DELAY ATTRIBUTION

PRINCIPLES AND RULES

DELAY

ATTRIBUTION

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.

Issued by:
The Secretary,
Delay Attribution Board
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Version Control

Date	Section Change	Changes Applied
01/06/2017	All Sections	Reformatted to Rule Book Style
	Foreword	Updated in line with DAPR changes
	Section A	Updated to reflect removal of 'Guide' and DAPR name change
10/12/2017	Section A	New Section A7 added relating to DAB Process Guides
	Section B	Amendment to Paragraph B7.4 relating to Queue of Trains
	Section E	Rewrite of Section E3 TRUST Reporting Errors and Anomalies
	Section G	Expansion of Section G3 relating to ETCS and ATO operations
	Section H	Amendment to Paragraphs H1.2, H2.2 and H3.3 relating to assets
	Section K	Addition of new Section K9 relating to stock swaps and revision to renumbered K10 flow diagram to incorporate TMS
	Section M	Addition of new Section M3 covering activities relating to Service Recovery
	Section N	Additions to Section N2 relating to stock swaps
	Section O	Addition to Paragraph O1.1 covering asset failures and amendments with Section O4 Wires Down
	Section Q	Reformatting of circumstance in Q4.1(b)
	Section S	Update to descriptions for Delay Codes FI and TS plus introduction of Delay Codes JR, M2 and OF
01/04/2018	Section C	Amendments to C2.3, C2.4, C2.5 and C2.6 in relation to 'Externals'
	Section E	Amendment to E5.1 replacing OP with OU
	Section M	Correction to M3.1(d) Delay Code TP; New flow diagram M3.2 covering Service Recovery elements; New Section M3.3 covering failed train recovery
	Section Q	Section Q5.1 improvements and clarification for Severe Weather
	Section S	Title and Description changes relating to 'External' Delay Codes Removal of Delay Code OP
16/09/2018	Section C	Addition of new Section M3 covering Planned Incidents and P Coding
	Section E	Replacement of Paragraph E1.1 relating to TRUST accuracy and PJ Code
	Section F	Amendment to flow diagram and updated wording per Rule Book
	Section L	Amendments to L1.4; L1.5 and L1.6 relating to PN, PG and PD Codes
	Section O	Amendments to O2.4 relating to TSRs and P Codes and new Paragraph O2.5 relating to attribution where TSRs are allocated as part P Code
	Section P	Amendment to P2.19(a) relating to PF Code and P2.19(m) terminology
	Section S	Update to descriptions and abbreviations to certain J,O, P and X Delay Codes Introduction of new Delay Code OT and removal of Delay Codes PE and PZ
01/04/2019	Section E	Amendment to E6.1 relating to the Special Train
	Section F	Amendment to F1.6.1 relating to 'planned mitigation commitments'
	Section G	References to 'CSR' and 'NRN' have been removed from G1.2
	Section H	Full rewrite undertaken to improve content, referencing and layout.
	Section J	Amendment to J1.2 covering trains operated by the same operator under a different contract
	Section L	New Paragraph L1.8 added covering trains running with no schedule in TRUST
	Section O	Various changes relating to radio system terminology, removal of IZ and new JF Delay Code
	Section P	Amendment to Line Block terminology in P2.19
	Section Q	Changes to Q1.6 and Q1.7 in relation to bird strikes. Amendments to Q5.4 relating to Key Route Strategy. New Section Q5.13 covering route proving / ghost trains and new Q5.14 covering cancellations with unknown cause.
	Section R	'IVRS' 'CSR' and 'NRN' entries have been removed from the No Fault Found in R3.5
	Section S	Various amendments including removal of Delay Code IZ and introduction of Delay Code JF
15/09/2019	Section A	Reliability Event definition removed and added to Section B
	Section B	Improvements and additions to the Definitions
	Section C	Removal of paragraphs C1.6 and C1.7 relating to overcrowding
	Section G	Update to G4.1 relating to GSM-R REC
	Section H	Update to H3.3.1 relating to GSM-R REC
	Section K	Addition of a Train Regulation Flow Diagram
	Section N	Additions and amendments to Section N2 covering station overtime due to passenger volumes
	Section O	Complete rewrite and reformatting
	Section Q	Addition of circumstances covering train surfing in Q4.1
	Section R	Clarification in R1.3 relating to aviation related incidents and use of XO
	Section S	Various amendments including removal of Delay Code XZ and introduction of Delay Code RX

Date	Section Change	Changes Applied
01/04/2020	Section C	Updated table of Delay Code categories and Responsible Manager Codes
	Section D	Addition of Recovered Lateness principles and examples
	Section E	Clarification of new Prime Cause during TRUST failures or loss of access
	Section F	Removal of references to Delay Code FT (removed from Section S)
	Section K	Removal of reference to Delay Code FP
	Section O	Clarification of the use of P Codes in relation to TSR delays. Consistent terms for OHLE and 3rd Rail
	Section R	Note added to No Fault Found equipment table
	Section S	Various Delay Code amendments including removal of FN, FP, FT and MF and addition of FF
20/09/2020	Section G	Addition of Selective Door and Power Changeover Balise
	Section M	Addition of a 'Following Day' flow diagram
	Section N	Completely re-formatted
	Section R	Further clarification of interface No Fault Found principles
01/04/2021	Foreword	Amended wording to clarify the Board's remit as the overseer of the Delay Attribution process
	Good Practice Statement	Amended wording to clarify good practice in the context of dispute resolution, with reference to the associated Guidance Document PGD 4
	Section A	A2.4 rewritten to update terminology relating to Network Rail when DAPR principles are applied on non-Network Rail infrastructure networks.
	Section B	New Section B6.17.G and other wording updates covering asset failures involving multiple Routes or Areas.
	Section C	Change to criteria required to use External codes in connection with weather events New Section C1.5 covering delays caused by a train that did not itself incur delay.
	Section D	Clarification of the term "Fail To Stop"
	Section E	Reference added to Process Guide PGD19 as the document related to the capture of TRUST data
	Section G	Clarified wording in Section 44.1(a) scenarios table relating to Railway Emergency Calls. Also, explanatory note added on how TPWS alerts are triggered.
	Section J	Removal of reference to outdated code YG in J1.1. Also, explanatory note added defining "train crew"
	Section K	Clarification on use of code QA in connection with simplifier errors.
	Section L	Non-material reformatting for clarity Minor rewording of L1.4 and new section L1.4.1 covering use of code PN
	Section M	New Section M4 provides attribution scenarios covering diversionary routes Non-material reformatting for clarity
	Section O	Clarification on asset failure or damage caused by rolling stock. Reference to PGD17 added in connection with this.
	Section P	Clarification on single line working/diversions
	Section Q	Reference added to PGDs 6 and 13 in relation to External delay causes. Change to criteria required to use External codes in connection with weather events Additional guidance on the definition of "blanket speed restrictions" and codes to be used when they are applied.
	Section R	Reference added to PGDs 3 and 7 in relation to safety issues
	Section S	Removal of Codes JG, OZ, QT, XD, XF, XH and XV Addition of new codes OR and YV (with associated descriptions) Amendment to descriptions of codes JX, OD,, XK, XM and XN to account for scenarios previously covered by removed codes.
19/09/2021	Section F	Correction of Responsible Manager code to be used for substances other than water or ice on a railhead.
	Section O	Clarification on attribution of incidents exacerbated by Accepted Design Limitations
	Section Q	Code JL included in flowchart Q1.7 relating to animal incursions and associated scenarios in Q1.8.
	Section S	Updated description of delay code IJ
01/04/2022	Section B	Non-material rewording on use of Network Rail Manager Code in cases where infrastructure issues affect assets on multiple Routes for clarity
	Section G	Amended coding instruction for issues arising from within a depot Amended instruction on electrical supply interface issues (separate codes for AC and DC)
	Section J	Amended coding instruction for issues arising from a failure to resource crew movements in connection with an emergency plan (for passenger operators)
	Section L	Amended coding instruction for issues arising from crew/stock errors in connection with an emergency plan (for passenger operators)
	Section M	Amended coding instruction for issues arising from failure to plan a cancellation in connection which could have been pre-empted with an emergency plan (for passenger operators)
	Section O	Amended coding instruction for dropped bowmacs, asset failures linked to overheating location cabinets, and heat speeds linked to an underlying infrastructure condition.

	Section Q	Removal of outdated references to codes OZ and XH (otherwise removed from DAPR April 2021). Amended coding instruction for heat speeds linked to an underlying infrastructure condition (as per Section O)
	Section R	Amended coding instruction for missing, unlit or wrongly displayed tail lamps (for passenger operators)
	Section S	New Operator-responsibility codes MF, MG, MQ and TC Removal of Code TJ Change in description of existing codes M1, MY, RT and TA
18/09/22	Section A	Simplification of notes on the DAPR Proposal for Amendment process
	Section H	Retitle of Section to cover all forms of off-network incident. New principles for attribution of a train arriving late onto Network Rail infrastructure without an off-network origin report. Clarification of Network Rail responsibility issues that may prevent a train from accessing the network.
	Section J	Reference made to Section H for late start attribution principles when no origin report is present.
	Section N	Definition of "next departing service" in connection with passenger connection delays. New scenarios relating to station buildings and structures
	Section O	Clarification of TSR/ESR scenarios.
	Section S	New Network Rail-responsibility code XE and new operator responsibility code RA. New description of Code R1.
01/04/23	Section D	D4 retitled to indicate it covers principles relating to mitigation in general and not purely failures to mitigate. Examples of potential failures to mitigate added to D4.3 and new section D4.4 covers mitigation that proves to be unnecessary in retrospect.
	Section E	E2.5 on allocation of uninvestigated delays added.
	Section G	G1.6 on underlying, ongoing fleet causes clarified. Revised Section G4 on GSM-R calls.
	Section J	Clarification on correct use of FE and FC. New cause J3 covering traincrew route knowledge issues on journeys they have been planned to cover.
	Section N	N5.1 on potential causes of waiting crew updated.
	Section O	O18.4. contains additional codes that can potentially be used in connection with a TSR. Section O19.2 revised to clarify difference between speed restriction caused purely by heat and those merely exacerbated by heat. Same section clarifies correct use of new code XJ.added. New Section O20 added on Remote Condition Monitoring (RCM) alerts
	Section Q	Q5.4 updated to clarify correct use of IW Heat flowchart Q5.8 now incorporates code XJ Q5.13 updated to clarify principles for trains utilised by Network Rail for operational purposes.
	Section S	Code XJ added. Codes AE, FK, FS removed. Descriptions of AZ, FJ, IW updated
17/09/23	Section A	Formal definition added for the term "the network", reflecting definition in the Network Code.
	Section C	Code PE added to detail on available codes to be used in relation to planned cancellations.
	Section F	References to delays caused by vegetation not resulting in adhesion issues removed from this adhesion-specific section (transferred to Section O)
	Section L	Reference to the document covering Managing Freight Services during Disruption principles updated to show as NOP 3.26. Code PE added to detail on available codes to be used in relation to planned cancellations.
	Section M	M1.a now cites FF instead of FH for freight traincrew not signing a booked diversionary route.
	Section N	Updates to N4.1 covering passenger illness/N6.1 covering connection delays in stations/N8.1 covering station power supply issues.
	Section O	References to withdrawn code X3 replaced with J6. References to withdrawn code X8 removed and guidance on animal incursion updated accordingly. New Section O21 dedicated to delays caused by vegetation.
	Section Q	References to withdrawn code X3 replaced with J6. References to withdrawn code X8 removed and guidance on animal incursion updated accordingly.
	Section S	Code PE added. Codes RO/X3/X8 removed. New descriptions for codes I8/J6/PG/RI/RM/R8/TM/T3/T8/VD.
01/04/24	Section A	Emphasis that existing principles on the requirement for parties to share information on delays does include otherwise unavailable Timings of an Event at a Recording Point.
	Section B	B7.3 (Reactionary Delay) now cross-referenced with Process & Guidance Document PGD03 which explains use of the different reactionary codes in the Y* series.
	Section C	Clarification on correct use of Delay Code PN.
	Section E	New Guidance on correct use of code ZU Further details on expectations for attribution when automated train reporting is unavailable or compromised. New detail on the correct use of delay codes ON and OU.

	Section F	Further clarification on the scenarios for using JP and JX in connection with vegetation impacting infrastructure. Clarification on which adhesion related issues covered in this section may arise at any time of year and are not specific to Autumn.
	Section J	Section J3 (Traincrew Route Knowledge) expanded with table of likely scenarios and exceptions.
	Section L	Clarification of scenarios relating to errors and oversights relating to emergency timetables. Clarification on correct use of Delay Code PN.
	Section M	Clarification on the use of delay codes associated trains held for connecting passengers. Clarification on correct use of Delay Code PN.
	Section O	Further clarification on the scenarios for using JP and JX in connection with vegetation impacting infrastructure. Confirmation that code JS is exclusively for use in relation to Temporary (and not Emergency) Speed Restrictions.
	Section S	Revised descriptions of existing codes ON/PN/TB/TR
15/09/24	Good Practice Statement	New principle "x" on the need for transparent communication of the basis for any dispute
	Section D	New clause D4.4 clarifies that non-engagement in Service Recovery planning constitutes default agreement with any plans formulated therein (in context of the point that a failure to abide by such a plan may constitute a failure to mitigate for attribution purposes).
	Section J	Reference to a "Job Card" in J3 replaced with the correct term "Route Card"
	Section M	Expanded M3.1 provides detail on the correct use of codes associated with holds for connecting passengers.
	Section N	Expanded N6.1 provides detail on the correct use of codes associated with holds for connecting passengers (replicating the additions also made to M3.1). New scenarios N7.1.i/N9.1.e relating to dispatch delays motivated by persons interacting with a train
	Section O	O.9.1.j clarifies basis for use of code JP in association with vegetation obstructing OHLE (bringing principle into alignment with existing clause O21.d) O19.6.2 clarifies principles associated with the impact of ice and snow on points.
	Section Q	Q2 revised to distinguish between structural "bridge strikes" and superficial damage to overbridges. Q3.2 revised to amended to change the delay codes for use in fatality scenarios involving freight trains at off-network locations and in station platforms. Section also covers safety-motivated despatch delays (replicating new additions also in Section N)
	Section R	R1.2 no longer lists all potential codes that could potentially be used in connection with a safety incident.
	Section S	Revised/expanded descriptions of existing codes QH/RK/XM
01/04/25	Section E	New Paragraph E4.6.1 covers principles for allocation of Section delays consisting of multiple separate elements (and where not all the causes for each element are known)
	Section F	Revised Section F1.3 clarifies that adhesion attribution principles apply both inside and outside of the recognised industry "Autumn" period.
	Section G	Additional references to Communications Based Train Control (CBTC) throughout the section (associated attribution principles being the same as for ETCS)
	Section H	New Scenario H.3.3.h covers unauthorised access fleet not under the control of a Track Access Party onto the network.
	Section K	Revised wording in K7 (Regulation of Early Trains) to remove mis-used term "notwithstanding". New Section K11 on delays associated with the application of local signalling instructions.
	Section N	New scenarios in N.4.1 to clarify that passenger activity of on-bard a train (including issues with boarding/alighting) is 100% TOC responsibility even when the train is within the confines of a station.
	Section O	O13 updated to reference CBTC (associated attribution principles being the same as for ETCS) New Scenario O18.4.p on attribution of ESR's/TSR's imposed for the stated reason of "Safety – Operational Restriction"
	Section S	Revised descriptions for existing Delay Codes JR/J7/M2/OC/OF/OT/XE

Note: Sections not mentioned in the Version Control above remain unchanged in the latest issue.

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:

- Oversee that delay attribution is undertaken in an unbiased and transparent manner
- Oversee that appropriate training and competency assessment is available to everyone involved in the process of delay attribution
- Propose changes to the Delay Attribution Principles and Rules and Performance Data Accuracy Code to improve clarity, understanding and application
- Make recommendations for changes to the delay attribution processes 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.

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 full industry support. While this Statement of Good Practice is not intended to create contractual rights or obligations the Board expect Industry Parties to have due regard to this 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; namely,

"For all parties to work together to achieve the core objective of delay attribution which is to accurately identify the Prime Cause of Reliability Events and delays to train services for performance improvement purposes".

In doing so, all parties should utilise this statement of 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 performance 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, open and honest in the attribution of, or challenge to, any delay incident;
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 and or investigated before allocation of any incident to an Industry Party;
v. ensuring that all appropriate information and systems are fully utilised and/or investigated before challenging any attribution made to a party
vi. 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 and why to enable, where possible, correct attribution;
vii. working together to identify correctly the cause of an incident, no matter which party that incident is attributed to, recognising that it may be necessary to re-attribute on the basis of new information;
viii. assisting the delay attribution process by providing whatever information is agreed necessary to enable the correct attribution of delay and confirming the source of the information as required.
ix. working together to identify causes of delay (even below threshold) where practicable and cost effective;
x. ensuring that, if it is necessary to dispute attribution, the basis for this is clearly and transparently communicated to Network Rail, in order that any reattribution to a different party is, in turn, comprehensively explained and justified by that organisation
xi. avoiding adding abusive or derogatory comments to any records (systems based or otherwise) relating to Delay Attribution;
xii. avoiding adding individuals' names to any incident, instead utilising roles or titles;
xiii. 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;
xiv. having in place nominated persons for each level of the delay attribution and escalation process.

Reference should be made to Process Guide PGD4 that sets out the Board's suggested good practice for attribution, dispute and resolution process.

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SECTION S: DELAY CODES

SECTION A: INTRODUCTION

A1 THE NEED FOR DELAY ATTRIBUTION PRINCIPLES AND RULES

A1.1 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.

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.

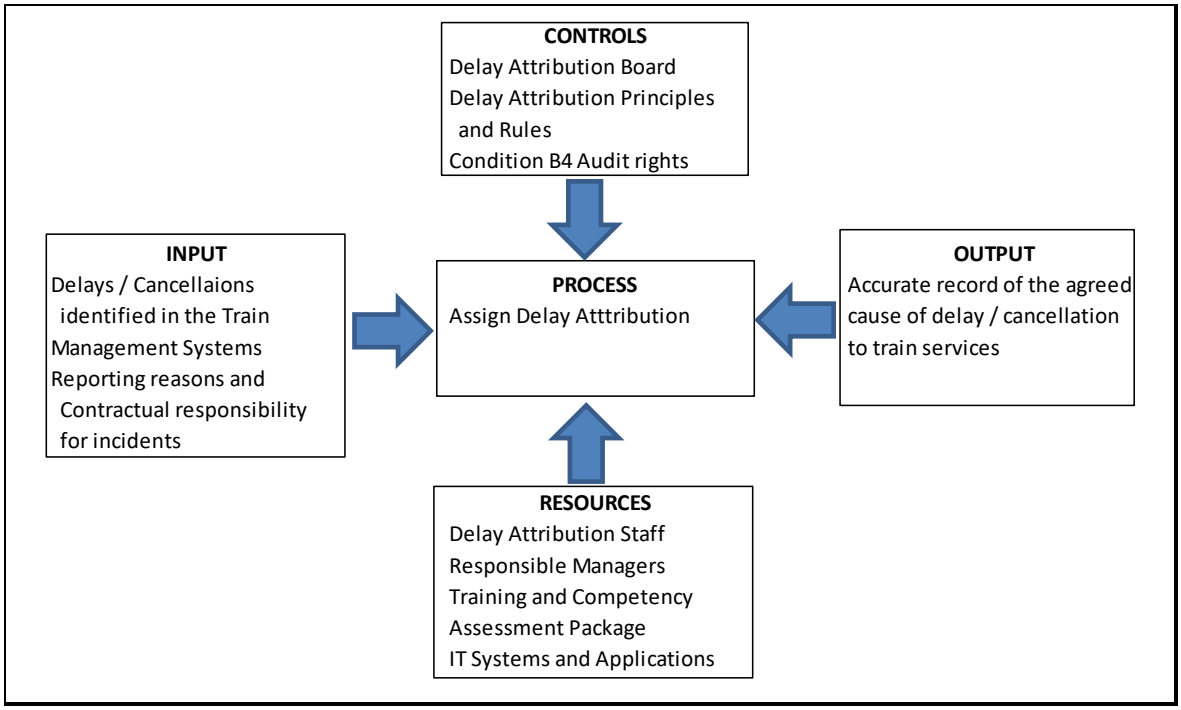
The Delay Attribution Principles and Rules deal with the process of identifying the cause of delays and cancellations that have been reported in TRUST. These Principles are to be applied throughout the Network Rail network (or "the Network") and also on non-Network Rail infrastructure that interacts with it.

Note in this context that:

- "Network" is defined in the Network Code Part A as "the network in respect of which Network Rail is the facility owner and which is situated in England, Wales and Scotland".
- Where attribution principles for locations outside of the Network differ from those within it, these are detailed within this document.

The delay attribution process is shown in Diagram 1 below.

Diagram 1: Delay Attribution Process



A2 CONTEXT OF THE PRINCIPLES AND RULES

A2.1 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.

A2.2 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.

A2.3 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. 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).

A2.4 Where the DAPR is being utilised for other infrastructure networks any references to Network Rail, such as 'Network Rail network', 'Network Rail Manager Code' or 'Network Rail Responsible Manager Code' should be read as 'Infrastructure Operator' in all respects. The DAPR remains written as to be applied to the Network Rail network and as such any non-Network Rail operated infrastructure is considered off the Network Rail network.

A3 PROVISION OF INFORMATION

A3.1 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. This includes the provision of Timings of an event at a Recording Point, where possible, on occasions when the prescribed method of reporting is unavailable in accordance with PDAC Section 4.2

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.

A4 THE DELAY ATTRIBUTION BOARD (The Board)

A4.1 The purpose of the Board (as defined by the Network Code paragraph B6.1) is to lead, monitor and advise on the effectiveness and accuracy of the delay attribution process and use of the Delay Attribution Principles and Rules.

A4.2 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.
- 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.

A4.3 Any correspondence with the Board should be addressed to the Secretary at the address shown on the front page of this document.

A5 REVISIONS TO THE DELAY ATTRIBUTION PRINCIPLES AND RULES

Any Track Access Party may propose revisions to the Delay Attribution Principles and Rules.

Proposed revisions must be documented on Template Form A (Proposal for Amendment Submission) and submitted to the Board for consideration via email (using the address DABOffice@networkrail.co.uk).

All Proposals will be subject to consultation to other Industry Track Access parties and require approval from both the Delay Attribution Board and the Office of Rail and Road prior to being incorporated in the document. However, it should be remembered that whilst the Delay Attribution Principles and Rules is part of the Network Code, it is also a working document.

