

DAPR Proposal for Change Consultation September 2026 – Proposals for Amendment for Approval

Table of Respondents

Proposal reference Number:	DAB P396	DAB P397	DAB P398	DAB P399	GBRf P007	GBRf P008	LNER P004	NR P245	NR P246	NTL P009	NTL P010	NTL P011	NTL P012	NTL P013	NTL P014
Freightliner					☒	☒									☒
GBRf										☒	☒	☒			
Network Rail	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒
Northern Trains Ltd*	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒
Scotrail*	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒

**Responded collectively through DAMG forum*

Informal (i.e. not documented on DAB's template response forms) agreement to all Proposals also provided by LNER

Consulted proposal GBRf P008 was rejected by the Board during a post-consultation review and therefore is not incorporated in this paper.

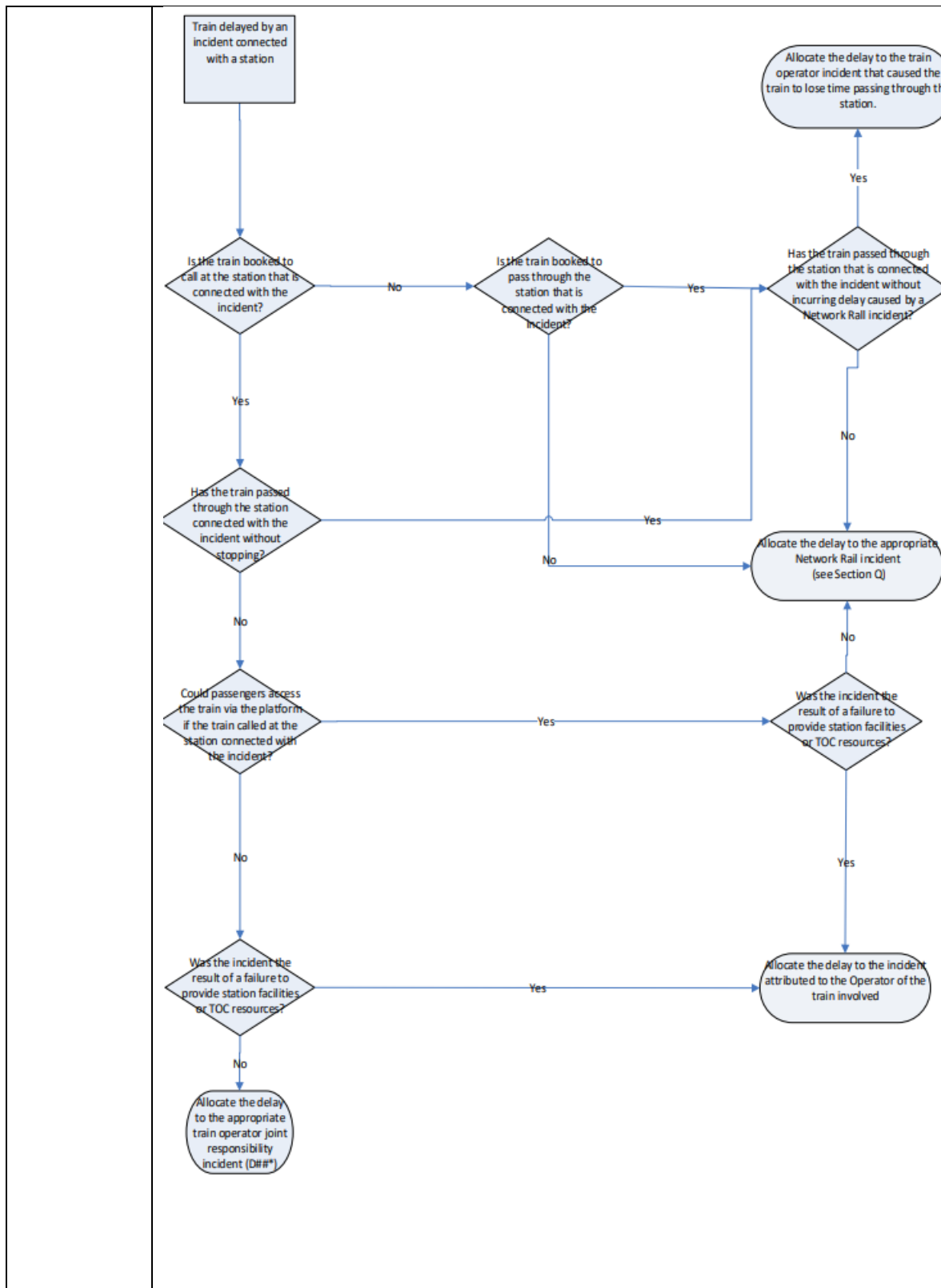
Key to “Exact details of the change proposed” field

- *Black Text in italics* is explanatory comment only which will not be incorporated within DAPR as part of any amendment.
- Text in standard black font represents pre-existing DAPR text (included for context)
- ~~Struck through black text~~ represents pre-existing DAPR text that is to be removed as part of the Proposal for Change
- **Red Text** represents additional/amended text proposed within the original Proposal for Change, as submitted to industry for consultation.
- ~~Struck through red text~~ represents text that was part of the original Proposal for Change submission but which the Board are have opted to exclude from the final proposal (again, this is shown for context only as such).
- **Blue text** represents additional/amended text to the proposal that has been added by the Board based on industry consultation feedback.

Note that, as and when proposed changes are approved, all revised text will be displayed in the document in red and all text to be removed will simply be deleted (i.e. use will not be made of blue font or strikethroughs within DAPR itself). Such formatting has been used in this document purely to highlight and track the changes that have been applied to proposals in consequence of the consultation and review process for ORR's benefit.

Originators Reference Code / No [For DAB input]	DAB P396			
Name of the original sponsoring organisation (s)/ point of contact	Delay Attribution Board 			
Exact details of the change proposed	<i>Retitle Section N12 of DAPR as below:</i> <i>N12 Guidance for the allocation of delays caused by an incident at a station.</i> <i>N12 Delays awaiting station access</i> <i>Apply a fully rewritten flowchart to Section N12 as below:</i> <i>[NB. See "Board Consultation" field below for visibility of the flowchart that was proposed but ultimately excluded from this proposal]</i> <i>Also amend Scenario Q7.1.e as below:</i>			
	e.	Security alert affecting trains of Train Operators, none of whose regular services call there that are not planned to call at the station (including non-passenger operators trains)	XI	Network Rail (XQ**)
	<i>And amend Scenario Q8.1.f as below:</i>			
	f.	Fire (including false alarms) 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 or from that train. Affecting operators, none of whose regular trains are booked to call at the station trains that are not planned to call at the station.	Not vandalism OJ	Network Rail (OQ**).
Reason for the change	The clauses proposed for amendment are not currently consistent with the criteria for applying Joint Responsibility to incidents at stations, as correctly detailed in Section D2 of DAPR.			

