Rail (XQ**)
b.	Flooding on Network Rail infrastructure significantly disrupting other forms of transport *or the result of delays associated with the Route Flood Prevention Procedures.*	X2	Network Rail (XQ**)
c.	*Flooding on Network Rail infrastructure* resulting from burst water pipes, which are outside the responsibility of the Infrastructure Maintainer	XM	Network Rail (XQ**)

No.	Circumstances	Delay Code	Incident Attribution
D.	*Flooding of station buildings and structures affecting the access and egress of passengers to and from the train that are not the result of weather.*	*RW*	*Train Operator – separate incident to be created for each involved affected (R##*)*
E.	*Localised flooding originating from FOC infrastructure affecting the operation of a freight yard/terminal*	*AZ*	*Train Operator – separate incident to be created for each involved FOC operating in/out of the yard/terminal*
F.	*TOC/FOC directive preventing rolling stock from travelling through standing water (at a level where the rule book allows movement of trains)*	*MW*	*Operator of the train concerned (M##*)*
G.	*Flooding of station buildings and structures the result of floodwater from adjacent land not part of the network affecting the access and egress of passengers to and from the train.*	*VZ*	*Train Operator – separate incident to be created for each involved affected (V##*)*

4.15 FREIGHT TERMINAL / YARD / OTHER NON-NETWORK RAIL OPERATED INFRASTRUCTURE DELAYS

4.15.1 Normally the Minutes Delay will be coded with the appropriate A*, F*, M*, O* or T* Code and allocated to an incident attributed to the Operator of the train(s) involved, Responsible Manager Code A##*, F##*, M##*, O##* or T##* as appropriate. For Fleet Depots *see paragraph* 4.13.1.

4.15.2 Likely exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure defect or problem on Network Rail operated infrastructure outside the terminal/yard	I*/J*/X* as appropriate	See section relating to particular type of problem
b.	Right time departure delayed waiting passage of late running train(s)	YF or YG as appropriate	Principal Incident(s) causing other train(s) to be late at that point
c.	Right time departure delayed waiting passage of early running train	OB	Network Rail (OQ**)
d.	Late departure caused by late arrival of inward loco or traincrew or waiting connecting inward rail borne traffic	YH/YJ/YK as appropriate	Principal Incident causing inward train to be late

4.15.3 Where a Freight Terminal/Yard is not Network Rail operated infrastructure, or the delay or *R*eliability Event occurs on other non-Network Rail operated infrastructure it will be the responsibility of the Operator of the train to provide the necessary information to Network Rail to accurately allocate the Minutes Delay to an Incident. Often this will be by use of the Late Start Reason Code in the TOPS/SDR Departure input. Any incident attributed on the basis of such input must state the data source in the freeform text. When a Y* code is used the Operator must advise Network Rail the reporting number of the delayed inward working. The TRUST Delay Attribution inputter must ensure that this reactionary delay is attributed to the prime incident. If no information is provided, then the Delay Minutes will be allocated to an Incident coded FW or TZ, as appropriate, attributable to that Train Operator.

4.16 INFRASTRUCTURE EQUIPMENT FAILURE

4.16.1 To be given the appropriate I*/J* Code and attributed to the Infrastructure Maintainer responsible for faulting and maintenance at the location concerned. This includes:

- Failures caused by litter affecting infrastructure equipment
- Failures associated with trackside telephones, including SPT's and at level crossings.

4.16.2 Likely exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure failure on non-Network Rail running lines causing trains to be delayed – including LUL infrastructure but excluding Channel Tunnel / Europe.	TX / AX	Train Operator(s) – separate incident to be created to each operator involved (T*** / A***)
b.	**Cable Failure caused by Vandalism:** • Where the failure is due to cable vandalism / theft • Where it is identified that the failure is due to vandalism / theft (other than to cables)	 XR XB	 Network Rail (XQ**) Network Rail (XQ**)
c.	**Road related incidents 1)** Damage to level crossing equipment caused by road traffic	XD	Network Rail (XQ**)
d.	**Road related incidents 2)** Road vehicle striking bridge	See 4.5	As per section 4.5
e.	**Road related incidents 3)** Damage to infrastructure other than bridges or level crossings caused by road vehicles not involved in railway work	XN	Network Rail (XQ**)
f.	**Road related incidents 4)** Track Circuit failures near level crossings caused by road salt	XN	Network Rail (XQ**)
No.	**Circumstances**	**Delay Code**	**Incident Attribution**
g.	**Bridges & Structures 1)**	QD	Network Rail (QQ**)

	Structural problems on bridges (excluding lifting / swing bridges and bridge strikes), tunnels, viaducts and buildings		
h.	**Bridges & Structures 2)** Swing bridge failure	JI	Network Rail (IQ**)
i.	**Bridge & Structures 3)** Where it is identified that problems with embankments, cuttings, subsidence or sea defences are not as a result of insufficient vegetation or vermin control or drainage maintenance.	IV	Network Rail (IQ**)
j.	Power supply failure caused by loss of supply from an external supplier.	XK	Network Rail (XQ**)
k.	Failure of TPWS on-track equipment	J1	Network Rail (IQ**)
l.	Wires down or other OLE problems	See 4.40	As per section 4.40
m.	*Animal Strikes/Incursion*	*See Section 4.4*	*As per Section 4.4*
n.	**Staff error** e.g. items left foul of line, inadvertent signal replacement, detonator placement errors	JL	Infrastructure Maintainer/TRC (IQ**)

Additional guidance:

4.16.3 Track Circuit Failures

a) Broken Rails

There may be occasions when an apparent track circuit failure turns out to be an indication of a broken rail. In these circumstances the delay should be attributed (or changed) to IR.

b) Insulated Block Joint Failures (IBJ)

Further, in some cases an insulated block joint (IBJ) failure, i.e. the insulation between the two track circuits may cause a track circuit failure. If it is the insulation on the IBJ which has failed or is faulty, the delays should be coded as a track circuit failure - IC. If, however, the IBJ fault lies with the joint itself, then the delays should be coded as a track fault - IS. Where an IBJ causes a track circuit to fail and cause delay the delay should be attributed to IC. Where an IBJ failure does not cause the track circuit to fail but does result in trains being delays, e.g. through cautioning of trains due to a dipped joint the delay should be coded IS.

c) Leaf Fall Contamination

Where a track circuit failure is caused by leaf fall contamination, the delays should be coded QJ.

4.16.4 Track & Rail Defects

The code IS should be used for track defects such as broken fishplates, bolts, where packing is required, ESRs imposed, broken joints.

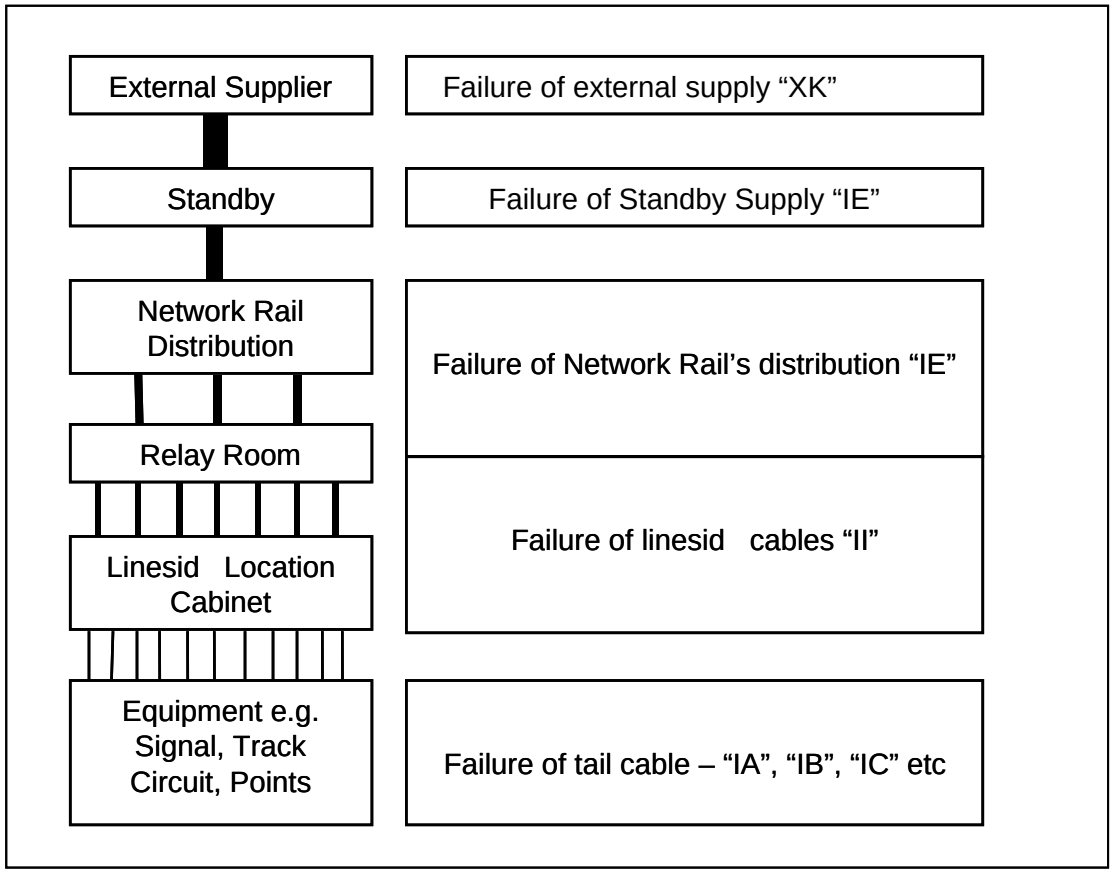
The code IR should be used where the rail is broken.

The code IT should only be used where a suspected track defect is reported but no fault is found.

4.16.5 Cable Faults & Power Supply Failures

The following diagram illustrates how to differentiate & attribute delays to power failures, cable faults or track circuit, signal faults etc.

Figure 2 - Schematic of Delay Codes Through Distribution Supply Chain



If the fault is from the incoming supply to Network Rail then the codes XK should be used, to denote rapid response. See paragraph 4.16.2 for details.

If the fault is between the Network Rail distribution point and the relay room the delays should be coded IE - power failure.

If the fault is between the relay room and the Lineside location cabinet the failure should be coded II - cable fault.

Finally, if the fault lies between the Lineside location cabinet and the equipment such as a signal, it is a tail cable failure. This should be coded according to the piece of equipment it feeds. Therefore if it is a track circuit tail cable it should be coded IC.

Where the external power supply fails and a standby supply is fitted but does not activate, the code IE should be used and attributed to the Infrastructure Maintainer. Likewise if a power blip causes delays and an Uninterruptible Power Supply is fitted but does not activate, the code IE should be used and attributed to the Infrastructure Maintainer.

4.16.6 Telecommunication Links

The code JC is used for failures of communication links between telecoms or signalling equipment. Such failures can be the reason that signalling functions such as TDM/SSI, Train Describer (TD) and Block Circuits (BLO) are not operational.

4.16.7 Telecom Equipment Failures

The code IK is used for failures to telephony equipment (not communication links). This code should be used to describe failures of the following equipment:

- Signal Box Telephone Concentrator System (CON)
- Signal Post Telephones (SPT)
- Level Crossing Telephones, both NR and BT lines (LCT)
- RETB Emergency Telephones
- Ground Frame Telephones
- Points Telephones
- General Lineside Telephones (TEL)
- Driver Only Operation (P) Closed Circuit Television (DVT)

4.16.8 Radio Failures (Legacy Communications)

The code I0 (zero) is used for delays due to failures of legacy radio communication equipment, NRN radio equipment (off train), CSR/SMA equipment (off train), RETB radio equipment.

4.16.9 Electrical Control Rooms

The code J0 (zero) is used for delays due to failure of GSM-R or IVRS communication systems, including the failure of associated mobile communication devices issued to traincrew.

4.16.10 Token Equipment Failure

The code IL is used for a token failure or RETB terminal failure. Failure of RETB radio link should be coded as 4.16.7. Failures of the standby dial-up system should be coded in line with 4.16.6.

4.16.11 Electrification

Code I1 should be used for a failure of the overhead line equipment or the third rail equipment.

Code I2 should be used where trips on OHLE (not pantographs) occur and no known reason can be found.

Code I3 obstruction of the overhead wires or third rail should be allocated to the reason for the item being there, i.e. Weather, Vandalism, Trespass or thrown fallen from a train. If the reason for the obstruction is not known, code I3 should be used.

Code I4 should be used when there are problems associated with motorised and manual switches, incoming breakers, track feeder breakers and isolation irregularities.
Code JP should be used where the OCB trip is caused by vegetation within the 5 meter confines of the flail strip, including when attached to a structure.

4.16.12 Infrastructure failures on FOC or privately owned infrastructure Code AX to be used, with one incident for each affected operator.

4.16.13 Failure of Network Rail maintained DOO Monitors

The code J5 should be used for the failure of DOO monitors that are maintained by Network Rail.

4.16.13 ETCS/ ERTMS Equipment Failure

The code J7 is used for failures of ETCS/ ERTMS equipment (excluding communications link and ETCS Balise (See section 4.42). This equipment includes:

- *Interlocking*

Radio Block Centre (RBC)

4.17 *LATE START FROM ORIGIN*

4.17.1 When a train starts late due to the late arrival of the inward locomotive and / or stock *and both the train and the incoming locomotive and/or stock is operated by the same Train Operator*, the appropriate YG, YH and YI Code is to be used and allocated to the cause of delay (other than an P-coded TSR) which has contributed most to the lateness at destination. Care must be taken to include all relevant details, Responsible Train reporting number.