It is therefore critical that all Proposals submitted for consideration are explicit about the precise wording changes as they will appear in the DAPR and a full justification for raising the proposal.

Guidance on completing the form can be found within the Template document itself. Readers are also referred to the Board's Process and Guidance Document PGD23 "Board Services and Process" which contains additional information on populating the forms and includes a breakdown of the process that each proposal undergoes prior to adoption in the DAPR.

A6 PROCESS GUIDE DOCUMENTS

A6.1 The Board also produces Process Guide Documents (PGD) to supplement and support the DAPR. These documents are not part of the DAPR itself but have been developed to provide either suitable process advice or further assistance in the understanding and application of Delay Attribution principles.

SECTION B: 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.

B1 INTRODUCTION

B1.1 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.

B1.2 The TRUST system essentially has 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.

B2 THE TRAIN PLAN

B2.1 TRUST accesses the Train Schedule, the timetable for each individual train that is planned to operate on a given day. This includes the arrival and departure time at all calling points and also the passing time at other key locations. 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 which have been advised to Network Rail outside the normal Capacity Planning 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.

B3 TRAIN TIME REPORTS

B3.1 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.

B3.2 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.

B4 RECORDING OF RELIABILITY EVENTS

B4.1 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 B7.8 for definition of Reliability Events.

B5 MEASURING AND RECORDING CAUSES OF DELAY

B5.1 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 is pivotal to the TRUST delay explanation and attribution process as they can be attributed to Train Operators or Network Rail using the Incident concept (see Section B6). 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.

B5.2 Minutes Delay falls 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 or yard overtime.
- Section delays which are Minutes Delay incurred between two successive recordings at different Recording Points.

B5.3 Once Minutes Delay is identified as having been incurred, the TRUST system will seek an explanation. This includes unrecovered time where Recovery Time is shown in the Train Schedule between two successive Recording Points and a late running train arrives or passes the second location late. Firstly, TRUST will look to see if there is a Network Delay for that location or section between two successive TRUST Recording Points. A Network Delay is normally used to explain small delays, 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.

B5.4 Any Minutes Delay that cannot be explained by a Network Delay are then directed to a particular point (normally a Network Rail Control or signal box) 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 or sub threshold delays. However, as the need arises these will be explained and attributed to provide additional information for performance management purposes but will not feature in Performance Regime calculations. As a minimum this shall include where the below threshold delay is the prime delay or required to complete a chain of reactionary delay. 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.

B5.5 As part of the Train Consist reporting procedures, Freight Operators are required to input a Late Start Reason Code (Delay Code) if 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.

B5.6 The explanation for those delays 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, and incorrect 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.

B5.7 When trains are recorded in TRUST as cancelled for any part 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 the planned route a cancellation code for that part cancelled is required. These codes are those Delay Codes that are appropriate for cancellations or diversions.

B6 INCIDENTS

B6.1 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.

B6.2 Each separate and unconnected occurrence resulting in Minutes Delay and or Reliability Events is set up by Network Rail staff as a TRUST Incident. Such incidents may also be created for other events in which case they have no relevance to train performance schemes until Minutes Delay is allocated to them. An incident 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).

B6.3 The type of occurrence is codified using the TRUST Delay Code that best describes it. These codes map to 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.

B6.4 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 C2.3.1

B6.5 The middle two characters are the finance systems Business Code for the organisation involved. There are separate ones for each Network Rail Route, TOC and Freight Operator. These also drive the security arrangements for browse and update access as they also form part of the user NCI sign-on.

B6.6 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.

B6.7 The Network Rail 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.

B6.8 Where a delay is caused on another Network Rail Route or management area as a result of a TRUST section spanning two Routes or management 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 Network Rail Manager Code).

B6.9 In the case of incidents involving, for example, animals on the line, vandalism or trespass where a location has been identified the Network Rail Manager Code used in the TRUST incident should represent the Route or management area in which the incident occurred.

B6.10 When incidents occur where a specific location has not been identified, i.e. an unconfirmed report of stone throwing, the Responsible Manager and Network Rail Manager Codes used should represent the Route or management area of the TRUST section on which the delay alert is generated. This should be the default code generated by the TRUST DA system.

B6.11 Where a Route or management area have running lines that cross each other or run adjacent to each other and an incident occurs on one Route or management 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 Network Rail Manager Code that represents the Route or management area on which the original incident occurred.

B6.12 If an incident occurs off the Network Rail network (e.g. a security alert or fire) and it affects more than one station, yard, depot or running lines, a separate primary incident should be created for each directly affected location. The Network Rail Manager should represent these locations, notwithstanding the requirements of the DAPR when one incident for each directly affected train operator is required.

B6.13 If an incident occurs off the Network Rail network and directly affects an on-network asset, the incident should be coded in accordance with the DAPR Section O and the Responsible and Network Rail Manager codes should reflect the management area that owns the asset directly affected (not the off Network Rail network issue affecting that asset). Refer to Process Guide PGD14.

B6.14 If a security alert is on the Network Rail network and affects more than one station, yard, depot or running line on the Network Rail network the incidents should be created in accordance with the DAPR Section Q7 and the Responsible Manager and Network Rail Manager Codes attributed should represent the management area that the incident occurred on.

B6.15 Cross-boundary delays due to incorrect regulation should be attributed to the Route or management area that was responsible for causing the delay. The Network Rail Manager and Responsible Manager codes must represent the Route or management area whose signal box made the last incorrect regulating decision.

B6.16 Cross boundary delays resulting from a VSTP schedule 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 Network Rail Manager Code and the limitations of the current delay attribution system does not allow for the kind of complexity faced with these types of incident. Therefore;

B6.17 Network Rail Manager Code Attribution Examples:

A. Incident with a known location

- A train is delayed or held on Route or management area ‘A’ due to an asset failure that has occurred at an identified location on Route or management area ‘B’. The delay should be attributed to an incident with the Network Rail Manager code of Route or Area ‘B’.

B. Incident with no known location

- A train is delayed or held on Route or management 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 Network Rail Manager code of Route or Area ‘A’.

C. Where lines run adjacent or cross over each other

- Where Route or management area ‘A’ running line crosses over, or runs parallel to, Route or management 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 Network Rail Manager code of Route or Area ‘A’.

D. Incorrect Regulation

- A delay on Route or Area ‘B’ caused by wrong regulation by the last signal box on Route or management area ‘A’ should be attributed to an incident with a Network Rail Manager Code of Route or Area ‘A’ as the owner of the signal box that caused the delay.
- Where a Signalling Centre on Route or Management Area A controls signalling / train movements on Route or Management Area B any regulation incident should be coded to a Network Rail Manager Code of Route or Management Area B but with Responsibility assigned to Route or Management Area A.

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 Network Rail Manager representing the Route or management area where the delay alert has been generated.
- When delays occur as a result of schedule errors, including VSTP schedules, the incident should be attributed a Network Rail Manager Code that represents the Route or management area on which the delay alert is generated on because that is where the incident first manifests itself and allocated a Responsible Manager Code indicating the responsibility for the creation/validation of the VSTP that caused the incident.

F. Failure to mitigate incidents

- When Route or management area ‘A’ requests a ‘failure to mitigate’ incident (that is attributed to a Train Operator) to be created on Route or management area ‘B’ for an incident that originated on Route or area ‘A’ then the Network Rail Manager should be that of Route or area ‘A’.
- When Route or management area ‘A’ requests a ‘failure to mitigate’ incident (that is attributed to Network Rail) to be created on Route or management 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 Network Rail Manager should be that of Route or area 'B'.

G. Asset Failures preventing the normal use of infrastructure on another area.

- An asset or component failure on Route or Area "A" that prevents infrastructure on Area "B" from working as designed should be attributed to an incident with a Network Rail Manager Code of Route or Area "B" but with Responsibility assigned to Route or Management Area "A". An example of this could be a signalling system that fails on Area "A" but which prevents routes from being set on Area "B".

B6.18 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 or information in the freeform text.

B7 DEFINITIONS

B7.1 Prime Cause

The immediate cause or event that results in delay to a train is known as 'Prime Cause'. Until a Prime Cause has occurred there will be no delay to a train service. For the avoidance of doubt, 'Prime Cause' cannot be a reaction to a previous incident. In addition, where a delay is caused by a human error or oversight then that delay should be considered as a potential new 'Prime Cause'. Examples of the Application of Prime Cause can be found in DAB Process and Guidance Document PGD1 (which can be found on the DAB website).

B7.2 Direct Delay

A Direct Delay is a delay to a train that results from a Causal 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 a Reactionary Delay. Direct Delay should **not** be attributed to a Responsible Train or allocated a Y* Code.
When the incident is train related (rather than infrastructure related) the delay to that train (only) is often referred to as being the primary delay in Reporting terms.

B7.3 Reactionary Delay

A Reactionary Delay is a delay to a train that is as a result of an incident that indirectly delays the train concerned, i.e the delay to that train is the result of a prior delay to the same or any other train. Reactionary Delay should be attributed to the Responsible Train utilising the relevant Y* Code.

B7.3.1 Section D5 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 the Plymouth to York train has passed the next Recording Point, from which point, normal Reactionary Delay rules apply. For further guidance on allocation of delays to trains in a queue please refer to Process Guide PGD11 – Queue of Trains Delay Allocation.

B7.3.2 All Delay Minutes and Reliability Events explained under paragraphs B5.3, B5.4, B5.5 or B5.7 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 paragraph B5.4 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 O18 and P2

B7.3.3 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. On the other hand the full effect of particular Incidents (both prime cause and reactionary) can be measured by extraction of Incident information.

B7.3.4 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.

B7.3.5 Readers wishing to learn more about reactionary delay codes are recommended to refer to Process and Guidance Document PGD03 – “Y-Code application”. This provides a breakdown of every reactionary code in the Y-series along with scenarios and explanations of when each one should be used.

B7.4 Causal Incident

The Causal Incident is the greatest impacting incident (total delay or Reliability Event allocated to a train in that incident) which causes Reactionary Delay to itself or another train at any given point.

B7.5 Responsible Train

The Responsible Train is the train that is identified as being the interaction that causes a Reactionary Delay to either itself or the other train and is linked to the Causal Incident by identification of the Responsible Train utilising the relevant Y* Code.

B7.6 Cumulative Delay

Cumulative Delay is where a train experiences two or more separate delays that are identified as being Direct Delays with the same Prime Cause on that train. For examples of what does (and doesn’t) constitute Cumulative Delay, refer to examples set out in Paragraph E4.7.

B7.7 Minutes Delay

Minutes Delay is the time lost either between two Recording Points or late departure from a Recording Point based on the actual times measured against the planned times (Working Timetable). See also Paragraphs B5.1 and B5.2.

B7.8 Reliability Event

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. A Reliability Event 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.

SECTION C: CATEGORIES OF TRUST DELAY CODE AND DEFAULT ATTRIBUTION

C1 BASIS OF ATTRIBUTION

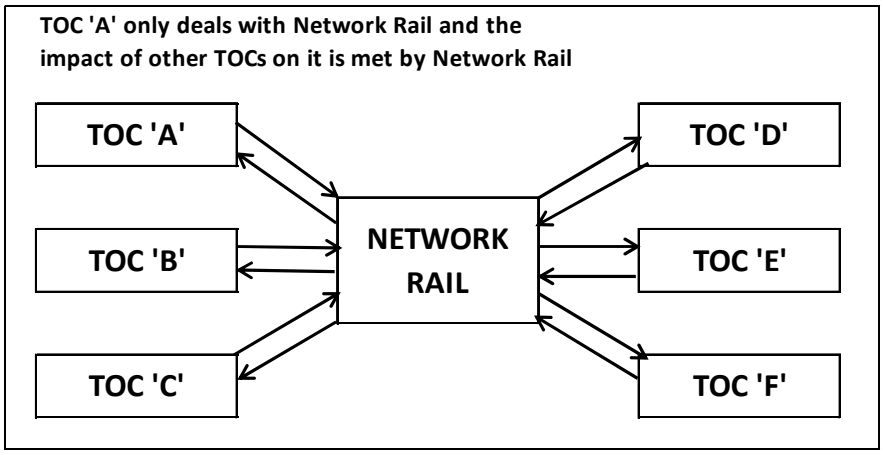
C1.1 This document reflects the principles of the Track Access Contract and Network Code as set out in the Track Access Contract in Schedule 8 and in the Network Code, Part B. The contractual roles carried out by the parties are:

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

C1.2 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 Network Rail Managed Stations) and Light Maintenance Depots.

C1.3 Under the Access Contracts, Network Rail is responsible for the effects of one Train Operator, but only as an Operator of Trains (see paragraph C1.1), 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 - Diagram of the Star Model



C1.4 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.

C1.5 It is possible that a train can be identified as being the Prime Cause of an incident but, for varying reasons, may not incur a delay itself. In such cases, the Delay Incident should be attributed to the operator of that train with suitable Freeform text reflecting the identified cause and rationale.

C1.6 All attribution should be based on, and made against, the agreed 'plan' for the day in question. For Passenger Operators this is referred to as the Applicable Timetable which is the plan as **agreed** by 22:00 on the day prior to the train's operation.

C2 CATEGORIES OF TRUST DELAY CODE AND THEIR DEFAULT ATTRIBUTION

C2.1 As mentioned in Section B of this document, 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 as described in paragraph C2.3 below. If the Delay Code describes an occurrence normally attributable to Network Rail or its contractors, then it and the management area of the Incident allow selection of the appropriate default Network Rail Responsible Manager Code. If the TRUST Delay Code is normally associated with Train Operator, its combination with the identity of the first train allocated to the Incident allows TRUST to identify the default Train Operator Responsible Manager Code. This reflects the ability of Train Operators to operate across the Network.

C2.2 This document cannot cover every circumstance that may arise and thus, there will always be certain scenarios where the default attribution is not appropriate. These will either be identified directly by Network Rail or as part of the contract management process in real time or after the event.

C2.3 In drawing together this document, cognisance has been taken of the contractual responsibilities of Train Operators and Network Rail 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 Section S. Changes to these codes will be advised through an update of this document.

C2.3.1

Delay Code Category	Brief Description	Default Attribution and Responsible Manager Code Form	Other Valid Responsible Manager Codes
A	Freight Terminal Operations Causes	Operator (A##*)	D##*
D	Holding Codes	Operator (D##*)	-
F	Freight Operating Causes	Operator (F##*)	D##*
I and J	Infrastructure causes	Network Rail (IQ**)	CQ**,QQ**, OQ**
M and N	Mechanical or Fleet Engineer Causes	Operator (M##*)	D##* / N##*
O	Network Rail Operating causes	Network Rail (OQ**)	OQ** / CQ**
P	Planned or excluded delays or cancellations	Network Rail (PQ**)	OQ**
Q	Network Rail Non-Operating causes	Network Rail (QQ**)	OQ**
R	Station Operating Causes	Operator (R##*)	D##* / S##*
T	Passenger Operating causes	Operator (T##*)	D##* / U##*
V	External events – TOC Responsibility	Operator (V##*)	D##* / E##*
X	External events - Network Rail	Network Rail (XQ**)	O##*
Y	Reactionary Delays	Allocation to incident relevant to the identified Responsible Train	-
Z	Unexplained delays and cancellations	Network Rail (OQ**)	Z##*

C2.4 For Operators that are monitored under Passenger Charter arrangements the criteria, definition and application of External Delay Codes (V* and X*) should be taken as being Passenger Charter excludable events.

C2.5 In the event of a request to attribute a particular incident to an External Delay Code which does not appear to accurately reflect the circumstances of the incident or meet the criteria laid down for External Delay Code application (as defined in paragraph C2.6), the request must be further confirmed with the Party to avoid misapplication of the DAPR. The Party should be asked to justify the details of the request, which must then be entered in the incident text and the incident recoded. Such recoding should not be undertaken without supporting justification being provided and documented.

C2.6 For External Delay Code criteria to be met then at least two of the following criteria needs to be met:

For weather related incidents:

- the relevant authorities are advising the public not to travel due to the adverse weather being experienced on that day
- a 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
- other modes of transport in the vicinity are being affected by the severe weather; e.g.
  - motorway traffic being disrupted
  - airports being affected
  - local roads being affected
  - ferry sailings are being disrupted or suspended
- Route Controls declaring a RED alert in accordance with National Control Instructions and Extreme Weather Action Team (EWAT) being initiated.
- A railway asset is operating outside of the design parameters due to the conditions being experienced

and, accepting all possible mitigation has been undertaken, is otherwise outside Industry control

Note: For further advice on weather events please refer to Section Q5

For non-weather-related incidents, either:

- an incident that is wholly outside Industry control where all possible mitigation is undertaken; or
- an impact on the operation of the Network Rail network or trains caused by individuals or organisations outside the railway industry

C3 PLANNED INCIDENTS AND P CODING

C3.1 Where the cause of an Incident is known in advance and can be contractually excluded from the Track Access Performance Regime, for example certain Temporary Speed Restrictions (TSRs) or Possession related restrictions, the appropriate P* Code (Planned or excluded Delays or Cancellations) can be used.

C3.2 In the case of certain Temporary Speed Restrictions (TSRs) and Possession allowances, such delays are normally reflected in the Train Schedule in the form of Recovery Time within the Engineering Section as defined in the Operational Planning Rules. Where Engineering Allowance does not exist refer to Sections O18 and P2.

C3.3 P* Codes may also be used with agreement between the Parties for the allocation of particular Minutes Delay and/or Reliability Events to either Track Access Party and therefore exclude them from the Performance Regime.

C3.4 For published TSRs, for Engineering Work and conditions of assets, where that restriction is within the Engineering Allowance Delay Codes PA and PB respectively should be used. The sum of P coding allowances for each train must NOT exceed the total allotted Engineering Allowance in that train's schedule. See Section O18

C3.5 Where a published diversion (e.g. slow to fast line), single line working or pilot working is not provided for in the schedule but where time loss is within the Engineering Allowance then Delay Code PF can be used. See Section P2.

C3.6 The codes PE (for cancellations stemming from a Network Rail restriction of use) or PG (for those stemming from an Operator requirement) are to be used when a planned train cancellation does not have its schedule cancelled in the Train Planning System (TPS). All TPS cancellations are automatically coded PD. Manually cancelled schedules must not be allocated to PD.

C3.7 Where a delay or Reliability Event is due to a duplicate or erroneous schedule or an identified duplicate, false or erroneous delay then Delay Code PJ should be utilised. See Section E1.

C3.8 Where a delay is generated due to TRUST reporting anomalies or inaccuracies specifically relating to known berth off set issues then Delay Code PT should be utilised. See Section E3 and DAB Process Guide PGD15.

C3.9 The code PL is only to be authorised for use by Network Rail Customer Teams for specific Incidents (with Responsible Manager Code P##*) 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 including setting out the attribution of any resulting reactionary delays.

C3.10 Delays of under 5 minutes incurred by a train running on a non-applicable passenger VSTP schedule (or any freight VSTP schedule) can be excluded utilising Delay Code PN when it causes no further reactionary delay. See Section L1.4 for the full criteria.

SECTION D: GUIDANCE ON RESPONSIBILITIES AND CODING OF DELAY INCIDENTS

D1 INTRODUCTION

D1.1 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 coded, and identify 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 document or for which exceptional circumstances apply - See paragraph A2.1.

D1.2 Normally all Minutes Delay (whether direct or reactionary) and, or Reliability Events because of an occurrence will be allocated to one TRUST Incident and will be attributed to the Responsible Manager identified. Two principal exceptions are Joint Responsibility incidents (see Section D2) and incidents arising out of other access agreements (see Section D3)

D2 Joint Responsibility incidents

D2.1 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 incidents at stations which prevent a train entering or passing through a station at the time it is scheduled to do so and the access of passengers through the station to or from the train.

D2.2 The other circumstance is where Network Rail and the Train Operator agree that they are equally responsible for an incident under their access contract and the circumstance is not covered elsewhere in the DAPR.

D2.3 When Joint Responsibility criteria is met the Responsible Manager Code attributed to the incident takes the form of D##*, indicating that the incident is jointly accepted and that the delays will be shared between the parties in the performance systems downstream from TRUST.

D2.4 In all the circumstances in this Section D2, the term station should be taken to include Network Rail Managed Stations and individual platforms at a station.

D2.5 For Joint Responsibility to be applicable for an incident at, or *directly* affecting a station both of the following criteria need to be met by the train incurring Minutes Delay or cancellation:

a) The train is prevented from entering the station at the time it is booked to call, and
b) Passengers would be prevented from accessing the train if the train called at the station at the time it was booked to call.

D2.6 Only when both criteria have been met can the *train incurring Minutes Delay or cancellation be attributed to an incident with a D##* Responsible Manager Code.*

D2.7 In all cases the closure of access to the station must be undertaken by a responsible person (e.g. station manager, emergency services, MOM) and be reasonable and justified in the circumstances (in accordance to what is known at the time of decision). The closure times and reasoning for closure should be detailed in the incident freeform text. This would not include stations closed as a consequence of an incident remote from that station.

D2.8 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 Primary 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 allocated to this incident. 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 allocated to the incident created for the first operator, i.e. normal arrangements apply in respect of the attribution of Reactionary Delay (see Section B7.3). Subsequent directly affected trains not booked to call should be attributed to Network Rail.

D2.9 Failures to call at a booked stop (otherwise known as cancelled stops or Fail To Stop) may also be allocated to the Joint Responsibility incident where the train would not have been able to call (stop) at the time it is scheduled to do so and the access of passengers to/from that train would have been prevented.

D2.10 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 Section D4 Failure to Mitigate.

D2.11 Circumstances may arise where Joint Responsibility criteria are met for only a limited period within the overall duration of an 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 example, a failure to call at a booked stop should not be allocated to a Joint Responsibility incident where the access of the train to the station was not prevented – this would be a cancelled stop the responsibility of the Train Operator. Equally, the failure to call at a booked stop should not be allocated to a Joint Responsibility incident where the access of passengers to/from that train would not have been prevented – this would be a cancelled stop the responsibility of the party causing the incident that led to the cancellation.