	Specifically, the existing flowchart N12 includes a scenario where the train operator is deemed responsible for a delay stemming from compromised track access (which is contrary to all other principles in the document). The flowchart is now felt to be unnecessarily complex in any case, since it includes a number of repeat and/or unnecessary question steps. A complete rewrite and retitling of the flowchart is proposed to correct the existing anomaly and to make the underpinning principles of joint responsibility more explicit to readers. Note that the proposed flowchart is a slightly adapted version of one which already appears in DAB's informal guidance document "PGD06" on the use of joint responsibility – DAB believe it should be adopted as a formal explanation of principles within DAPR at this point. Separately, clauses Q7.1.e and Q8.1.f both currently imply that attribution of incidents involving a security alert and a fire at a station respectively is dependent on the service patterns used by a given train operator in general terms. Again, this is incorrect – joint responsibility criteria are purely concerned with whether an individual train is planned to stop at the relevant station or not, and the stopping patterns of other trains operated by the same TOC are irrelevant. Some minor rewording of both clauses should address any ongoing confusion on the above. [Existing flowchart n12 is replicated below for context/ease of reference].
--	--



Responses

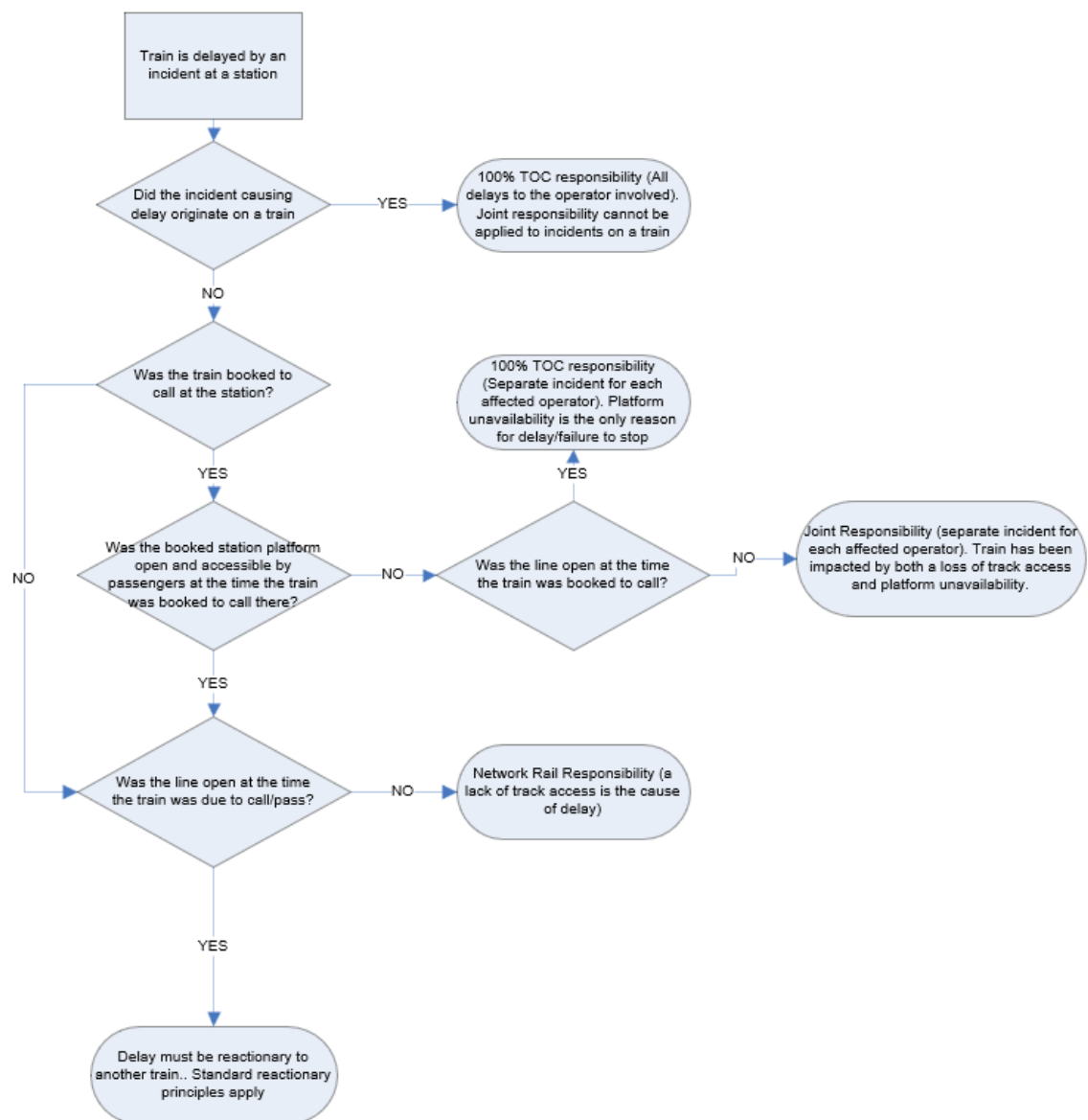
DAMG	C. NO, UNLESS SUGGESTED AMENDMENT IS APPLIED The flow of the chart as written changes accountability for incidents, the previous language in N12 related to delays associated with the operation of a station, the new language relates to a station as a location, and fails to distinguish between passenger, ontrack plant and freight operators. The box “did the incident causing delay originate on a train” means that operators would become accountable for train surfers on the outside of trains, or for over crowding in reaction to disruption Replace with “Did the primary delay causing incident occur within this passenger train(Including ECS)” The box “was the line open at the time the train was due to call/pass” changes criteria from “booked” to “due”. As ‘due’ takes into account lateness, suggest use “booked” for consistency with prior application
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Secretary Note	There is no obvious reason to decline DAMG’s proposed amendments, although presume that “this passenger train” should have been written as “a passenger train”.

Board Consultation

Members were unable to agree on whether the revisions to the proposed new flowchart N12, as requested by DAMG, were appropriate. Neither could any potential compromise wording that would address the DAMG concerns to the satisfaction of all members be agreed. As such, the Board were obliged to remove the flowchart from this proposal, meaning that the pre-existing flowchart N12 in DAPR (as displayed in the "Reason for the Change" field above) will be retained instead.

No comments were forthcoming on the proposed amendments to Sections Q7.1.e/Q8.1.f through the consultation. The Board agreed that these were not co-dependent on the amendments to N12 and were therefore both still valid for referral to ORR for approval. The proposal has been revised accordingly so that Q7.1.e/Q8.1.f are now the only sections subject to change within this proposal.

NB. It has not been practical to display the consulted flowchart N12 with struck-through red text throughout, as would be the normal convention for elements of a proposal that were subject to consultation but were subsequently rejected by DAB. This chart has therefore been replicated below (in standard black font) for information purposes.



Originators Reference Code / No [For DAB input]	DAB P397
Name of the original sponsoring organisation(s)/ point of contact	Delay Attribution Board [REDACTED] [REDACTED]
Exact details of the change proposed	<i>Retitle Section F1.6.1 as below</i> F1.6.1 Autumn attribution: joint process: Chart 1 Autumn adhesion principles flowchart <i>Add a new Note 7 to Section F1.6 (explaining the context of flowchart F1.6.1) as below:</i> Note 7 The flowchart is intended specifically to cover principles associated with trains that are directly, or potentially directly, impacted by poor adhesion during the Autumn period. For delays to trains that are cautioned and/or required to carry out controlled test stops after the report of poor adhesion by another train, attribution should follow separate principle F1.7.1h (i.e. delays are to be coded QI as a Network Rail-responsibility operational expedient). <i>And amend flowchart F1.6.1 as below:</i> <pre> graph TD A[Has Rule Book – 30 minute rule been applied? (See Note 5)] -- Yes --> B[Normal attribution rule Operator MP/TT as] A -- No --> C{Were trains required to be cautioned} C -- Yes --> D[MP/TT] D --> E[All delays to cautioned trains QI per Clause F1.7.1.h] C -- No --> F{Did train perform controlled stop to confirm poor rail conditions?} F -- Yes --> G[Continue cautioning – Network Rail OE/JP/ QI as appropriate. All delays to cautioned trains QI per Clause F1.7.1.h] F -- No --> H[Code to relevant prime cause as per Section F1.7] </pre>
Reason for the change	Confusion has arisen over the correct attribution of delays to trains that are cautioned/ask to carry out a test stop in relation to a report of poor adhesion <u>by a different train</u>. Such delays are covered by clause F1.7.1 which identifies these as being attributable to Network Rail using Code QI....the clause states

	that this applies whether adhesion is “confirmed” or merely “suspected”. However, readers have been attempting to apply the principles in the flowchart (which was intended to cover the attribution of the train experiencing/reporting poor adhesion) to the trains subsequently being used for examination and testing. It is hoped that clarification of the above in the flowchart and associated explanatory notes will clarify the correct principle to apply to cautioned trains and reduce misunderstanding. Note that flowchart F1.6.1. has been recreated from new to accommodate this change as the original master version is no longer editable, This means that there will be some minor formatting differences visible in the overall chart if/when this change is approved and applied. However, these will be cosmetic only – the only material changes in wording are those highlighted within this proposal. The opportunity has also been taken to retitle the flowchart. The current reference to this being “joint process” is unnecessary (it is no more or less of a “joint process” than any other principle in DAPR and is only indirectly concerned with the process for jointly agreeing neutral zones), whilst the reference to it being “Chart 1” is also unnecessary as it is the only flowchart that appears in Section F of DAPR. Retitling it as the “Autumn attribution principles flowchart” will provide a more succinct explanation of what it is intended to cover.
--	--

- 1. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?**

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

No

- 2. If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.**

N/A

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.