4.17.2 When a train starts late due to the late arrival of incoming locomotive and/or stock operated by a different Train Operator, the late start shall be treated as a separate incident and attributed to the operator of the outgoing train that has departed late

4.17.3 As both parties are expected to mitigate the effects of any occurrence wherever possible, the late start should be less than the lateness on arrival of the inward working. Where the late start exceeds the lateness on arrival of the inward working , *and the excess lateness is not due to regulating for another train,* a separate incident should be created to explain the additional delay. Late running trains should normally be turned round in less time than that booked. In each case a view must be taken on how much of the late start was due to the late arrival of the inward working and how much was caused by a separate occurrence at the origin station. The Minutes Delay to be split accordingly.

4.17.4 If a train starts late due to traincrew see section 4.38

4.17.5 Where a train has a departure delay because the schedule has been subject to a stock change and is deemed not to be a primary delay, the late start is only considered to be a reactionary delay where the stock change is a direct result of service recovery or contingency planning. Reactionary delay is allocated to the incident that caused the stock change.

4.18 LOADING PROBLEMS

4.18.1 Use code AG attributing to Operator of train concerned (A##*). This includes trains overloaded etc., leaving a Possession or worksite.

4.18.2 Exception:

No.	Circumstances	Delay Code	Incident Attribution
a.	Train conveying dangerous goods	FA	Operator of train involved (F##*)

4.19 MARSHALLING OF TRAIN INCORRECT

4.19.1 For passenger trains use Code TZ and for freight trains use Code FB, attributing to Operator of train involved (F##* or T##*, as appropriate)

4.19.2 Exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Train conveying dangerous goods	FA	Operator of train involved (F##*)
b.	Train incorrectly marshalled due to late arrival of part of consist	YH/YI	Principal Incident causing late inward arrival
c.	Train incorrectly marshalled due to signaller allowing portions into platforms or sidings in wrong order other than due to late running	OC	Network Rail (OQ**)

4.20 MISHAPS AND MAJOR SAFETY INCIDENTS

4.20.1 If an incident occurs on Network Rail infrastructure, for which the outcome of a Formal Inquiry, as convened in accordance with Group Standard G0/0T0004, is required to establish responsibility and this could lie with at least one Train Operator, then it is to be coded FU or TU, as appropriate. Examples of such incidents are certain derailments and collisions. If two or more Train Operators may be responsible, a separate Incident to be created for the trains of each, with Responsible Manager (F##* or T##*). If Network Rail and other Train Operators agree that they did not contribute to its cause then a separate Incident for trains of those Operators to be created, coded OI, and attributed to Network Rail (OQ**). The formal investigation conclusion as to cause 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 4.20.2 and/or 4.20.3.

4.20.2 Given the disruptive nature of many major incidents and that the need to convene a Formal Inquiry may not be immediately apparent, it may not be practical to apply paragraph 4.20.1 above in real time. In these circumstances the code that best describes the problem should be used wherever possible and attributed accordingly. Where the exact cause is not obvious, the appropriate code AY/FY/IY/MY/OY/RY/TY to be used.

4.20.3 Particular codings:

No.	Circumstances	Delay Code	Incident Attribution
a.	Dangerous Goods Incident/Irregularity	FA	Train Operator (F##*)
b.	Overloaded wagons, slipped load or similar	AG	Train Operator (A##*)
c.	Confirmed Hot Axle Box	MR	Train Operator (M##*)
d.	Hot Axle Box detection - no fault found or wrong detection	IN	Infrastructure Maintainer (IQ**)
e.	Displaced conductor rail	I1/FU/TU	As appropriate to cause (IQ**, F##* or T##*)
f.	Wires down	See 4.40	As per Section 4.40
g.	Fires or fire alarms	See 4.11	As per Section 4.11
h.	Injury to passenger (non malicious)	TE	Train Operator (T##*)
i.	Assault on passenger	VB	Train Operator (V##*)
j.	Injury to member of staff in Railway Industry	FZ/IZ/MZ/ OC/RZ/TG/ TH or TK	Employee's organisation or the one to which they are contracting if not Network Rail/TOC/ /FOC/ Infrastructure Maintainer/TRC
k.	Door Open incident on passenger train	TL	Train Operator (T##*)
l.	Door open incident on non-passenger train	FZ	Train Operator (F##*)
m.	Level crossing incidents involving damage	ID	Infrastructure Maintainer (IQ**)
n.	Misuse of level crossing	XS	Network Rail (XQ**)
o.	Bridge Strike	XP	As per Section 4.5
p.	Fatality or injury caused by being hit by a train	See 4.10	As per Section 4.10
q.	Vandalism, trespass and theft	See 4.36	As per Section 4.36
r.	Signal Passed at Danger due to infrastructure failure	Appropriate I*/J* Code	Infrastructure Maintainer (IQ**)
s.	Signal Passed at Danger due to Train Operator causes	AY/FP/FY/ MY RY/TG/TH	Train Operator
t.	Signal Passed at Danger due to signaller's error	OC	Network Rail (OQ**)

u.	Signal Passed at Danger due to leaf fall contamination	QH/FP/TG	As Per Section 4.3
v.	Network Rail Network closed due to emergency on adjacent airfield/airport.	XZ	Network Rail (XQ**)

4.21 MINUTES DELAY NOT APPARENTLY DUE TO NETWORK RAIL

4.21.1 If following investigations with its own staff Network Rail has reasonable grounds to believe that the Minutes Delay were not its responsibility and the Operator is unable to immediately provide information, then use code TO for passenger trains and FO for freight trains and attribute to Operator. A separate Incident to be created for each such instance which must indicate what Network Rail sources of information have been used and which post(s) in the Operator's organisation were approached for information, where applicable. Such TRUST Incidents must not be created without sufficient investigation using Network Rail's own sources of information.

4.21.2 These incidents may be re-attributed on the basis of further investigation by the Train Operator.

4.21.3 Any loss in time in running should take into consideration the circumstances given in section *4.33*.

4.22 TRUST BERTH ERRORS

4.22.1 TRUST Berth errors occur due to anomalies in TRUST automatic reporting, whereby a train might appear to lose time as the result of an inaccurate report, only to recover it immediately. In certain circumstances, these anomalies may be sufficiently pronounced to cause the generation of a Delay Alert. Such anomalous reports should be corrected in accordance with BPM Procedure 2, Section 3.3. However, if the times are not revised, the delay alerts generated should be attributed to an incident coded PT. Incorrect TRUST timings should be corrected in accordance with BPM Procedure 2, Section 7.

4.23 REGULATION AND SIGNALLING OF TRAINS

4.23.1 Where a train has been held at a regulating point for another train and for no other reason, outwith the agreed Regulating Instructions for that location, the Minutes Delay should be coded OB (or OD if this is by direction of the Route Control) and attributed to Network Rail (OQ**). This also applies if a train is delayed following a slower running train that has been allowed to proceed against the Regulating Instructions between two regulating points and for no other reason.

4.23.2 If a train is delayed at or between successive regulating points ***as a result of correct application of the Regulating Instructions and for no other reason****, then the appropriate Y* code is to be used for the Minutes Delay and these should be attributed to the principal TRUST Incident of the most late train that caused the need to regulate at the point where the Reactionary Delay occurred. Should the principal TRUST Incident be some form of P* coded Speed Restriction or Possession then the delay is to be allocated to a separate Incident in accordance with section 4.34.*

4.23.3 In the event of a train being incorrectly regulated or routed as a result of a signaller correctly applying an incorrectly-produced Train Service Simplifier, the minutes delay should be attributed to Network Rail and coded OQ/OQ**. This coding shall apply irrespective of whether the simplifier was created by Network Rail or some other

organisation, with the exception of simplifiers produced by Operational Planning which should be coded to (QQ / QQ**).

4.23.4 In the event of a train being incorrectly routed, the attribution of delay is dependent on the route set, and the actions of the driver affected. If the driver does not take the incorrect route, or if the route is an agreed booked diversionary route for that service which would not result in missed station calls if taken, all delay should be attributed to the signaller, coded OC/OQ**.

4.23.5 In the event of the route being set for an incorrect route that is not a booked diversionary route, or would involve a missed station for which prior advice of diversion had not been received, the driver is expected to advise the signaller at the junction signal controlling the junction, or if not possible to stop in time safely, at or before the next signal. In the event of the driver not stopping and contacting the signalman at the appropriate point, a second incident should be created coded TG/TH** or FP/F*** and any delays divided equally between the two incidents.

4.24 SAFETY PROBLEMS REPORTED BY STAFF OR PUBLIC

4.24.1 All Railway Industry staff have a duty to report Safety problems that will or appear to affect the safe operations of trains or the infrastructure. On occasions similar reports are received from members of the public. This section reflects the responsibilities of organisations to ensure that such reports are acted upon and investigation may reveal that the problem may no longer be apparent.

4.24.2 Likely circumstances:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure Maintainer confirm defect after report of poor ride quality	As per Section 4.16	As per Section 4.16
b.	Following report of poor ride quality Infrastructure Maintainer unable to find an apparent cause	IT	Infrastructure Maintainer (IQ**)
c.	Infrastructure Maintainer confirm signalling problems causing change of signal aspects or other reported signalling anomaly	As per section 4.16	As per section 4.16
d.	Signaller accidentally puts signal to danger	OC	Network Rail (OQ**)
e.	Signal put back to danger to stop train due to Safety of the Line incident	Appropriate Code	As appropriate to code
f.	Should no cause be apparent for a change of signal aspects or other reported signalling anomaly	JM	Infrastructure Maintainer (IQ**)
g.	Infrastructure Maintainer/Network Rail staff confirm presence of reported obstruction	JX	Infrastructure Maintainer (IQ**) or Network Rail (IQ#*) as below

No.	Circumstances	Delay Code	Incident Attribution
h.	Network Rail & Operator agree that a train has struck an unidentified obstruction on the line and Infrastructure Maintainer were required to attend (not vandalism)	JX	Infrastructure Maintainer (IQ**) (see also paragraph 4.36.1)
i.	Network Rail & Operator agree that a train has struck an unidentified obstruction on the line and Infrastructure Maintainer were not required to attend (not vandalism)	JX	Network Rail (IQ#*) (see also paragraph 4.36.1)
j.	Operator's staff confirm that there is a defect with traction or rolling stock	Appropriate M* Code	Operator of train concerned (M##*)
k.	Tail lamp or headlamp is out or train shows both headlamps/marker lights and tail lamps/lights at same end of train or intermediate lamps/lights.	FM or TJ as appropriate to type of train	Operator of train concerned (F##* or T##*)
l.	Operator's staff unable to find reported train-related safety problem.	FZ, M9 or TZ as appropriate to type of train	Operator of train concerned (F##*, M##* or T##*).
m.	Network Rail staff unable to find reported infrastructure related safety problem.	J4 or as appropriate to reported problem	Infrastructure Maintainer (IQ**)

See paragraph 3.2.5.

4.24.3 Delays incurred while signallers are completing RT3185 or RT 3187 forms following a reported infrastructure failure, should be attributed to the incident that made use of the form necessary.

4.25 REMOTE CONDITION MONITORING EQUIPMENT

4.25.1 Where it is not possible to find the reported train – related problem, and it can be confirmed the reporting device (WILD, HABD, WHEELCHEX, PANCHEX) is operating correctly" Delay code FZ, M9 or TZ Operator of train concerned (F##*, M##* or T##*).

Where it cannot be confirmed the reporting device is functioning correctly Code "IN" I##*.

4.26 RAILHEAD CONDITIONING TRAINS

4.26.1 Note that, in the context of this guide, "Railhead Conditioning" (RHC) trains, incorporates Sandites, MPV's and de-icer services.

4.26.2 Network Rail is responsible for the operation of RHC trains on the network to assist with adhesion in the autumn period. Although Network Rail contracts this work to Train Operators or other suppliers, it is Network Rail who is normally responsible for delays associated with RHC train operation.

4.26.3 So that RHC trains may be properly handled in other systems 'downstream' from TRUST, it is essential that they are allocated unique sets of Train Service Codes in the creation of schedules. Operations Planning Managers, Route Performance Managers and others in charge of control offices are responsible for ensuring the integrity of coding for these trains.

4.26.4 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Delays caused by a failure to operate Rail head treatment trains or to lay Rail head treatment trains where/when programmed	OE	Network Rail (OQ**)
b.	Delays caused by inadequate pathing for a RHC train (WTT)	QA	Network Rail (QQ**)
c.	Delays caused by inadequate pathing for a RHC train (STP)	QM	Network Rail (QQ**)
d.	Delays caused by inadequate pathing for a RHC train (VSTP)	QN	Network Rail (QQ**)
e.	Delays caused by incorrect regulation of a RHC train.	OB	Network Rail (OQ**)
f.	Delays caused by a technical failure associated with a RHC train.	OM	Network Rail (OQ**)
g.	Delays caused by a RHC train taking an unusually long time in a section or at a location.	OS	Network Rail (OQ**)
h.	Late start of a RHC from depot	OO	(OQ**)

4.27 SECURITY ALERTS

4.27.1 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Suspect package or other security alert actually on Network Rail Infrastructure, including Network Rail buildings other than stations.	XI	Network Rail (XQ**)
b.	Any security alert adjacent to and affecting trains running on Network Rail Infrastructure but not causing a station to be evacuated, including railway property not owned/operated by Network Rail	XI	Network Rail (XQ**)

No.	Circumstances	Delay Code	Incident Attribution
c.	Security alert at or affecting a station, including alerts on non-railway property, where trains are allowed to pass through but not stop	VI	Template Operator - separate Incident for each affected (V***)
d.	Security alert at or affecting a station, including alerts on non-railway property, which prevents the passage of a train at the time it is scheduled to stop **and** the access of passengers to/from that train.	VI	Joint Responsibility - separate Incident for each affected Operator serving that station during the duration of the incident (DH**) (see paragraph 4.27.3 below)
e.	Security alert affecting trains of Operators, none of whose regular services call there (including non-passenger operators)	XI	Network Rail (XQ**) @-
f.	Security alert at a station affecting Royal Mail Postal or charter trains booked to call there	AZ	Royal Mail - separate Incident to be created (A##*)
g.	Security alert in Passenger Fleet Depot affecting trains in depot	VI	Train Operator - separate Incident for each Operator affected (V##*)
h.	Security alert in non-Passenger Fleet Depot affecting trains in depot	MZ	FOC- Separate Incident for each affected (M##*)
i.	Security alert affecting non-Passenger trains running on infrastructure not operated by Network Rail (other than Fleet Depots affecting trains running on/to/from that infrastructure)	AZ	FOC- Separate Incident for each affected (A##*)
j.	Suspect package or other security alert in a passenger, freight or postal train	VI (RZ/FZ for Charter/Res /Freight)	Operator of train concerned (V##* or F##*)

@ One Incident will be sufficient for all such Operators.