D2.12 Joint Responsibility criteria would NOT apply in any of the following circumstances:

- Where ONLY the operation of the network is affected.
- Where the source of the incident originates from or directly affects the station (see D2.13) but does NOT affect the network or its operation
- Where the source of the incident originates on a train (e.g. fire on board, suspect package on board, person alighting direct to track)
- Where the source of the incident originates in or on operational infrastructure equipment signalling, OHLE or track)
- Where the source of the incident originates from works being carried out on the operational infrastructure (signalling, OHLE or track) within the station.
- Where the station access to passengers is affected/prevented by default (e.g. station closed only due to no trains running or resulting overcrowding)

D2.13 The causes of Joint Responsibility incidents in connection with stations are wide-ranging and therefore guidance on the correct Delay Code to use is provided in the Section of the DAPR relating to the type of incident, examples include:

- Fatalities (Section Q3)
- Trespass, including threats of suicide (Section Q4)
- Weather affecting station buildings (Section Q5)
- Security alerts (Section Q7)
- Fires, including false alarms (Section Q8)

D2.14 Guidance for the correct allocation of delays caused by Joint Responsibility type incidents at a station is given in Section N11 and also further application guidance and examples of common scenarios are covered in DAB Process and Guidance Document PGD6 – Joint Responsibility Application.

D2.15 Where Joint Responsibility criteria are met as set out in Section D2 but the cause of the incident is unknown (e.g. origin of trespass, origin of fire) then Joint Responsibility should be applied as per paragraph D2.8.

D3 Incidents arising out of other Access Agreements

Incidents can arise from other access agreements, such as those due to Station Operating activities (station access agreements) or delays or Reliability Events arising on infrastructure not operated by Network Rail. The latter include, but are not limited to depots, and private sidings off Network Rail operated infrastructure and London Underground or Eurotunnel lines (see Sections H1, H2, H3 and Q7). A separate incident is 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 allocated to the incident created for the first operator, i.e. normal arrangements apply in respect of the attribution of Reactionary Delay (see Section B7.3). Specific guidance is given in the relevant sections where these kinds of incidents may occur."

D3.1 Engineering trains and on-track machinery (including those servicing possessions) are now subject to an 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 document. Section P1 refers.

D4 Mitigation

D4.1 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.

D4.2 In the case of incidents where Network Rail is held to be responsible, if the acts or omissions of the Train Operator were such as to prevent the mitigation of delay then the additional delays should be attributed in accordance with paragraph D4.3. 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 to be held responsible.

D4.3 If Network Rail or Train Operator after discussion, considers the other party has failed to mitigate in line with paragraphs D4.1 and D4.2 above, any subsequent attribution should then be made in line with the following:-

- Any perceived failings of either party during an incident shall be highlighted in real time during the incident or event to which that failure is cited.
- Demonstration that a recovery plan was agreed / implemented and where that plan was not delivered.
- Demonstration that regular updates/conferences were held throughout the incident with plan adjustments agreed as appropriate.
- Identification where something reasonable could or should have been done; that wasn't (not necessarily part of any agreement) potentially including:
    - The failure to apply a Special Box Instruction to mitigate for the impact of a known infrastructure defect and/or Accepted Design Limitation.
    - Not accounting for infrastructure restrictions within freight schedules via the RT3973 process.
- The reason for the failure to mitigate was demonstrated and stated in any incident created. Referencing where time deadlines/trains/actions contravene any agreement for service recovery arrangements.
- Individual trains should be highlighted if they alone fall short of the agreed contingency plans – this makes for easier checking/challenging.
- Cognisance taken if there is more than one incident ongoing on the affected line of route/area.
- Any incident attributed as a "failure to mitigate" should be coded to the party's Operational Control code and NOT the code of the causal incident.

D4.4 The principles in D4.3 above shall also apply in cases where an authorised train operator representative or delegated agent has been invited to partake in the formulation of a service recovery plan but does not do so (including a failure to join associated meetings) and does not provide a legitimate explanation for this.

Specifically, organisations that have not engaged in Service Recovery planning and not offered an explanation for their unavailability or complied with arrangements to discuss separately will be deemed to have agreed to any recovery plans that have been communicated to them by default for attribution purposes. As such, any delays or cancellations incurred as a result of a failure to abide by that plan shall be considered as Failures to Mitigate.

D4.5 In cases where an agreed plan for mitigation is implemented in response to a disruptive event (on the day of occurrence), those amendments (cancellations, diversions etc.) should be attributed to the incident they were implemented to mitigate for.

This should include delays or cancellations stipulated within an amended plan that, in the event, occur after the responsible incident has concluded.

The above is on the basis that it is rarely possible to predict the closure time of disruptive events with accuracy and amendments to services which may ultimately have been able to run as booked is a natural consequence of this.

It may, in any case, not be possible to immediately return to the normal trainplan upon closure of an incident, bearing in mind the possible issues with displaced stock and traincrew following disruption.

D5 Reactionary Principles

D5.1 As mentioned in paragraph B7.5, 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 carries 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 contributes 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.

Reactionary Example 1

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 N2(f)), the only other exception is where the main or only cause of delay is a P* coded incident in which case the code JB 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 Section O18.

D5.2 if the largest cause of delay is a succession of unexplained sub-threshold cumulative delays, whether attributed as such or otherwise, the provisions of Section E4 apply.

D5.3 Additional guidance for the correct attribution of Reactionary Delay in other scenarios is given in the following Sections:

- B7 Definitions
- H2 Acceptance into off Network Rail network, Freight Terminals/Yards
- J1 Late Start from Origin
- K Regulation and Signalling of Trains
- N Station Operating Delays

D5.4 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.

D5.5 Notwithstanding lost time/lateness that has been recovered from previously incurred delays, Y* coded delays in a reactionary chain should be split if the working to which it relates has 2 (or more) incidents with delay minutes of the same value attributed to it.

Reactionary Example 2

Train running for 2E40
Note: In this example there is no recovered time or any subthreshold delay.

Location	Booked Arrive	Booked Depart	Actua Arrive	Actual Depar	Time Loss	Cause
Paignton		10.33		10.33		
Torquay	10.37	10.38	10.37	10.41	3' delay	Incident A
Newton Abbot	10.49	10.51	10.52	10.54		
Teignmouth	10.57	10.58	11.00	11.04	3' delay	Incident B
Dawlish	11.02	11.03	11.08	11.09		
Exeter St Davids	11.27	-	11.33	-		

2E40 arrived at Exeter St. Davids 6 late and the unit forms 2E42 which leaves 6 late.
Reactionary chain of delay from 2E42 onwards is as follows-

2E42	6'	YI	2E40
2R55	4'	YD	2E42
1G90	3'	YD	2R55
2H48	4'	YB	IG90
IB37	3'	YD	2H48

Attribution in this scenario should therefore be:

INCIDENT A			
2E40	3'		
2E42	3'	YI	2E40
2R55	2'	YD	2E42
1G90	2'	YD	2R55
2H48	2'	YB	1G90
1B37	1'	YD	2H48

INCIDENT B			
2E40	3'		
2E42	3'	YI	2E40
2R55	2'	YD	2E42
1G90	1'	YD	2R55
2H48	2'	YB	1G90
1B37	2'	YD	2H48

Each delayed train in the reactionary chain is split equally between incidents A and B.
The odd (3 minute) delays to 1G90 and 1B37 are split alternately between Incident A and Incident B.

D5.6 If a train recovers its lateness at any Recording Point and becomes less late than the impact of a prior delay **and,** prior to any Reactionary Delay occurring, a subsequent delay is greater than the prior lateness at point of occurrence, then the initial delay is considered as recovered.

Reactionary Example 3

Train running for 2E40

Location	Booked Arrive	Booked Depart	Actual Arrive	Actual Depart	Lateness	Time Loss	Cause
Paignton		10.33		10.33	0'		
Torquay	10.37	10.38	10.37	10.41	3'	3' delay	INCIDENT A
Newton Abbot	10.49	10.51	10.51	10.53	2'	(-1')	
Teignmouth	10.57	10.58	10.58	10.59	1'	(-1')	
Dawlish	11.02	11.03	11.06	11.07	4'	3' delay	INCIDENT B
Exeter St Davids	11.27		11.31		4'		

2E40 arrives Exeter St Davids 4 late and the unit forms 2E42 which leaves 4 late

Attribution in this scenario should therefore be: -

INCIDENT A	
2E40	3'

INCIDENT B		
2E40	3'	
2E42	4'	YI 2E40

Delay impact from Incident A is partially recovered leaving Teignmouth (only 1' lateness of the 3' delay remains)
The 1' lateness remaining from Incident A is less than the subsequent impact of Incident B
2E40 does NOT have to recover to Right Time after Incident A for Incident A to be considered as recovered
All further reactionary delay is attributed to incident B as the greatest Causal Incident after arriving at Dawlish

D5.7 Where lateness is recovered after two or more delays occurring then any recovered time is considered as being removed equally from each of the prior delays (where those prior delays have not already been fully recovered).

Reactionary Example 4

Train running for 2E40

Location	Booked Arrive	Booked Depart	Actual Arrive	Actual Depart	Lateness	Time Loss	Cause
Paignton		10.33		10.33	0'		
Torquay	10.37	10.38	10.37	10.41	3'	3' delay	INCIDENT A
Newton Abbot	10.49	10.51	10.52	10.54	3'		
Teignmouth	10.57	10.58	11.00	11.04	6'	3' delay	INCIDENT B
Dawlish	11.02	11.03	11.08	11.09	6'		
Exeter St Davids	11.27		11.31		4'	(-2')	

2E40 recovers 2' after Dawlish and arrives Exeter St Davids 4 late. The unit forms 2E42 which leaves 4' late

Attribution in this scenario should therefore be: -

INCIDENT A		
2E40	3'	
2E42	2'	YI 2E40

INCIDENT B		
2E40	3'	
2E42	2'	YI 2E40

Delay impact from Incident A is NOT considered as recovered (despite recovery occurring after B)
No recovery has occurred between Incident A and incident B occurring.
Whilst lateness at Exeter is only 4', both Incident A and Incident B are of equal impact at that point
Recovery between Dawlish and Exeter is equally removed from the impact of Incident A and B (i.e. 1' from each)
All further reactionary delay is split to Incident A and incident B as equal impact after arrival at Exeter St Davids

For further worked examples of Reactionary Delay, including Recovered Lateness, please refer to Process Guide Document PGD2.

SECTION E: TRUST DATA AND RECORDING OF DELAYS

E1 Duplicate Delays

E1.1 Due to TRUST's handling of certain train timing reports, instances of Reliability Events or Minutes Delay may appear falsely, erroneously or as a duplicate. Examples include:

- Where lateness at a manual timing report is entered after a subsequently recorded delay at the next recording point has been attributed thus generating two delay alerts for just one delay event.
- Incorrect entry of a manual timing point generating a delay that did not exist.
- A train auto recording at a timing point registering for the wrong entry in its schedule generating a delay that did not exist

In cases such as these Delay Code PJ should be used for attribution of the duplicate or erroneous delays.

E2 Minutes Delay Not Apparently due to Network Rail

E2.1 If following investigation with its own staff Network Rail has reasonable grounds to believe that the Minutes Delay was 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 the Train Operator. A separate Incident must be created for each 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. See Process Guide PGD19 setting out the expected investigations and freeform templates.

E2.2 These incidents may be re-attributed on the basis of further investigation by the Train Operator. See Process Guide PGD19 setting out the expected investigations and freeform templates.

E2.3 Any loss in time in running should take into consideration the circumstances given in Section E4

Process and Guidance Document PGD05 should be referred to for detail on the requirements for utilising, advising customers of the existence of and reattributing delays away from incidents coded to OU.

E2.4. In the event that both Network Rail and the Train Operator have completed full investigations into a delay without having been able to provide an explanation or identify a cause, the associated delay, including reactionary, should be attributed to delay code ZU with Responsible Manager ZQ**.

E3 TRUST Reporting Errors and Anomalies

E3.1 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. This can still occur even if the Berth Offsets are agreed as being accurate.

E3.2 In certain circumstances, these anomalies may be sufficiently pronounced to cause the generation of a Delay Alert. Such anomalous reports and incorrect TRUST timings should be highlighted and corrected in accordance with the relevant standards as set out in the Performance Data Accuracy Code before application of what is set out in E3.3 to E3.5 below.

E3.3 If both parties agree that the Delay Alert has been entirely generated due to an inaccurate report and would not have been generated otherwise, the delay alert generated should be attributed to an incident coded PT. Any resulting above threshold reactionary delay should be re-attributed to the largest identified cause at that point.

E3.4 If both parties agree that a sub threshold delay has occurred, but has been artificially inflated to create an above threshold delay alert due to an inaccurate report then a new incident coded PT is to be created to account for the spurious delay (ONLY) and the remaining sub-threshold delay and any reactionary delay attributed to it is to be attributed as per normal attribution rules.

E3.5 If both parties agree that an above threshold delay alert has occurred which has been artificially inflated due to an inaccurate report, but is of sufficient magnitude that it would have been generated anyway, the delay itself and any reactionary delay is to be attributed as per normal attribution rules, with no time removed.

Note: For the supporting process covering the identification and correction of TRUST anomalies please refer to PGD15

E4 Trains Incurring Several Small Delays

E4.1 This section covers trains that have no prior attributable threshold delay but have incurred several small delays below the normal explanation threshold and then suffer or cause a Reactionary Delay of at least as many minutes as the threshold (3 minutes or more for most Operators) and at the time of subsequent delay is the largest cause of lateness

E4.2 If the train has been regulated correctly due to its own lateness, or has caused delay to another train, and it is known after investigation why it has previously lost time (e.g. several successive TSRs or examples of station overtimes) then separate Incident(s) should be created with a Delay Codes describing the cause and attributed as per the appropriate section of this document. The Reactionary Delay of the regulation should then be attributed to and split between the incidents (as appropriate, including the initial sub threshold prime delays) – see principles in D5 When the below threshold delays are due to P-coded TSRs, the reactionary delay should be coded JB/IQ**, as per paragraph B6.7. Where possible, delays below the threshold should be attributed.

E4.3 If the cause of the previous Minutes Delay is unexplained and the train has been regulated correctly a separate Incident, coded ZS with Responsible Manager Code ZQ**, is to be created. However, if the circumstances of paragraph E2.1 apply then a separate Incident is to be created as per that section. In either case the Reactionary Delay, appropriately coded, is to be allocated to the Incident created.

E4.4 If the train was incorrectly regulated, then the Minutes Delay to be coded as per Section K

E4.5 Certain circumstances should be considered as Cumulative Delay in that they may be separate delays but due to the same cause / responsibility. Cumulative delay should be attributed to the same incident cause. Examples of cumulative delay are trains running on low power or TT delay (see paragraph F1.5.2).
Unrelated station overtime delays and TSR delays should be considered separate causes and attributed to individual incidents with standard attribution rules applying to reactionary delay.

E4.6 In circumstances where a threshold section delay is demonstrated to be a combination of known separate causes then this delay should be split into relevant sized delays and attributed to incidents with appropriate Delay Codes describing the cause. For example, a 3 minute delay split to 1 minute in IR due to a TSR and 2 minutes in RB due to passengers loading.

E4.6.1 In instances where an alerted threshold section delay is demonstrated to consist of a combination of loss in running and overtime at intermediate stations but no cause can be identified for one or both elements, delays should be allocated as a single entity, in accordance with the principles in Section E2, in the first instance. If separate causes for different elements of the delay are subsequently identified, delays should then be reallocated to appropriate incidents in accordance with E4.6 above.

The exception to the above is for published, boarded, speed restrictions where the timeloss impact has been calculated in advance.

E4.7 **Example scenarios of trains incurring several small delays and the application of cumulative delay**

Unless stated, all examples presume no other delays and no lateness recovered.
The principles demonstrated in the examples shown apply equally to delay causes in the same section as well as different sections. The caveat being that the causes are identified (e.g. RB rather than RZ)

Sub Threshold Example 1 - Attribution of TSRs
TSR A – 2’ coded IS allocated to TIN X
TSR B – 2’ coded IR allocated to TIN Y
TSR C – 2’ coded JA allocated to TIN Z

The train arrives at destination 6 late and the return working has a 6 late start
The 6 late start is split to 3 x 2’ delays and split into the 3 separate TSR TINs X, Y and Z

If there was a further 3’ delay on the inward journey in another TIN then the 6’ late start would be attributed to that TIN as the greatest impacting cause

Note: TSRs are identified causes with definitive delay codes and can potentially be 3 different causes and 3 different responsibilities, therefore 3 different incidents.
Network Rail needs to capture and report all TSRs as separate causal incidents even where they are the same delay cause they are reported as individual events.
The exception to this is Blanket Speed restrictions which will be captured in one incident for each DU Area

Sub Threshold Example 2 - Attribution of Station Delays

Loading bike – 2’ coded RS allocated to TIN X
Loading wheelchair – 2’ coded RQ allocated to TIN Y
Late dispatch – 2’ coded R1allocated to TIN Z

The train arrives at destination 6 late and the return working has a 6 late start
The 6 late start is split to 3 x 2’ delays and split into the 3 separate R* TINs X, Y and Z

If there was a further 3’ delay on the inward journey in another TIN then the 6’ late start would be attributed to that TIN as the greatest impacting cause

Note: Station delays are potentially 3 different causes and 3 different responsibilities, therefore different incidents (exceptions such as door problem would be as underpowered trains below).

Sub Threshold Example 3 - Attribution of TT incidents

Autumn A – 2’ coded TT allocated to TIN X
Autumn B – 2’ coded TT allocated to TIN Y
Autumn C – 2’ coded TT allocated to TIN Z

The train arrives at destination 6 late and the return working has a 6 late start
The 6 late start is split to 3 x 2’ delays and split into the 3 separate TT TINs X, Y and Z

If there was a further 3’ delay on the inward journey in another (non leaf fall) TIN then the 6’ late start would be still be attributed to the TT TINs as they remain the greatest impacting cause.
If one of the TT delays was a 3’ delay then the 6’ late start would be attributed to that TIN (cumulative leaf fall still outweighing any other cause)

Note: TT coded delay, per Sections F1.5.2 (main paragraph) and F1.8 (Example 4), is treated as cumulative despite being attributed to separate incidents.

Sub Threshold Example 4 - Attribution of an Underpowered Train

Underpowered delay A – 2’ coded MC in TIN X
Underpowered delay B – 2’ coded MC in TIN X
Underpowered delay C – 2’ coded MC in TIN X

The train arrives at destination 6 late and the return working has a 6 late start
The 6 late start is attributed in full to TIN X

If there was a further 3’ delay on the inward journey in another TIN then the 6’ late start would still remain a reactionary to TIN X as it remains the greatest impacting incident cause.

Note: Underpowered train delays are the same loco / unit, same cause and same responsibility therefore the same incident. Operator reporting requirements on fleet reliability requires such faults / failures to be allocated to one incident.

E5 TRUST Outages

E5.1 On occasions when outages or other system failures prevent standard train reporting processes from taking place, industry parties are required to work together to share alternative information sources to enable to best possible standard of train capture, in accordance with DAPR Principle A3 on Information sharing and PDAC Section 4.2 on the use of backup/contingency train reporting.

E5.2 Train delays based on times that have been obtained from alternate sources (including interpolation) in the circumstances set out in E5.1 should be investigated and allocated to prime cause wherever possible.

E5.3 In cases 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 OU/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 A3.

E5.4 Delays caused as a result of a TRUST System failure (including loss of local access) - following a full investigation – should be attributed to the Prime Cause of that delay and not the TRUST failure. For example, if a signaller mis-regulates a train owing to no TRUST information the cause should be described as mis-regulation NOT loss of TRUST; similarly, if there is a late start due to waiting the train consist because there is a TRUST problem, the delay should be described as a late start not a TRUST failure.

Process and Guidance Document PGD15 includes further guidance on the recommended process for carrying out attribution at times of reporting failures.

E6 The Special Train

E6.1 The Special Train will run without a schedule and is regulated as priority. If any train delay results from the running of The Special Train then it is to be coded OD and allocated to an Incident with Responsible Manager Code OQAX.

E7 Delays not investigated by Network Rail.

In the event that Network Rail does not investigate the cause of a delay on the date of occurrence, that delay should be allocated to an incident coded OU. Such delays should be subsequently reallocated to the appropriate incident (including use of codes TO and FO as covered in paragraph E2.1) as soon as it is possible to complete a full and sufficient investigation, providing that this is within contractual timescales. Any delays that are allocated to OU but which cannot be investigated and reallocated within the contractual timeframe are to remain coded to OU.

Process and Guidance document PGD04 should be referred to for further detail on general post Day 1 reattribution principles and processes.

E8 Minutes that Network Rail cannot contractually attribute to an identified prime cause.

In cases where Network Rail investigations have concluded that a train operator is responsible for a given event but it has not been possible to attribute (or reattribute) the associated delays, including reactionary, to that operator within contractual timescales (seven calendar days), these are to be attributed to delay code ON to Network Rail.

The only exception to the above is if the minutes in question were previously allocated to code OU as uninvestigated delays. In such cases, delays should remain coded to OU and not amended to ON as per paragraph E7.

SECTION F: ADHESION, AUTUMN AND RAILHEAD TREATMENT INCIDENTS

F1 Adhesion Problems Including Leaf-Fall

F1.1 Introduction

The principles of this attribution process are based on reasonableness and pragmatism. The procedures and the guidance, if applied in the right spirit, have the potential to reduce TRUST incident disputes during each autumn.

F1.2 Use of flowchart

This guidance should be read in conjunction with the associated flowcharts (see Section F1.6 as this encapsulates the overall process flows for determining responsibility for delays).

F1.3 Adhesion principles during and outside of "Autumn"

The scenarios covered in Section F can mainly be expected to occur within the "Autumn" period, which in this context specifically refers to the window during which the programme of railhead treatment activity undertaken by Network Rail is planned to take place.

However, the same principles – including those illustrated in flowchart F1.6.1 – equally apply to adhesion events associated with autumnal conditions that occur outside of this formal timeframe.

It should be remembered, however, that some of the considerations for attribution covered in this document are far less likely to be pertinent outside of "Autumn" than within it (i.e. it is highly unlikely that railhead treatment will have been planned outside of the defined period).

F1.4 Principles

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

- Lists of jointly agreed Neutral Zones.
- Jointly agreed definitions of '**reasonable time-loss**' values for each of the jointly agreed Neutral Zones.

These crucial pieces of information need to be worked out and agreed between Network Rail and operators and supplied to attribution staff. In jointly agreed Neutral Zones and where the level of delay is within the 'reasonable time-loss', then attribution of that delay will be to an agreed Neutral Zone in accordance with Section F1.5

F1.4.1 Jointly agreed Neutral Zones

Network Rail will agree with Train Operator(s) 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.
- TRUST sections where performance analysis shows delays in the autumn-related categories to be high.
- List of sites where vegetation is non-compliant and vegetation plan delivery status.

F1.4.2 Determining the level of 'reasonable time-loss' in a jointly-agreed Neutral Zone.