Secretary Note	-
-----------------------	---

Board Consultation	No comments had been forthcoming from the consultation, and with no further issues raised by members, the proposal was approved for referral to ORR as originally written.
---------------------------	--

Originators Reference Code / No [For DAB input]	DAB P398										
Name of the original sponsoring organisation(s)/ point of contact	Delay Attribution Board 										
Exact details of the change proposed	<i>Replace the reference to a “visible mitigation request” in Scenario L2.3.b, and the equivalent reference to a “viable mitigation request” in Scenario L2.6.b to read “practical request”, as below:</i> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%; text-align: center; vertical-align: top;">b.</td><td style="width: 55%; padding: 5px;"> Operator made visible mitigation <b style="color: red;">practical request (prior to 22:00) to amend the plan of day or required stock repositioning moves which is declined by Network Rail (e.g. no paths, possession). (This clause only applies where a prior viable opportunity did not exist) </td><td style="width: 20%; text-align: center; vertical-align: top;">As appropriate to incident causing requirement</td><td style="width: 20%; text-align: center; vertical-align: top;">As appropriate to incident causing requirement</td></tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%; text-align: center; vertical-align: top;">b</td><td style="width: 55%; padding: 5px;"> Operator made viable mitigation <b style="color: red;">practical request to amend the Train Slot for that train (including the redeployment of Specified Equipment) which are declined by Network Rail (e.g. no paths, conflicting possession etc.). (This clause only applies where prior viable opportunity did not exist) </td><td style="width: 20%; text-align: center; vertical-align: top;">As appropriate to incident causing requirement</td><td style="width: 20%; text-align: center; vertical-align: top;">As appropriate to incident causing requirement</td></tr> </table>			b.	Operator made visible mitigation <b style="color: red;">practical request (prior to 22:00) to amend the plan of day or required stock repositioning moves which is declined by Network Rail (e.g. no paths, possession). (This clause only applies where a prior viable opportunity did not exist)	As appropriate to incident causing requirement	As appropriate to incident causing requirement	b	Operator made viable mitigation <b style="color: red;">practical request to amend the Train Slot for that train (including the redeployment of Specified Equipment) which are declined by Network Rail (e.g. no paths, conflicting possession etc.). (This clause only applies where prior viable opportunity did not exist)	As appropriate to incident causing requirement	As appropriate to incident causing requirement
b.	Operator made visible mitigation <b style="color: red;">practical request (prior to 22:00) to amend the plan of day or required stock repositioning moves which is declined by Network Rail (e.g. no paths, possession). (This clause only applies where a prior viable opportunity did not exist)	As appropriate to incident causing requirement	As appropriate to incident causing requirement								
b	Operator made viable mitigation <b style="color: red;">practical request to amend the Train Slot for that train (including the redeployment of Specified Equipment) which are declined by Network Rail (e.g. no paths, conflicting possession etc.). (This clause only applies where prior viable opportunity did not exist)	As appropriate to incident causing requirement	As appropriate to incident causing requirement								
Reason for the change	DAB have recently identified an inconsistency of language in these two similar clauses. The word “visible” in L2.3.b does not make obvious sense, and it is suspected that this may be a										

	legacy typographical error. Equally, however, “viable” in L2.6.b is also misleading – the scenario is intended to cover a situation where a rebid may have been viable under normal circumstances but was <u>not</u> viable on this occasion due to a short/medium-term restriction of access. Similarly, use of the term “mitigation” is now considered to be slightly outdated and potentially misleading. In attribution terms, this term is used to in the context of service recovery activities and, although these two scenarios could potentially apply in relation to service recovery, it will not always be the case. The term “practical requests” is felt to be the best option for indicating that these scenarios cover realistic and sensible rebids that nonetheless cannot be applied on the day in question.
--	--

3. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

No

4. If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

N/A

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Secretary Note	-
Board Consultation	No comments had been forthcoming from the consultation, and with no further issues raised by members, the proposal was approved for referral to ORR as originally written.

Originators Reference Code / No [For DAB input]	DAB P399																
Name of the original sponsoring organisation(s)/ point of contact	Delay Attribution Board 																
Exact details of the change proposed	<i>Replace references to fires “in”, “on” or “at” stations/platforms/depots/yards to “affecting”, as below:</i> <i>N8.1.h</i> <table border="1" style="margin-left: 40px;"> <tr> <td style="width: 5%;">h.</td><td style="width: 45%;">Fire or fire alarm at affecting station</td><td style="width: 20%;">See Section Q8</td><td style="width: 30%;">As per Section Q8</td></tr> </table> <i>Q8.1 scenarios e-k inclusive</i> <table border="1" style="margin-left: 40px;"> <tr> <td rowspan="2" style="width: 5%;">e.</td><td rowspan="2" style="width: 45%;">Fire (including false alarms) in affecting station buildings or on platform where trains may pass through and though scheduled to stop do not do so:</td><td style="width: 20%;">Not vandalism RH</td><td style="width: 30%;">Train Operator – separate incident for each operator serving that station at the time of the incident (R##*)</td></tr> <tr> <td>Caused by vandalism VF</td><td>Train Operators– separate incident for each operator serving that station at the time of the incident (V##*).</td></tr> <tr> <td>f.</td><td>Fire (including false alarms) in affecting station buildings or on</td><td>Not vandalism OJ</td><td>Network Rail (OQ**).</td></tr> </table>			h.	Fire or fire alarm at affecting station	See Section Q8	As per Section Q8	e.	Fire (including false alarms) in affecting station buildings or on platform where trains may pass through and though scheduled to stop do not do so:	Not vandalism RH	Train Operator – separate incident for each operator serving that station at the time of the incident (R##*)	Caused by vandalism VF	Train Operators– separate incident for each operator serving that station at the time of the incident (V##*).	f.	Fire (including false alarms) in affecting station buildings or on	Not vandalism OJ	Network Rail (OQ**).
h.	Fire or fire alarm at affecting station	See Section Q8	As per Section Q8														
e.	Fire (including false alarms) in affecting station buildings or on platform where trains may pass through and though scheduled to stop do not do so:	Not vandalism RH	Train Operator – separate incident for each operator serving that station at the time of the incident (R##*)														
		Caused by vandalism VF	Train Operators– separate incident for each operator serving that station at the time of the incident (V##*).														
f.	Fire (including false alarms) in affecting station buildings or on	Not vandalism OJ	Network Rail (OQ**).														

			platform which prevents the passage of a train at the time it is scheduled to stop but not the access of passengers to or from that train. Affecting operators, none of whose regular trains are booked to call at the station.	Caused by vandalism XB	Network Rail (XQ**).
		g.	Fire (including false alarms) in affecting 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 or from that train.	Not vandalism RH	Joint Responsibility – separate incident for each operator serving that station at the time of the incident (D##*).
				Caused by vandalism VF	Joint Responsibility – separate incident for each operator serving that station at the time of the incident (D##*).
		h.	Fire in affecting Network Rail buildings other than stations:	Caused by Vandalism. XB	Network Rail (XQ**).
				Not caused by vandalism OV	Network Rail (OQ**).
		i.	Fire (including false alarms) on affecting platforms or in station buildings	AK	FOC Trains (A##*).

			affecting FOC Trains booked to call at stations.		
	j.	Fire in in affecting off Network freight yard or terminal including private sidings.	AK		Freight Operator(s) – separate incident for each affected (A##*).
	k.	Fire in in affecting Fleet depot	Caused by Vandalism. VF		Passenger Operator(s) – separate incident for each affected (VH##*).
			Not caused by vandalism MU		Separate incident for each Train Operator affected. (M##*)

Section S – Descriptions of Delay Codes AK, OJ, OV.