4.27.2 In all cases, the closure of access must be undertaken by a responsible person and be reasonable and justified in the circumstances, which should be detailed in the incident freeform.

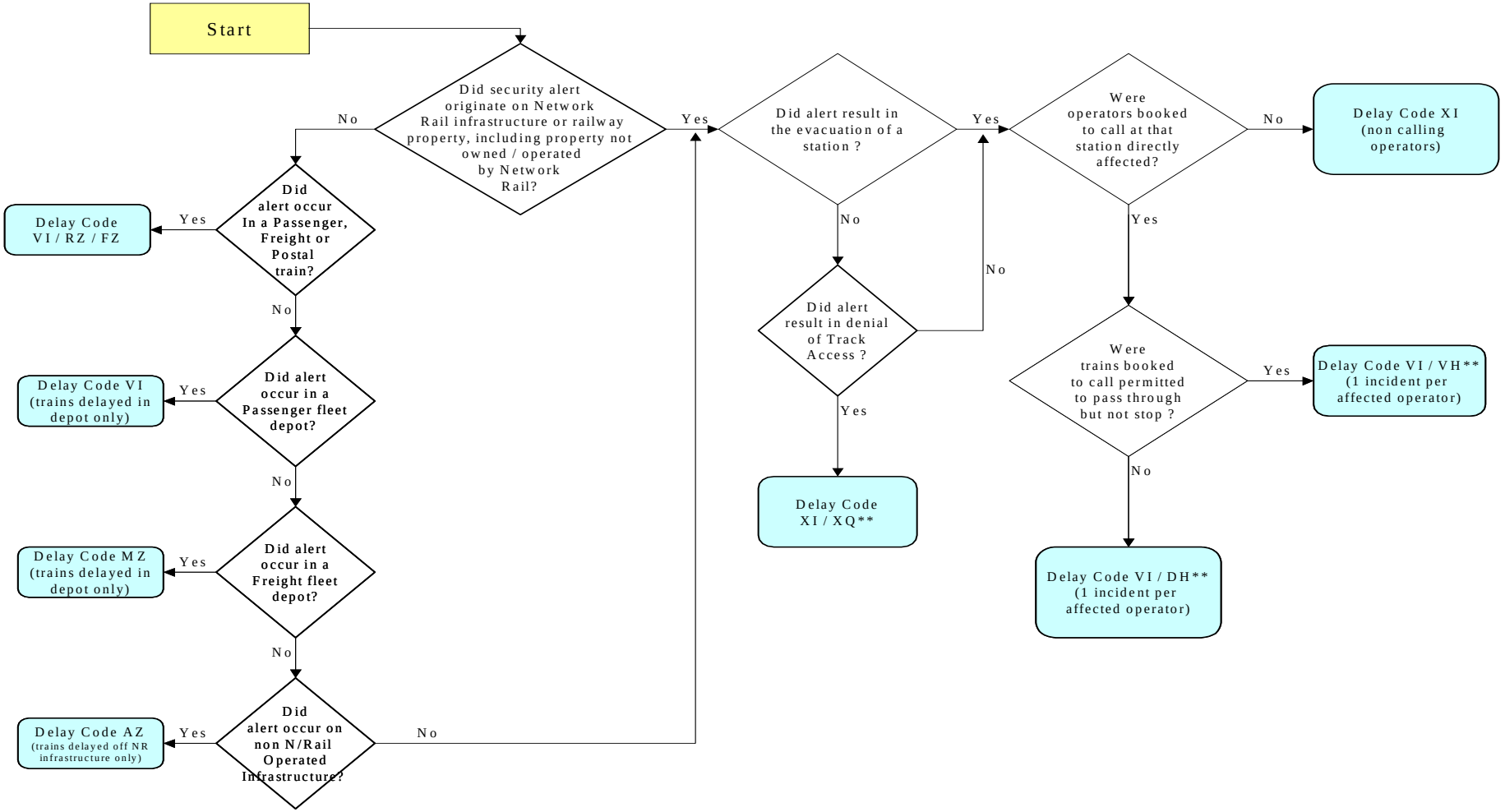
4.27.3 Circumstances may arise where Joint Responsibility criteria are met for only a limited period within the overall duration of the incident; for example, the police may initially close the line and the station, but then allow one to be re-opened, while keeping the other closed. In such circumstances multiple incidents may be required as defined in 4.27.1 above.

4.27.4 Note that, in the event of Joint Responsibility being applicable in accordance with the guidance above, an incident should be created for each operator incurring at least one

direct delay in respect of any train booked to call at the station affected during the period of closure. Any subsequent direct delays in respect of trains booked to stop incurred by that operator should be attributed to this incident. Subsequent directly affected trains not booked to call should be attributed to Network Rail.

4.27.5 The above section notwithstanding, normal arrangements apply in respect of the attribution of reactionary delay (see paragraph 4.1.2).

4.27.6 Flowchart identifying attribution of various types of security alert



4.28 STATION OPERATING DELAYS

4.28.1 Normally, station delays are attributable to the operator of the trains concerned.

4.28.2 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Waiting traincrew	TG/TH/TI/YJ or YN	As per Section 4.38
b.	Non-malicious injury to passenger	TE	Operator of train involved (T##*)
c.	Seat reservation problems	TF	Operator of train involved (T##*)
d.	Train catering staff including trolley operators delaying train	TK	Operator of train involved (T##*)
e.	Waiting passenger connections within the TOC/Network Rail Connection Policy, except where the principle incident causing delay to the incoming train is a FOC owned incident.	YL	Prime incident causing train to be late at that point
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 of hourly or lower frequency. If more than hourly frequency then separate incidents to be created attributable to Network Rail (OZ/OQ**)
g.	Waiting passenger connections authorised by TOC but outwith TOC/Network Rail Connection Policy	RK/TM	Operator of train being held (T##*)
h.	Waiting passenger connection - not authorised	RI	Operator of train being held(R##*)
i.	Overtime caused by passengers joining/alighting	RB	Operator of train involved (R##*)
j.	Overtime caused by exceptional passenger loadings due to special events e.g. sport fixtures	R7	Operator of train involved (R##*)
k.	Overtime caused by disabled persons joining / alighting	RC/RQ	Operator of train involved (R##*)

No.	Circumstances	Delay Code	Incident Attribution
l.	Overtime caused by loading/unloading of bicycles	RR/RS	Operator of train involved (R##*)
m.	Delay due to shunter	RD	Operator of train involved (R##*)
n.	Delay due to watering train	RD	Operator of train involved (R##*)
o.	Overtime due to station staffing problems	R3	Train Operator - separate Incident to be created for each affected (R##*)
p.	Overtime due to late TRTS being given by station staff	R2	Operator of train involved (R##*)
q.	Overtime to passenger train caused by failure of lifts/escalators	RE	Train Operator - separate Incident to be created for each involved affected (R##*)
r.	Overtime to passenger train caused by failure of customer information systems	RV	Train Operator - separate Incident to be created for each involved affected (R##*)
s.	Failure of internal power supply to station structures or systems.	RZ	Train Operator - separate Incident to be created for each involved affected (R##*)
t.	Failure of external power supply to station structures or systems that does not affect the power supply for the operation of trains.	VZ	Train Operator - separate Incident to be created for each involved affected (V##*)
u.	Overtime to Royal Mail Postal train caused by failure of lifts/escalators, including re-platforming as a result of such failure.	AZ	Royal Mail (A##*)
v.	Loading or unloading letter mails or parcels	RF (AZ for Royal Mail)	Operator of train involved (A##* or R##*)
w.	Fire or fire alarm at station	See 4.11	As per section 4.11
x.	Waiting for authorised Special Stop Orders to be issued	RL	Operator of train involved (R##*)

No.	Circumstances	Delay Code	Incident Attribution
y.	Waiting issue of unauthorised Special Stop Orders	RJ	Operator of train involved (R##*)
z.	Disorder/drunks/assaults/theft/vagrants and serious crimes at station	VB	Train Operator - separate Incident to be created for each Operator involved (V##*)
aa.	Ticket irregularities	VE	Train Operator involved (V##*)
ab.	Fatality or injury caused by being hit by a train at station	See 4.10	As per section 4.10
ac.	Police searching train (not security alert)	VG	Train Operator involved (V##*)
ad.	Security alert	See 4.27	As per section 4.27

4.28.3 Changes to Appendix A have resulted in a considerable net increase in TOC R* delay codes. Certain station operating events now require different delay codes to be used in respect of particular circumstances. In respect of these, it is the responsibility of the TOC to advise Network Rail which code should be used. If no information is provided inputters should select the code which best describes the incident on the basis of available information (see Appendix A, section R). No expansion or amendment of Network Rail's investigative responsibilities is inferred.

4.28.4 All the foregoing circumstances are equally applicable to Network Rail Major Stations. Network Rail is only liable for delays in its capacity as infrastructure controller, not as provider of station facilities.

4.28.5 Where a train is not in its booked platform and as a result causes a Reactionary Delay that would not have occurred if it were in its booked platform (subject to occurrences of any further incident causing delay), Reactionary Delay is allocated to the incident that caused the train to be in the wrong platform.

4.28.5 In cases where passenger access to and from trains via station platforms is prevented, the closure of access must be undertaken by a responsible person and be reasonable and justified in the circumstances and should be detailed in the incident freeform.

4.28.6 Circumstances may arise where Joint Responsibility criteria are met for only a limited period within the overall duration of the incident; for example, it may initially be necessary to close the line and the station, but then allow one to be re-opened, while keeping the other closed. In certain circumstances multiple incidents may be required.

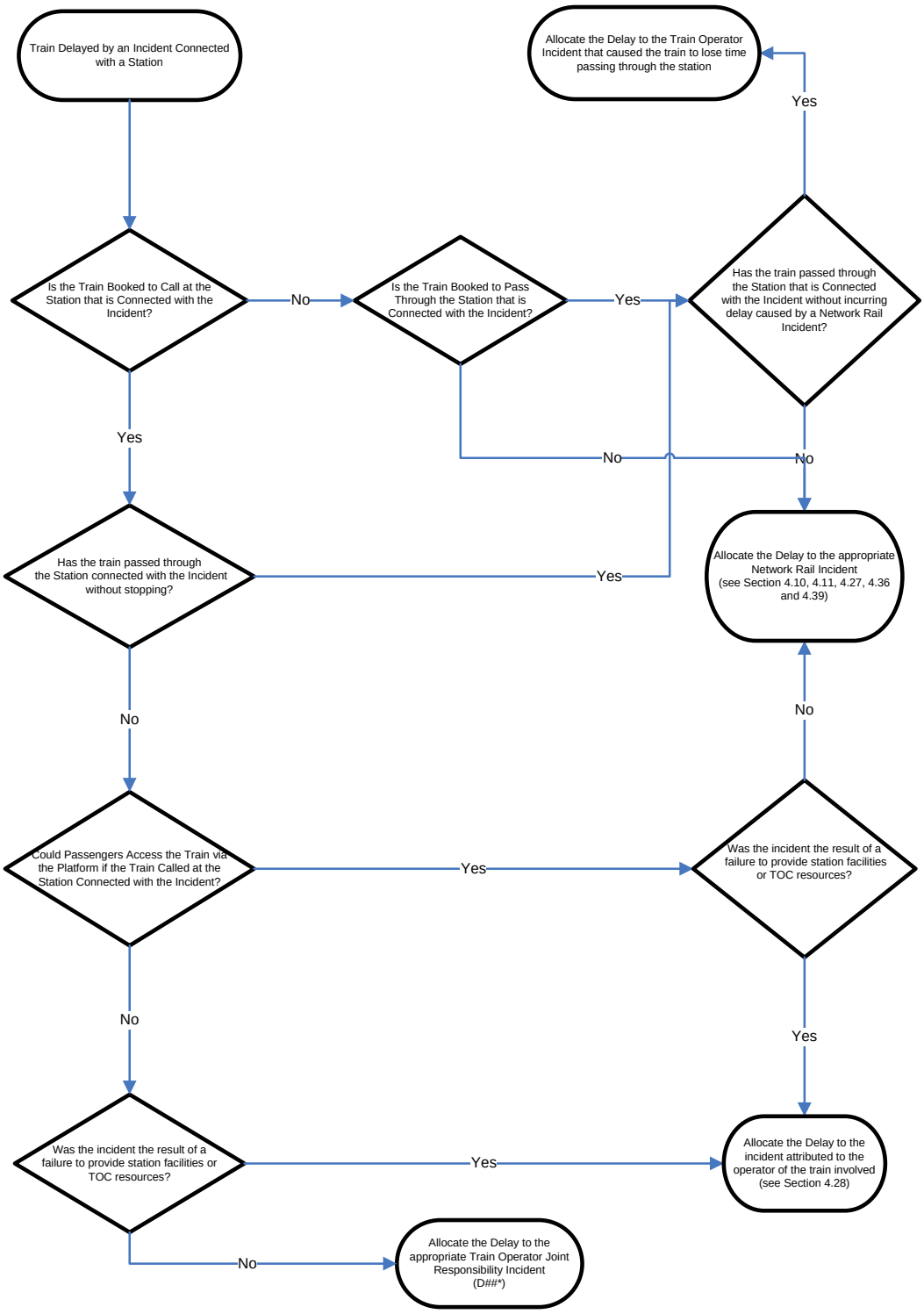
4.28.7 Note that, in the event of Joint Responsibility being applicable in accordance with the guidance above, an incident should be created for each operator incurring at least one direct delay in respect of any train booked to call at the station affected during the period of closure. Any subsequent direct delays in respect of trains booked to stop incurred by that operator should be attributed to this incident. Subsequent directly affected trains not booked to call should be attributed to Network Rail.