Network Rail will also agree with Train Operators, in relation to the list above, the number of Minutes Delay in a given delay section which shall normally be agreed as the maximum 'reasonable time-loss' for inclusion in the "Neutral Zone" incidents as described above. This agreement will be made between Lead Route and Operators which may include any bespoke agreements with non-lead Routes. The 'reasonable time-loss' agreed with the operator may be specific to particular classes of train or traction type. 'Reasonable time-loss' will be either pre agreed for that section or be in line with average time losses in that section, that day. It may be appropriate to have different values for different times of day particularly given the nature of autumn adhesion conditions in the early morning and around dusk. 'Reasonable time-loss' can be amended at any time with consent of affected parties based on the severity of actual or predicted adhesion conditions as per paragraph F1.4.4

F1.4.3 Actions to Mitigation.

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 due cognisance taken of the extent to which any of the parties has undertaken actions to mitigate delay prior to and during 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 mitigating the effects of deciduous vegetation that can lead to adhesion problems, or where an operator has undertaken to have sanding equipment fitted to trains.

F1.4.4 Review of Neutral Zone lists.

The jointly agreed Neutral Zone 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.

N.B: Nothing in Section F1.4.1 or F1.4.2 precludes the real-time mutual agreement of an amendment to the list of agreed Neutral Zones or 'reasonable time-loss', which may be applied to one or more train delays. Network Rail and Train Operators should consider the mechanisms required to make such real-time agreement the subject of a permanent amendment, if desired.

F1.5 The 'Neutral Zone' concept

The "Neutral Zone" is intended as a pragmatic approach to managing the increased level of delays experienced during the autumn period and is based upon 'most likely' cause principles.

F1.5.1 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 each operator, using delay code TT) and the Network Rail Manager code for the management area in which the section sits. The Responsible Manager code is the operator covered by the incident. The Delay Code must be used for this and no other purpose.

The attribution to a responsible manager code is purely for systems purposes. It should not be regarded as an operator delay code and delays attributed to the TT delay code remain an industry opportunity if successfully tackled.

F1.5.2 Use of Neutral Zone incidents

It is important that the Neutral Zone delay code is only used:

- Provided other possible causes of train delay have been investigated, considered and exhausted as agreed reasonable by both parties;
- Provided normal reactionary delay principles are applied.

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 point's 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 provision of paragraph D5.2 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 of delay minutes allocated to it that contributes to the lateness at that point). For further guidance, see Section F1.8

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 paragraph D5.2

F1.6 Delays in TRUST sections not on jointly agreed Neutral Zones lists.

The notes below relate to the annotated reference points in flowchart F1.6.1

Note 1 The jointly agreed Neutral Zone list can be updated on the day in question and thus a poorly performing section can be agreed to be included real time (i.e. sections that are not included on a pre-agreed list can be subsequently agreed to be 'switched on' (or off) on the day due to prevailing conditions).

Note 2 Autumn 'reasonable time–loss' will be either pre agreed for that section or in line with average time losses in that section, that day.

Note 3 Mitigation by the TOC includes but should not be limited to on-train sanders, WSP, driving in accordance with the policy as outlined in the autumn working arrangements.

Note 4 For a Driver's report of poor railhead conditions to be considered valid, the following criteria must be adhered to:

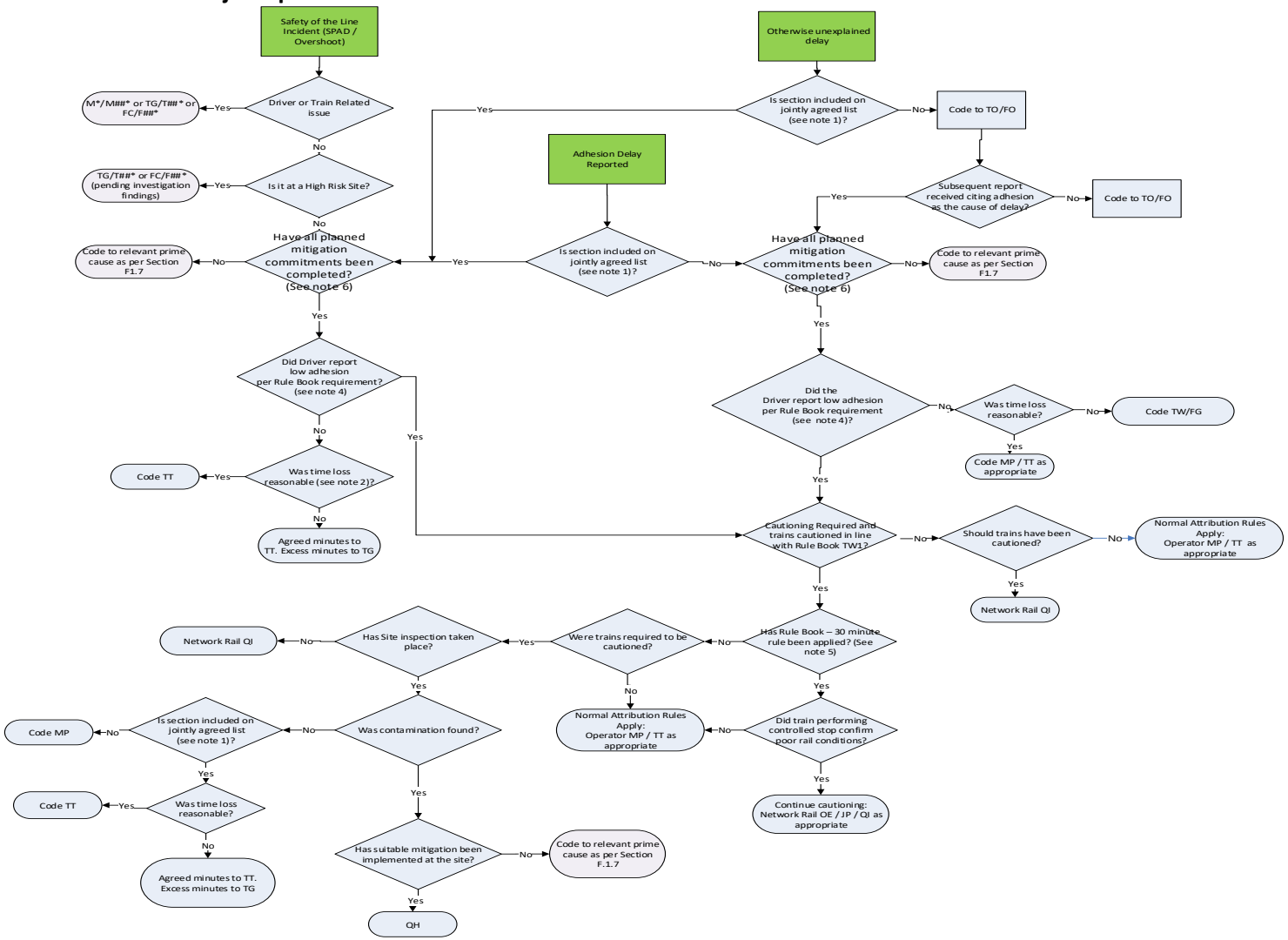
1. Was the report received in line with Rule Book instructions?
2. Was the report sufficiently specific to allow for appropriate site investigation and corrective action to be taken?

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 5 If the relevant Rule Book module is applied, even if the driver did not need to report the adhesion, then the process is applied as stated

Note 6 Mitigations not being completed relates to agreed planned mitigation that was committed to by a party in preparation for the autumn season but has not been implemented (e.g sander fitment, vegetation clearance plan, static sander fitment, RHTT programme)

F1.6.1 Autumn attribution: joint process: Chart 1



F1.7. Additional coding guidance

F1.7.1 Guidance in respect of Network Rail attributable incidents

No.	Circumstances	Delay Code	Incident Attribution
a.	Failure to operate the agreed railhead treatment programme	See Section F2	See Section F2
b.	Vegetation within network boundaries causes delay and is not in accordance with prevailing Network Rail standards, including where signals or track side signs are obscured by vegetation and where trains strike branches - not due to the weather.	JP	Network Rail (IQ**)
c.	Late start or delays to Railhead Conditioning Train (RHC) including any reactionary delay to other trains'	OS	Network Rail (OQ**)
d.	Contamination is present but agreed vegetation measures are completed	QH	Network Rail (QQ**)
e.	Contamination caused by vegetation is present and agreed vegetation measures are not completed	JP	Network Rail (IQ**)
f.	Contamination is present and vegetation has not been maintained in accordance with prevailing Network Rail standards but vegetation has not been confirmed as the cause of contamination.	QH	Network Rail (QQ**)
g.	Railhead examination not carried out in line with Rule Book requirements after low adhesion reported (as per flowchart F1.6.1)	QI	Network Rail (QQ**)
h.	Cautioning of trains when contamination is suspected or confirmed	QI	Network Rail (QQ**)
i.	Special working implemented for leaf fall track circuit operation	QJ	Network Rail (QQ**)

(Note that Safety of the Line incidents involving RHC trains are normally the responsibility of the Operator whose Safety Case the train is operating under and not Network Rail for who the trains are running).

F1.7.2 Guidance in respect of operator -attributable incidents

No.	Circumstances	Delay Code	Incident Attribution
a	Failure of on train adhesion equipment (e.g. WSP, sanders)	M* as appropriate for vehicle type	operator of train (M##*)
b	Signal passed at danger or station over shoot at an published site due to contamination (as published in the sectional appendix or Autumn working arrangements (AWA).	TG/FC	operator of train(T##*)
c	Minutes in excess of agreed 'reasonable time-loss' in agreed Neutral Zone or location.	TW/FG	operator of train (T##*/F##*)
d	Signal passed at danger by a railhead conditioning train.	See table R1.3 (r-v)	Final attribution to be based on investigation and cause identified.

F1.7.3 Adhesion issues unconnected to Autumn conditions

(Such incidents may arise at any time of year, including Autumn)

No	Circumstances	Delay Codes	Incident Attribution
a	Where there is grease on the railhead due to incorrect working of a flange greaser and or Network Rail is required to clear the railhead	IS	Network Rail (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 (Conductor Rail icing, see Section Q5)	MP	Train operator (M##*)
d	Where oil, grease or other substances, except water or ice, whose source cannot be identified, is found on the railhead	JX	Network Rail (IQ**)

F1.7.4 Manual Treatment

In the event of manual treatment being utilised as part of a booked programme, the consequences of failing to adhere to that programme should be attributed in accordance with the principles of Section F2, i.e. attributed to Network Rail as appropriate. Where manual treatment is required 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

F1.7.5 Principles of Railhead treatment attribution (to be taken to include all forms of treatment utilised by the Network Rail routes

- In the event of railhead treatment services not gaining access to the line on time or at all i.e. cancelled. However caused, initial attribution of delays caused by the impact of the failure to treat the railhead should be to Network Rail.
- If a railhead treatment service is unable to complete its programme due to problems with the unit or treatment equipment, initial attribution of delays caused by the impact of the failure to apply railhead treatment should be to Network Rail.
- Delays due to failure to complete the railhead treatment programme, for whatever reason, should be attributed in accordance with (Section F2 see also paragraph F1.7.4).

F1.8 Additional Guidance On The Attribution Of Reactionary Delays Incurred Related To Leaf-Fall And Adhesion Attribution.

During the period that the principles set out in section F1 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 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.

Where 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, at the point of reactionary delay occurring, attribution should be split between the TOC leaf-fall incidents for the operator of the train that causes the reactionary delay.

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, at that point the reactionary delay should be attributed to the greater of the TOC-specific leaf-fall incidents for the operator that **causes** the reactionary delay.

Example Attribution to train 2A00

3’ coded TT allocated to TIN A
4’ coded TT allocated to TIN B
4’ coded TT allocated to TIN C
5’ coded TT allocated to TIN D
12’ coded IB allocated to TIN E

Train 2A00 then causes a 4’ reactionary delay to train 2B00.

The 4’ reactionary delay to 2B00 is attributed as reactionary to TIN D as the greater of the TT impacts

F2 Railhead Conditioning Trains

F2.1 Note that, in the context of this document, “Railhead Conditioning” (RHC) trains incorporates Sandites, MPVs and de-icing services.

F2.2 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. The exception to this is Safety of the Line incidents such as SPADs which should remain the responsibility of the Operator of that train.

F2.3 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Delays caused by a failure to operate the Rail head treatment trains or to place the Rail head treatment trains where or when programmed	OE	Network Rail (OQ**)
b.	Delays caused by inadequate pathing for a RHC train (WTT)	QA	Network Rail (QQA*)
c.	Delays caused by inadequate pathing for a RHC train (STP)	QM	Network Rail (QQA*)
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	OS	Network Rail (OQ**)
i	Signal passed at danger by a railhead conditioning train	See table R1.3 (r-v)	Final attribution to be based on investigation and cause identified.
j.	Failure of a RHC train	OM	Network Rail (OQ**)

SECTION G: FLEET AND INFRASTRUCTURE SYSTEMS INTERFACE INCIDENTS

G1 Fleet Equipment Problems

G1.1 Incidents to be given the appropriate M* or N* Code and attributed to Train Operator whose train has suffered a failure or similar problem (M##*).

G1.2 Passenger Train Operator Delays (including Charter Trains):

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	M7	Crew doors Gangway doors Passenger doors Toilet doors	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##*)

No.	Circumstances	Delay Code	Systems	Incident Attribution
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##*)

p.	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##*)
q.	Delays associated with faults with 3rd rail, shoe beam and train borne power switch over systems (DC)	MQ	3rd rail Shoe beam Train borne power switch over systems (DC)	Train Operator (M##*)

G1.3. Freight Train Operator Delays

No.	Circumstances	Delay Code	Systems	Incident Attribution
a.	Faults associated with diesel hauled freight trains	MC	Diesel freight	Train Operator (M##*)
b.	Faults associated with electric hauled freight trains	MB	Electric freight	Train Operator (M##*)
c.	Delays associated with wagons or coaching stock on a freight train	ML	Freight wagons Coaches	Train Operator (M##*)
d.	Delays associated with train borne systems where no fault is found with the track or train based equipment	M9	See Section R3.4	Train Operator (M##*)
e.	Delays associated with On Track Machines and other Yellow Plant equipment	MV	On Track Machines / 'Yellow Plant' Equipment	Train Operator (M##*)

G1.4 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 and or snow plough, 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**)

G1.5 NB. Multi-Purpose Vehicles (MPVs) are frequently deployed as Railhead Conditioning (RHC) trains. I the event of such a vehicle suffering mechanical failure while operating in this capacity, coding of the incident must be in accordance with table F2.3

G1.6 Trains losing time in multiple sections to an underlying fleet cause (including underpowered trains)

In cases where prime cause delays to a given train in more than one delay reporting section have been fully investigated and identified as an ongoing, underlying operator-responsibility fleet issue that is preventing the traction from maintaining its Sectional Running Time (SRT), such delays are to be allocated to a single TRUST incident regardless of how many Network Rail GM areas it may traverse.

The same incident is also to be used to account for the impact that the issue causes to subsequent workings of the affected traction.

Such delays will normally be coded to the relevant M*/N* code to indicate a traction defect, although in the case of freight moves, code FX is to be used in cases where the train is transporting a weight in excess of its timing load.

G2 BALISE Operational Interface Incidents

G2.1 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 current Rules and Standards. There are systems on the trackside – a Balise, and on the train – the on-board TASS system. In the event of failure of either system then delay coding should be:

No.	Circumstances	Delay Code	Incident Attribution
a.	If the on-board TASS system fails	NA	Passenger Operator (M##*)
b.	If the TASS Balise (trackside equipment fails).	IM	Network Rail (IQ**)

G2.2 **Selective Door Opening BALISE Systems**

G2.2.1 Many trains now have Selective Door Opening (SDO) which allows longer trains to open the correct doors at short platforms. Some SDO systems are wholly train based, whilst in some locations the SDO operation is dependent on the functioning of trackside equipment known as Balise beacons. Notwithstanding any manual override opportunities, in the event of failure of either system then delay coding should be:

No.	Circumstances	Delay Code	Incident Attribution
a.	Delays associated with faults in the train borne PIBS equipment	M7	Train Operator (M##*)
b.	If the SDO Balise (Network Rail responsibility trackside equipment) is defective or fails.	IM	Network Rail (IQ**)
c.	If the SDO Balise (Non-Network Rail responsibility trackside equipment) is defective or fails.	M7	Train Operator directly affected (M##*)
d.	Where two or more consecutive trains, that utilise the same Balise, fail to recognise that Balise (where Balise is Network Rail responsibility trackside equipment	IM	Network Rail (IQ**)
e.	Where two or more consecutive trains, that utilise the same Balise, fail to recognise that Balise (where Balise is Non-Network Rail responsibility trackside equipment)	M7	Train Operator directly affected (M##*)
f.	Where one train fails to recognise a Balise but subsequent trains, utilising the same Balise, recognise it and no fault is found with the affected train.	M9	Train Operator directly affected (M##*)

G2.3 **Automatic Power Change Over BALISE Systems**

G2.3.1 Many trains now have dual power capability which allows trains to operate over electrified and non-electrified lines. The switch from one power mode to another are sometimes wholly Driver operated, whilst in some locations the operation is automated and dependent on the functioning of trackside equipment known as Balise beacons. Notwithstanding any manual override opportunities, in the event of failure of either system then delay coding should be:

No.	Circumstances	Delay Code	Incident Attribution
a.	Delays associated with faults in the train borne power change over equipment	M1/MQ as per section G1.2	Train Operator (M##*)
b.	If the Power Change Over Balise (Network Rail responsibility trackside equipment) is defective or fails.	IM	Network Rail (IQ**)
c.	If the Power Change Over Balise (Non-Network Rail responsibility trackside equipment) is defective or fails.	M1/MQ as per section G1.2	Train Operator directly affected (M##*)

d.	Where two or more consecutive trains, that utilise the same Balise, fail to recognise that Balise (where Balise is Network Rail responsibility trackside equipment)	IM	Network Rail (IQ**)
e.	Where two or more consecutive trains, that utilise the same Balise, fail to recognise that Balise (where Balise is Non-Network Rail responsibility trackside equipment)	M1/MQ as per section G1.2	Train Operator directly affected (M##*)
f.	Where one train fails to recognise a Balise but subsequent trains, utilising the same Balise, recognise it and no fault is found with the affected train.	M9	Train Operator directly affected (M##*)

G2.4 Where no fault is found in any system covered within this Section G2 after investigation by both parties then refer to Section R3.

G3 Failure of ETCS/ERTMS/ATO/CBTC* System

G3.1 When operating on an ETCS/ERTMS/ATO/CBTC enabled line, trains that are fitted with the on-board ETCS/ERTMS/ATO/CBTC 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 ETCS/ERTMS/ATO/CBTC system, causation coding should be as follows:

No.	Circumstance	Delay Code	Incident Attribution
a.	Delay associated with the train-borne ETCS/ERTMS/ATO/CBTC system	M2	Train Operator(M##*)
b.	Delays associated with the ETCS/ERTMS/CBTC track-mounted balise	IM	Network Rail(IQ**)
c.	Delays associated with RBC issues affecting ETCS /ATO/CBTC operation (NOT balise related)	JR	Network Rail(IQ**)
d.	GSM-R related issues affecting ETCS / ATO/CBTC wireless communications system	See Section G5	See Section G5
e.	Delay associated with incorrect ETCS/CBTC system operation by Signaller/Controller	OF	Network Rail(OQ**)
f.	Delays associated with incorrect ETCS/CBTC system operation by Driver	FI / TS	Train Operator(F##* / T##*)
g.	Delays associated with PIS issues affecting the CBTC system	RV	Train Operator – separate Incident to be created for each TOC directly affected (R##*)

*CBTC (Communications Based Train Control)

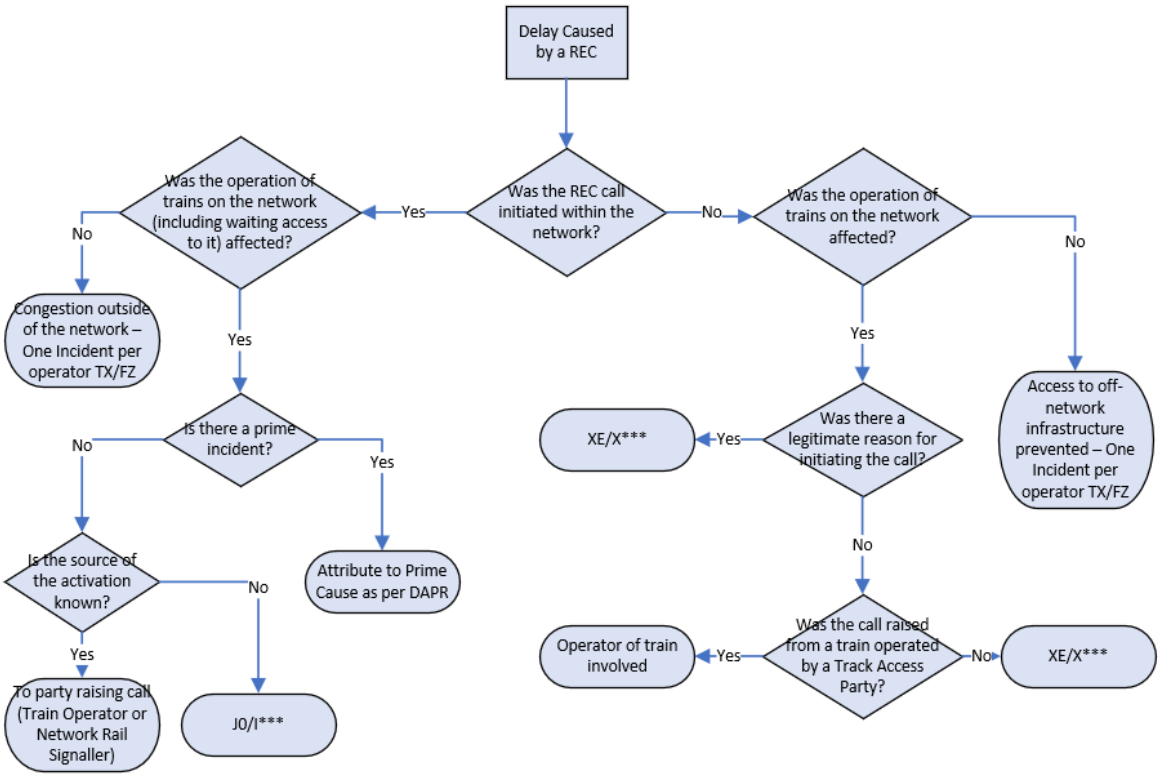
G3.2 Where no fault is found see Section R3

G4 Operational GSM-R Railway Emergency Call (RECs)

Under normal circumstances, all incidents involving calls arising on and impacting the Network Rail network will be coded to the Prime cause for the reason for the REC. However, if the prime cause and/or the initiating train cannot be identified, the delay will initially be coded J0 (zero). In these circumstances the delays may be recoded when further information becomes available.