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

OJ	Fire in in affecting station building or on platform, affecting impacting operators not booked to call at that station	STN FIRE
----	---	----------

OV	Fire or evacuation due to fire alarm of of affecting Network Rail buildings other than stations not due to vandalism	NR FIRE
----	---	---------

Also amend the Section S description of code RH as below:

RH	Station evacuated due to fire alarm Fire or fire alarm preventing access to stations/platforms	FIRE ALARM
----	---	------------

Reason for the change	This proposal addresses potential confusion over the attribution of fires affecting passenger station/platform access.
-----------------------	--

	Specifically, the current wording of the clauses in this proposal could be taken to mean that a fire actually has to originate within the confines of a station building for the principles to apply. As the major fire immediately outside of Glasgow Central station this year made clear, however, this is not the case. Although the majority of references in DAPR deal with stations, the same principles apply to depots, yards and other Network Rail buildings, so the associated clauses would benefit from the same clarification. In the majority of cases, this can simply be addressed by changing references to fires occurring “in/on/at” locations to “affecting” them, Although, since the word “affecting” already appears within the description of code OJ, the word “impacting” has also been used for readability. A slightly larger change is proposed to the description of code RH, as the current description is potentially misleading – Currently, it could be taken to mean that it only covers full station evacuations (whereas in practice it may apply to individual platform closures only). Equally, the reference to the code covering “fire alarms” (without an equivalent mention of actual fires) could be taken to imply that the code is only for use in connection with false alarms, which is incorrect.
--	--

5. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

No

6. If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

N/A

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Secretary Note	-

Board Consultation	No comments had been forthcoming from the consultation, and with no further issues raised by members, the proposal was approved for referral to ORR as originally written.
---------------------------	--

Originators Reference Code / No [For DAB input]	GBRf P007
Name of the original sponsoring organisation(s)/ point of contact	GB Railfreight, [REDACTED]
Exact details of the change proposed	<i>Add a new Section K7 to DAPR as below (with existing Sections K7-K12 renumbered as K8-K13 respectively to accommodate this).</i> K7 Signalling delays stemming from a signaller being unable to carry out multiple duties simultaneously should be attributed as a prime cause delay to the relevant operational code (i.e. OB for regulation issues or OC for incorrect routes and delays awaiting a route to be set) and not as a reactionary delay to an associated disruptive event. (See also R2.5 for delays incurred during the completion of Forms RT3185/RT3187)
Reason for the change	At present, the principle that signalling delays stemming from a signaller being preoccupied with multiple simultaneous duties represents a prime cause (and is not a reactionary delay to whatever disruptive event has temporarily increased their workload) is only partially covered by DAPR. Existing clause R2.5 states that delays to “overlooked” trains [not directly involved in a signal irregularity] awaiting a route while a signaller is in the course of completing form RT3185 or 3187 are to be “attributed as a new incident to the signaller”. However, this only represents one of the many possible scenarios where a signaller may be unable to carry out multiple duties simultaneously. In particular, the principle is not addressed anywhere within Section K of DAPR, which is dedicated to the “Regulation and Signalling of Trains” and, as such, is the obvious place for such a principle to be documented. It is hoped that a new entry within Section K on the topic will both expand the existing principle to clarify that it is not exclusive to issues with RT3185/3187 form completion, and also make the principle more prominent/easy to locate. In case of any doubt, such a principle is not intended to imply that these delays always constitute an “error” or “fault” of an individual signaller. It simply reflects that Network Rail are contractually responsible for the timely and correct signalling of trains and must therefore be expected to have sufficient resource/personnel in place to account for disruptive events. This is entirely consistent with the existing principles associated with late train dispatch from stations – Delay code “R4” exists specifically to cover scenarios where “split responsibilities” prevent station staff from dispatching trains in a timely fashion.

7. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

No

8. If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

N/A

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Freightliner	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN. Improves data integrity and highlights opportunities for performance improvement through accurate attribution to the prime delay, reducing the risk (for all) operators incurring costs for issues outside of their control.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.

Secretary Note	-
-----------------------	---

Board Consultation	No challenges had been forthcoming from the consultation, and with no further issues raised by members, the proposal was approved for referral to ORR as originally written.
---------------------------	--

Originators Reference Code / N°	LNER P04
Name of the original sponsoring organisation(s)	LNER
Exact details of the change proposed	<i>LNER propose an amendment to the description of cause code VC in Section 5 of DAPR from:</i> “Fatalities and or injuries sustained whilst on a platform as the result of being struck by a train or falling from a train.” <i>To:</i> “Station platform closure in consequence of someone being struck by a train.”
Reason for the change	Incidents involving a passenger/MOP being struck by part of a train, or items falling from a train, whilst standing <i>on a platform</i> are, mercifully, extremely rare, as are incidents of passengers falling directly from trains in traffic. Conversely, station closures (in full or part) as the result of a person <i>on the track</i> being struck by a train are sadly not uncommon at all, and are also coded VC. The current wording of the description for cause code VC only reflects the infrequent former scenario and can be confusing for stakeholders when reading performance reports, leaving the impression that passengers are often injured whilst standing on platforms. The wording also wrongly implies that passengers falling out of a train <i>onto a platform</i> (i.e. when alighting from a train) should be also coded VC, rather than RY. The proposed wording reverses this and puts the more common scenario at the heart of the wording.

9. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

No impact at all. No changes in responsibility. Change of description is for clarity only.

10.If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

N/A

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.

Secretary Note	-
-----------------------	---

Board Consultation	No comments had been forthcoming from the consultation, and with no further issues raised by members, the proposal was approved for referral to ORR as originally written.
---------------------------	--

Originators Reference Code / No [For DAB input]	NR P245
Name of the original sponsoring organisation(s)/ point of contact	Network Rail [REDACTED] [REDACTED]
Exact details of the change proposed	<i>Revise the second “bullet” criteria in Sections C2.6 and Q5.1 for when weather events may be classed as “External” (i.e. attributable to a code in the X* Series) as below:</i> • an Amber or Red severe weather warning has been issued to the industry and is relevant to the cause of delay and in the vicinity in which the delays are occurring
Reason for the change	The current DAPR wording on formal severe weather warnings does not take account of the colour-coded system of categorisation that has been in use since 2011. Technically, the three categories of warning (Yellow, Amber and Red) are all classed as “Severe weather warnings”, which can be taken to mean that the DAPR condition is met if any form of warning is issued, irrespective of classification. However, the Yellow category of warning, which refers to expected “low level impacts including some disruption to travel in a few places”, does not reflect the level of severity that the rail industry – and other entries in DAPR – would consider to be X-codable. This amendment will therefore make explicit that a warning must be of at least Amber status (which references “the possibility of travel delays, road and rail closure”) for this criteria to be met. For context, please note that: • Existing clauses C2.6 and Q5.1 are identical and are repeated in DAPR solely for emphasis (hence this proposal covers the exact same amendment to both clauses) • The criterion covered by this proposal is only one of several listed conditions for using X-codes in relation to

	weather events (and, as DAPR already states, at least two of these must be met for a weather-related event to be X-coded). As such, this criterion does not, as still will not, dictate the coding of any weather-related event in isolation. Full definitions of the three warning categories can be found at https://weather.metoffice.gov.uk/guides/warnings
--	---

11. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

No.