4.28.8 The above section notwithstanding, normal arrangements apply in respect of the attribution of reactionary delay.

4.28.9 Initial attribution in accordance with the guidance above should be reviewed by performance/account teams to ensure that all parties have taken reasonable steps to avoid and/or mitigate the effects of the incident. Any failure to mitigate delay must be attributed to the responsible party in accordance with DAG paragraph 4.1.8.

4.28.10 Guidance for the allocation of delays caused by an incident at a station.

Flowchart identifying the correct Allocation of a Delay to a Train resulting from an Incident in Connection with a Station



Throughout this flow chart the term 'station' can also refer to the platform at which the train is booked to call.

4.29 TEMPORARY (INCLUDING EMERGENCY) SPEED RESTRICTIONS

4.29.1 The correct coding of such Incidents (excluding Emergency Speed Restrictions) must be advised in advance to the Route Performance and Control organisations to allow the setting up of TSR Network Delay Incidents within TRUST DA on publication of the Weekly Operating Notice. This must include the average time loss for each class of train, the Incident Delay Code and the Responsible Manager Code. The Account Executives, Operational Planning Managers and Asset Managers organisations must ensure that a suitable system is in place for such information to be available. Any TSR identified as a Planned Incident must comply with the stipulations of Schedule 8.

4.29.2 Emergency Speed Restrictions should be set up as an ordinary Network Delay with the upper delay threshold set at the maximum typical time loss for each class of train. In addition, the likelihood of additional delay awaiting the erection of speed boards should also be taken into account when determining the appropriate threshold. The Incident created must then be subsequently amended to reflect train delay once this work has been done.

4.29.3 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Planned TSR in connection with maintenance, renewal or other work covered by sufficient time allowed for temporary speed restrictions and other engineering work (box time) in the working timetable	PA	Not the responsibility of any industry party (PQ**)
b.	Planned TSR for maintenance, renewals or other work not covered by sufficient time allowed for temporary speed restrictions and other engineering work (box time) in the working timetable	*JA*	Infrastructure Maintainer (IQ**)/Track Renewal Contractor (IQA*)
c.	Where a TSR (possibly more restrictive than that planned) has been imposed due to possession work not being completed	JG	Infrastructure Maintainer (IQ**)/Track Renewal Contractor (IQA*)
d.	Condition of Track within Rules of the Route	PB	Not the responsibility of any industry party (PQ**)

No.	Circumstances	Delay Code	Incident Attribution
e.	Condition of Track TSR not within Rules of the Route	JS	Infrastructure Maintainer (IQ**)
f..	Condition of Track TSR not within Rules of the Route due to the agreed renewal date being exceeded	JS	Infrastructure Maintainer (IQ**)/Track Renewal Contractor (IQA*)
g.	Condition of Bridge TSR within Rules of the Route	PC	Not the responsibility of any industry party (PQ**)
h.	Condition of Bridge TSR not within Rules of Route	QD	Network Rail (QQ**)
i.	Condition of Earthworks TSR within Rules of the Route not due to inadequate drainage maintenance	PH	Not the responsibility of any industry party (PQ**)
j.	Condition of Earthworks TSR not within Rules of the Route due to inadequate work by Infrastructure Maintainer	IV	Infrastructure Maintainer (IQ**)
k.	Emergency Speed Restriction due to infrastructure problem	I*/J* Code reflecting reason for restriction	As appropriate to cause of problem
l.	Emergency Speed Restriction following a derailment	See Mishap Section	As per Section 4.20
m.	Temporary or Emergency speed restriction imposed as a result of rolling contact fatigue.	JO	Infrastructure Maintainer (IQ**)

Note: The term Within Rules of the Route used above should be interpreted to mean that there is sufficient unused recovery time in the timetable and in the case of Condition of Track/Earthworks/Structures the reason for the speed restriction is declared in Rules of the Route /Plan.

4.30 THE SPECIAL TRAIN

4.30.1 If any train delay results from the running of The Special Train then it is to be coded OZ and allocated to an Incident with Responsible Manager Code OQAX.

4.31 TIMETABLE AND RESOURCE PLANNING ERRORS

4.31.1 This section reflects the requirement on Network Rail to produce validated train paths and schedules for non-VSTP services, usually any service requested by the Operator at least two days before that on which it is due to depart from origin.

4.31.2 If there are errors in the Network Rail schedule then use code QA for WTT/LTP services, QM for STP/VAR schedules from Protim/TSDB/Train Plan, and QN for VSTP created schedules and attribute to Network Rail. A TSI enquiry will show whether the Schedule was set up by TSDB or TOPS. If the problem is caused by the Train Operator's documentation not agreeing with Network Rail's schedule or a TOPS

schedule created by the Operator then use code FH for freight trains or TA for passenger trains and attribute to the Operator.

4.31.3 Where a VSTP service has been agreed and input, and **that train only** incurs minor delays (less than 5 minutes), these delays may be attributed to a separate incident, coded PN/PQ**. In the event of any reactionary delays being caused to non-VSTP services, the incident must be re-coded in accordance with paragraph 4.31.2 above.

4.31.4 Trains not cancelled in TSDB but which are planned should be allocated to Incidents with delay code PE/PG/PK, as appropriate, and Responsible Manager Code PQ**. The code PD is automatically applied to any schedule cancelled in TSDB and should not be used in any other circumstances.

4.31.5 A train cancelled via TSDB and coded PD must not be reinstated in the system by any party, if the train is required to run this should be requested as a new train via the Very Short Term Planning procedure.

4.31.6 If time loss in running is considered to be due to an RT3973 restriction the following circumstances should be considered:

Likely circumstances:-

No.	Circumstances	Delay Code	Incident Attribution
a.	RT3973 conditions requested by operator but schedule does not allow for the restrictions	QA/QM (WTT or STP dependent)	Network Rail (QQA*)
b.	RT3973 conditions not requested by operator	FH/TA	Train Operator (F##*) (T##*)

4.32 TRACKSIDE SIGNS INCLUDING TSR/ESR BOARD DEFECTIVE/BLOWN DOWN

4.32.1 Delays resulting from missing, damaged, defective or obscured trackside signs should be coded IQ and attributed to Network Rail (IQ**)

4.33 TRAINS INCURRING SEVERAL SMALL DELAYS

4.33.1 This section covers trains that have incurred several small delays below the normal explanation threshold but then suffer or cause a Reactionary Delay of at least as many minutes as the threshold (3 minutes or more for most Operators).

4.33.2 If the train has been regulated correctly and it is known why it has lost time (e.g. several successive TSR's or running with lower powered/speed locomotive or unit) then a separate Incident should be created with a Delay Code describing the cause and attributed as per the appropriate section of this Guide. The Reactionary Delay should then be attributed to the Incident. In addition, the previous delays may also be allocated to the incident but will not count in the performance regime if they are below the contractual threshold. When the below threshold delays are due to P-coded TSR's, the reactionary delay should be coded QL/QQ**, as per paragraph 2.6.7. Where possible, delays below the threshold should be attributed.

4.33.3 If the cause of the previous Minutes Delay is not known and the train has been regulated correctly a separate Incident Coded ZZ with Responsible Manager Code

OQ** is to be created. However, if the circumstances of paragraph 4.21.1 apply then a separate Incident is to be created as per that section. In either case the Reactionary Delay, appropriately coded, to be allocated to the Incident created.

4.33.4 If the train was incorrectly regulated, then the Minutes Delay to be coded as per Section 4.23.

4.35 TRUST OUTAGES

4.35.1 All delays where Network Rail is unable to investigate and/or record cause as a result of TRUST System failures, including SMART site failures, shall be coded OP/OQ**. This coding shall apply in all circumstances, including those where a fault number has been issued. Note that all parties are required to provide information necessary to identify causes of delay as given in section 1.3.1.

4.36 VANDALISM / THEFT / TRESPASS

Explanatory Note: Trespass is also to be taken to include threats of suicide.

4.36.1 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure failure due to cable vandalism or theft	XR	Network Rail (XQ**)
b.	Where it is identified: • that an infrastructure failure is due to vandalism or theft (other than to cables); or • Objects have been placed deliberately on Network Rail infrastructure; or • Fencing is inadequate maintained; or • Objects have been thrown / fired at trains or onto track on Network Rail infrastructure, whether from outside railway premises or from railway premises including stations, and adjacent property such as car parks; or • Objects being thrown / fired from Network Rail infrastructure at trains or onto track on non-Network Rail Infrastructure (including LUL)	XB	Network Rail (XQ**)
c.	Objects are thrown / fired at trains or onto track on non-Network Rail infrastructure from outside railway premises	VB/AZ as appropriate	Train Operator – separate incident to be created for each operator affected (V##*/A##*)
d.	Theft / trespass or vandalism except objects being thrown / fired from other than Network Rail infrastructure at trains or onto track on	VB/AZ as appropriate	Train Operator – separate incident to be created for

	non-Network Rail infrastructure (including LUL) affecting trains including damage to Fleet equipment.		each operator affected (V##*/A##*)
e.	Objects are thrown / fired at trains or onto track on Network Rail infrastructure from railway premises controlled by a TRC	MU	Depot owner (MR**)
f.	Objects thrown / fired from trains	VB	Operator of train concerned (V##*)
g.	Trespass on Network Rail infrastructure where access to the infrastructure has been other than from a train	XA	Network Rail (XQ**)
h.	Trespass on Network Rail infrastructure where access is gained by persons exiting trains without permission	VA	Operator of train concerned (V##*)
i.	Fatality or injury caused by being hit by a train	See 4.10	As per section 4.10
j.	Persons having alighted on Network Rail infrastructure having travelled on freight trains – where they boarded within a freight terminal, non Network Rail infrastructure (or outside the country i.e. Channel Tunnel)	AZ	(A##*)
k.	Trespass on Network Rail infrastructure where access is not due to inadequate maintenance of fencing by Infrastructure Maintainer or where access is gained via a station (2nd Incident)	XA	Network Rail (XQ**) **ADRC Determination 27** (See 4.36.2 below)
l.	Trespass on Network Rail infrastructure where access is gained by persons exiting trains without permission	VA	Operator of train concerned (V##*)
m.	*Threat of trespass from station / footbridge resulting in cautioning of trains*	*XA*	*Network Rail (XQ**)*
n.	Persons alighting onto Network Rail infrastructure having travelled on freight trains – where they boarded within a freight terminal (or outside the country i.e. Channel Tunnel)	AZ	(A##*)
o.	*Persons falling or jumping from platform onto Network Rail infrastructure or sitting with their legs over platform edge*	*XA*	*Network Rail (XQ**)*

4.36.2 Note that, in the event of Joint Responsibility being applicable in accordance with the guidance above, an incident should be created for each operator incurring at least one direct delay in respect of any train booked to call at the station affected during the period of closure. Any subsequent direct delays in respect of trains booked to stop incurred by that operator should be attributed to this incident. Subsequent directly affected trains not booked to call should be attributed to Network Rail.

4.36.3 The above section notwithstanding, normal arrangements apply in respect of the attribution of reactionary delay (see paragraph 4.1.2.).

4.36.4 Initial attribution in accordance with the guidance above should be reviewed by performance/account teams to ensure that all parties have taken reasonable steps to avoid and/or mitigate the effects of the incident. Any failure to mitigate delay must be attributed to the responsible party in accordance with DAG paragraph 4.1.4.

4.36.5 *The attribution of any delay resulting from a train coming to a sudden, unexplained halt will be decided solely upon the evidence supplied pertaining to that particular incident.*

4.38 WAITING TRAINCREW

4.38.1 Delays caused by traincrew late booking on-duty for whatever reason is the responsibility of the Train Operator.

4.38.2 Normally the Minutes Delay should be coded FE for freight trains or TG/TH/TI for passenger trains and attributed to the Operator.

4.38.3 Exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	If the Operator confirms that the traincrew were on a late inward working, provided they had booked on duty prior to travelling on it *and both incoming and outgoing services are the responsibility of the same operator*	YJ	Attributed to principal TRUST Incident causing inward train to be late
b.	If a train running significantly late is further delayed waiting traincrew and the Operator confirms that the booked crew have not waited or events where Traincrew Resources Managers have to provide traincrew (or "step up") to mitigate delays.	YN	Attributed to principal TRUST Incident causing train to be late

4.38.4 If a train had to wait for traincrew off a significantly late inward working then delay may result while the driver / (senior) conductor take their (belated) booked Physical Needs Break (PNB), but still the lateness on departure should be no greater than the inward working.

4.39 WEATHER EFFECTS

4.39.1 If the weather is severe then Passenger Train Operators can exclude such events for passenger's charter purposes. It should be noted that to be classed as severe at least one of the criteria below should have been met: -

- *the relevant authorities have advised the public not to travel*
- *a severe weather warning has been issued by the Met Office*
- *other modes of transport have been affected e.g.*
  - *have motorway speed restrictions been displayed?*
  - *are airports being affected?*
  - *have local roads been affected?*
  - *are ferry sailings being disrupted?*
- *the effect of the weather is outside the design parameters of infrastructure and fleet equipment and is unavoidable through maintenance.*

- *key weather strategy plans have been implemented.*

  In all cases the weather needs to have been the cause of the issue and outside the control of the parties involved i.e. No reasonable or viable economic mitigation was possible against the impact of the weather.