Due to the nature of GSM-R, and the fact that trains on multiple rail networks may be covered by a single, shared GSM-R cell, there is potential for calls arising from outside of the Network Rail infrastructure to impact operations on it and vice versa. The source of a REC call (i.e. whether it has been initiated from within the Network or not) is therefore a key consideration when identifying responsibility for such delays as much as the reason for making the call and the party that did so.

The flowchart below indicates the facts that need to be identified following the initiation of a REC call and the appropriate attribution principle to apply once they have been confirmed.



G4.1 Likely Circumstances:

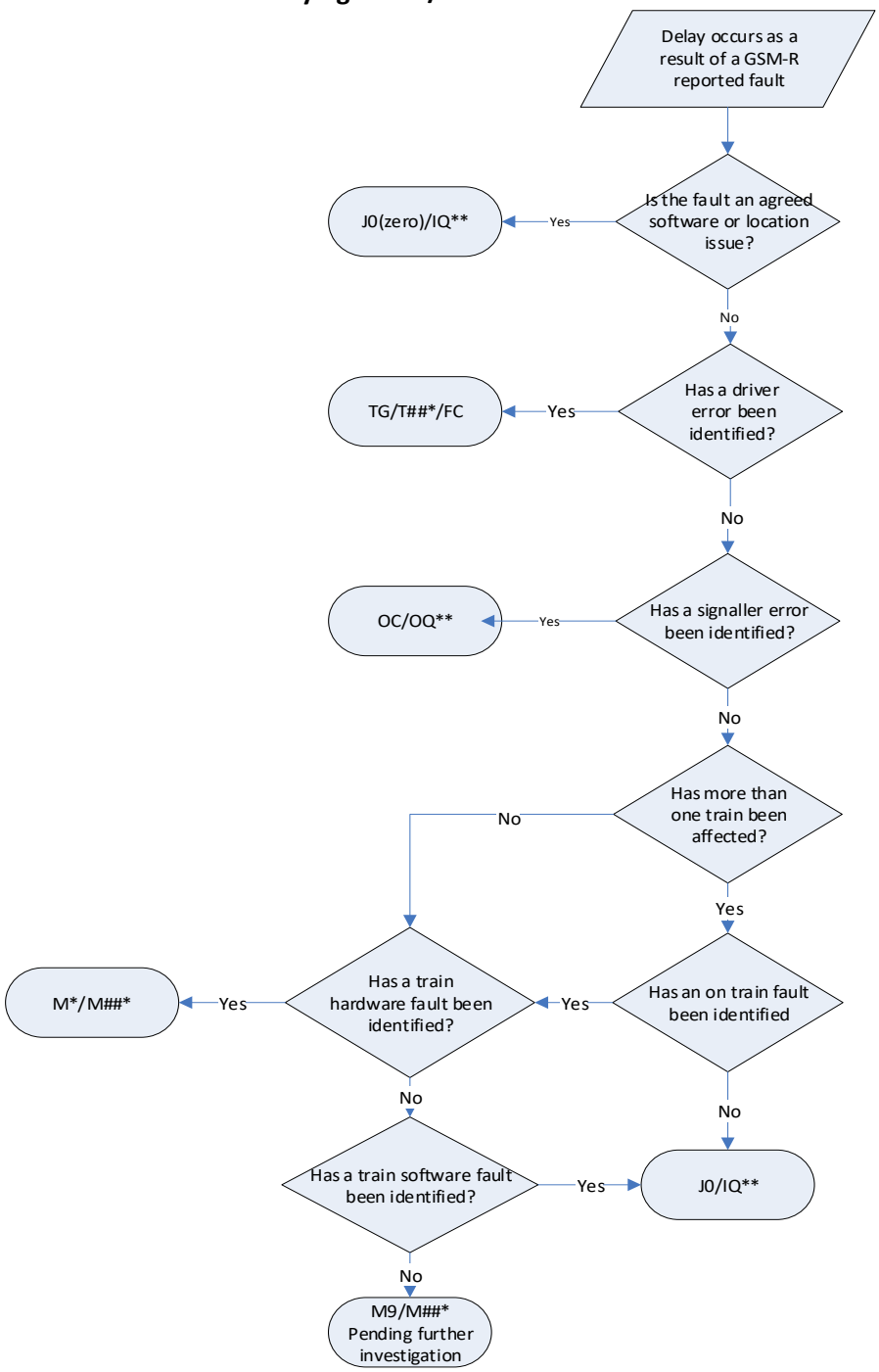
No.	Circumstance	Delay Code	Incident Attribution
a)	A Railway Emergency Call (REC) is initiated and an operational event on the Network is alleged or identified (including Safety of the Line, reported in good faith).		Code as per relevant DAPR Section to the incident causing the REC initiation. Scenario includes cases where a train is standing outside of the Network but cannot access it (Per DAPR H.3.3)
b)	A REC is initiated, unable to identify a responsible party and/or no GSM-R Technician report supplied	J0(zero) or XE if identified as initiated outside of the Network.	Network Rail (IQ**/XQ**). In these circumstances the delays may be recoded to the responsible party when further information becomes available.
c)	REC initiated by a non-track access contract (TAC) party from off Network Rail network causing on-Network delay (Where the unit/loco aren't registered to a Track Access Party).	XE	Network Rail (XQ**)
d)	A REC is initiated in error from a train cab that is on the Network by a member of operational staff authorised to be there, or where it has not been possible to identify the person initiating REC	TG/FC/TH/TZ	Operator of train involved (T##*/F##*)

e)	A REC is initiated in error from a train cab that is on the Network by a member of train maintenance staff or cleaner	MF	Operator of train involved (M##*)
f)	A REC is initiated off Network in error from a train cab delaying trains on the Network	MU/TG/FC/TH/TZ as applicable to staff involved or XE if vehicle does not belong to an access party.	Operator of train involved (M##*) (F##*) (T##*) or Network Rail (X##*)
g)	A REC is initiated off-Network Rail network in error from a train cab, preventing trains from accessing the Network and/or the off-Network Rail network location, including where it has not been possible to identify the person initiating REC	MU or XE if vehicle does not belong to an access party.	Separate incident per operator (M##*) or Network Rail (X##*)
h)	A REC is initiated from a train cab by a person not authorised to be there and no operational event is identified	VA (RZ/FZ for Charter/Freight) or XE if vehicle is not on the Network and does not belong to an access party.	Operator of train concerned V##* (R##*/F##*) or Network Rail (X##*)
i)	A REC is initiated in error by the Signaller	OC (or XE if the signaller works on another network)	Network Rail (OQ**/XQ**)
j)	A REC affecting the Network or access to it is initiated in error by a member of Network Rail maintenance staff or Contractor working for Network Rail	JL	Network Rail (IQ**)
k)	A REC is initiated from within the Network and affects a train that is outside the Network. The directly-affected train is not booked onto the Network but causes congestion affecting other services that are.	To Train Operator - One Incident per Operator affected - TX for Passenger and FZ for FOC	Operator of train concerned (T***/F***)

l)	A REC is initiated outside of the Network and prevents a train on the Network Rail Network (that is able to operate normally on that Network) from accessing the other Network's infrastructure	To Train Operator - One Incident per Operator affected - TX for Passenger and FZ for FOC	Operator of train concerned (T***/F***)
m)	A REC is initiated from outside the Network for a valid reason. Trains on the Network would not be affected by the subject matter of the call but are brought to a stand purely as a result of being in the same GSM-R cell coverage area.	XE	Network Rail (XQ**)

G5 Operational GSM-R Systems – Faults or Failures

G5.1 Flowchart Identifying Faults/Failures



Note: - For agreed No Fault Found please refer to table G5.2(o)

G5.2 Likely Circumstances:

No.	Circumstance	Delay Code	Incident Attribution
a)	GSM-R fault is reported with infrastructure or signal centre based equipment and cause identified	J0 (zero)	Network Rail (IQ**)
b)	GSM-R hardware fault is reported on a train and cause identified including, Cab radio will not switch on or boot up Cab radio locks up or freezes and cannot be used –normally accompanied by a fault message and code such as 'Radio failure 0x' where 'x' is a number between 1 and 7. Or 'Cab Radio fault' and 'Control Panel Failure' Calls cannot be made as the cab radio aerial is defective	M0 (zero)	Operator of train involved (M##*)
c)	GSM-R fault is reported to Network Rail Infrastructure control	I0	Network Rail (IQ**)
d)	GSM-R fault is reported on a train but no fault can be found	M9	Operator of train involved (M##*)
e)	Driver fails to de-register radio	TG/FC	Operator of train involved (T##*/F##*)
f)	Driver error identified including entering wrong registration code	TG/FC	Operator of train involved (T##*)
g)	Call is picked up by the wrong mast and is wrongly routed	J0 (zero)	Network Rail (IQ**) for additional delays caused
h)	Cab based GSM-R equipment vandalised	VA/FZ	Operator of train involved (V##*/F##*)
i)	Infrastructure or signal centre based GSM-R equipment vandalised	XB	Network Rail (XQ**)
j)	Infrastructure maintenance staff error	JL	Network Rail (IQ**)
k)	Registration failure due to Signaller failing to enter train reporting number in Train Describer, train reporting number is entered in wrong berth or incorrect train reporting number entered	OC	Network Rail (OQ**)
l)	ARS fails to enter train reporting number in train describer, train reporting number is entered in wrong berth or incorrect train reporting number entered	OH	Network Rail (OQ**)
m)	Registration failures where Driver receives a registration failure message and no technician report available and no other responsibility identified at this time unable to register at start of journey loss of network (unless can be traced to aerial fault). Call failures/connectivity failures GSM-R technical registration failure.	J0 (zero)	Network Rail (IQ**) In these circumstances the delays may be recoded to the responsible party when further information becomes available.

No.	Circumstance	Delay Code	Incident Attribution
o)	GSM-R signal on a train is lost and both parties agree that the investigation is concluded and no cause has been identified (no other trains affected in that section)	J0(zero)	Network Rail (IQ**)
p)	GSM-R Cab Radio software fault.	J0(zero)	Network Rail (IQ**)

Note: Where the investigations are incomplete, attribution should be made to the Track Access party who did not provide the required information.

G6 Attribution of Delay Incidents Caused by TPWS Intervention or Failure

G6.1 Where TPWS activation is reported by a train Driver any associated delay should be allocated to an incident as follows:

No.	Circumstance	Delay Code	Incident Attribution
a.	TPWS Over Speed or Train Stop intervention against danger aspect.	TG FC	Train Operator (T##*) (F##*)
b.	Driver adhering to company professional driving standards or policy.	TW FG	Train Operator (T##*) (F##*)
c.	TPWS on-train system failure	MT	Train Operator (M##*) (F##*)
d.	TPWS on-track equipment incorrectly installed/positioned.	IJ	Network Rail (IQ**)
e	TPWS TSS Intervention against proceed aspect or indication	IJ	Network Rail (IQ**)

Note: TPWS overspeed is triggered by the calculated average speed between the two TPWS grid pulses processed on board the train and is NOT the speed at the time of TPWS activation itself.

G6.2 Where no fault is found see Section R3.

G6.3 Where a Delay Incident is caused by the TPWS system detecting it has a fault and holding the protecting signal at red any associated delay should be allocated to an incident attributed with the Delay Code IJ.

SECTION H: OFF-NETWORK LOCATIONS

Note: When using this Section H reference should also be made to Process Guides PGD8 and PGD14.

H1 Definitions

H1.1 For the purpose of this Section H, the term 'off Network Rail network location' relates to any non-Network Rail infrastructure not defined as an "Other Network" under paragraph H1.2. Off-network infrastructure will typically include Third Party Fleet Depots, Maintenance Depots, Yards, Terminals, Sidings and larger networks where there is no validated system of train movement reporting to TRUST.

H1.2 The above is distinct from "Other Networks", which are also networks that are not part of Network Rail infrastructure but which are subject to ongoing validated train reporting at recognised Delay Recording Points. Some "Other Networks" may utilise the DAPR for attribution, but this is not always the case.

H1.3 Details of the individual "Other Networks" and any locally-agreed attribution policies that may be in place within them are found in the Process and Guidance document PGD 22. The PGD provides guidance on whether the principles for off-network attribution can also be applied to the Other Network in question.

H2 Waiting Acceptance into an off Network Rail network location

H2.1 Normally the 'Minutes Delay' will be allocated to the appropriate A*, F* or M* Code Incident occurring in the off Network Rail network location and attributed to the Operator whose trains are directly delayed. For multi-operator locations a separate incident should be created for each Operator affected. Responsibility is not attributed to the off Network Rail network location owner.

H2.2 Common scenarios:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure defect or operating problem within an off Network Rail network location affecting trains entering that location.	AA / MU	Incident created for each Operator directly affected. See also PGD14
b.	Off Network Rail network location operating problem, mishap (including staffing, congestion or planning issues) affecting trains entering that location	AA / MU	Incident created for each Operator directly affected.
c.	Trains delayed entering the off Network Rail location due to a defect or problem with another Operator's train at that location.	AA / MU	Incident created for each Operator directly affected.

H2.3 Likely exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure defect or problem on Network Rail network infrastructure affecting trains leaving the Network Rail network	I*/J*/X* as appropriate	See Section O1 and also Process Guide PGD14
b.	Incident within off Network Rail network location, causing trains to be delayed entering that location or an adjacent off Network Rail network location sharing the same connection to the Network Rail network.	Appropriate A*, F* or M* Code	Operator(s) - separate Incident for each Operator affected (A##* / F##* / M##* / N##* / T##*)
c.	Operator of train waiting outside an off Network Rail network location does not provide information on an incident in that off Network Rail network location.	AA / MU	Operator of train concerned (A##* / M##* / N##*)
d.	Delays to trains on the Network Rail network because an early running train cannot enter an off Network Rail network depot, terminal, yard or siding.	OB, OC or OD as appropriate	Network Rail (OQ**) See Section K7

H2.3 For delays associated with depots, yards, terminals and sidings on the Network Rail network please refer to Section H4

H3 Off Network Rail network Infrastructure and Operating Incidents.

H3.1 Normally Minutes Delay caused by an incident in an off Network Rail network location will be coded with the appropriate A*, F*, M* or T* Code and attributed to the Operator of the train(s) directly delayed. For multi-operator locations separate Incidents should be created for each Operator directly affected by the incident each with Responsible Manager Code A##*, F##*, M##*, N##* or T##*, as appropriate. Responsibility is not attributed to the off Network Rail network location owner.

H3.2 Common scenarios:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure defect or operating problem within the off Network Rail network, affecting trains entering or leaving that location.	AA / AX / MU	Incident created for each Operator directly affected. See also PGD14
b.	Operating problem or mishap affecting trains entering or leaving an off Network Rail network location	AA / AK / FZ / MU / TY	Incident created for each Operator directly affected.
c.	Trains delayed entering or leaving an off Network Rail network location due to a defect or problem with another Operator's train at that location.	AA / AZ / MU	Incident created for each Operator directly affected.

H3.3 Likely exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure defect or problem on Network Rail network including with GSM-R network coverage, affecting trains entering the Network Rail network	I*/J*/X* as appropriate	See Section O1 and also Process Guide PGD14
b.	Right time departure delayed waiting passage of late running train(s) on the Network Rail network	YB, YE or YG as appropriate	Incident(s) causing other train(s) to be late at that point
c.	Right time departure delayed waiting passage of early running train on the Network Rail network	OB, OC or OD as appropriate	Network Rail (OQ**) See Section K7
d.	Late departure of a freight train caused by late arrival of inward loco, Driver or wagons (including those off a connecting service) where inward workings are being operated under the same Track Access Contract.	YI/YJ	Principal Incident causing inward loco / crew to be late
e	Fire or Security Alert occurring in an off Network Rail network location that is directly affecting the Network Rail network and preventing trains from passing that location (Not including trains booked into that location or trains in a queue behind those trains) (See Flow Diagrams Q7.7 and Q8.8)	XI / XL (As appropriate)	Network Rail (XQ**)
f	GSM-R REC initiated from an identified unit / loco in an off Network Rail network location where that unit / loco is operated by, or registered to, a Track Access Party (See Section G4)	MU/TG/FC/TH/TZ as applicable to staff involved	Operator or registered Operator of that unit / loco (F##* / M##*/ N##*/ T##*)
g	GSM-R REC initiated from a non-identified unit / loco or by a non-Track Access Party (where the loco / unit is not registered to an Access Party) in an off Network Rail network location (See Section G4)	J0 (zero)	Network Rail (IQ**)
h	Unauthorised ingress of fleet which is not under the control of a Track Access Party onto the network.	XE	Network Rail (XQ**)

H3.4 It will be the responsibility of the Train Operator in any off Network Rail network location to provide the necessary information to Network Rail to accurately allocate the Minutes Delay to an Incident. For Freight Operators this will often 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 Delay Attribution staff must ensure that this reactionary delay is validated and then 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 and attributable to that Train Operator.

H3.5 For delays associated with depots, yards, terminals and sidings on the Network Rail network please refer to Section H4.

H4 Depots, Yards, Terminals and Sidings on the Network Rail network

H4.1 Where a depot, yard, terminal or siding is wholly or partly on the Network Rail network, the responsibility for delays may differ from those locations that are off the Network Rail network. Specifically, only one incident is required to capture cause and responsibility. There is **no** requirement to create separate incidents for each Operator affected as it is for off Network Rail network locations.

H4.2 Common scenarios:

No.	Circumstances	Delay Code	Incident Attribution
a.	Infrastructure defect or restriction within a depot, yard, terminal or siding on the Network Rail network.	I*/J*/X* as appropriate	See per Section O1
b.	Late start from an on Network Rail network depot, yard, terminal or siding due to incident relating to the train, vehicles, crew, loading or other operator cause.	A*/F*/M* as appropriate	Train Operator (A##*/F##*/M##* N##*)
c.	Waiting acceptance into a depot, yard, terminal or siding on the Network Rail network due to late departure of another train from that location.	Y*	Principle Incident causing the late running of either train as per Section K
d.	Delay to a train waiting acceptance into, or departing from a depot, yard, terminal or siding on the Network Rail network due to a late departure, or late arrival, of another train at another on Network Rail network depot, yard, terminal or siding which shares a common connection.	Y*	Principle Incident causing the late running of either train as per Section K
e.	Incident within a depot, yard, terminal or siding on the Network Rail network causing trains to be delayed entering or leaving that location	Appropriate code reflecting identified cause	Principal Incident causing the train to be delayed.
f.	Where a train is not in its booked siding or yard on the Network Rail network and as a result causes a Reactionary Delay that would not have occurred if that train were in its booked siding or yard reactionary delay is allocated to the incident that caused the train to be in the wrong siding or yard	Appropriate Y* Code	Principal Incident causing train to be in the wrong siding or yard.

H4.3 For delays associated with Off Network Rail network depots, yards, terminals and sidings please refer to Sections H2 and H3.

H5 Trains joining Network Rail infrastructure from Off-network passenger network without a reported origin time.

Wherever possible, confirmed origin times of trains commencing their journey at an off-network location must be reported into TRUST before any attempt to attribute a late arrival onto the Network Rail infrastructure is made. This is necessary to ensure that late starts at origin are not spuriously captured as losses in running between the origin and the Network Rail boundary.

However, in some cases no mechanism for obtaining a validated origin report is available, at least in real time. This is most likely to occur on off-network passenger networks where no automated SMART-based reporting exists and no dedicated personnel are resourced to observe and manually report these times.

In these cases, off-network delays must always be allocated to the operator of the train involved in the first instance, using delay code TX or FZ. This may be done by either:

- Interpolating origin departure times for each individual train that subsequently causes reactionary delay, based on the first validated report on the schedule (generally the boundary point where it joins the NR infrastructure)

OR

- Adding a “network delay” incident between the point of origin and the NR boundary in advance, which will enable delays to be auto-allocated to the train operator without the need to infill an origin time. This latter option may only be taken with local agreement from the Operator involved.

Following initial attribution, it may be possible that an operator is able to confirm a valid origin time for a train and that a late start was in reaction to an on-network prime cause in accordance with the reactionary delay principles documented in Section D5 (e.g., where a late start is confirmed as being in reaction to the late arrival of an inward service which had previously incurred delay on the NR network).

In such cases, delays should be reallocated to the relevant prime cause accordingly – bearing in mind the standard principles of completing such amendments within contractual timescales and ensuring that the owner of any incident that is subject to additional delay as a result of the amendment post Day 1 is made aware. Should a reattribution of delay in consequence of such a dispute be necessary, the relevant justification for this must be added to the incident receiving the delay by way of confirmation.

SECTION I: FREIGHT OPERATION INCIDENTS

I1 Loading Problems

I1.1 Use code AG attributing to the Operator of train concerned (A##*). This includes trains overloaded or with open doors etc., leaving a Possession or worksite.

I1.2 Exception:

No.	Circumstances	Delay Code	Incident Attribution
a.	Train conveying dangerous goods	FA	Operator of train involved (F##*)
b.	Train running overweight against the timing load	FX	Operator of train involved (F##*)

I2 Incorrect Marshalling of Trains

I2.1 For passenger trains use Code TZ and for freight trains use Code AZ, attributing to Operator of train involved (M##* or T##*, as appropriate)

I2.2 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	YI	Principal Incident causing late inward arrival
c.	Train incorrectly marshalled due to Signaller allowing portions into platforms or any sidings in wrong order other than due to late running	OC	Network Rail (OQ**)

I3 Cancellation of Freight Services

I3.1 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 the code FL is to be used. This includes where trains are planned not to run.

SECTION J: LATE STARTS AND CREW RESOURCING INCIDENTS

J1 Late Start from Origin

J1.1 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 YI and YJ 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, including the responsible train reporting number.

J1.2 When a train starts late due to the late arrival of incoming locomotive and/or stock operated by a different Train Operator (including those operating under different Track Access Contracts), the late start shall be treated as a separate incident and attributed to the operator of the outgoing train that has departed late.

J1.3 As all parties are expected to mitigate the effects of any delay 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 should be split accordingly.

J1.4 If a train starts late due to train-crew see Section J2

J1.5 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.

J1.6. Refer to Paragraph H5 for late starts from off the Network Rail network where no origin time is available.

J2 Waiting Train Crew

J2.1 Delays or cancellations caused by train crew booking on duty late for whatever reason are the responsibility of the Train Operator and should be allocated to a new Prime Cause incident. This includes circumstances where train crew are late following regulation rest breaks either within the turn of duty or between turns when required to 'lodge'.