12. If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

N/A

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Secretary Note	-
Board Consultation	No comments had been forthcoming from the consultation, and with no further issues raised by members, the proposal was approved for referral to ORR as originally written.

Originators Reference Code / No [For DAB input]	NR P246														
Name of the original sponsoring organisation(s)/ point of contact	Network Rail 														
Exact details of the change proposed	<i>Add a reference to Soil Moisture Deficits/SMD within scenario O6.1.h as below:</i> <table border="1" style="width: 100%;"> <tr> <td style="width: 5%;">h</td><td style="width: 60%;">Poor ride quality / bump reported on embankments (only) due to movement of embankment (e.g. clay/ Soil Moisture Deficits (SMD) after prolonged dry period with insufficient opportunity to tamp location)</td><td style="width: 10%;">IV</td><td style="width: 25%;">Network Rail (IQ**)</td></tr> </table> <i>Also add similar references to SMD O18.4 i and.j:</i> <table border="1" style="width: 100%; margin-top: 20px;"> <tr> <td style="width: 5%;">i.</td><td style="width: 60%;">Published TSR in connection with condition of earthworks (including those caused by Soil Moisture Deficits/SMD) covered by sufficient Engineering Allowance within the train's schedule (where allowance and restriction are in the same Engineering Section) where restriction is not due to inadequate drainage maintenance.</td><td style="width: 10%;">PB</td><td style="width: 25%;">Network Rail (PQ**)</td></tr> <tr> <td>j.</td><td>Published TSR in connection with condition of earthworks (including those caused by Soil Moisture Deficits/SMD) not covered by sufficient Engineering Allowance within the train's schedule.</td><td>IV</td><td>Network Rail (IQ**)</td></tr> </table> <i>Remove the reference to dried earthworks from Clause O19.1.2</i> Failures occurring days or weeks after the severe weather (including prolonged spells of rain causing saturation for example) should be coded to the relevant delay code representing the failure (IV) –			h	Poor ride quality / bump reported on embankments (only) due to movement of embankment (e.g. clay/ Soil Moisture Deficits (SMD) after prolonged dry period with insufficient opportunity to tamp location)	IV	Network Rail (IQ**)	i.	Published TSR in connection with condition of earthworks (including those caused by Soil Moisture Deficits/SMD) covered by sufficient Engineering Allowance within the train's schedule (where allowance and restriction are in the same Engineering Section) where restriction is not due to inadequate drainage maintenance.	PB	Network Rail (PQ**)	j.	Published TSR in connection with condition of earthworks (including those caused by Soil Moisture Deficits/SMD) not covered by sufficient Engineering Allowance within the train's schedule.	IV	Network Rail (IQ**)
h	Poor ride quality / bump reported on embankments (only) due to movement of embankment (e.g. clay/ Soil Moisture Deficits (SMD) after prolonged dry period with insufficient opportunity to tamp location)	IV	Network Rail (IQ**)												
i.	Published TSR in connection with condition of earthworks (including those caused by Soil Moisture Deficits/SMD) covered by sufficient Engineering Allowance within the train's schedule (where allowance and restriction are in the same Engineering Section) where restriction is not due to inadequate drainage maintenance.	PB	Network Rail (PQ**)												
j.	Published TSR in connection with condition of earthworks (including those caused by Soil Moisture Deficits/SMD) not covered by sufficient Engineering Allowance within the train's schedule.	IV	Network Rail (IQ**)												

	Similar principles should apply for prolonged heat where earthworks dry out. Add a new standalone clause O19.2.1.5: Issues stemming from Soil Moisture Deficits/SMD (or equivalent issues where earth has gradually dried out due to prolonged hot weather), shall be attributed to delay code IV. Amend the Section S description of Code IV as below: <table><tr><td>IV</td><td>Cutting or embankment earth slip, rock fall, Soil Moisture Deficit and/or subsidence (not the result of severe weather on the day of failure) including associated ESRs and TSRs</td><td>EARTHSLIP</td></tr></table>	IV	Cutting or embankment earth slip, rock fall, Soil Moisture Deficit and/or subsidence (not the result of severe weather on the day of failure) including associated ESRs and TSRs	EARTHSLIP
IV	Cutting or embankment earth slip, rock fall, Soil Moisture Deficit and/or subsidence (not the result of severe weather on the day of failure) including associated ESRs and TSRs	EARTHSLIP		
Reason for the change	Issues stemming from Soil Moisture Deficits/SMD – where the loss of moisture from soil due to prolonged heat and dryness causes beds to shrink and track to therefore become uneven – have increased in recent years. Although SMD is classed as a form of earthworks defect, and associated attribution principles are therefore covered by existing DAPR clauses, confusion has arisen due to the current lack of an explicit reference to the term in the document. This proposal will simply make clear that SMD is classed as a form of earthworks defect, attributable to code IV, within the relevant scenarios. Note in particular that the reason for splitting the entry within O19.1.2 into a new standalone clause is that O19.1 is dedicated to the impact of rain. This comment thus belongs in O19.2 (the actual section dedicated to the impact of heat).			

13. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

No

14.If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

N/A

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Secretary Note	-
Board Consultation	No comments had been forthcoming from the consultation, and with no further issues raised by members, the proposal was approved for referral to ORR as originally written.

Originators Reference Code / No [For DAB input]	NTL09																								
Name of the original sponsoring organisation(s)/ point of contact	 Northern Trains limited																								
Exact details of the change proposed	<i>Replace existing scenarios table G1.2 (covering passenger fleet problems) with two separate tables G1.2.1 and G1.2.2, covering Non-Technical and Technical fleet issues respectively.</i> G1.2 — Passenger Train Operator Delays (including Charter Trains): <table><tr><td>No</td><td>Circumstances</td><td>Delay Code</td><td>Systems</td><td>Incident Attribution</td></tr><tr><td>a.</td><td>Delays associated with faults with the Pantograph, ADD, train borne power switch over systems and PANCHEX activations</td><td>M1</td><td>Pantograph ADD Train borne power switch over systems (AG)</td><td>Train Operator (M##*)</td></tr><tr><td>b.</td><td>Delays associated with faults relating to train borne safety systems within the cab (For ETCS/ ERTMS/CBT C see Section G3)</td><td>M0 (zero)</td><td>DSD DVD GSM-R Horn OTMR RETB Speedo Technical head or tail-light failure</td><td>Train Operator (M##*)</td></tr><tr><td>c.</td><td>Delays associated with faults with train doors and</td><td>M7</td><td>Crew doors Gangway doors Passenger doors Toilet doors</td><td>Train Operator (M##*)</td></tr></table>					No	Circumstances	Delay Code	Systems	Incident Attribution	a.	Delays associated with faults with the Pantograph, ADD, train borne power switch over systems and PANCHEX activations	M1	Pantograph ADD Train borne power switch over systems (AG)	Train Operator (M##*)	b.	Delays associated with faults relating to train borne safety systems within the cab (For ETCS/ ERTMS/CBT C see Section G3)	M0 (zero)	DSD DVD GSM-R Horn OTMR RETB Speedo Technical head or tail-light failure	Train Operator (M##*)	c.	Delays associated with faults with train doors and	M7	Crew doors Gangway doors Passenger doors Toilet doors	Train Operator (M##*)
No	Circumstances	Delay Code	Systems	Incident Attribution																					
a.	Delays associated with faults with the Pantograph, ADD, train borne power switch over systems and PANCHEX activations	M1	Pantograph ADD Train borne power switch over systems (AG)	Train Operator (M##*)																					
b.	Delays associated with faults relating to train borne safety systems within the cab (For ETCS/ ERTMS/CBT C see Section G3)	M0 (zero)	DSD DVD GSM-R Horn OTMR RETB Speedo Technical head or tail-light failure	Train Operator (M##*)																					
c.	Delays associated with faults with train doors and	M7	Crew doors Gangway doors Passenger doors Toilet doors	Train Operator (M##*)																					