4.39.2 The effect on other forms of transport has no relevance other than for passenger's charter. If the weather does not affect other forms of transport use delay codes I, J*or, M* as applicable in 4.39.5*

4.39.3 When events are exclusively associated with a station, for joint criteria to have been met, both the ability of a train to stop at the station at the time it is booked to call and the access of passengers to/from that train need to have been denied. Only when both criteria have been met can the incident be attributed to a D## manager code.*

- *Circumstances may arise where Joint Responsibility criteria are met for only a limited period of the incident; for example, initially both the line and the station may be closed, but then one re-opens, while the other remains closed. In these circumstances multiple incidents may be required.*
  - *For detailed guidance relating to joint responsibility see DAG section 4.28.5*

4.39.4 For details relating to the impact of weather DAG 4.39.6 is split into sections each dealing with a particular weather type, the sections are: -

Wind	*4.39.6a*
Flooding	*4.39.6b*
Heat	*4.39.6c*
Snow/Ice/Frost	*4.39.6d*

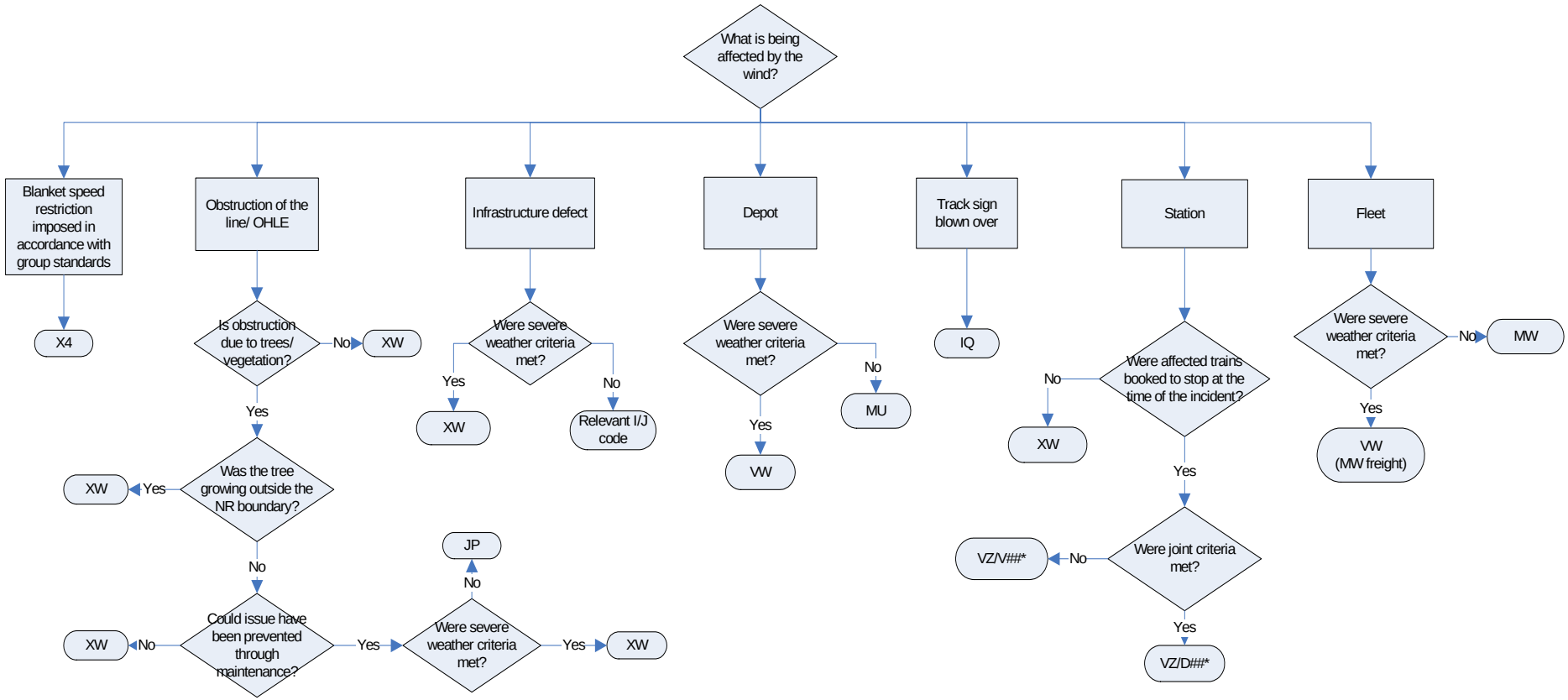
4.39.5 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	*Weather causing an infrastructure failure when the equipment was being expected to work within the design parameters.*	I*, J* Code as appropriate	Infrastructure Maintainer (IQ**)
b.	*Weather causing an infrastructure failure, where agreement is reached that equipment is being expected to perform outside the design parameters*	*X* code as appropriate for type of weather*	Network Rail (XQ#*)
c.	*Non severe weather causing passenger depot operating problems or any type of weather affecting non-passenger Fleet depots.*	*MU*	Train Operator(s) involved. Separate Incident to be created for each Operator affected (M##*)

No.	Circumstances	Delay Code	Incident Attribution
d.	*Non severe weather causing problems to individual passenger Fleet equipment types or any weather affecting non-passenger Fleet equipment*	MW	Train Operator(s) involved. Separate Incident to be created for each Operator affected (M##*)
e.	*Wires down, including damage to OHLE equipment, due to high winds*	*XW*	*Network Rail (XQ**)*
f.	High winds or temperatures requiring imposition of blanket speed restrictions in accordance with Group Standards or other instructions	*X5*	*Network Rail (XQ**)*
g.	*Ice on conductor rail or OLE (Unless due to failure of De-icing train)*	*XT*	Network Rail (OQ**)
h.	*Ice on conductor rail due to failure to run the De-icing train*	OE	Network Rail (OQ**)
i.	*Miscellaneous obstructions on the line due to the effects of the wind, including trees*	*XW*	Network Rail (XQ**)
j.	*Miscellaneous obstructions on the line due to the effects of flooding, including trees.*	*X2*	Network Rail (XQ#*)
k.	*Severe weather affecting passenger depot operation (see 4.39.1) e.g. operating outside of its design parameters*	VW	Train Operator. Separate Incident to be created for each affected (V##)
l.	Severe weather affecting passenger Fleet equipment (see 4.39.1)	VW	Train Operator. Separate Incident to be created for each affected (V##)
m.	Snow affecting operation of Network Rail infrastructure, but not necessary to introduce Winter Key Route Strategy	IW	*Network Rail (XQ**)*
n.	*Snow affecting operation of Network Rail infrastructure and it is necessary to introduce winter key route strategy.*	*XT*	*Network Rail (XQ**)*
o.	Sun shining upon signal aspects, rendering drivers unable to clearly see aspects	XZ	*Network Rail (XQ**)*
p.	*Trains delayed due to operating under 'fog or falling snow' regulations for semaphore signalling*	*X1*	*Network Rail (XQ**)*
q.	Weather affecting station buildings, which prevents the passage of a train at the time it is scheduled to stop and the access of passengers to or from that train	VZ	*Joint responsibility (D##*) separate incident for each operator affected.*
r.	*Lightning strike on NR assets where no protection work against the effect of a strike has been undertaken*	*J6*	*Network Rail (XQ**)*

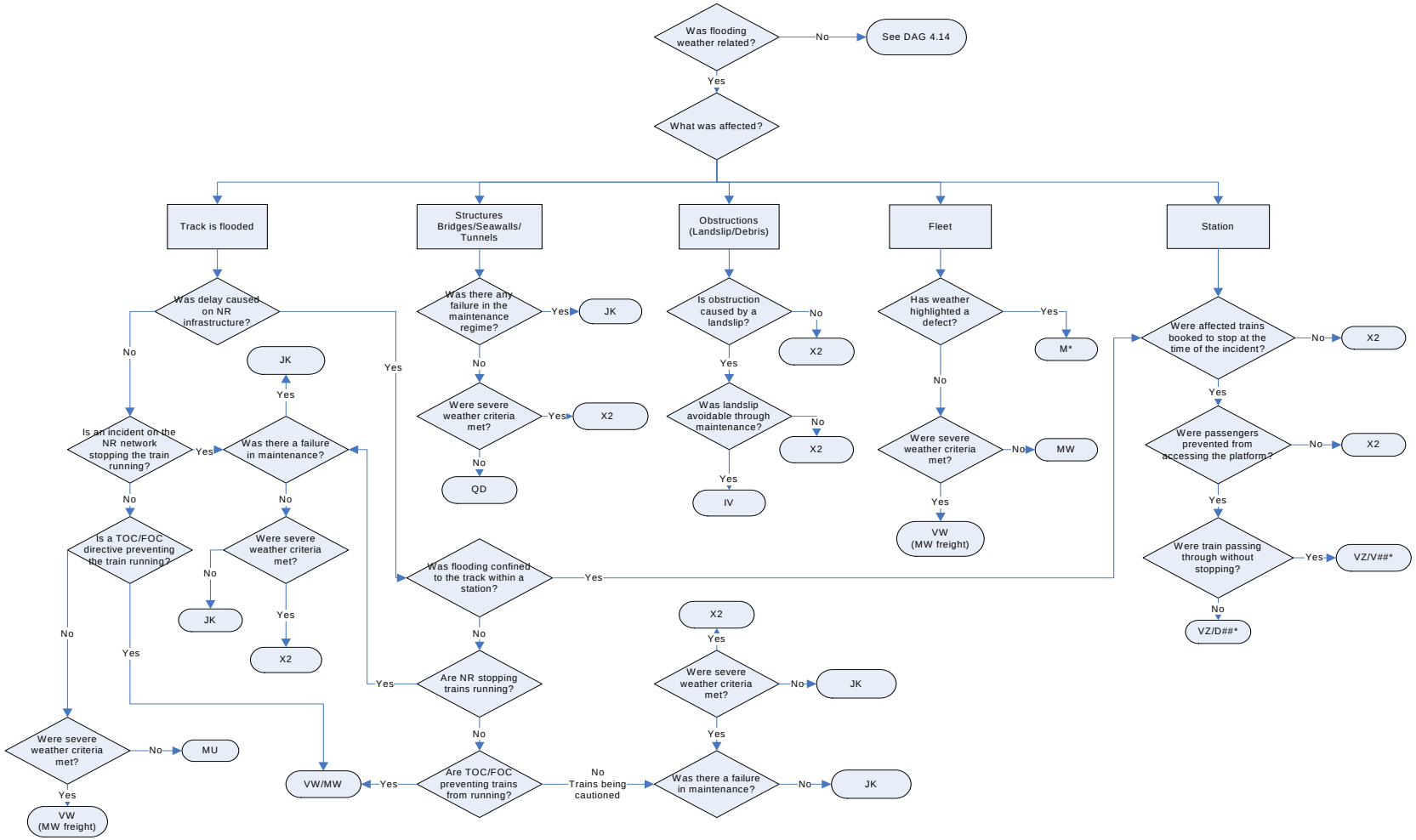
No.	Circumstances	Delay Code	Incident Attribution
s.	*Lightning strike against a NR asset that has had work undertaken to mitigate the effects of the strike*	*X3*	*Network Rail (XQ**)*
t.	*Icicles hanging from NR structures (Including tunnels) where severe weather criteria have been met*	*XT*	*Network Rail (XQ**)*
u.	*Buckled rail caused by high temperatures.*	*IR*	*Network Rail (XQ**)*
v.	*TOC/FOC directive preventing rolling stock from travelling through standing water (at a level where group standards allow movement of trains)*	*VW/MW*	*Operator of the train concerned (V##*/M##*)*
w.	*Weather impacting on LUL or other non NR running lines impacting on passenger trains*	*VX*	*Operator of the train concerned (V##*)*

4.39.6a Delay code guidance for dealing with the impact of wind



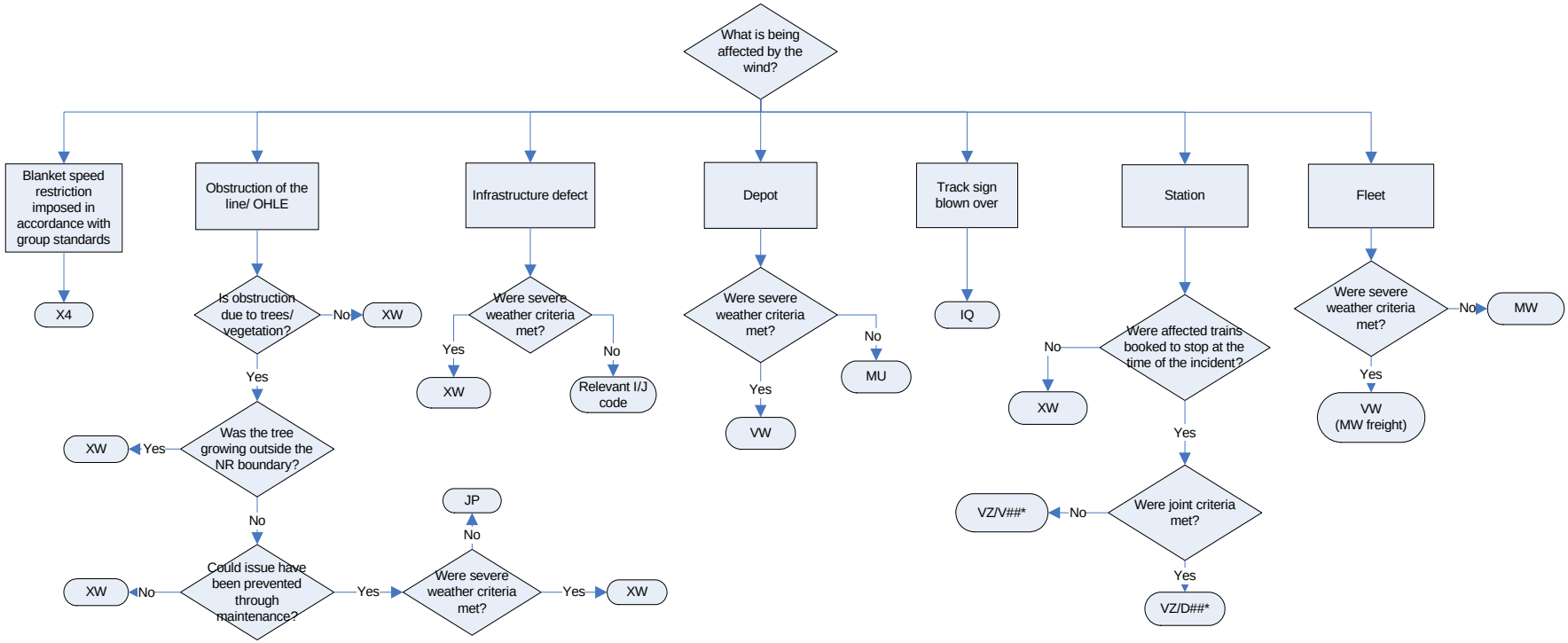
In all cases if it is not known if severe weather criteria have been met the default delay code should be the relevant I*/J*/M* for the party affected.

