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Chairman
Delay Attribution Board
Floor 8
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NOTICE OF APPROVAL OF AMENDMENTS TO THE APRIL 2017 DELAY ATTRIBUTION GUIDE

1. This notice is given under Condition B2.7.2 and B2.8.5 of the Network Code. Terms defined in the Network Code have the same meaning in this notice. References in this notice to Conditions are references to Conditions of the Network Code.
2. On 12 April 2017 the Delay Attribution Board (DAB) submitted Proposals for Amendment (PfA) P288 and P289 to the Office of Rail and Road (ORR) in accordance with Condition B2.7.1. On the same date it submitted PfA P290 and PfA P291 to the ORR in accordance with P2.8.4.
3. The Secretary to the DAB has confirmed the reasons for the proposed amendments and these have been accepted by the DAB. PfA P288 and PfA P289 were accepted by the DAB following the consultation process, as required by Condition B2.7.1. PfA 290 and PfA 291 were accepted by the DAB as non-material modifications in accordance with Condition B2.8.1.
4. For the purpose of Condition B2.7.2 and B2.8.5 ORR now gives notice to the DAB that it approves the Proposals for Amendment, as set out in a schedule to this notice. The amendments will take effect on 1 June 2017.
5. A schedule of the approved Amendments to the Delay Attribution Guide is attached to this notice.

Yours sincerely

A handwritten signature in black ink, appearing to read 'G Leighton', is written over a light blue circular stamp.

GERRY LEIGHTON
Duly authorised by the Office of Rail and Road



Schedule of approved amendments to the April 2017 Delay Attribution Guide

Amendments sought

DAB/P288 - DAG Name Change

- 1) Rename the 'Delay Attribution Guide' to 'Delay Attribution Principles and Rules'
- 2) Amend all references to the 'Delay Attribution Guide' within the document to read 'Delay Attribution Principles and Rules'
- 3) Amend all references of the acronym 'DAG' within the document to read 'DAPR'.
- 4) Amend all entries of 'this Guide' to read 'this document'