			associated systems			
	d.	Other delays associated with technical faults above the solebar	M8	Air conditioning Cab heaters Internal lighting VCB Toilets Window faults (excl. those broken by external causes) Failed passenger facilities e.g. broken seating	Train Operator (M###*)	
	e.	Other delays associated with technical faults below the solebar	MD	Air systems Drive train Engines Gearbox Traction motors Train electrics and or Batteries.	Train Operator (M###*)	
	f.	Delays associated with train borne safety system faults (NOT cab based)	MT	ATP AWS HABD TCA TPWS WILD	Train Operator (M###*)	
	g.	Delays associated with Sanders and scrubber faults	MR	On-board sanding equipment. Wheel scrubbers.	Train Operator (M###*)	
	h.	Delays associated with brake and brake system faults, including wheel flats	MN	ABS Poor brakes WSP	Train Operator (M###*)	
	i.	Technical delays associated with coupler and coupling system faults, excluding track or Driver based issues	MY	Coupler Coupler buttons Coupler Control systems Jumper/connective cables	Train Operator (M###*)	

		j.	Delays associated with the effect of the weather on the train	MW	Frozen couplers where mitigations have not been applied Windscreen wipers Leaking	Train Operator (M##*)
		k.	Delays associated with balise activated train borne systems	NA	TASS TILT	Train Operator (M##*)
		l.	Delays associated with train borne systems where no fault is found with the track or the train based equipment	M9	See Section R3.4	Train Operator (M##*)
		m.	Delays associated with Steam train locomotives	ME	Steam trains	Train Operator (M##*)
		n.	Delays associated with coaching stock	ML	Coaches Parcel vehicles	Train Operator (M##*)
		o.	Off depot non-technical fleet delay	MF	Doors left isolated by cleaners Fitter completing non-technical inspections (Coolant/Fuel checks)	Train Operator (M##*)

G1.2.1 Passenger Train Operator Delays (including Charter Trains) Non technical:

No.	Circumstances	Delay Code	Systems	Incident Attribution
a.	Off depot non-technical fleet delay	MF	Doors left isolated by cleaners Fitter completing non-technical inspections (Coolant/Fuel checks); REC by fitter/cleaner off depot	Train Operator (M##*)
b.	Depot infrastructure failure	NI	Fuel points, wash plants, depot power supply, depot point works	Train Operator (M##*)
c.	Delays as a result of train servicing activities	NS	Filling sanders, late from wash plant, fuelling, error on preparation.	Train Operator (M##*)
d.	Cancellations as a result of a lack of availability of serviceable rolling stock from depot	NT	Specifically, where a shortage of serviceable units from depot occurs due to the number stood down waiting repair, incl. stood down for mandatory safety inspection.	Train Operator (M##*)
e.	Delays as a result of reported train related safety of the line incident-NFF	MZ	Safety inspection following report in good faith. Reported issue is within	Train Operator (M##*)

					maintenance tolerances. Reported issue is in accordance with train design e.g. smoke observed as part of pre heater start up	
		f.	Depot operating issue	MU	Congestion; REC from within depot; fire on depot (not vandalism); Waiting acceptance; non severe weather affecting depot ops	
		g.	Planned short formed or underpowered unit. Set swaps for exam or maintenance purposes	MS	Provision of a unit not capable of achieving the planned SRTs; provision of a unit not capable of carrying the normal forecast load; set swap or change for an depot requirement	
		h.	Delays associated with train borne systems where no fault is found with the track or the train based equipment	M9	See Section R3.4	Train Operator (M##*)

G1.2.2 Passenger Train Operator Delays (including Charter Trains)**Technical:**

No.	Circumstances	Delay Code	Systems	Incident Attribution
a.	Delays associated with faults with the Pantograph, ADD, train borne power switch over systems and PANCHEX activations	M1	Pantograph ADD Train borne power switch over systems (AC)	Train Operator (M##*)
b.	Delays associated with faults relating to train borne safety systems within the cab (For ETCS/ERTMS/CBTC see Section G3)	M0 (zero)	DSD DVD GSM-R Horn OTMR RETB Speedo Technical head or tail-light failure	Train Operator (M##*)
c.	Delays associated with faults with train doors and associated systems/software	M7	Crew doors Gangway doors Passenger doors Toilet doors ASDO / SDO PIBS fault	Train Operator (M##*)
d.	Other delays associated with technical faults above the solebar	M8	Air conditioning Cab heaters Internal lighting VCB Toilets Window faults (excl. those broken by external causes) Failed passenger facilities e.g. broken seating	Train Operator (M##*)

		e.	Other delays associated with technical faults below the solebar	MD	Air systems Drive train Engines Gearbox Traction motors Train electrics and or Batteries.	Train Operator (M##*)
		f.	Delays associated with train borne safety system faults (NOT cab based)	MT	ATP AWS HABD TCA TPWS WILD	Train Operator (M##*)
		g.	Delays associated with Sanders and scrubber faults	MR	On board sanding equipment. Wheel scrubbers.	Train Operator (M##*)
		h.	Delays associated with brake and brake system faults, including wheel flats	MN	ABS Poor brakes WSP	Train Operator (M##*)
		i.	Technical delays associated with coupler and coupling system faults, excluding track or Driver based issues	MY	Coupler Coupler buttons Coupler Control systems Jumper/connective cables	Train Operator (M##*)
		j.	Delays associated with the effect of the weather on the train	MW	Frozen couplers where mitigations have not been applied Windscreen wipers Leaking	Train Operator (M##*)
		k.	Delays associated with balise activated train borne systems	NA	TASS TILT	Train Operator (M##*)
		l.	Delays associated with Steam train locomotives	ME	Steam trains	Train Operator (M##*)

		m.	Delays associated with coaching stock	ML	Coaches Parcel vehicles	Train Operator (M##*)
		n.	Delays associated with faults with 3 rd rail, shoe beam and train borne power switch over systems (DC)	MQ	3 rd rail Shoe beam Train borne power switch over systems (DC)	Train Operator (M##*)
		o.	Engineering technical failures/defects associated with T+RS that has just come off depot	MG	Isolated from depot e.g. Door locked out of use, TPWS isolated Equipment fails off depot e.g. repeat failure of windscreen wiper Loss of power	Train Operator (M##*)
		p.	Delays associated with faults with 3 rd rail, shoe beam and train borne power switch over systems (DC)	MQ	3 rd rail Shoe beam Train borne power switch over systems (DC)	Train Operator (M##*)
		q.	Delays associated with train borne systems where no fault is found with the track or the train based equipment	M9	See Section R3.4	Train Operator (M##*)

Add new table L2.2.1 as below

L2.2.1 Common scenarios

No	Circumstance	Delay code	Incident Attribution
a.	The provision from Depot of a unit(s) not capable of achieving SRTs or carrying the normal passenger load (vice that of the diagrammed stock for that service)	MS	Train Operator (M##*)
b.	The cancellation of a service due to a shortage of serviceable units from a Depot, resultant from servicing or mandatory inspection requirements	NT	Train Operator (M##*)
c.	The late provision of units from Depot due to depot servicing activities	NS	Train Operator (M##*)
d.	The late provision of units/cancellation from Depot due to depot infrastructure failure	NI	Train Operator (M##*)
e.	The late provision of units/cancellation from Depot due to an Operational issue occurring within the depot, including congestion.	MU	Train Operator (M##*)

Reason for the change

To update DAPR on behalf Train Operator Engineering representatives and their agents via the RDG fleet reform.