4.39.6b delay code guidance for dealing with the impact of flooding



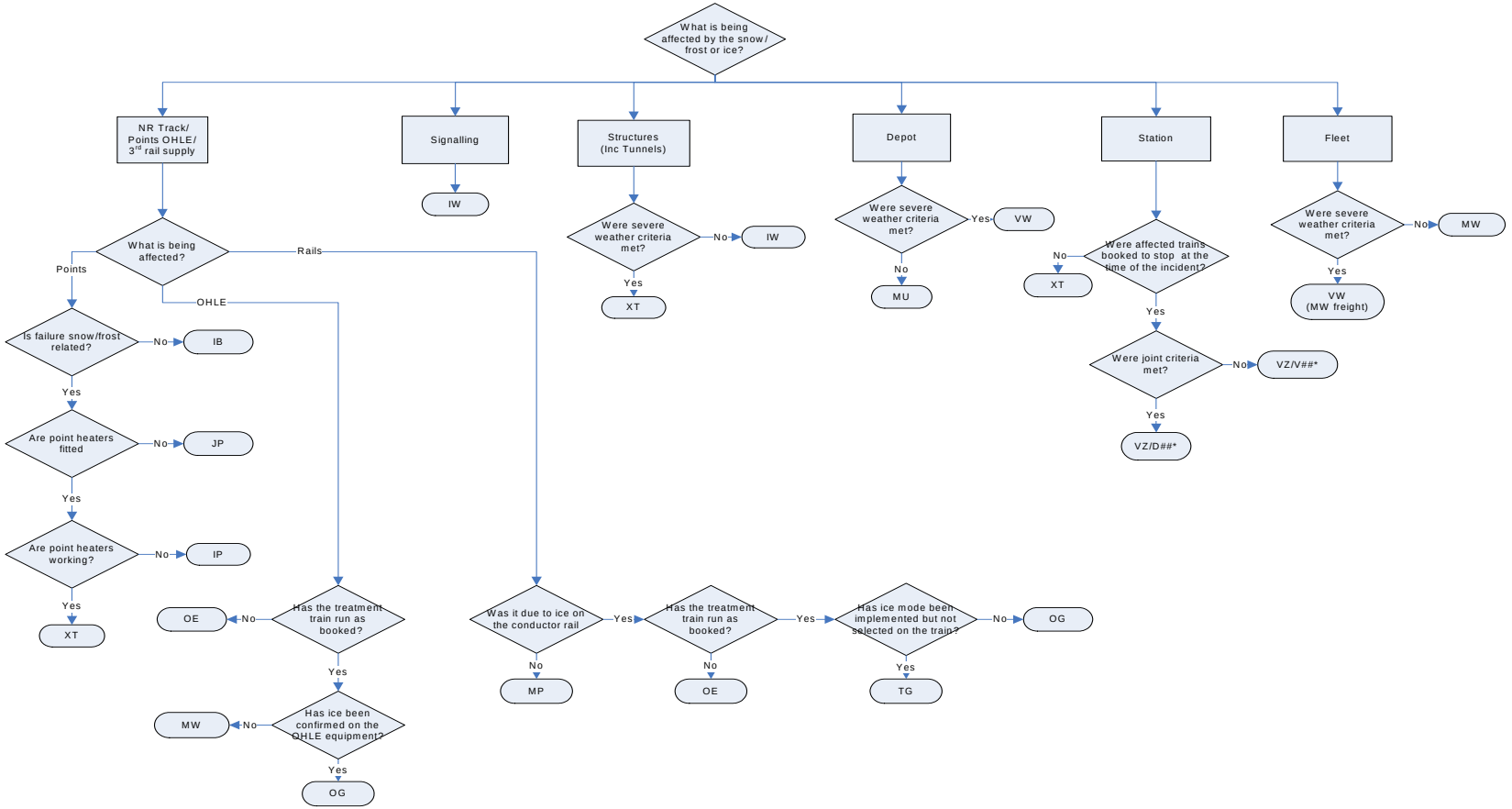
In all cases if it is not known if severe weather criteria have been met the default delay code should be the relevant I*/M* for the party affected.

4.39.6c delay code guidance for dealing with the impact of heat



In all cases if it is not known if severe weather criteria have been met the default delay code should be the relevant I*/J*/M* for the party affected.

4.39.6d delay code guidance for dealing with the impact of snow/ice or frost



N.B. Where key route strategy has been implemented then delay code XT should be used

In all cases if it is not known if severe weather criteria hve been met the default delay code should be the relevant I*/M* for the party affected.

4.40 WIRES DOWN AND OTHER OLE PROBLEMS

4.40.1 Normally any OLE associated problems should be coded I1 initially and attributed to the Infrastructure Maintainer (IQ**) until better information is available.

4.40.2 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Wires down due to high winds	XW	Network Rail (XQ**)
b.	OLE trip (cause not known)	I2	Infrastructure Maintainer (IQ**)
c.	Miscellaneous items on the OLE, other than vandalism	I3	Infrastructure Maintainer (IQ**)
d.	OLE power reduction	I4	Infrastructure Maintainer (IQ**)
e.	Locomotive ADD activation	M2	Operator of train concerned (M##*)
f.	Vandalism	XB	Network Rail (XB**)
g.	Incident subject to formal inquiry	OI	Network Rail (OQ**)

4.41 FAILURE OF TASS BALISE SYSTEM.

4.41.1 Where trains are introduced that have the ability to tilt they are fitted with a Tilt Authorisation and Speed Supervision (TASS) system to meet the primary requirements of GE/RT8012 (Controlling the Speed of Tilting Trains Through Curves) and GE/RT8019 (Tilting Trains: Controlling Tilt Systems to Maintain Clearances). There are systems on the trackside – a Balise, and on the train – the onboard TASS system. In the event of failure of either system then causation coding should be:

No.	Circumstances	Delay Code	Incident Attribution
a.	If the onboard TASS system fails	NA	Passenger Operator (M##*)
b.	If the TASS Balise (trackside equipment fails).	IM	Infrastructure Maintainer (IQ**)
c.	If no fault found	NB	Passenger Operator (M##*)

4.41.2 Where a train fails to read more than one Balise consecutively then this should be taken to indicate that a fault has occurred on the train based TASS system and therefore delay should be coded to “NA”. Where one train fails to read one Balise but then reads subsequent Balises then it cannot be determined if the fault is train based or track based, it is therefore assumed unless otherwise proven that the fault is train based, on this basis delay should be coded to “NB”. Where more than one train fails to read the same Balise this should be taken to indicate that the track based equipment has failed and delay should be coded to “IM”.

4.42 Failure of ETCS/ ERTMS Balise System

4.42.1 When operating on an ETCS/ ERTMS enabled line, trains that are fitted with the on-board ETCS/ ERTMS rely on the system being able to draw a level of information, such as positional referencing and line topography, from track mounted balises.

In the event of a failure of the balise system, causation coding should be:

No.	***Circumstance***	***Delay Code***	***Incident Attribution***
a.	*If the train-borne ETCS/ ERTMS system fails*	*ND*	*Train Operator* *(M # # #)*
b.	*If the ETCS/ ERTMS track-mounted balise fails*	*IM*	*Infrastructure Maintainer* *(IQ # #)*

SECTION 5: ACCESS TO TRUST MAINFRAME INCIDENT INFORMATION

5.1 INTRODUCTION

5.1.1 This section is intended as 'user manual' for anyone wishing to access recent TRUST Incident information held on the mainframe. It assumes a knowledge of other TRUST enquiries and procedures.

5.1.2 For reasons of commercial confidentiality, there are restrictions on access to this information and these are detailed in Section 6.

5.2 TRUST INCIDENT ENQUIRY COMMANDS

5.2.1 The number of enquiries has intentionally been kept to a minimum and there are essentially only two commands:

TRJF - Listing of Incidents deemed to be the responsibility of a particular Responsible Manager;

TRJG - Individual Incident enquiry.

5.2.2 Both commands are made from a standard blank TOPSCICS screen.

5.3 TRJF ENQUIRIES

5.3.1 Enquiries take the form:

TRJF RRRR T S DD ZZZ MMMMM DD/MM/YY

or

TRJF RRRR S/R DD ZZZ MMMMM DD/MM/YY

where **RRRR** is a Responsible Manager Code (Mandatory)
either 4 character
or generic; e.g. *BC* or ABC*

T is the Incident Type (Optional):
O - Open, C - Closed

S is either the one character Acceptance status (Optional) :
A - Accepted (i.e. validated)
D - Disputed
W - Waiting Acceptance (i.e. waiting validation)

or **S/R** Incident Status and Reason (Optional), the values are:

A/A Accepted by User
A/B Accepted by Default
A/C Accepted by System
D/D Disputed; Delay Code
D/M Disputed; Manager Code
D/P Dispute; Partial Acceptance
W/W Waiting Acceptance; Normal

	W/R Waiting Acceptance; Additional Delays
DD	Delay Code (Optional) can be generic, e.g.. X*
ZZZ	Zone Code Generic codes can be entered, e.g.. L**
MMMMM	Impact (minutes) 1-5 numeric characters (leading zeros not required)
DD/MM/YY	Creation Date

If the last three fields are left blank then Open and Closed Incidents in any Acceptance status with any delay code will be listed.

5.3.2 The output takes the form of a list of Incidents, one line for each Incident which matches the enquiry options. Each line shows the Incident Type, Status, impact (i.e. total number of hours/minutes attributed to the Incident) and an indication if the Incident contains network delays or cancellations.

The entire list can be output to the printer by using the F10 key.

5.3.3 By typing an 'S' to the left of a particular Incident and then 'SEND', a display of that Incident will be available. This is the same as the output from the appropriate TRJG enquiry.

5.3.4 Typing a 'P' (Summary) or 'F' (Full) to the left of an Incident will produce Summary or Detailed prints of the selected Incidents. More than one Incident at a time can be selected for printing.

5.4 TRJG ENQUIRIES

5.4.1 Enquiries take the form:

TRJG NNNNNN

where **NNNNNN** is the six character Incident Number (leading zeros can be ignored, where appropriate).

5.4.2 The output is the full Incident information consisting of an initial screen which can then be supplemented by pressing the appropriate option number and accessing further information on screens covering:

1. Network Rail free-format text
2. Trains affected
3. Accept/Dispute log
4. Network Delays

If an incident has affected over fifty trains, a default prompt to enter a starting date will be displayed. Either the required starting date should be entered, or enter **ALL** to display the complete list.

5.4.3 For those users making a TRJE train enquiry, the summary incident information for a particular delay can be obtained by placing an 'A' against the appropriate attributed delay shown below the train running information.

SECTION 6: TRUST INCIDENT SECURITY ARRANGEMENTS

6.1 INTRODUCTION

6.1.1 Restricted access arrangements are required for Incident information on the mainframe for commercial confidentiality purposes. All the security arrangements are driven by the NCI # sign-on of the user, the first two letters of which will accord with the Business Code of the organisation he/she belongs to.

6.2 ACCESS TO TRJF

6.2.1 Users working for the following organisations can make a TRJF enquiry for a given Responsible Manager:

- Network Rail;
- The Responsible Manager's (i.e. the middle two characters of the Responsible Manager Code must coincide with the first two after '#' in the sign-on).

6.3 BROWSE ACCESS TO TRJG

6.3.1 Users working for the following organisations can browse the details of a given incident.

- Network Rail;
- The Responsible Manager's (see 6.2.1);
- Any Train Operator who has at least one train delay or cancellation attributed to the incident. The list of trains affected should be restricted to those of that operator via the Train Service Code.

6.3.2 These restrictions apply irrespective of whether the user goes to the TRJG output direct, or via TRJF.

6.4 INCIDENT STATUS

6.4.1 Only users in the Responsible Manager's organisation can change the Acceptance Status (i.e. Accept or Dispute).

6.5 CHANGES TO RESPONSIBLE MANAGER AND DELAY CODES

6.5.1 The last character of the Responsible Manager Code can be altered on the mainframe to allow re-attribution within that organisation. The following users are permitted to do this:

- Those working for the Responsible Manager organisation provided Network Rail is in agreement if the Incident would move to another contract;
- Network Rail staff.

6.5.2 TOC and FOC staff are also permitted to amend Delay Code and Responsible Manager Code information to the extent that the Business code is not altered. Such amendment facilities cannot be used to amend an incident in any manner that would alter the status of the incident with regard to the Incentivised Performance Regime. It cannot be used to change an incident to a P-code, or Delay Codes TT / FT, or Joint Responsibility, for example. Usual Delay/Manager code matching parameters apply.