J2.2 Normally the Minutes Delay should be coded FE (and not FC) for freight trains or TG/TH for passenger trains and attributed to the Operator.

J2.3 Exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	If the Train Operator confirms that the train-crew were working a late inward service and both incoming and outgoing services (on the same turn of duty) 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 train-crew and the Train Operator confirms that the booked crew have not waited or events where the train-crew Resources Managers have had to provide train-crew (or "step up") to mitigate delays.	YN	Attributed to principal TRUST Incident causing train to be late
c.	If a Train Operator confirms that, prior to working their train, the relevant train-crew were travelling as a passenger on a late running service, provided they had booked on duty prior to travelling on it.	YJ	Attributed to principal TRUST Incident causing the train the train-crew was travelling on to be late.
d.	If prior to working their train (after booking on duty), the relevant train-crew were booked to travel passenger on a train that was a Planned Cancellation (i.e. P* coded in line with the 22.00 cut off the previous day as per paragraph C1.5) - Where diagram commences post the 22.00 agreement deadline.	FH / TC	Operator of train crew booked pass (F##* / T##*)
e.	If prior to working their train (after booking on duty), the relevant train-crew were booked to travel passenger on a train that was a Planned Cancellation (i.e. P* coded in line with the 22.00 cut off the previous day as per paragraph C1.5) - Where diagram is already in operation prior to the 22.00 agreement deadline.	As appropriate to incident causing the Planned Cancellation	Responsibility of incident causing the Planned Cancellation

Note: For delays and cancellations associated with Unplanned Line Blocking Incidents see Section M2

Note: Train Crew, by definition in the Network Code, are "*those persons on a train responsible for the operation of that train*". This can include any on-board staff that are required for safety or operational reasons (e.g. sleeping car attendants) but does NOT

include those staff where the train could effectively run without them being on board (e.g. catering staff carrying solely out catering duties).

J2.4 If a train had to wait for train-crew from a significantly late inward working train, then delay may result while the Driver and or (senior) conductor takes their delayed booked Personal Needs Break (PNB), but still the lateness on departure should be no greater than the inward working.

J3 Traincrew Route knowledge issues (on a booked route)

Delays or reliability events incurred as a result of traincrew not signing a route on a train that they have been rostered to work should normally be attributed to codes FF for freight and TI for passenger operators.

Note: "Booked route" is the line of route which the train is scheduled to run over and/or the platform at the stations which the train is scheduled to call at. It is normally expected that a member of train crew will sign fast and slow lines and passing loops where route cleared. However, scenarios exist at more complex locations where crews will only sign specific lines and platform numbers.

Exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Route Code is omitted from a driver's diagram (rostering decision taken based on incorrect diagram information)	TA/FF	Operator of train involved (T##*/ F##*).
b.	Driver or Train Manager has not updated their route card to allow valid rostering	TG/TH/FC	Operator of train involved T##*/ F##*
c.	Infrastructure not commissioned in line with traincrew brief	I*/J*	Network Rail organisation managing the project (IQ#*)
d.	Awaiting Route Conductor for diversionary working (Route Conductor late on duty)	TG/FE	Operator of train involved (T##*/ F##*).
e.	Awaiting Route Conductor for diversionary working (Route Conductor's previous working was late)	YJ	Reactionary to biggest applicable delay on previous working
f.	Where an agreed mitigation plan has an error or omission	Per DAPR Section L1	Schedule Error – Attribute in accordance with principles in DAPR L1
g.	Route code missing from schedule resulting in signaller routing train via a route or chord that the traincrew don't sign	Per DAPR Section L1	Schedule Error – Attribute in accordance with principles in DAPR L1

See section M1 for detail on route knowledge issues arising from unplanned diversions.

SECTION K: REGULATION AND SIGNALLING OF TRAINS

K1 Where a train has been held at a regulating point for another train or, if a train is delayed following a slower running train that has been allowed to proceed, and for no other given reason, this is against 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**).

Note – Regulating Instructions will vary across the network from either specific location or specific train instructions to more general guidance such as 'for PPM'.

K2 If a train is delayed at or between successive regulating points as a result of the correct application of the Regulating Instructions and for no other given reason, then the appropriate Y* code is to be used for the Minutes Delay. These delays should be attributed to the principal TRUST Incident of the most late train that caused the need to regulate at that point. 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 paragraph P2.2

K3 Where general Regulating Instructions are given to Signallers (e.g. regulate for PPM) there may be occasions where the regulation is deemed appropriate at that point in time but could have greater unforeseen impact outside that Signaller's operational sphere.
When reviewing such regulating decisions the reviewer should consider the following points prior to reaching their conclusion:-

- Is the regulation carried out in line with the Regulation Instruction for that location (PPM, FDM, Right Time or overall delay)? – Any attribution responsibility decision should be based on the same consideration.
- If any trains ultimately fail(s) PPM, cognisance needs to be given to the distance travelled and other influences on that train post regulation.
- Can the impact of 'what may have happened' if the regulation was reversed be ably demonstrated?
- Could any subsequent events (further regulation / interactions) occurring after the regulation is realistically factored into the regulating decision?
- Can the rationale of the decision be provided by a representative of the controlling location, demonstrating why an alternative option was not taken?
- Would the regulation be considered appropriate if all affected trains were run by one Operator?

If after due consideration the regulation is deemed to be within the general Regulation Instructions for that location; but the impact is considered to be greater than if the regulation decision had been reversed then the resulting Minutes 'Delay should be coded OA (or OD if direction of Route Control) and attributed to Network Rail (OQ**)

If after consideration the reactionary impact to the regulation is considered to be of similar impact regardless of the decision made, then the principles set out in paragraph K2 should apply.

K4 Where the Signaller incorrectly applies a specific regulating policy (i.e. where the instruction relates to specific trains or class of trains rather than general principles) then any resulting delay should be attributed to a new Prime Cause and coded OB.

K5 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 who created the simplifier or the source of the information. The only exception is when the simplifiers produced by Capacity Planning specifically for the Signallers and which should be coded to (QA/QM/QQ**).

K6.1 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**.

K6.2 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 Signaller at the appropriate point, a second incident should be created coded TG/T##* or FC/F##* and any delays divided equally between the two incidents.

K7 Regulation of early running trains

No.	Circumstances	Delay Code	Incident Attribution
a.	Train running early and out of path (any reason) and regulating error occurs at point of delay (i.e. early train could have been held at that point causing no delay)	OB	Attribution to LOM code controlling section that regulation error occurred (OQ**)
b.	Train running early and out of path that could have been held at a prior regulating point where no delay would have occurred (no regulating error at point of delay)	OC	Attribution to LOM code controlling section where train could have been held Note – if the section is on another Route then Section B6.17 applies (OQ**)
c.	Train running early and out of path on control agreement, if opportunities to mitigate via subsequent regulation, per scenarios a and b, did not exist	OD	Attribution to go to the Control Manager that agreed running early
d.	Train running early and out of path due to a Driver/Shunter request that signaller agrees to (i.e. not processed through Control)	OC	Attribution to LOM code controlling the 'box that allowed early running (OQ**)

	if opportunities to mitigate via subsequent regulation, per scenarios a and b, did not exist		
e.	Train running early and out of path as a direct result of a known incident – e.g. diverted via quicker route if opportunities to mitigate via subsequent regulation, per scenarios a and b, did not exist	Prime cause incident	Attribution to the incident causing early running.

K8 Permissive Working at stations

No.	Circumstance	Delay Code	Incident Attribution
a	Member of station staff has not confirmed with the Signaller that a train has stopped in the correct part of the platform, meaning the second train for that platform has been held outside.	OC where advice is an aid to the Signaller OR where advice is part of agreed Operational Procedure	Network Rail OQ**
b	Either of the trains involved is longer than planned but there was notification of this. The Signaller has routed the second train into the booked platform, and the train doesn't fit.	OC where Signaller was aware OD where Control were aware but failed to advise Signaller	OQ**

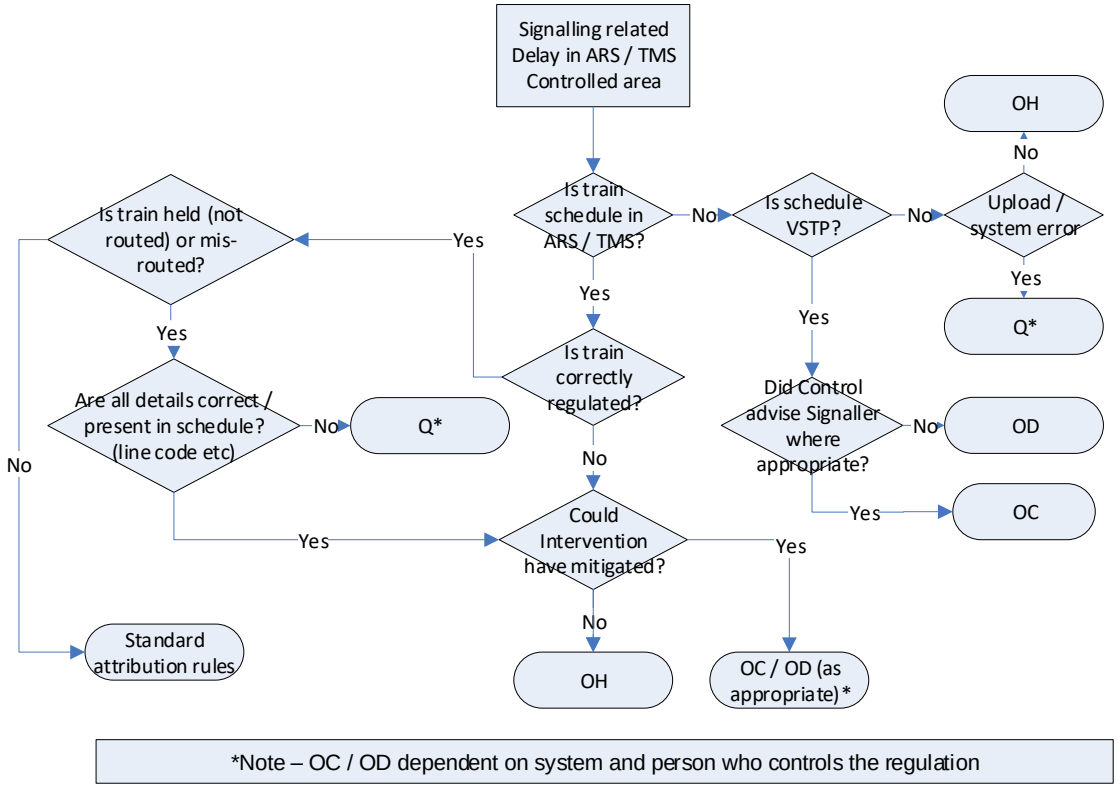
Note: For further scenarios and allocation relating to Permissive Working at stations please refer to Process Guide Document PGD10

K9 Stock Swaps

No.	Circumstance	Delay Code	Incident Attribution
a	The Signaller carries out an unplanned stock move and there are no pre-agreed localised arrangements in place between Network Rail and the Operator	OC	Network Rail (OQ**)
b	Network Rail Control agrees to a stock swap and re-plans with no delay impact foreseen. The Signaller deviates from the Control plan.	OC - Where no rationale is provided for the deviation from the plan.	Network Rail (OQ**)
		Where the rationale for deviation is explained allocate to that reason.	Reaction to reason identified

Note: For further scenarios and attribution relating to Stock Swaps please refer to Process Guide Document (PGD16)

K10 Flowchart covering signalling delays in ARS and TMS controlled areas. Any delays caused by schedules that are not compliant with the Capacity Planning Rules (i.e. don't work) should be dealt with under Section L



K11 – Delays due to the application of local signalling instructions

No.	Circumstances	Delay Code	Incident Attribution
a.	Local instruction correctly applied for general, non-fleet specific safety purposes (including those associated with permissive working at stations)	OR	Network Rail LOM code (OQ**)
b.	Local instruction correctly applied to mitigate the impact of a known Accepted Design Limitation with an infrastructure asset	I* (specific to asset involved)	Network Rail (IQ**)
c.	Local instruction correctly applied to mitigate adhesion risks (e.g application of a “clear run” policy) during Autumn	MP/QH/QI (Appropriate to circumstance per DAPR Section F)	Train Operating Company (M***)/Network Rail (QQ**)/Network Rail (QQ**)
d.	Local instruction correctly applied to mitigate adhesion risks (e.g application of a “clear run” policy) outside of Autumn	MP	Train Operating Company (M***)
e.	Local instruction correctly applied to mitigate weather-related risks to fleet (where no operational restriction would otherwise be required)	MW	Train Operating Company (M***)
f.	Incorrect application of a local signalling instruction*	OC	Network Rail LOM code (OQ**)

**“Incorrect application” in the above context means the application of an instruction to a train that should not have been subject to it or where the operational circumstances did not merit it. In both cases, this should be clear and identifiable at the point of delay and not applied retrospectively in scenarios where regulation that is accordance with the instruction, but which may not have been necessary in retrospect.*

K12 Flow Chart covering the attribution principles for Train Regulation

Note: Regulation of trains running with no schedule:-

The Special Train is run as a priority and with no schedule. Any resulting delays should be coded to OD (See DAPR E6)

Trains running with no schedule as part of service recovery / failed train recovery should be treated as being under 'Control Instruction' for the purposes of this flow diagram (also refer to DAPR M3)

Any other train running with no schedule should have the same principles as early running applied for the purposes of this flow diagram.(also refer to DAPR L1.8)

SECTION L: TIMETABLE AND RESOURCE PLANNING INCIDENTS

L1 The Train Plan

L1.1 This section reflects the responsibility of and requirement on Network Rail to produce a validated train plan, paths and schedules for all services operating on the Network.

L1.2 All schedule errors contained within TRUST are the responsibility of Network Rail. They should be validated prior to uploading. This is irrespective of Operator access requests or any incidents causing the need for revised plans or schedules to be produced. Likely circumstances and coding are as follows:

No.	Circumstance	Delay Code	Incident Attribution
a	Schedule error/ clash caused by a WTT/LTP service	QA	Network Rail QQA*
b	Schedule error/ clash caused by an STP/VAR service	QM	Network Rail QQA*
c	Schedule error/ clash within VSTP (where no validated WTT/STP timings have been used)	QN	Network Rail QQ**
d	Schedule error/ clash within VSTP (where the service is running in the same validated WTT/STP timings)	QA/QM (WTT or STP dependent)	Network Rail QQA*
e	Operator and Network Rail agree not to retime trains for pre-planned Possessions between the recording points or where Network Rail fail to make necessary re-timings	QB	Network Rail QQA*
f	Delay due to RT3973 conditions being requested by the Operator but the schedule does not allow for the restrictions	QA/QM (WTT or STP dependent)	Network Rail QQA*
g	Delay due to RT3973 not being requested by the Operator	FH/TA	Train Operator (F##*) (T##*)
h	Short Term Plan (STP) errors in connection with a freight schedule	QM	Network Rail (QQAK)

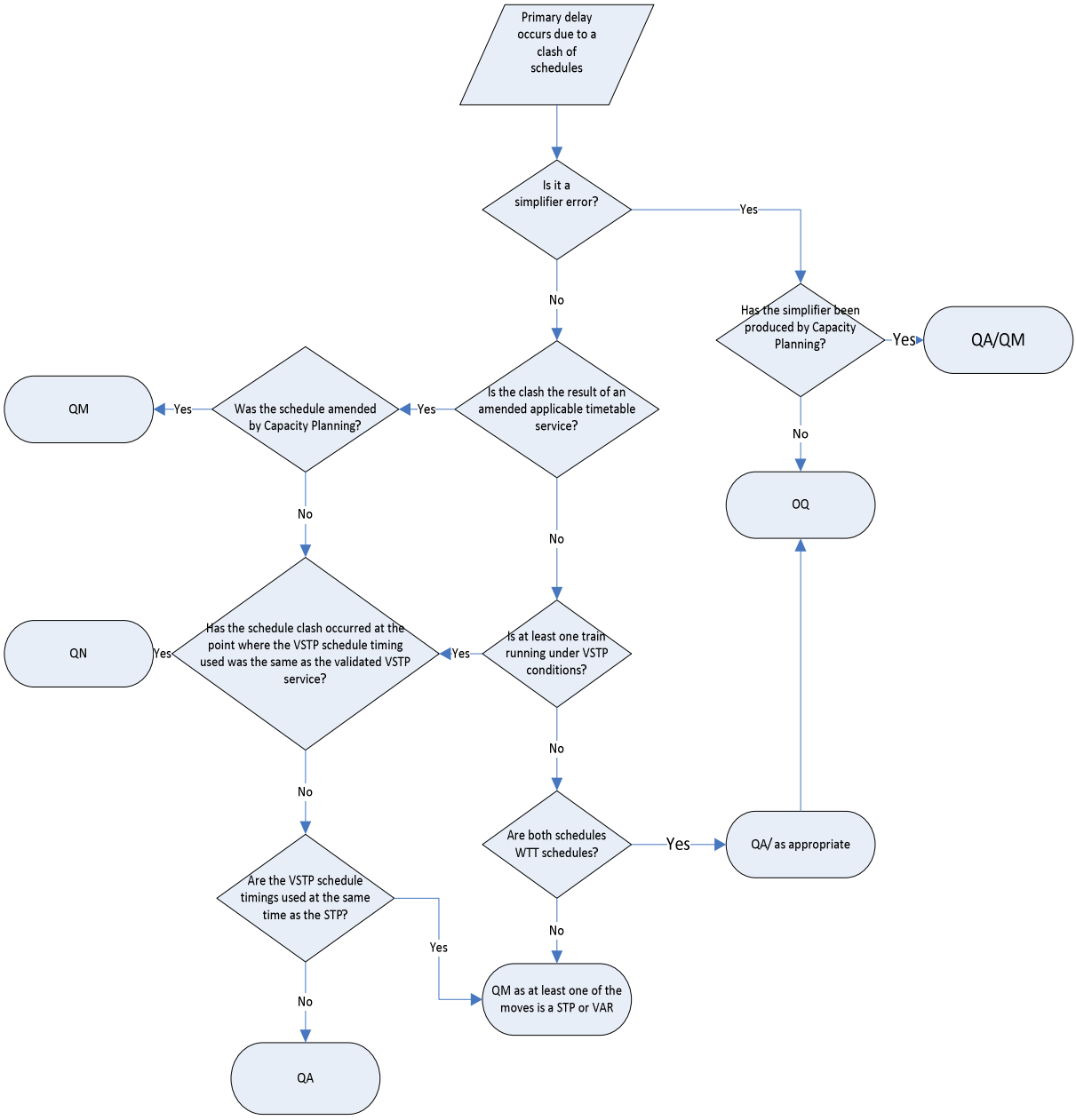
Note 1*:* If the delay cause is confirmed as due to the Operator's documentation not corresponding with the uploaded schedule(s) and

- Provided that Network Rail's response to the relevant access request by that Operator was made within the timescales laid down in Part D of the Network Code; and
- Provided that no error(s) has been introduced to the uploaded schedule(s) then:

Code FH for freight operators and TA for passenger operators should be used.

Note 2: For delays and cancellations associated with Unplanned Line Blocking Incidents see Section M2

L1.3 Guidance for the attribution of incidents due to Planning related delays



L1.4 Delays to freight and non-applicable passenger trains running under VSTP schedules may be allocated to delay code PN in the following circumstances only:

- The train running under VSTP loses under 5 minutes in running with no identified reason **and** causes no reactionary delay to other trains as a result of its late running; or
- The train running under VSTP loses under 5 minutes in running due to an issue with the VSTP schedule **and** causes no reactionary delay to other trains as a result of its subsequent late running; or
- The train running under VSTP loses under 5 minutes delay due to being regulated for another service (due to the VSTP schedule) **and** causes no reactionary delay to other trains as a result of its subsequent late running.

These criteria do not apply to applicable passenger services that happen to have been input via the VSTP process. Delays on such trains are not eligible for the PN code under any circumstance.

L1.4.1 If the train running under VSTP incurs a delay that is not related to its schedule or incurs a delay of 5 minutes or more to itself or causes reactionary delay to another train then all delays incurred, including that to the train running under the VSTP, should be attributed to the appropriate Delay Code and **not** PN.

L1.5 Trains not cancelled via the Train Planning System (TPS), but which are agreed to be cancelled prior to 22.00 the day prior should be allocated to incidents with delay code PE (for cancellations stemming from a Network Rail restriction of use) or PG (for those stemming from an Operator requirement), and Responsible Manager Code PQ**. Where the cancellations or alterations are in relation to an emergency train plan that plan must be prescriptive in the trains affected (either by specific train IDs or clock face departure times)

L1.6 Delay Code PD is automatically applied to any schedule planned cancelled in the TPS so manually cancelled schedules must **not** be allocated to PD whether or not they should have been processed through that system.

L1.7 Where a freight train is provided with an Alternative Train Slot (VSTP) under the Management of Freight Services during disruption protocol (NOP 3.26), the cancellation of the Base Train Slot should be attributed to the TRUST delay incident created for the disruptive event that has caused the need for the Alternative Train Slot to be implemented.

L1.8 For any train running without a schedule on the Network Rail network which incurs and or causes delay the following should apply:

- If a train is running without a schedule and no other cause is identified any resulting reactionary delay incurred by other trains should be attributed to OC or OD (as appropriate) for running the train without a schedule.
- If a train running with no schedule is part of failed train recovery activity then refer to Section M3.3.
- If a delay cause can be clearly ascertained any reactionary delays caused by the train running with no schedule should be attributed to the identified cause with a clear explanation provided in that TIN.

L2 Stock Provision

L2.1 Provision of Stock (Passenger Operators)

L2.2 It is the responsibility of the Train Operator to provide the diagrammed rolling stock (length / type) as per the agreed plan at 22.00, the day prior to operation.

Delays or cancellations caused by either

- the non-provision of stock or;
- the provision of non-diagrammed stock type for whatever reason;

should be allocated to a new Prime Cause incident.
This includes circumstances where stock is damaged or displaced.