Delay codes NT, NS,NI are proposed to be added and measured within KPI 701A, and cause code M9 is proposed to be remapped from KPI 701D, to KPI 701A

15. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

No,

16. If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

N/A

Responses

DAMG	C. NO, UNLESS SUGGESTED AMENDMENT IS APPLIED Clause H within table G1.2.1 was pasted into the wrong table, move to table G1.2.2 as clause Q The change in KPI for the code M9 as detailed in the reason for change is also an error.
GBRf	D. NO, PROPOSAL IS OBJECTED TO OUTRIGHT This does not assist L1 attribution staff in getting the attribution correct at the first time of asking which is what the Board should be doing all it can to aid. It is highly unlikely anyone involved will be able to pin point that that the 3rd widget to the left of the flux capacitor has failed at the time of attributing the delay. GBRf accepts that some level of granularity should exist but feel the existing suite of codes are more than adequate already for this task (If fact overly so in some cases “technical / non technical, above solebar / below solebar etc). Furthermore any operator that wishes to break things down further are able to do so internally, in fact there are existing systems in place in the industry that already do this, “Bugle” to name just one. The DAB has undertaken work in the past to reduce the number of delay codes, usually because some simply aren’t used, I fear we would only be repeating this task in the future.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN. <i>[But note separate response on the introduction of new code in response to NTL P10]</i>

Secretary Note	As was the case during the pre-consultation review of these proposals, it may be easiest to consider NTL09-14 as a single entity because they are all closely interlinked. Members of longer standing will be aware that, when parties have proposed new delay codes, DAB have generally acceded to introducing these on the basis that parties would only be asking for them if there was a genuine need for them. However, it is surely true that the more codes are added DAPR, the harder it becomes to use each of them correctly. GBRf and NR have both highlighted concerns over this, the difference being that it has prompted GBRf to reject one of the delay codes (and associated references to it in the main part of DAPR) outright whereas NR have only mentioned the matter as a passing concern. Members should consider whether the concerns raised are sufficient for the Board to reverse its previous stance on new codes. The request from DAMG to amend its own proposal (i.e. to recategorise the scenario covering use of No Fault Found Code M9 from a “non-technical” fleet issue to a “technical” one) should be straightforward to agree, but is only relevant if the proposal is otherwise approved. Note that KPI categorisations of delay codes are not a matter for DAB consideration, so the correction of a category code within the supporting text does not need deliberation here.
-----------------------	--

Board Consultation	The Board considered the concerns raised by GBRf about the impact of adding further delay codes to DAPR, with reference to the point that Network Rail had made similar observations in their response to related proposal NTL10 (albeit Network Rail had ultimately given their agreement to all of the current NTL proposals). It was noted that, although this proposal only technically covers new/expanded fleet scenario tables for DAPR, these tables include several new delay codes that have been proposed under subsequent proposals NTL10, 11, 12 and 14. As such, it would be impossible for DAB to consider this proposal in isolation to the others. It was agreed that this proposal should be approved on the grounds that the Board have traditionally taken the view that access parties should be granted additional codes as and when they identified a need for them and it may look arbitrary for these to be rejected now, particularly as the submitting party had been given no prior indication that a rejection was likely.. The Board will review its future stance on proposals for more delay codes in light of the consultation feedback received, although this will obviously be done as a separate exercise to this Proposal for Change process.
---------------------------	---

Originators Reference Code / No [For DAB input]	NTL10
Name of the original sponsoring organisation(s)/ point of contact	Northern Trains Limited
Exact details of the change proposed	<i>Add a new delay code to the table of N-Codes within Section S as below:</i> CODE: NI CAUSE: Depot infrastructure problems ABBREVIATION: DEPOT INF
Reason for the change	There are currently very few codes allocated to TRUST KPI category '701A: FLEET (NON-TECHNICAL)' - with the majority of incidents simply being allocated to the code 'MU' – thereby encompassing a wide variety of incidents. This new code is proposed to address this deficiency. It is intended that this new code would be used where problems are experienced at depots and servicing locations as a result of plant infrastructure failures such as fuelling pumps; carriage washing machines; track and power supplies. In addition, roads being taken out of use (for whatever reason) would also be encompassed by this newly proposed code. This additional code could be used to identify the locations where infrastructure assets are failing at source and therefore assist the Operators in the management of their respective depot leases - something that is not currently possible using existing Delay Attribution data. A scenario of how this code would be applied is incorporated within the expanded fleet scenarios table in Section G of DAPR, covered by concurrent proposal NTL09

17. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

It is not believed that the proposed change will have any wider industry impact.

18.If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

Not Applicable.

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
GBRf	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN. Brings into line with delay code AX, AH which the FOC's use
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN. Network Rail accept the proposal even although there is consternation that further increases to the number of fleet cause codes will increase the complexity of the L1 attribution process. In many cases, it will become increasingly difficult to identify the correct/most appropriate code at the time of attribution resulting in a need for additional downstream re-work. Comments also apply to other NTL proposals for new codes.
Secretary Note	-

Board Consultation	The reservations forthcoming from the consultation on the addition of new delay codes in general terms had already been considered by DAB in relation to proposal NTL P09. In any case, it was noted that GBRf, who had otherwise been the main voice of objection to the concept of adding new delay codes to DAPR, had actually offered explicit approval to this particular code. With it already having been agreed that NTL P09 would be approved and that it would not be logical to approve one of the current NTL proposal without also approving the others, this proposal was also approved as originally written.
---------------------------	---

Originators Reference Code / No [For DAB input]	NTL011
---	---------------

Name of the original sponsoring organisation(s)/ point of contact	Northern Trains Limited
Exact details of the change proposed	<i>Add a new delay code to the table of N-Codes within Section S as below:</i> CODE: NS CAUSE: Delays as a result of train servicing activities ABBREVIATION: SERVICING
Reason for the change	There are currently very few codes allocated to TRUST KPI category '701A: FLEET (NON-TECHNICAL)' - with the majority of incidents simply being allocated to the code 'MU' – thereby encompassing a wide variety of incidents. As a consequence, this makes it virtually impossible to ascertain the current impact of e.g. difficulties servicing trains at servicing locations and depots. Note: 'Servicing' in this context means anything on the train that needs to be 'replenished' or 'emptied.' This new code is proposed to address this deficiency. It is intended that this new code would be used where problems are experienced at servicing locations and depots dealing with train servicing needs such as Controlled Emission Toilet (CET) emptying; Sander system replenishment; Water Tanking; Carriage Washing; Fuelling etc Note 1: For clarity, it is the intention that this code is not to be used in the event of technical defects or maintenance errors with trains e.g. defective toilets or sanding systems. (In the event of technical defects or maintenance errors, the relevant 701D code should be used.) A scenario of how this code would be applied is incorporated within the expanded fleet scenarios table in Section G of DAPR, covered by concurrent proposal NTL09

19. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

It is not believed that the proposed change will have any wider industry impact.

20.If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

Not Applicable.

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
GBRf	D. NO, PROPOSAL IS OBJECTED TO OUTRIGHT As per text in rejection of NTL09, the FOC's use delay code MU or AC (depending on what we know or are able to pinpoint) and this is sufficient.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN. But note response to NTL10
Secretary Note	-

Board Consultation	The reservations forthcoming from the consultation on the addition of new delay codes in general terms had already been considered by DAB in relation to proposal NTL P09. With it already having been agreed that NTL P09 would be approved and that it would not be logical to approve one of the current NTL proposal without also approving the others, this proposal was also approved as originally written
---------------------------	--

Originators Reference Code / No [For DAB input]	NTL012
Name of the original sponsoring organisation(s)/ point of contact	Northern Trains Limited
Exact details of the change proposed	<i>Add a new delay code to the table of N-Codes within Section S as below:</i> CODE: NT CAUSE: Cancellations as a result of a lack of availability of serviceable rolling stock. ABBREVIATION: LACK R STK
Reason for the change	There are currently very few codes allocated to TRUST KPI category '701A: FLEET (NON-TECHNICAL)' - with the majority of incidents simply being allocated to the code 'MU' – thereby encompassing a wide variety of incidents. As a consequence, this makes it virtually impossible to ascertain the current impact of e.g. the non-provision of serviceable rolling stock on wider industry performance. This new code is proposed to address this deficiency. Whilst the existing code 'MS' is to be used where a train is short-formed as a result of a shortage of rolling stock. This proposed code is to be used where trains are cancelled as a result of non-provision of rolling stock. It is intended that this new code would solely be used where services are cancelled due to a depot not being able to provide enough trains to provide the number of trains required to fulfil diagrammed timetable requirements. Whilst there are wider industry level benefits to providing an improved performance insight, it is believed this additional level of granularity will primarily assist TOCs to manage their contracts with third-party maintainers / train service providers. Note 1: For clarity, this newly proposed code is not intended to be used as a result of any associated 'Stock Swaps' – as described in PGD16. A scenario of how this code would be applied is incorporated within the expanded fleet scenarios table in Section G of DAPR, covered by concurrent proposal NTL09

21. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

It is not believed that the proposed change will have any wider industry impact.