APPENDIX A – DELAY CAUSATION CODES

SECTION A - FREIGHT TERMINAL OPERATING COMPANY CAUSES

SECTION F - FREIGHT OPERATING COMPANY CAUSES

SECTION I - INFRASTRUCTURE CAUSES

SECTION J - FURTHER INFRASTRUCTURE CAUSES

SECTION M - MECHANICAL / FLEET ENGINEER CAUSES

SECTION N –OTHER MECHANICAL / FLEET ENGINEER CAUSES

SECTION O - NETWORK RAIL OPERATING CAUSES

SECTION P - PLANNED OR EXCLUDED DELAYS / CANCELLATIONS

SECTION Q - NETWORK RAIL NON-OPERATING CAUSES

SECTION R - STATION OPERATING COMPANY CAUSES

SECTION T - PASSENGER OPERATING COMPANY CAUSES

SECTION V - PASSENGER'S CHARTER EXCLUDABLE – TOC RESPONSIBILITY

SECTION X - PASSENGER'S CHARTER EXCLUDABLE - NETWORK RAIL

SECTION Y - REACTIONARY DELAYS

SECTION Z - UNEXPLAINED DELAYS / CANCELLATIONS

APPENDIX A – DELAY CAUSATION CODES

SECTION A - FREIGHT TERMINAL OPERATING COMPANY CAUSES

Abbreviated Departmental Cause Code: FTO

These codes are to be used for delays caused by Freight Terminal Operators including the customers of Freight Operating Companies and by the Operators of Res terminals (including passenger stations). Incidents are attributable to the company running the train, and not the operator of the yard.

For delays that are not specific to terminal operations see F-codes.

CODE	CAUSE	ABBREVIATION
AA	Waiting Terminal/Yard acceptance	ACCEPTANCE
AB	Waiting Customer release of documentation	DOCUMENTS
AC	Waiting train preparation or completion of TOPS list/RT3973	TRAIN PREP
AD	Terminal/Yard staff shortage including reactionary congestion caused by the shortage	WTG STAFF
AE	Congestion in Terminal/Yard	CONGESTION
AF	Terminal/Yard equipment failure - cranes etc	EQUIPMENT
AG	Adjusting Loaded wagons	LOAD INCDT
AH	Customer equipment breakdown/reduced capacity	BREAKDOWN
AJ	Waiting Customer's traffic including ship/road/air connections and Mail deliveries.	TRAFFIC
AK	Fire in freight yard / terminal (including private sidings, and stations – where it affects FOC services)	INF FIRE
AX	Failure of FOC-owned infrastructure	FOC INFRA
AY	Mishap in Terminal/Yard or on Terminal/Yard infrastructure	FTO MISHAP
AZ	Other Freight Operating Company, cause to be specified	FTO OTHER

APPENDIX A – DELAY CAUSATION CODES

SECTION F - FREIGHT OPERATING COMPANY CAUSES

Abbreviated Departmental Cause Code: FOC

These codes are for delays caused by Freight Operating Companies/Res except for T&RS problems (M-codes) and those due to Terminal Operations (A-codes). Incidents are attributable to the company running the train.

CODE	CAUSE	ABBREVIATION
FA	Dangerous goods incident	DGI INCDT
FB	Train stopped on route due to incorrect marshalling	REMARSHALL
FD	Booked loco used on additional/other service	LOCO USED
FE	Traincrew rostering error/not available, including crew relief errors	NO T/CREW
FF	Booked Traincrew used for another service	CREW USED
FH	Traincrew/loco diagram/planning error (See also TAG Section 4.31.2)	DIAG ERROR
FI	*Delay in running due to the incorrect operation of the on-board ETCS/ ERTMS equipment – i.e. wrong input by driver.*	*ETCS INPUT*
FJ	Train held at Customer's request	RETIME REQ
FK	Train diverted/re-routed at Customer's request	DIVERT REQ
FL	Train cancelled at Customer's request	CANCEL REQ
FM	Tail lamp/head lamp out or incorrectly shown	TAIL LAMP
FN	Late presentation from Europe	LATE CHUNL
FO	Delay in running believed to be due to Operator, but no information available from that Operator	FOC UNEX
FP	Incorrect route taken or route wrongly challenged by driver, including SPAD's	FTO MISRTE
FS	*Delay due to ETCS/ ERTMS on-board overriding driver command*	*ETCS OVRD*
FT	Freight Operator autumn-attribution Neutral Zone delays	LF NEUTRAL
FU	Formal Inquiry Incident - possible Operator responsibility	JOINT INQ
FW	Late start/yard overtime not explained by Operator	LATE START
FX	Freight train running at lower than planned classification	LOW CLASS
FY	Mishap caused by Freight Operating Company or on FOC-owned infrastructure	FOC MISHAP
FZ	Other Freight Operating Company causes, including Freight Operating Company Control directive, cause to be specified	FOC OTHER

APPENDIX A – DELAY CAUSATION CODES

SECTION I - INFRASTRUCTURE CAUSES

Abbreviated Departmental Cause Code: INF

Codes for delays caused by signalling, trackwork and electrification defects or failures.

CODE	CAUSE	ABBREVIATION
IA	Signal failure	SIGNAL FLR
IB	Points failure	POINTS FLR
IC	Track circuit failure	TC FAILURE
ID	Level crossing failure incl. barrow/foot crossings and crossing treadles	LEVEL XING
IE	Power failure	POWER FLR
IF	Train Describer/Panel /ARS/SSI failure	PANEL FLR
IG	Block failure	BLOCK FLR
IH	Electronics/TDM failure/remote control failure	TDM FLR
II	Power Supply cable fault/fire due to cable fault	CABLE FLR
IJ	AWS/ATP failure	AWS/ATP
IK	Telephone equipment failure	PHONE/SPT
IL	Token equipment failure	TOKEN FLR
IM	Infrastructure Balise Failure	BALISE
IN	HABD/PANCHEX/WILD/WHEELCHEX failure (no fault found/wrong detection)	HABD FAULT
IP	Points failure caused by snow or frost where heaters are fitted but found to be not operative or defective	PNT HEATER
IQ	Trackside sign blown down/light out etc	TRACK SIGN
IR	Broken/cracked/twisted/buckled/flawed rail	RAIL FLAW
IS	Track defects (other than rail defects i.e. fish plates, wet beds etc)	TRACK FLT
IT	Bumps reported - cause not known	BUMP RPRTD
IU	Engineers on-track plant affecting possession	ONTRACK EQ
IV	Earthslip/subsidence/breached sea defences *not the result of severe weather*	EARTHSLIP
IW	*Non severe- Snow/Ice/Frost affecting infrastructure equipment*	*COLD*
`IY	Mishap - Infrastructure Maintainer causes	INF MISHAP
IZ	Other infrastructure causes	INF OTHER

APPENDIX A – DELAY CAUSATION CODES

SECTION I - INFRASTRUCTURE CAUSES (Continued)

CODE	CAUSE	ABBREVIATION
I0	Telecom equipment failures legacy (inc. NRN/CSR/RETB link)	RADIO FLR
I1	Overhead line/third rail defect	OHL/3 RAIL
I2	AC/DC trip	AC/DC TRIP
I3	Obstruction on OHL, cause of which is not known	ON OHL
I4	OHL/third rail power supply failure/reduction	SUPPLY FLR
I5	Possession over-run from planned work	OVERRUN
I6	*Track Patrolling*	*TRK PATROL*
I7	Engineer's train late/failed in possession	ENGNRS TRN
I8	*Animal Strike/Incursion within the control of Network Rail*	*ANIMAL*
I9	Fires starting on Network Rail Infrastructure	*NR FIRE*

APPENDIX A – DELAY CAUSATION CODES

SECTION J - FURTHER INFRASTRUCTURE CAUSES

Abbreviated Departmental Cause Code: INF

These codes are for delays caused by other signalling, trackwork and electrical supply equipment failures and defects not covered by the I-codes.

CODE	CAUSE	ABBREVIATION
JA	*TSR speeds for Track-work outside the Rules of the Route*	*TSR O-ROTR*
JC	Telecom cable failure (transmission sys & cable failures)	COMM LINKS
JG	ESR/TSR due to cancelled possession/work not completed	ESR/TSR
JH	*Critical Rail Temperature speeds, (other than buckled rails)*	*HEAT SPEED*
JI	Swing/lifting bridge failure	SWING BDGE
JK	Flooding not due to exceptional weather	FLOODING
JL	Infrastructure Maintainer/TRC Staff error	STAFF
JM	Change of Signal Aspects - no fault found	ASPECT CHG
JN	Possession cancellation	POSSN CANC
JO	Rolling Contact Fatigue	RCF
JP	Non-maintenance of the 5 metre Flail Strip	FLAIL STRP
JQ	Trains striking overhanging branches/vegetation (not weather-related)	TREE OHANG
JR	Signals/track signs obscured by vegetation	HIDDEN SIG
JS	Condition of Track TSR Outside Rules of Route	COTTSR ORR
JT	Points failure caused by snow or frost where heaters are not fitted	NO PNT HTR
JX	Miscellaneous items on line (include. trees), not the result of trespass/vandalism, weather or fallen/thrown from trains	MISC OBS
J0	Telecom radio failures IVRS/GSM-R	GSM-R FLR
J1	TPWS On-track-equipment Failure	TPWS FLR
J2	TRTS Failure	TRTS FLR
J3	Axle Counter Failure	AXLE FLR
J4	Safety Issue No Fault Found	INF NFF
J5	*NR DOO monitor/mirror failure*	*DOO MON FLR*
J6	*Lightning strike against unprotected assets*	*LIGHTNING*
J7	*ETCS/ ERTMS Equipment Failure (excluding communications link and balises)*	*ETCS FLR*

APPENDIX A – DELAY CAUSATION CODES

SECTION M - MECHANICAL / FLEET ENGINEER CAUSES

Abbreviated Departmental Cause Code: T+RS (Traction and Rolling Stock)

CODE	CAUSE	ABBREVIATION
MA	Electric loco (inc. IC225) failure/defect/attention: brakes	ELEC BRAKE
MB	Electric loco (inc. IC225) failure/defect/attention: traction	ELEC TRAC
MC	Diesel loco failure/defect/attention: traction	DIESL TRAC
MD	DMU (inc. HST)/MPV failure/defect/attention: traction (excluding Railhead Conditioning trains)	DMU TRAC
ME	Steam locomotive failure/defect/attention	STEAM LOCO
MF	International/Channel Tunnel locomotive failure/defect/attention	CHUNL LOCO
MG	Coach (inc. Intl/IC225) failure/defect/attention: brakes	COACH BRKE
MH	Coach (inc. Intl/IC225) failure/defect/attention: doors	COACH DOOR
MI	Coach (inc. Intl/IC225) failure/defect/attention: other	COACH OTHR
MJ	Parcels vehicle failure/defect/attention	PARCEL VEH
MK	DVT/PCV failure/defect/attention	DVT PCV
ML	Freight vehicle failure/defect attention (inc. private wagons)	FRGHT VEH
MM	EMU failure/defect/attention: traction	EMU TRAC
MN	DMU (inc. HST/MPV) failure/defect/attention: brakes (excluding Railhead Conditioning trains)	DMU BRAKE
MO	Loco/unit/vehicles late off depot (cause not known)	STOCK LATE
MP	Loco/unit adhesion problems	ADHESION
MQ	Electric loco (inc. IC225) failure/defect/attention: other	ELEC OTHER
MR	Hot Box or HABD/WILD activation (positive)	HOT BOX
MS	Stock change or replacement by slower vehicles (all vehicle types)	STOCK CHNG
MT	Safety systems failure (AWS/TPWS/ATP)	AWS TPWS
MU	Depot operating problem	DEPOT
MV	Engineer's on-track equipment failure outside possession	ON-TRACK
MW	Weather – effect on T&RS equipment	WEATHER
MX	Diesel loco failure/defect/attention: brakes	DIESL BRKE
MY	Mishap – T&RS cause	TRS MISHAP
MZ	Other Fleet Engineer causes/initial attribution	T+RS OTHER

APPENDIX A – DELAY CAUSATION CODES

SECTION M - MECHANICAL / FLEET ENGINEER CAUSES (Continued)

CODE	CAUSE	ABBREVIATION
M1	Pantograph fault or PANCHEX activation (positive)	PANTOGRAPH
M2	Automatic Dropper Device activation	ADD
M3	Diesel loco failure/defect/attention: other	DIESL OTH
M4	EMU failure/defect/attention: brakes	EMU BRAKE
M5	EMU failure/defect/attention: doors	EMU DOOR
M6	EMU failure/defect/attention: other	EMU OTHER
M7	DMU (inc. HST/MPV) failure/defect/attention: doors (excluding Railhead Conditioning trains)	DMU DOOR
M8	DMU (inc. HST/MPV) failure/defect/attention: other (excluding Railhead Conditioning trains)	DMU OTHER
M9	Reported fleet equipment defect - no fault found	NFF
M0	Safety systems failure (DSD/OTMR/Vigilance)	DSD

APPENDIX A – DELAY CAUSATION CODES

SECTION N –OTHER MECHANICAL / FLEET ENGINEER CAUSES

Abbreviated Departmental Cause Code: T+RS (Traction and Rolling Stock)

CODE	CAUSE	ABBREVIATION
NA	Ontrain TASS Failure	TASS
NB	TASS – No fault found	TASS NFF
NC	Fire in fleet depot not caused by vandals (includes caused by vandals in respect of freight depots)	DEP FIRE
ND	*On train ETCS/ ERTMS failure*	*ETCS*