L2.3 Exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a.	Stock change or provision of different stock (length, capacity, capability)to that specified in the diagram is due to an incident that occurs post agreement of the plan of that day (22:00- see paragraph C1.5) or, if by agreement, between Network Rail and the Operator(s) the schedules will not be amended	As appropriate to incident causing change	As appropriate to incident causing change
b.	Operator made visible mitigation 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
c	Where an agreed mitigation timetable plan contains conflicts, errors or omissions aside from those covered by Scenario d below (see paragraphs L1.1/L1.2	OD/QN	Network Rail (O##*/Q##*)
d	Where an agreed mitigation resource plan (crew/stock) contains conflicts, errors or omissions as a result of the operator not making Network Rail aware of these (see paragraphs J2.1 and L2.2)	TC	Operator (T##*)
e	Ad hoc changes are made by Network Rail to a previously agreed plan without reference to the operator, which do not account for the impact on onward stock or traincrew workings	OD/QN	Network Rail (OQ#*/QQ#*)

Note: For delays and cancellations associated with Unplanned Line Blocking Incidents see Section M2

L2.4 Provision of specified equipment (Freight Operators)

L2.5 It is the responsibility of the Freight Operator to provide suitable Specified Equipment (locomotives/vehicles) to meet the operating characteristics of the planned Train Slot (whether WTT, STP, VSTP). Delays or cancellations caused by either

- the non-provision of Specified Equipment or;
- the provision of Specified Equipment that cannot meet the operating characteristics of the planned Train Slot for whatever reason should be allocated to a new Prime Cause incident. This includes circumstances where Specified Equipment is damaged or displaced.

L2.6 Exceptions:

No.	Circumstances	Delay Code	Incident Attribution
a	Provision of Specified Equipment that cannot meet the operational characteristics of the planned Train Slot (whether WTT, STP, VSTP) due to an incident that occurs post agreement of the Train Slot for that train.	As appropriate to incident causing change	As appropriate to incident causing change
b	Operator made viable mitigation 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
c	Where an agreed mitigation plan (e.g. an Alternative Train Slot under MFSdD) contains conflicts, errors or omissions aside from those covered by Scenario d below (see paragraphs L1.1 / L1.2)	OD / Q*	Network Rail (O##* / Q##*)
d	Where an agreed mitigation plan (i.e. an Alternative Train Slot under MFSdD that has been created by Network Rail and shared with the train operator) has not accounted for onward workings of Specified Equipment or traincrew as a result of the operator not making Network Rail aware of these (see paragraphs J2.1 and L2.5)	F* / M*	Operator (F##* / M##*)
e	Ad hoc changes, which do not account for the impact on onward stock or traincrew workings, are made by Network Rail to a previously-agreed plan without further reference to the operator	OD/QN	Network Rail (OQ#*/QQ#*)

(For the purposes of this Section, “Specified Equipment” means freight railway vehicles (i.e. locomotives and wagons)

Note: For delays and cancellations associated with Unplanned Line Blocking Incidents see Section M2.

SECTION M: SERVICE RECOVERY AND CONTINGENCY PLANS

M1 Diversionary Route Knowledge

No.	Circumstances	Delay Code	Incident Attribution
a.	Train is requested to be diverted in line with pre-agreed contingency plans but train crew do not have the required route knowledge.	FF/TI	Operator of train unable to be diverted (F##*/T##*)
b.	Train is requested to be diverted over a route that is not included in pre-agreed contingency plans and crew do not have required route knowledge.	As appropriate to incident causing diversion request	As appropriate to incident causing diversion request.

M2 Delays Emanating From Unplanned Line Blocking Incidents

M2.1 This section covers delays resulting from situations where unplanned line blocking incidents occur which require short notice revisions to the train plan for the next days(s) or even week(s). For the purposes of this section, unplanned line blockages are considered as an event occurring where:-

- It is known an individual line or entire route will be fully or partially restricted for the following day(s)

M2.2 Excluding the unplanned line blocking incident itself, some of the circumstances that may generate delays as a result of the unplanned line blocking incident are:-

- Individual Schedules uploaded as part of the contingency plan contain errors
- Part or all of the overall contingency train Plan doesn't work (even if individual schedules do)
- The agreed train (unit / loco / wagon) resource plan doesn't work or can't be resourced
- The agreed Train Crew resource plan doesn't work or can't be resourced
- The agreed Yard resource plan doesn't work or can't be resourced
- Required Industry resources are not available to re-plan and agree a validated train plan
- Agreement cannot be reached over the amended plan or a pre agreed contingency plan is enforced as default
- Timescales do not allow re-planning (e.g. incident happens at 21:30 for the 22:00 cut off)
- Other factors impacting the implementation of the plan (e.g. stock balancing affected by another impacting event or a required route closed for a possession)

M2.3 In such circumstances set out in paragraph M2.2, consideration should be given to the allocation of the resulting delays based on the circumstances of each occurrence and critically whether Parties have taken reasonable steps to avoid and/or mitigate the effects of the incident (delays or cancellations) on the following day(s).

M2.4 It should be considered that attribution direct to the causal line blocking incident itself should cease once an agreed amended plan is in place.

M2.5 Where opportunity exists and dependent on the time of occurrence and scale of the incident, the revised plan for Passenger Operators could be agreed prior to 22:00 on the day of the incident occurring. For Freight Operators the MFSdD process should be applied. For incidents expected to last for more than 3 days the revised plan should be progressed under the standard STP Timetable Planning processes (see Section L1).

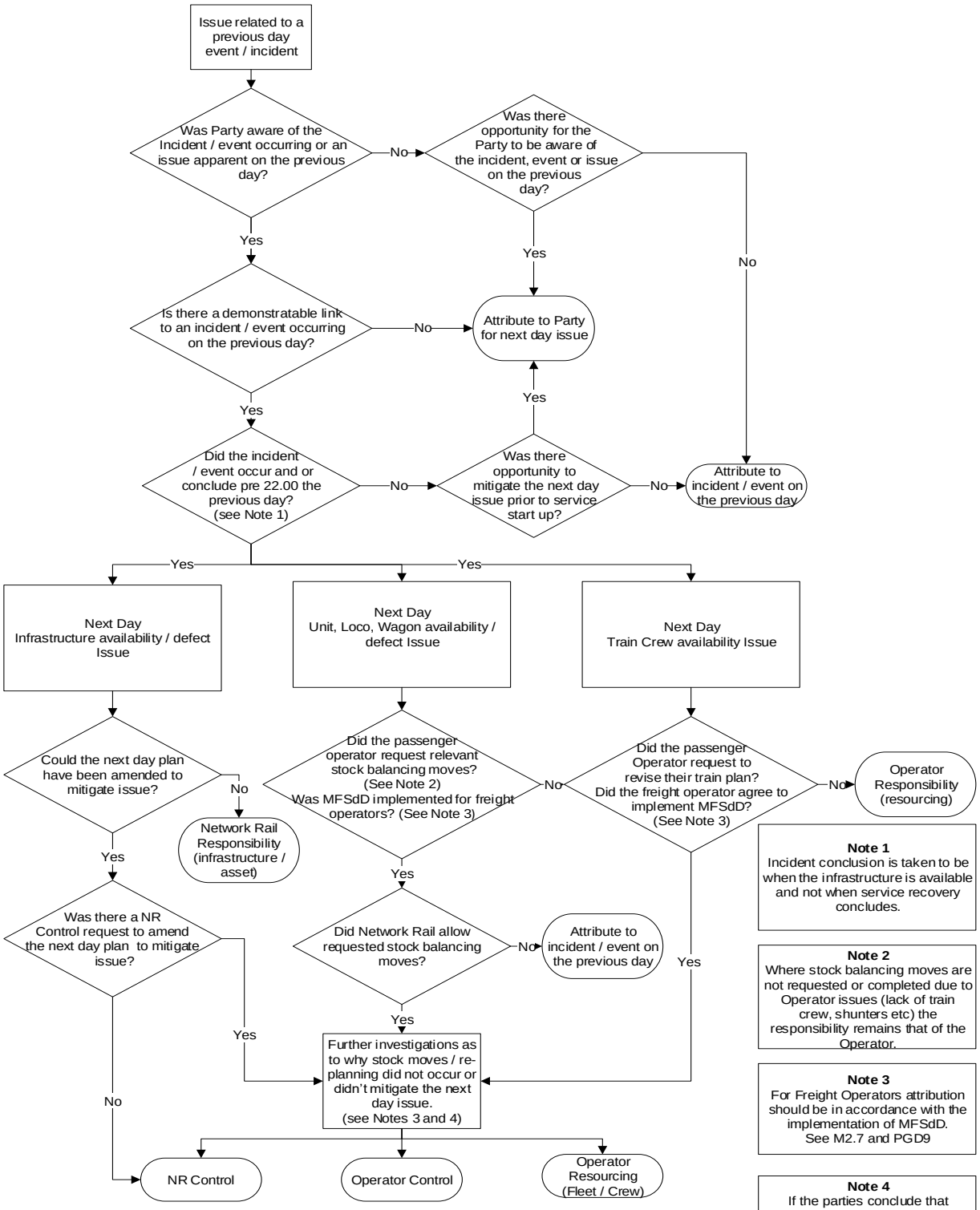
M2.6 Once the agreed plan is in place, considerations made when reviewing allocation of subsequent delays or cancellations should factor whether they could have effectively been mitigated under the circumstances by any Party (see also D4); Any failure to take such steps shall be regarded as a separate incident to the relevant Party (See Section J2 Crew Resourcing; Section L2 Stock Provision and Section L1 The Train Plan for associated scenarios and principles).

Likely Scenarios:

No.	Circumstances	Delay Code	Incident Attribution
a	The cancellation or late start could have been pre-empted and therefore planned	TC / FZ / OD	Train Operator (T##* / F##*) or Network Rail (OQ**) as appropriate
b	A decision was made for no plan to be implemented (where opportunity exists) and operations were managed on a day to day basis.	OD	Network Rail OQ**
c	Planning issues where the plan was initiated and uploaded through VSTP Control arrangements under best endeavours.	QN (for individual schedule issues) OD (for issues with the train plan).	Network Rail (QQ** / OQ**)
d	Schedule issues where the agreed plan was processed and uploaded through standard Capacity Planning STP processes (officially bid, validated, uploaded)	QM	QQ**
e	The conditions of the block or restriction change daily (i.e. not a solid state) where a line may open in stages or partially open with restrictions.	Plan should reflect daily situation and be attributed as appropriate scenarios above	Plan should reflect daily situation and be attributed as appropriate scenarios above

M2.7 Different considerations may be appropriate for Freight Operators given the nature of their business and operations. In such cases please refer to DAB Process Guide Document PGD9 – Managing Freight Services during Disruption for principles of attribution in these circumstances

M2.8 The following flow diagram sets out the principles of attribution where the impact of an incident continues into the following day, whether the incident has ended or where a line remains blocked



M3 Service Recovery

M3.1 Activities relating to Service Recovery

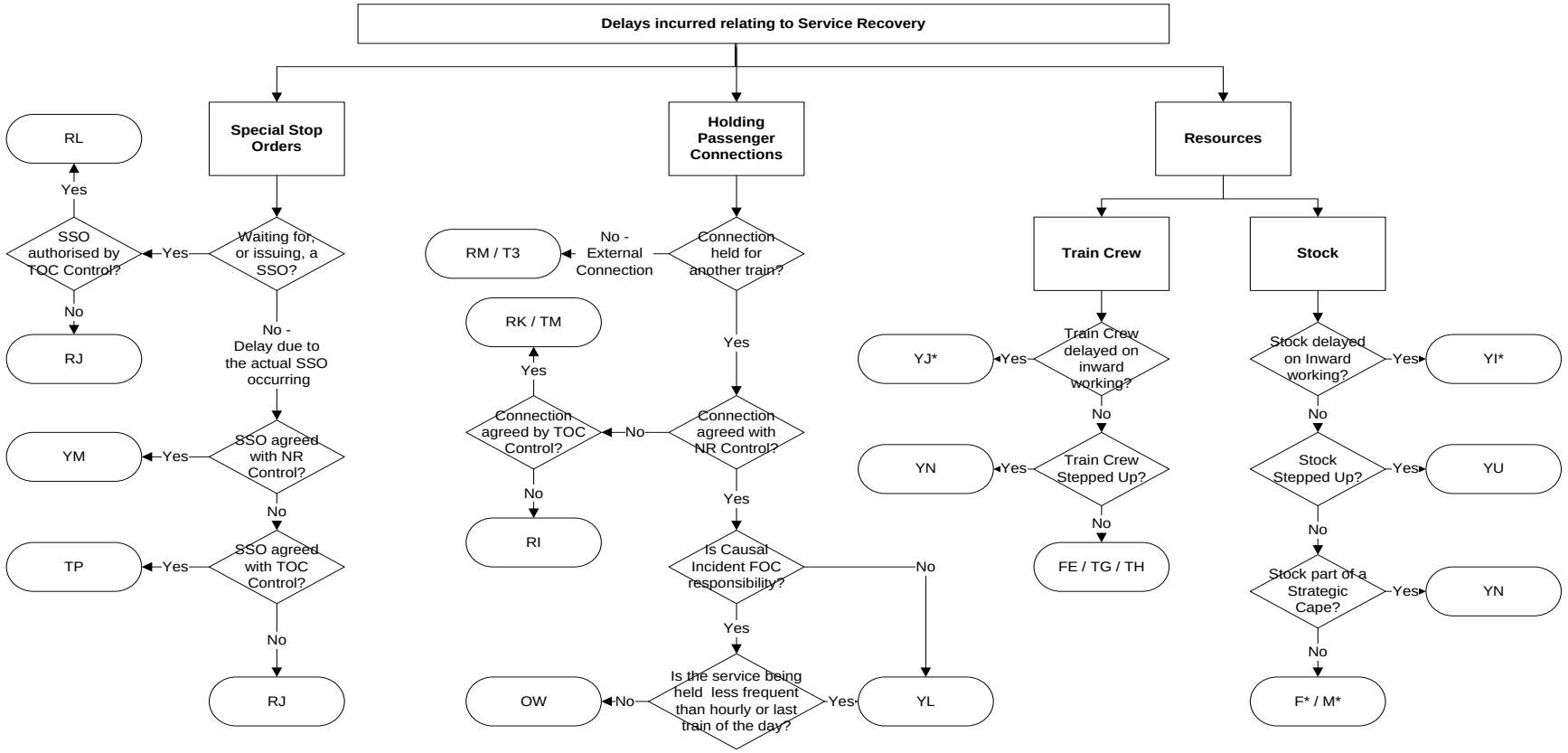
Note: In all Service Recovery scenarios shown above the decisions and activity should be recorded as part of the 'SRCT' process to aid appropriate and efficient attribution of any associated delays.

No.	Circumstances	Delay Code	Incident Attribution
a.	Waiting for authorised Special Stop Orders to be issued	RL	Operator of train involved (R##*)
b.	Waiting for unauthorised Special Stop Orders to be issued	RJ	Operator of train involved (R##*)
c.	Special Stop Order within TOC and Network Rail Contingency Plan or agreed as part of a Service Recovery Plan	YM	Prime incident causing train to require SSO
d.	Special Stop Order authorised by TOC Control but outwith the TOC and Network Rail Contingency Plan	TP	Operator of train involved (R##*)
e.	Special Stop Order not authorised by TOC Control and out with the TOC and Network Rail Service Recovery Plan	RJ	Operator of train involved (R##*)
f.	Waiting passenger connections from other trains-arranged locally by station staff and not authorised by Control	RI	Operator of train being held (R##*)
g.	Waiting passenger connections from other trains authorised by TOC station staff in accordance with a pre-authorised TOC plan (but not in accordance with any agreed TOC/Network Rail connectional policy)	RK	Operator of train being held (R##*)
h.	Waiting passenger connections from other trains authorised by TOC Control (but not in accordance with any agreed TOC/Network Rail connectional policy)	TM	Operator of train being held (T##*)
i.	Waiting passenger connections within the Connectional Policy or agreed as part of a Service Recovery Plan	YL	Prime incident causing incoming train to be late at that point

j.	Waiting passenger connections from other forms of transport (e.g. replacement buses) authorised by TOC Control but out-with TOC/Network Rail Connection Policy	T3	Operator of train being held (T##*)
k.	Waiting passenger connections from other forms of transport (e.g. replacement buses) - arranged locally by station staff and not authorised by Control	RM	Operator of train being held (R##*)
l.	During an ongoing disruptive incident, a member of train crew is stepped up / reallocated duties for service recovery purposes.	YN	Prime incident necessitating the reallocation of train crew
m.	In relation to an ongoing disruptive incident, it is agreed to cancel a train (in full or part) to reduce services through the affected area.	YR	Prime incident necessitating the cancellation decision
n.	In relation to an ongoing disruptive incident a unit / loco is stepped up / reallocated to another service for service recovery purposes	YU	Prime incident necessitating the unit / loco to be reallocated to another service

Note: In all Service Recovery scenarios shown above the decisions and activity should be recorded as part of the 'SRCT' process to aid appropriate and efficient attribution of any associated delays

M3.2 Flowchart covering Service Recovery activities



M3.3 Failed Train Recovery

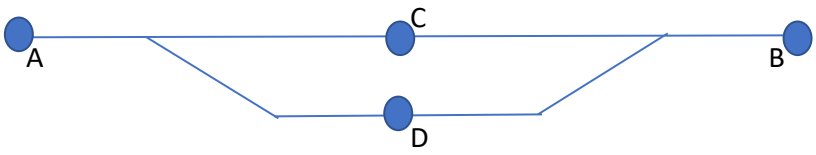
No.	Circumstance	Incident Attribution
1	Operator 'A' loco / unit is hired or commandeered under the Railway Operational Code to rescue a failed train operated by Operator 'B'. The rescue loco / unit whilst working under rescue mode fails. Either:- • On the way to the failed train • Once attached to and hauling the failed train • Whilst working back from where commandeered	Attribute to a separate incident but still coded to the same Responsibility of the original failed train incident to Operator 'B'
2	Operator 'A' loco / unit is hired or commandeered under the Railway Operational Code to rescue a failed train operated by Operator 'B'. The rescue loco / unit whilst travelling to site of the failed train is delayed by another incident impacting recovery further.	Attribute any delay incurred to the rescue train / loco to the second impacting incident Any additional delay caused to the recovery operations of the failed train should remain attributed to Operator 'B'
3	Operator 'A' loco / unit is hired or commandeered under the Railway Operational Code to rescue a failed train operated by Operator 'B' resulting in a delay or cancellation to a subsequent Operator 'A' working.	If the loco / unit is **hired**: Attribute subsequent cancellation / delays to a new incident coded to the Responsibility of Operator 'A' If the loco / unit is **commandeered**: Attribute to the incident of the original failed train of Operator 'B' (See Notes below)
4	Operator 'A' loco / unit is hired or commandeered under the Railway Operational Code to rescue a failed train operated by Operator 'B'. The rescue loco / unit once attached to the failed train runs under VSTP conditions* but un-validated to clear the line. (*whether the same schedule as the failed train, new schedule or no schedule)	Delay to the VSTP train itself (if a new schedule) **under 5 minutes** PN Delay Code per Paragraph L1.4 (on the basis that the train operating in this circumstance will be on a freight or non-applicable schedule) Delay to the VSTP train itself of **5 minutes and over** and any other reactionary delay to other trains to be attributed as continued impact of the original failure of Operator 'B' train (Attributed to same incident of the original failure)

NOTES:
If a loco or unit is 'hired' from an Operator it is construed as a Commercial decision. If a loco or unit is 'commandeered' from an Operator it is **not** construed as a Commercial decision as there is effectively no 'choice'.

The same principles set out in the table above also apply to train crew if they are utilised to assist with working the rescue loco or unit or part of the recovery operation.

M4 Diversionary Routes

M4.1 The following diagram is provided to support this Section M4 and set out the attribution principles for line blocking incidents and diversionary routes.



Reference should also be made to Process Guide PGD11 Queue of Trains.

M4.1.1 In the following paragraph 'Line block incident' can be taken to be either an infrastructure or train related cause.

M4.2 Unplanned line block incident at C and diversionary route via D open

M4.2.1 Any delays experienced to trains going through C or running on diversion via D (including reactionary delays) should be allocated to the incident at C.

M4.3 Unplanned line block incidents at both C and D

M4.3.1 When two unplanned line blocking incidents are ongoing simultaneously, and each prevents use of the diversionary route to mitigate the other (i.e. a train cannot be diverted) then any delays or cancellations resulting from those events should be attributed as a direct delay to the incident occurring on the train's booked line of route (and not the incident preventing the diversion).

M4.3.2 Where a line blocking incident occurs first (at C) and another line blocking incident then occurs (at D) then attribution should be as follows: -

i. Trains booked via C that are delayed going through C allocated to the incident at C
ii. Trains booked via C that are diverted via D and are delayed due to the diversion (i.e. prior to the incident at D) allocated as scenario above (to the incident at C)
iii. Trains booked via C that are diverted via D and are then also delayed by the incident at D attributed to both incidents in proportion to the impact (i.e. if the diversion causes 10 minutes delay to journey time then 10 minutes allocated to the incident at C – any additional delay allocated to the incident at D)
iv. Trains booked via C that would have been diverted via D but couldn't be (when the incident at D occurred prior to the opportunity to divert that train) allocated to the incident at C (i.e. the direct cause of the delay to that train is the incident on its booked line of route not the inability to divert the train)

Note 1: The same principles would apply as above for trains booked via D.

Note 2: Where a second unplanned incident occurs after a train is already on diversion (rather than prevented from taking that diversion) then any additional delay (over and above that which would be ordinarily caused by that diversion) should be attributed to the second unplanned event.

M4.4 Unplanned line block incident at C and a Planned line block incident at D

M4.4.1 Any delays experienced by trains booked via C should be allocated to the incident at C. The diversionary route is planned not to be available and thus cannot be the cause of delay.

M4.4.2 For attribution purposes the term planned is deemed to represent what is in the agreed plan of the day as at 22.00 the day before in terms of infrastructure availability, the associated train plan and any Train Operator resources (e.g. stock and train crew). This includes: -

- Assets planned not to be used where no amendment to the plan is required (e.g. sidings or loops that are not used in everyday operations).
- Assets planned not to be used where the short-term plan is amended to reflect it (e.g. a platform out of use, units out of service, train crew strike or a line of route closed due to a land slip)
- Assets planned not to be used where the longer-term plan is amended to reflect that restriction (e.g. a booked engineering possession)

Note: Where any Industry asset is unavailable for use and is not planned to be utilised in the Plan of the Day that asset cannot be considered to be a new Prime Cause of delay, or considered a Failure to Mitigate, should an unplanned incident occur requiring use of that asset.

SECTION N: STATION OPERATING DELAYS

N1 Station delays are attributable to the Operator of the trains concerned and not to the station owner.

N2 All the following circumstances are equally applicable to Network Rail Managed Stations. Network Rail is only responsible for delays in its capacity as infrastructure Manager, not as provider of station facilities.