DAB/P289 - DAG Name Change Content Update

- 1) Replace Section 1 of the DAG with that set out as attached below

SECTION 1: INTRODUCTION

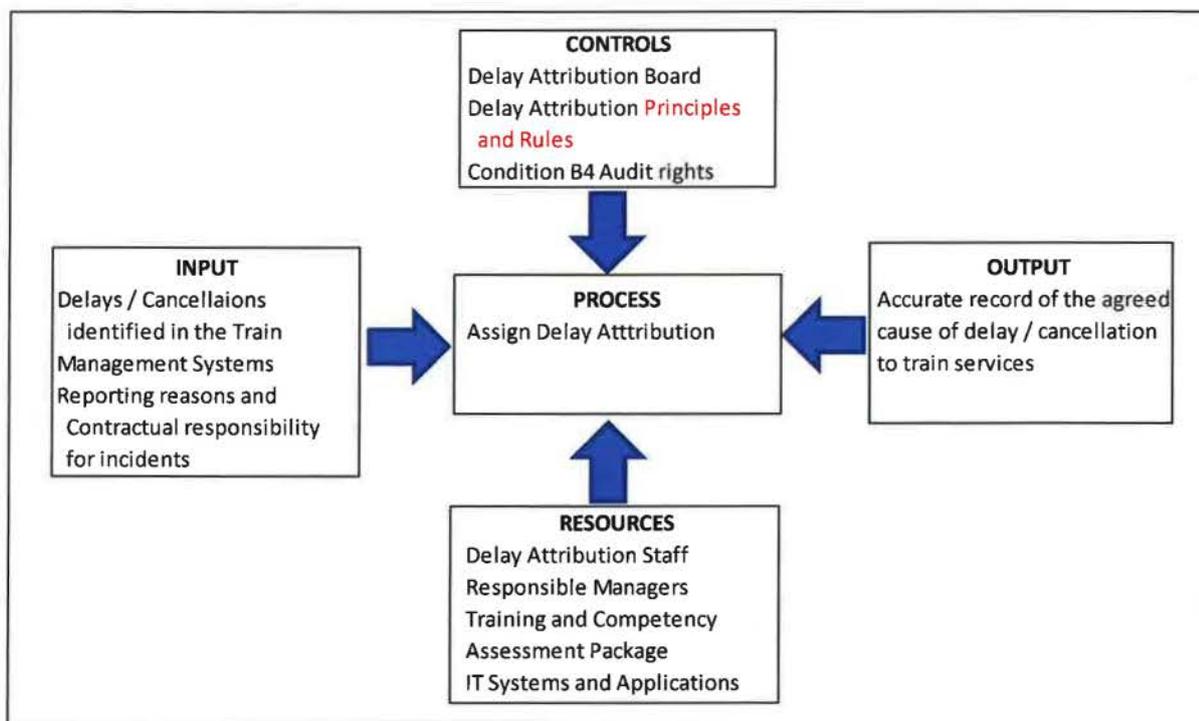
1.1 THE NEED FOR DELAY ATTRIBUTION **PRINCIPLES AND RULES**

- 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 to whom delay is attributed to identify action plans to improve operational performance. The Delay Attribution Vision and Statement of Good Practice (shown at the front of this document) underpins the way in which this will be achieved.
- 1.1.2 This document **sets out the Principles and Rules regarding** coding and attribution of Minutes Delay and Cancellations 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 **Principles and Rules** deal with the process of identifying the cause of delays and cancellations on the Network, that have been reported in TRUST and the process is shown in Diagram 1 below.



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Diagram 1: Delay Attribution Process



1.2 CONTEXT OF THE PRINCIPLES AND RULES

- 1.2.1 The Delay Attribution **Principles and Rules** is incorporated into and forms part of the Network Code. However, **it is important to note that** the document is not intended to cover every particular circumstance **but aims to set out the relevant principles and rules to assist the accurate attribution of delay**. A **definitive set of situations and circumstances** would be a constraint on contract management by the parties.
- 1.2.2 It is intended that the Delay Attribution **Principles and Rules** is the source of **reference** on the Delay Attribution process as a whole for all parties to the Track Access Contract, 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



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that the proposal for amendment is adopted. The ORR's 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 explanation – please refer to Network Code Part B paragraphs 2.5, 2.6 and 2.7 for the full process (which takes precedence over this paragraph if there is any doubt).

1.3. PROVISION OF INFORMATION

1.3.1 All parties involved in the process of the correct identification of causes of delay are required to provide any information necessary to facilitate **accurate** 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 **document** as a Reliability Event. They can occur in the following circumstances:

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

The term Reliability Event is used **as described above** in the rest of this document.

1.5 THE DELAY ATTRIBUTION BOARD (**the Board**)

1.5.1 The purpose of the Board (as defined by the Network Code paragraph B6.1) is to **lead, monitor and advise** the effectiveness and accuracy of the delay attribution process and use of the Delay Attribution **Principles and Rules**.

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 everyone involved in the process of delay attribution;



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

1.5.3 Any correspondence with the Board should be addressed to the Secretary at the address shown on the front page of this **document**.

1.6 REVISIONS TO THE DELAY ATTRIBUTION **PRINCIPLES AND RULES**

1.6.1 Any Track Access Party may propose revisions to the Delay Attribution **Principles and Rules**. Revisions should be made and submitted in writing as described in paragraph 1.5.3 above providing the following information:

- The name of the sponsor (or sponsors if more than one sponsor is proposed) – sponsors can only be Access Parties. (Note: the 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 **Principles and Rules** and or delete specific text or diagrams. To facilitate understanding when proposals are **circulated for** consultation there should be one proposal per existing paragraph in the Delay Attribution **Principles and Rules**, unless the proposal covers the replacement or insertion of multiple consecutive paragraphs and it is more sensible to submit the proposal as a **whole**.
- Other implications; would the proposed amendment have an impact on other areas beyond the proposed change to the Delay Attribution **Principles and Rules** i.e. **might the change result in a change of** benchmarks or **are there** system 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 **Principles and Rules** is part of the Network Code it is also a working document. Proposals for



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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.