APPENDIX A – DELAY CAUSATION CODES

SECTION O - NETWORK RAIL OPERATING CAUSES

Abbreviated Departmental Cause Code: PROD

CODE	CAUSE	ABBREVIATION
OB	Delayed by lower priority train/wrong regulation	WRONG REG
OC	Signaller, including wrong routing *and wrong ETCS/ ERTMS instruction*	SIGNALLER
OD	*Delayed as a result of Route Control directive*	*NR CONTROL*
OE	Failure to lay Sandite or operate Railhead Conditioning train as programmed	RHC PROG
OG	Ice on conductor rail/OLE	ICE
OH	ARS software problem (excluding scheduling error and technical failures)	ARS
OI	Formal Inquiry Incident - other operators	JOINT INQ
OJ	Fire in station building or on platform, affecting operators not booked to call at that station	STN FIRE
OL	Signal Box not open during booked hours	BOX CLOSED
OM	Technical failure associated with a Railhead Conditioning train	RHC FLR
OO	Late start of a RHC	RHC
OP	Failure of TRUST/SMART systems	TRUST FLR
OQ	Incorrect Simplifier	SIMP ERR
OS	Delays to other trains caused by a Railhead Conditioning train taking unusually long time in section or at a location	RHC LATE
OV	Fire or evacuation due to fire alarm of Network Rail buildings other than stations not due to vandalism	*NR FIRE*
OY	Mishap - Network Rail Operating cause	*NR MISHAP*
OZ	Other Network Rail Operating causes	OPTG OTHER
O2	ACI Failures	ACI FAIL

APPENDIX A – DELAY CAUSATION CODES

SECTION P - PLANNED OR EXCLUDED DELAYS / CANCELLATIONS

Abbreviated Departmental Cause Code: PLND

These codes are to be used for time lost due to Temporary Speed Restrictions within Rules of Route and for planned train cancellations or delay/cancellations otherwise excluded from the Track Access Performance Regime. Reactionary delays (Y*) must not be used against P coded incidents. A fresh incident should be established and coded in accordance with TAG Sections 4.29 and 4.34

CODE	CAUSE	ABBREVIATION
PA	Trackwork TSR within Rules of the Route	PLANND TSR
PB	Condition of Track TSR within Rules of the Route	PLANND COT
PC	Condition of Bridge TSR within rules of the route	PLANND COB
PD	TSDB Cancellation (Not to be input in TOPS/TRUST)	TSDB CANC
PE	Cancelled due to planned engineering work	ENGNRG WRK
PF	Planned engineering work - diversion/SLW not timetabled (within Rules of the Route)	DIVRSN/SLW
PG	Planned cancellation by Train Operator	PLAND CANC
PH	Condition of Earthworks TSR within Rules of the Route	PLND COE
PI	TSR for Schedule 4 Possession	SCH 4 TSR
PJ	Duplicate delay	DUPLICATE
PK	Bank Holiday Cancellation	BANK HOL
PL	Exclusion agreed between Network Rail and Train Operator	AGREED EXC
PN	Minor delays to VSTP service caused by regulation / time lost in running.	VSTP DELAY
PT	TRUST Berth Offset Errors	OFFSET ERR
PZ	Other contractual exclusion	OTH EXC

APPENDIX A – DELAY CAUSATION CODES

SECTION Q - NETWORK RAIL NON-OPERATING CAUSES

Abbreviated Departmental Cause Code: COMM

CODE	CAUSE	ABBREVIATION
QA	Train schedule error on TSDB WTT schedule	WTT SCHED
QB	Planned engineering work - diversion/SLW not timetabled (outside rules of the route)	DIVRSN/SLW
QD	Bridges/tunnels/buildings (other than bridge strikes)	STRUCTURES
QH	Adhesion problems due to leaf contamination	LEAF SLIP
QI	Cautioning due to railhead leaf contamination	RLHD CONT
QJ	Special working for leaf-fall track circuit operation	LEAVES T/C
QL	*Reactionary Delay to "P" coded TSR*	PLND LOP
QM	Train schedule error on TSDB STP/VAR service	STP SCHED
QN	Train schedule error on TOPS created schedule, of a serious nature, i.e. incorrect route /conflict with normal WTT service	TOPS SCHED
QP	*Reactionary Delay to "P" coded Possession*	*PLND TSR*
QQ	Simplifier Error Ops Planning	OPS S ERR
QT	Delay accepted by Network Rail as part of a commercial agreement where no substantive delay reason is identified	TAKEBACK
QZ	Other Network Rail non-Operating causes	COMM OTHER

APPENDIX A – DELAY CAUSATION CODES

SECTION R - STATION OPERATING COMPANY CAUSES

Abbreviated Departmental Cause Code: STN

These codes are for delays due to station activities. Incidents are attributable to the company running the train, and not the operator of the station.

CODE	CAUSE	ABBREVIATION
RB	Passengers joining/alighting	PASSENGERS
RC	Assisting a disabled person joining/alighting, pre-booked	DISAB 1
RD	Attaching/detaching/shunter/watering	ATT/DETACH
RE	Lift/escalator defect/failure	LIFT/ESC
RF	Loading/unloading letter mails/parcels	MAIL/PRCLS
RH	Station evacuated due to fire alarm	FIRE ALARM
RI	Waiting connections - not authorised by TOC Control	UNAUTH CON
RJ	Special Stop Orders - not authorised by TOC Control	UNAUTH SSO
RK	Waiting connections - authorised by TOC Control	AUTH CON
RL	Special Stop Orders - authorised by TOC Control	AUTH SSO
RM	Waiting connections from other transport modes	XTNL CONN
RN	Passengers “forcing” connections between trains outside connectional allowances	PASS CONN
RO	Passengers taken ill on platform	PASS ILL
RP	Passengers dropping items on track (not vandalism)	PASS DROP
RQ	Assisting a disabled person joining/alighting, unbooked	DISAB 2
RR	Loading reserved bicycles presented late	BIKE 1
RS	Loading unreserved bicycles	BIKE 2
RT	Loading excessive luggage	LUGGAGE 1
RU	Locating lost luggage	LUGGAGE 2
RV	Customer Information System failure	PASS INFO
RW	*Station flooding (including issues with drains) not the result of weather, where the water has not emanated from Network Rail maintained infrastructure/network*	*STN FLOOD*
RY	Mishap - Station Operator cause	STN MISHAP
RZ	Other Station Operator causes	STN OTHER

APPENDIX A – DELAY CAUSATION CODES

SECTION R - STATION OPERATING COMPANY CAUSES (Continued)

CODE	CAUSE	ABBREVIATION
R1	Incorrect train dispatch by station staff	DISPATCH
R2	Late TRTS given by station staff	LATE TRTS
R3	Station staff unavailable - missing or uncovered	STAFF MSN
R4	Station staff split responsibility - unable to cover all duties	STAFF DUTY
R5	Station staff error - e.g. wrong announcements, misdirection	STAFF ERR
R6	Overtime at stations normally unstaffed.	UNSTAFFED
R7	Station delays due to special events e.g. sports fixtures	SPORTS

APPENDIX A – DELAY CAUSATION CODES

SECTION T - PASSENGER OPERATING COMPANY CAUSES

Abbreviated Departmental Cause Code: TOC

These codes are to be used for delay caused by on-train activities except for T&RS problems (M-codes).

CODE	CAUSE	ABBREVIATION
TA	Traincrew/loco/stock/unit diagram error (See also TAG Section 4.31.2)	DIAG ERROR
TB	Train cancelled/delayed at Train Operator's request	TOC REQST
TC	Booked Traincrew used for additional/other service	CREW USED
TD	Booked loco/stock/unit used for additional/other service	STOCK USED
TE	Injury to passenger on train	PASS INJRY
TF	Seat reservation problems	SEAT RESVN
TG	Driver	DRIVER
TH	(Senior) Conductor/Train Manager	(SNR) COND
TI	Traincrew rostering problem	ROSTERING
TJ	Tail lamp/headlamp out	TAIL LAMP
TK	Train catering staff (including Contractors)	CATERING
TL	Door open / not properly secured incident	DOOR OPEN
TM	Connection authorised by TOC but outwith connection policy	AUTH CONN
TN	Late presentation from the continent	LATE CHUNL
TO	Delay believed to be due to Operator, but no information available from Operator	TOC UNEX
TP	Special Stop Orders	AUTH SSO
TR	Train Operating Company Directive	TOC DIRECT
TS	*Delay due to ETCS/ ERTMS on-board overriding driver command*	*ETCS OVRD*
TT	Autumn-attribution Neutral Zone delays (See Supplementary Autumn Attribution Guidance)	LF NEUTRAL
TU	Formal Inquiry Incident - possible Operator responsibility	JOINT INQ
TX	Delays incurred on non-Network Rail running lines including London Underground causes (except T&RS)	LUL CAUSES
TY	Mishap-Train Operating Company cause	TOC MISHAP
TZ	Other Passenger Train Operating Company causes	TOC OTHER
T1	Delay at unstaffed station to DOO train	DOO STN
T2	Delay at unstaffed station to non-DOO train	NONDOO STN
T3	Waiting connections from other transport modes	XTNL CONN
T4	Loading Supplies (including catering)	SUPPLIES

APPENDIX A – DELAY CAUSATION CODES

SECTION V - PASSENGER'S CHARTER EXCLUDABLE – TOC RESPONSIBILITY

Abbreviated Departmental Cause Codes: EXT

These codes cover causes allowable as Passenger's Charter exclusions, but normally attributable to Passenger Train Operators under the Track Access Performance Regime.

CODE	CAUSE	ABBREVIATION
VA	Disorder/drunks/trespass etc	DISORDER
VB	Vandalism/theft	VANDALS
VC	Fatalities/injuries sustained whilst on a platform as the result of being struck by a train or falling from a train	FATALITIES
VD	Passenger taken ill on train	ILL PASS
VE	Ticket irregularities/refusals to pay	TICKET IRR
VF	Fire caused by vandalism	VDL FIRE
VG	Police searching train	POLICE-TRN
VH	Communication cord/emergency train alarm operated	COM CORD
VI	Security alert affecting stations and depots	SEC ALERT
VW	Severe weather affecting passenger Fleet equipment	WEATHER
VX	*Passenger charter excludable events occurring on the LUL or other non NR running lines*	*LUL CAUSES*
VZ	Other passenger/external causes the responsibility of TOC	EXT OTHER
V8	Train striking other birds	OTH BIRDS

APPENDIX A – DELAY CAUSATION CODES

SECTION X - PASSENGER'S CHARTER EXCLUDABLE - NETWORK RAIL

Abbreviated Departmental Cause Codes: EXT

These codes cover causes allowable as Passenger's Charter exclusions, but normally attributable to Network Rail under both the Track Access and Infrastructure Performance Regimes.

CODE	CAUSE	ABBREVIATION
XA	Trespass	TRESPASS
XB	*Vandalism/theft (including the placing of objects on the line)*	VANDALS
XC	Fatalities/ injuries caused by being hit by train	FATALITIES
XD	Level Crossing Incidents	XING INCDT
XF	Police searching line	POLICE-RLY
XH	*Severe heat affecting infrastructure the responsibility of Network Rail (excluding Heat speeds)*	*SEV HEAT*
XI	Security alert affecting Network Rail Network	SEC ALERT
XK	Electricity Board power failures	ELEC BOARD
XL	Fire external to railway infrastructure	EXTL FIRES
XM	Gas/water mains/overhead power lines	GAS/WATER
XN	Road related - excl bridge strikes/level crossing incident	ROAD INCDT
XP	Bridge Strike	BDG STRIKE
XQ	Swing bridge open for river or canal traffic	BDGE OPEN
XR	Cable vandalism/theft	CABLE CUT
XS	Level Crossing misuse	XNG MISUSE
XT	*Severe cold weather affecting infrastructure the responsibility of Network Rail*	*SEV COLD*
XV	Fire or evacuation due to fire alarm of Network Rail buildings other than stations due to vandalism	*NR FIRE*
XW	*High winds affecting infrastructure the responsibility of Network Rail including objects on the line due to the effect of weather*	*WIND*
XZ	Other external causes the responsibility of Network Rail	EXT OTHER
X1	*Special working for fog and falling snow regulations*	*SPL REGS*
X2	*Severe flooding beyond that which could be mitigated on Network Rail infrastructure*	*SEV FLOOD*
X3	*Lightning Strike – damage to protected systems.*	*LGHTNG*
X4	*Blanket speed restriction for extreme heat or high wind in accordance with the Group Standards*	*BLNK REST*
X8	*Animal Strike/Incursion not within the control of Network Rail*	*EXT ANIMAL*

APPENDIX A – DELAY CAUSATION CODES

SECTION Y - REACTIONARY DELAYS

Abbreviated Departmental Cause Code: REAC

These codes relate to knock-on effects of late running trains. TRUST will ask the inputter to identify the incident causing the original delay to the (other) train involved.

CODE	CAUSE	ABBREVIATION
YA	Lost path - regulated for train running on time	REG-ONTIME
YB	Lost path - regulated for another late running train	REG-LATE
YC	Lost path - following train running on time	FOL-ONTIME
YD	Lost path - following another late running train	FOL-LATE
YE	Lost path - waiting acceptance to single line	TO S/LINE
YF	Waiting for late running train off single line	OFF SLINE
YG	Regulated in accordance with Regulation Policy	CORRCT REG
YH	Late arrival of inward loco	INWD LOCO
YI	Late arrival of inward stock/unit	INWD STOCK
YJ	Late arrival of Traincrew on inward working	INWD CREW
YK	Waiting connecting Freight or Res traffic to attach	CNNCTN TFC
YL	Waiting passenger connections within Connection Policy	AUTHSD CON
YM	Special stop orders agreed by Control	AUTHSD SSO
YN	Booked traincrew not available for late running train	FIND CREW
YO	Waiting platform/station congestion/platform change	PLATFORM
YP	Delayed by diverted train	DIVERSION
YU	Prime cause of most unit swaps	UNIT SWAPS

APPENDIX A – DELAY CAUSATION CODES

SECTION Z - UNEXPLAINED DELAYS / CANCELLATIONS

Abbreviated Departmental Cause Code: UNEX

CODE	CAUSE	ABBREVIATION
ZW	Unattributed Cancellations	UNATR CAN
ZX	Unexplained late start	UNEX L/S
ZY	Unexplained Station overtime	UNEX O/T
ZZ	Unexplained loss in running	UNEX L/R