22.If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

Not Applicable.

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN. But note response to NTL10

Secretary Note	-
-----------------------	---

Board Consultation	The reservations forthcoming from the consultation on the addition of new delay codes in general terms had already been considered by DAB in relation to proposal NTL P09. With it already having been agreed that NTL P09 would be approved and that it would not be logical to approve one of the current NTL proposal without also approving the others, this proposal was also approved as originally written
---------------------------	---

Originators Reference Code / No [For DAB input]	NTL13																								
Name of the original sponsoring organisation(s)/ point of contact	Northern Trains Limited																								
Exact details of the change proposed	Update the description of code MU in Section S as below: <i>Table M - MECHANICAL OR FLEET ENGINEER CAUSES</i> From <table border="1"> <tr> <td>MU</td><td>Depot operating problem</td><td>DEPOT OPS</td></tr> </table> To <table border="1"> <tr> <td>MU</td><td>Depot operating issues</td><td>DEPOT OPS</td></tr> </table> Update table H2.2 from <table border="1"> <thead> <tr> <th>No</th><th>Circumstances</th><th>Delay Code</th><th>Incident Attribution</th></tr> </thead> <tbody> <tr> <td>A.</td><td> <i>Infrastructure defect or operating problem</i> <i>within an off Network Rail network</i> <i>location affecting trains entering that location.</i> </td><td>AA / MU NI</td><td> <i>Incident created for</i> <i>each Operator directly affected.</i> <i>See also PGD14</i> </td></tr> </tbody> </table> Update table h3.2 from <table border="1"> <thead> <tr> <th>No</th><th>Circumstances</th><th>Delay Code</th><th>Incident Attribution</th></tr> </thead> <tbody> <tr> <td>A.</td><td> <i>Infrastructure defect or operating problem</i> <i>within the off Network Rail network,</i> <i>affecting trains entering or leaving that</i> </td><td>AA / AX / MU NI</td><td> <i>Incident created for</i> <i>each Operator directly affected.</i> <i>See also PGD14</i> </td></tr> </tbody> </table>			MU	Depot operating problem	DEPOT OPS	MU	Depot operating issues	DEPOT OPS	No	Circumstances	Delay Code	Incident Attribution	A.	<i>Infrastructure defect or operating problem</i> <i>within an off Network Rail network</i> <i>location affecting trains entering that location.</i>	AA / MU NI	<i>Incident created for</i> <i>each Operator directly affected.</i> <i>See also PGD14</i>	No	Circumstances	Delay Code	Incident Attribution	A.	<i>Infrastructure defect or operating problem</i> <i>within the off Network Rail network,</i> <i>affecting trains entering or leaving that</i>	AA / AX / MU NI	<i>Incident created for</i> <i>each Operator directly affected.</i> <i>See also PGD14</i>
MU	Depot operating problem	DEPOT OPS																							
MU	Depot operating issues	DEPOT OPS																							
No	Circumstances	Delay Code	Incident Attribution																						
A.	<i>Infrastructure defect or operating problem</i> <i>within an off Network Rail network</i> <i>location affecting trains entering that location.</i>	AA / MU NI	<i>Incident created for</i> <i>each Operator directly affected.</i> <i>See also PGD14</i>																						
No	Circumstances	Delay Code	Incident Attribution																						
A.	<i>Infrastructure defect or operating problem</i> <i>within the off Network Rail network,</i> <i>affecting trains entering or leaving that</i>	AA / AX / MU NI	<i>Incident created for</i> <i>each Operator directly affected.</i> <i>See also PGD14</i>																						

	<table><tr><td></td><td><i>location.</i></td><td></td><td></td></tr></table>		<i>location.</i>		
	<i>location.</i>				
Reason for the change	Update of the code MU and related references to account for the reduced criteria for use of this code, now being the operational issues that occur on the depot, separating out depot asset failures such as points failures, late provision of units from servicing activities, and shortages of stock available for service into new distinct codes (as covered by concurrent proposals NTL 10,11,12 and 14).				

23.Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

It is not believed that the proposed change will have any wider industry impact.

24.If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

Not Applicable.

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Secretary Note	-

Board Consultation	The reservations forthcoming from the consultation on the addition of new delay codes in general terms had already been considered by DAB in relation to proposal NTL P09. Technically, no objections had been raised against this particular proposal in any case, bearing in mind that it is primarily concerned with revising the description of a pre-existing delay code. This proposal was therefore approved as originally written
---------------------------	--

Originators Reference Code / No [For DAB input]	NTL14
Name of the original sponsoring organisation(s)/ point of contact	Northern Trains Limited
Exact details of the change proposed	<i>Add a new delay code to the table of M-Codes within Section S as below:</i> CODE: MZ CAUSE: Delays as a result of reported train related safety of the line incident ABBREVIATION: SOTR-NFF SOTL NFF
Reason for the change	Due to the current coding structure it is very difficult to readily identify the number of 'Safety of the Line – In Good Faith Reports' received – since they are currently allocated to the 'M9 - No Defect Found' Code. On review, it has been determined that it is not considered appropriate to include such 'safety of the line' incidents as part of the wider M9 Code – and this proposed change is in full alignment with the wider industry. Some Operators report that they have a significant number of these reports and at the moment, the impact of these reports across the network is not readily apparent as a result of the current coding structure. A scenario of how this code would be applied is incorporated within the expanded fleet scenarios table in Section G of DAPR, covered by concurrent proposal NTL09

25. Do you perceive that this proposal will have a wider impact (including commercial impact) on your business or the business of any other industry parties?

If yes;

For Network Rail – Please provide an impact assessment indicating the impact of the proposal on all affected industry parties.

For Train Operator – Please provide an impact assessment on your own business.

It is not believed that the proposed change will have any wider industry impact.

26.If you have provided an impact assessment as per question 1 above, please provide a proposed solution to neutralise any financial effect of the proposal.

Not Applicable.

Responses

DAMG	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN.
Network Rail	B. YES, BUT AMENDMENT(S) TO THE PROPOSAL ARE RECOMMENDED Suggested that “SOTL NFF” would make for a better short description for this code than the proposed “SOTR NFF”. It is not entirely clear what the “R” in this definition is intended to represent – “Route” or “Region” would be the obvious guesses but “Safety of the Line” is a term in far more common usage and the acronym should reflect this. See also response to NTLP10
Freightliner	A. YES, PROPOSAL IS AGREED WITH AS WRITTEN. To improve quality of performance data
Secretary Note	Agree NR’s point that “Safety of the Line” is standard terminology, but members will need to decide whether this merits changing the proposed abbreviated code description.

Board Consultation	The reservations forthcoming from the consultation on the addition of new delay codes in general terms had already been considered by DAB in relation to proposal NTL P09. With it already having been agreed that NTL P09 would be approved and that it would not be logical to approve one of the current NTL proposal without also approving the others, this proposal was also approved. However, the Board agreed that Network Rail's proposed amendment of the abbreviated code description represented an improvement on that originally proposed, for the reason cited in Network Rail's response, and decided that this should be revised to "SOTL NFF" as such.
---------------------------	--

END