2) Reword Paragraph 3.1.1 as below:-

3.1.1 **This document** reflects the principles of the Track Access Contract and Network Code as set out in the Track Access Contract in Schedule 8 and in the Network Code, Part B. The contractual roles carried out by the parties are;

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

3) Reword first sentence of 3.2.2 to read:-

3.2.2 **This document** cannot cover every circumstance that may arise and thus, there will always be certain scenarios where the default attribution is not appropriate.

DAB/P290 - DAG Rule Book Formatting

1) Reformat the Delay Attribution Principles and Rules (nee Guide) to a Rule Book style with sections being renumbered as below from 'current' number to 'new' letter:-

CURRENT	NEW	SECTION TITLE
1	A	INTRODUCTION
2	B	OVERVIEW OF DELAY ATTRIBUTION AND SYSTEM DEFINITIONS
3	C	CATEGORIES OF TRUST DELAY CODE AND DEFAULT ATTRIBUTION
4.1	D	GUIDANCE ON RESPONSIBILITIES AND CODING OF DELAY INCIDENTS - INTRODUCTION
4.2	E	TRUST DATA AND RECORDING OF DELAYS
4.3	F	ADHESION, AUTUMN AND RAILHEAD TREATMENT INCIDENTS
4.4	G	FLEET AND INFRASTRUCTURE SYSTEMS INTERFACE INCIDENTS



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4.5	H	DEPOTS, YARDS AND SIDINGS INCIDENTS
4.6	I	FREIGHT OPERATION INCIDENTS
4.7	J	LATE STARTS AND CREW RESOURCING INCIDENTS
4.8	K	REGULATION AND SIGNALLING OF TRAINS
4.9	L	TIMETABLE AND RESOURCE PLANNING ERRORS
4.1	M	SERVICE RECOVERY AND CONTINGENCY PLANS
4.11	N	STATION OPERATING DELAYS
4.12	O	INFRASTRUCTURE INCIDENTS
4.13	P	POSSESSION AND INFRASTRUCTURE TRAINS INCIDENTS
4.14	Q	EXTERNAL IMPACT INCIDENTS
4.15	R	SAFETY REPORTING, INVESTIGATIONS AND NO FAULT FOUND INCIDENTS
5	S	DELAY CODES

2) Amend all paragraph numbering to commence with the letter of each section.

3) Amend all references within the DAPR as appropriate so that all revised references relate to the same paragraph as the current DAG.

4) Amend page numbers within each section to commence with the letter of each section

5) Amend references made within the DAPR as follows:-

- If the reference is to a full section (or sub section) then amend reference to read 'Section'
- If the reference is to a specific paragraph within a Section or sub section then amend reference to read 'paragraph'
- If the reference is to a table within a section or sub section then amend reference to read 'table'



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- If the reference is to a flowchart then amend reference to read 'flowchart'

DAB/P291 - FOREWORD

1) Amend the DAG Foreword (when reissued as the DAPR) to read as follows:-

Foreword

This document setting out the Delay Attribution Principles and Rules is issued to all Track Access Parties by the Delay Attribution Board

The Delay Attribution Board is an Industry body remitted to provide guidance and assurance to the Industry on delay attribution issues

The purpose of the Board (as defined by the Network Code paragraph B6.1) is to 'Lead, Advise and Monitor the effectiveness and accuracy of the delay attribution process and use of the Delay Attribution Principles and Rules and the Performance Data Accuracy Code'.

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 everyone 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 Principles and Rules;
- Make recommendations for changes to the delay attribution process to improve its efficiency and effectiveness and oversee the delivery of such changes

This document is updated by the issuing of amended Sections as inserts incorporating Proposals for Amendment that have been agreed pursuant to the process set out in Conditions B2.5 to B2.7 of the Network Code since the issue of the previous document. Consequently, those re-issued Sections supersede those previously published.

Proposals for Amendment made since the issue of the previous issue are recorded in the Version Control on the re-issued front page and are supported by a briefing of the changes.



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