N3 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, the person attributing should select the code which best describes the incident on the basis of available information (see Section S). No expansion or amendment of Network Rail's investigative responsibilities is inferred.

N4 Passenger Related Incidents

N4.1 Likely Situations

No.	Circumstances	Delay Code	Incident Attribution
a	Illness or Non-malicious injury to passenger (including delays awaiting ambulances and/or where the access of other passengers to a platform is impacted) but there is nothing to prevent the passage of the train itself	VD	Operator of train involved (V##*)
b	Illness or Non-malicious injury to passenger on a platform which is both preventing the access of passengers to the train and causing an infrastructure restriction to the passage of the train itself.	VD	Joint responsibility (D##*)
c	Illness or Non-malicious injury to passenger where there are no issues with passenger access to the platform and the only reason for delay is that the stricken person has encroached over/fallen off the platform edge or is deemed at risk of doing so	XA	Network Rail (X##*)
d	Station overtime caused by passenger volumes boarding and alighting (no causal incident identified for increased passenger numbers - see notes at foot of table)	RB	Operator of train involved (R##*)

No.	Circumstances	Delay Code	Incident Attribution
e	Station overtime caused by increased passenger volumes boarding and alighting due to a planned event (e.g. sports fixtures, concerts)	R7	Operator of train involved (R##*)
f	Station overtime caused by increased passenger volumes boarding and alighting that is due to: That train's own late running; or Another identified prior scheduled Responsible Train which is delayed or cancelled that serves the same station or on the same line of route.	YX	Prime Incident causing the train to be late or cancelled
g	Station overtime caused by increased passenger volumes boarding and alighting due to passenger displacement from another line of route (incident determined – see notes at foot of table)	Direct Delay-to the related Causal Incident	Prime Incident causing the train to be late or cancelled
h	Station overtime caused by increased passenger volumes boarding and alighting due to passenger displacement from another line of route (incident not determined – see notes at foot of table)	RX	Operator of Train involved (R##*)
i	Overtime caused by persons with reduced mobility joining or alighting	RC/RQ as appropriate	Operator of train involved (R##*)
j	Overtime caused by loading or unloading of bicycles	RR/RS as appropriate	Operator of train involved (R##*)
k	Disorder/drunks/assaults/vagrants and serious crimes at station	VA	Train Operator - separate Incident to be created for each Operator involved (V##*)
l	Ticket irregularities	VE	Train Operator involved (V##*)
m	Police searching train (not security alert)	VG	Train Operator involved (V##*)
n	Seat reservation problems	TF	Operator of train involved (T##*)
o	Passengers falling/collapsing onto the platform during the course of boarding or alighting from a train (including when train movements are halted in consequence)	RY/VD	Operator of train involved (R##*/V##*) – Incident classed as occurring on board

No.	Circumstances	Delay Code	Incident Attribution
p	Platform closures for safety or security reasons relating to passenger behaviour on board a train (including when train movements are halted in consequence)	V* (as relevant to incident)	Operator of train involved (V##*) – Incident classed as occurring on board

Note: In respect of circumstances 'e' and 'f' in table N2 above the identification of the Causal Incident should be concluded by consideration of the following points: -

- That the delay is the result of an incident that caused an unplanned closure of an alternative route.
- That the transfer of passengers from any off-route location in relation to the train affected is within the agreed ticket acceptance for the line of route and location that the parties have agreed in relation to the Causal Incident.
- Relevant performance data or other appropriate evidence is provided to demonstrate that the train delayed does not generally suffer overcrowding or delay at the station(s) in question.
- Where the Causal Incident is identified as being the Responsibility of another Operator the evidence must be provided to enable reattribution to be made within the relevant Contractual Timescales.
- Where the Causal Incident cannot be determined (e.g. multiple incidents created for one event or multiple events) then Delay Code RX should be utilised.

N5 Non-Station Staff Related Incidents

N5.1 Likely Situations

No.	Circumstances	Delay Code	Incident Attribution
a.	Waiting Train Crew	TG/TH/TI/FE/FF /YJ or YN	As per Section J2
b.	Train catering staff including trolley operators delaying train	TK	Operator of train involved (T##*)
c.	Delay due to a Shunter	RD	Operator of train involved (R##*)

N6 Passenger Connections Related Incidents

N6.1 Likely Situations

No.	Circumstances	Delay Code	Incident Attribution
a.	Waiting passenger connections within the TOC/Network Rail Connection Policy, except where the prime incident causing delay to the incoming train is a FOC owned incident.	YL	Prime incident causing train to be late at that point

No.	Circumstances	Delay Code	Incident Attribution
b.	Waiting passenger connections within the TOC/Network Rail Connection Policy, where the prime incident causing delay to the incoming train is a FOC responsibility incident and the next departing service is scheduled to depart 60 minutes or more after the train being held	YL	Prime Incident causing incoming train to be late at that point. If the next departing service is scheduled to depart less than 60 minutes after the train being held (connecting service) then a separate incident is to be created and attributed to Network Rail (OW/OQ**)
c.	Waiting passenger connections from other trains authorised by TOC station staff in accordance with a pre-authorised TOC plan (but not in accordance with any agreed TOC/Network Rail connectional policy)	RK	Operator of train being held (R##*)
d.	Waiting passenger connections from other trains authorised by TOC Control (but not in accordance with any agreed TOC/Network Rail connectional policy)	TM	Operator of train being held (T##*)
e.	Waiting passenger connection from other trains- arranged locally by station staff and not authorised by Control	RI	Operator of train being held (R##*)
f.	Waiting passenger connections from other forms of transport (e.g. replacement buses) authorised by TOC Control but out-with TOC/Network Rail Connection Policy	T3	Operator of train being held (T##*)
g.	Waiting passenger connections from other forms of transport (e.g. replacement buses) - arranged locally by station staff and not authorised by Control	RM	Operator of train being held (R##*)

Note – The “next departing service” mentioned in Clause N.6.1.b, is defined as a passenger train that has been incorporated within the Plan for the Day.

The service must be planned to at least call at all the same stops that the delayed train is booked to call at for the definition to be met…..simply sharing a planned origin and termination point is not sufficient if the "next departing service" does not call at the same intermediate stations.

The "next departing service" cannot include

- Rail replacement buses provided by a Train Operating Company – including ones included as part of an advertised plan.
- Public bus services operated outside of the rail Industry, even if they happen to serve the same locations as the delayed train.
- Ad hoc alternative transport (such as taxis) arranged by the industry to mitigate for unplanned disruption.

N7 Train Dispatch Related Incidents

N7.1 Likely Situations

No.	Circumstances	Delay Code	Incident Attribution
a.	Overtime due to late TRTS being given by station staff	R2	Operator of train involved (R##*)
b.	Overtime due to station staffing problems	R3	Train Operator - separate incident to be created for each affected (R##*)
c.	Waiting for authorised Special Stop Orders to be issued	RL	Operator of train involved (R##*)
d.	Waiting issue of unauthorised Special Stop Orders	RJ	Operator of train involved (R##*))
e.	Failure of /defect with CD/RA equipment	IA Except when agreed operator mitigation not implemented	Network Rail IQ**
f.	Failure of/ defect with CD/RA equipment	R1 Where agreed operator mitigation not implemented	Operator of train involved (R##*)
g	Sunlight on CD/RA equipment	XU Except where agreed operator mitigation not implemented	Network Rail XQ**
h	Sunlight on CD/RA equipment	R1 Where agreed operator mitigation not implemented	Operator of train involved (R##*)
i	Dispatch by platform staff or traincrew delayed owing to concerns over safety (including attempts to access a train via doors that have already been locked)	RY	Operator of train involved (R##*)

Note: scenarios ‘e’ to ‘h’ are only applicable where the route is set prior to the CD/RA procedure and all pursuant to standard reactionary delay principles.

N8 Station infrastructure Related Incidents

N8.1 Likely Situations

Scenarios N8.1.a. – N8.1.g. below refer to scenarios where station issues solely prevent the access of passengers to/from a train. In the event that the incidents also prevent the normal operation of trains, joint responsibility criteria – as covered in Section D2 – are likely to apply.

No.	Circumstances	Delay Code	Incident Attribution
a	Failure of external power supply to any 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 directly affected (V##*)
b.	Failure of internal power supply to station structures or systems excluding those covered in examples c and d below	RA	Train Operator - separate Incident to be created for each directly affected (R##*)
c.	Overtime to passenger train caused by failure of lifts or escalators (including those caused by a loss of power supply)	RE	Train Operator - separate Incident to be created for each directly affected (R##*)
d.	Overtime to passenger train caused by failure of customer information systems (including those caused by a loss of power supply)	RV	Train Operator - separate Incident to be created for each directly affected (R##*)
e.	Loss of station lighting	RA	Train Operator - separate Incident to be created for each directly affected (R##*)
f.	Collapse of station building, roof or platform (unless caused by station flooding – see Q5.7 – or extreme weather).	RA	Train Operator - one incident per affected operator
g.	Gas leak originating within station confines	RA	Train Operator - one incident per affected operator
h.	Fire or fire alarm at station	See Section Q8	As per Section Q8
i.	Security alert	See Section Q7	As per Section Q7

N9 Passengers Falling or Dropping Items on to the Track

N9.1 Likely Situations

No.	Circumstances	Delay Code	Incident Attribution
a.	Passenger dropped object whilst boarding/alighting from train and train delayed at TOC request	RP	Operator of train involved (R##*)
b.	Passenger dropped object whilst not in the process of boarding /alighting that is an obstruction of the line and prevents the movement of a train to/from the affected platform	JX	Network Rail (IQ**)
c.	Signaller prevents passage of train after request to recover item where item is not considered an obstruction of the line.	OR	Network Rail (OQ**)
d.	Fatality or injury caused by being hit by a train at station	See Section Q3	As per Section Q3
e.	Passenger fallen between platform and train whilst boarding/alighting from that train (including preventative measures taken to prevent this from occurring including delayed train dispatch)	RY/RZ	Operator of train involved (R##*)

N10 Permissive Working and Stock Swaps

N10.1 Likely Situations

No.	Circumstances	Delay Code	Incident Attribution
a	Member of station staff has not confirmed with the Signaller after a splitting or joining procedure that the train(s) was positioned in the correct part of the platform. The second train for that platform is then held outside pending confirmation.	R3/R4/R5 as appropriate	To Operator of train for which operational procedure is not confirmed as completed
b	Platform staff have stopped a train in the wrong part of the platform and as a consequence a second train booked in the same platform is held outside.	R5	Operator of train stopped in wrong position. (Train held outside is YO as reaction)
c	Operator request via Station Control Point to swap two units on different platforms to form different services.	As per Operator reason for requirement	As per Operator reason for requirement

No.	Circumstances	Delay Code	Incident Attribution
	No additional stock moves required and no Network Rail involvement.		
d	The Signaller carries out an unplanned stock move in line with pre-agreed localised arrangements between Network Rail and the Operator	As per reason for requirement	As per reason for requirement

Note 1: For further scenarios and allocation relating to Permissive Working at stations please refer to Process Guide Document (PGD10)

Note 2: For further scenarios and attribution relating to Stock Swaps at stations please refer to Process Guide Document (PGD16)

N11 Platform Alterations and Advice to Passengers and Staff

N11.1 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.

N11.2 Where a platform alteration that varies from the information shown on the CIS is made by the Signaller for no known reason, for any incurred delays resulting from passengers or industry staff getting to that train, attribution should be made to the Signaller. If the alteration is advised with sufficient time to allow mitigation then delays should be coded to the operator of the train concerned.

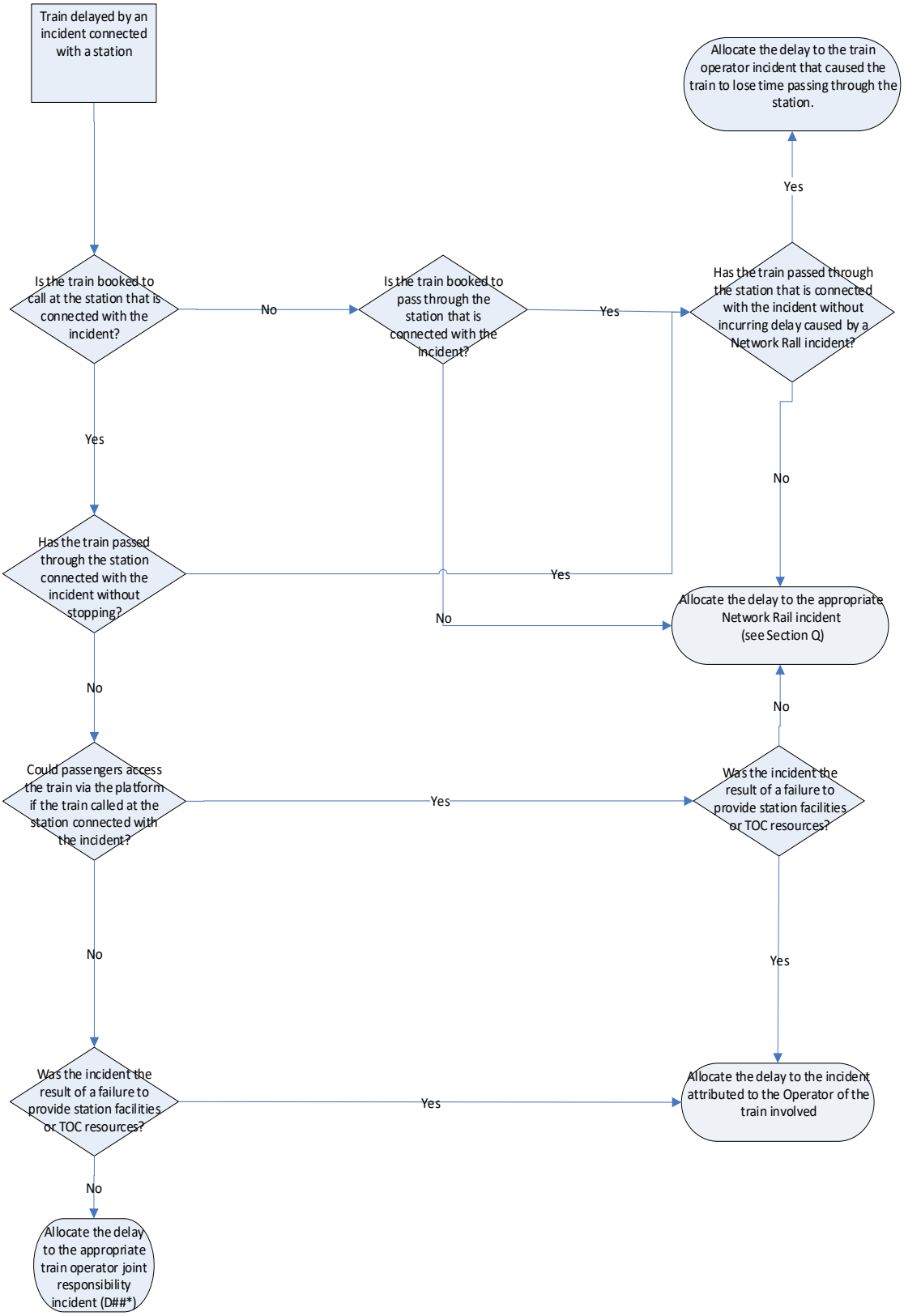
N11.3 Where a short notice, unplanned platform alteration is made by the Signaller for a given reason any resulting delays incurred from passengers or industry staff getting to that train should be attributed to the reason for that change.

N11.4 Where a short notice platform alteration is requested to, and actioned by, the Signaller any resulting delays resulting from passengers or industry staff getting to that train should be attributed to the reason for that change.

N11.5 Where a pre-planned platform alteration is requested to, and actioned by, the Signaller and where the CIS could have been updated by the relevant party (regardless of station ownership) or announcements made, any resulting delays from passengers or industry staff getting to that train should be attributed to the operator of the train thus affected.

N11.6 In ACI locations where a TD/berth has not been entered or correctly registered resulting in delays caused by passengers or industry staff getting to that train (either misdirected or not directed) attribution should be to the reason ACI was incorrect. This will be Network Rail Capacity Planning if the data is incorrect or systems if ACI fails.

N12 Guidance for the allocation of delays caused by an incident at a station.



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

SECTION O: INFRASTRUCTURE INCIDENTS

O1 Infrastructure Attribution Principles:

O1.1 Whilst Maintenance teams require attribution of incidents at a level of detail not ordinarily applied elsewhere in the DAPR, the DAPR requires attribution of delay incidents to the Prime Cause of delay. It is therefore important that the Delay Code used represents how the asset fault manifests itself as the cause of delay (and not the Root Cause of that failure)

Asset reliability failures that are as a result of: -

- Inadequate or poor maintenance; or
- Renewals being required (i.e a previously recognised requirement); or
- A Component failure that is not maintenance preventable;

should not change the attribution principles and incidents should be attributed as per this section O of the DAPR.

O1.1.1 Faults or failures deemed to be the result of Infrastructure Project work should be attributed as set out in this section. The responsibility of the failure or fault should not influence the Delay Code.

O1.1.2 Any asset faults or failures relating to rodent damage, insects, molluscs, arachnids or bird droppings causing contact issues or electrical failures should be considered as infestation and coded to the asset directly affected.

O1.1.3. Where an asset failure or damage is a direct and established result of defective rolling stock (including where the rolling stock is running outside the agreed specification) then any delays associated with that infrastructure failure or damage, on the day of occurrence, should be attributed to the Operator of the identified train (see flow diagram in M2.8 covering delays incurred on the day(s) following the initial incident). The principles of PGD17 should also be considered.

O1.2 Asset Failures on / off Network and Across Route Boundaries

For attribution of asset failures that occur (or affect other assets) on / off network please refer to DAB Process Guide PGD14.

For attribution of asset failures that occur (or affect other assets) across Network Rail Route boundaries, the following should apply: -

- The Network Rail Manager Code should reflect the location of where the symptom / failure manifested.
- The Responsible Manager Code should reflect the Party responsible for the asset failing.
- Where the cause of failure is remote from the manifestation / symptom then the Responsible Manager does not have to be the same Route Code as the Network Rail Manager.

Trains delayed by an infrastructure failure on non-Network Rail network running lines (e.g. London Underground infrastructure) should be coded to Delay Code TX / AX.

O1.3 Network Rail Assets Operated by non-Network Rail Staff

Where Network Rail assets (e.g. token machines, ground frames, points) that are operated by non-Network Rail staff are reported as faulty the following attribution principles apply: -

- If a fault is found then the incident should be coded to the asset reported against.
- If no fault is found then the incident should be coded to the asset under NFF principles.
- If a fault is reported but user error is subsequently demonstrated (not presumed) then Delay Code J5 can be used
- Where no fault is reported but a user error is immediately identified then delay code OK should be used (Operating on behalf of Network Rail)

Note1: Attribution cannot be made to the non-Network Rail member of staff or the company for whom they work.

Note2: The above does not include station dispatch equipment such as TRTS – see Section O11.

O2 Points Failures

O2.1 Points failures should be coded to Delay Code IB except where an exception is identified as set out in O2.2 below.

O2.2 Exceptions: -

No.	Circumstances	Delay Code	Incident Attribution
a	Point module failure	IF	Network Rail (IQ**)
b	Control relay fault in interlocking system (when affecting multiple assets)	IF	Network Rail (IQ**)
c	Fault in repeat or indication circuit back to Signal Box	IF	Network Rail (IQ**)
d	Loose rail clip causing obstruction and or damaging points	IS	Network Rail (IQ**)
e	Chair bolt broken and or obstructing switch movement	IS	Network Rail (IQ**)
f	Twisted sleeper / timber	IS	Network Rail (IQ**)
g	Track formation requires lifting and packing	IS	Network Rail (IQ**)
h	Switch creep	IS	Network Rail (IQ**)
i	Track out of gauge	IS	Network Rail (IQ**)
j	Burred rail	IR	Network Rail (IQ**)
k	Defective flat / diamond crossing (no switch rail)	IR	Network Rail (IQ**)
l	Switches failed relevant standard (053) testing	IR	Network Rail (IQ**)

No.	Circumstances	Delay Code	Incident Attribution
m	Switch heater failure	IP	Network Rail (IQ**)
n	Snow/ice where point heaters fitted but not working or turned on	IP	Network Rail (IQ**)
o	Snow/ice where no heaters fitted	JT	Network Rail (IQ**)
p	Snow/ice where failure was not preventable by point heaters and severe weather criteria are met	X9	Network Rail (XQ**)
q	Multicore cable failure (one or more cores defective)	II	Network Rail (IQ**)
r	Possession given back late due points defect	See Section P	See Section P
s	Obstruction in points (sufficient to cause failure and observed on site), incl. sand/coal/litter/ballast/ detached branches or leaves (not placed by vandals) excluding no cause found and preventable causes (e.g. dry slide chairs, contaminated grease, components out of adjustment, or obstruction by other asset components)	JX	Network Rail (IQ**)
t	Obstruction in points (sufficient to cause failure and observed on site) caused by overgrown vegetation.	JP	Network Rail (IQ**)
u	Obstruction in points due to confirmed vandalism	XB	Network Rail (XQ**)
v	Animal obstructing points where the points operate on removal of the obstruction with no remedial work required.	I8	Network Rail (IQ**)
w	Points failure as a result of direct staff action whilst undertaking maintenance activities	JL	Network Rail (IQ**)
x	Points left in manual after possession handback or run-through during possession work	JL	Network Rail (IQ**)
y	Points failure or defect as a direct result of RHTT water jetting activity	OK	Network Rail (OQ**)

O3 Track Circuit Failures

O3.1 Track Circuit failures should be coded to Delay Code IC except where an exception is identified set out in O3.2 below

O3.2 Exceptions: -

No.	Circumstances	Delay Code	Incident Attribution
a	Relay: link or defect in the TPR (proving relay) or elsewhere in the indication circuit	IF	Network Rail (IQ**)
b	Cable damage caused by an On Track Machine	J8	Network Rail (IQ**)
c	Multicore cable failure (1 or more cores defective)	II	Network Rail (IQ**)
d	Multicore cable failure (more than 1 cores defective) any telecoms cable	IK	Network Rail (IQ**)
e	OHL Bond Fault	I1	Network Rail (IQ**)
f	Broken Rail	IR	Network Rail (IQ**)
g	Insulated Rail Joint (“IRJ” / “IBJ”) defect - results in either a track circuit or track fault	IS	Network Rail (IQ**)
h	Broken bolts, loose rail clip or rail clip causing short circuit	IS	Network Rail (IQ**)
i	Pads & biscuit related faults	IS	Network Rail (IQ**)
j	General Swarf build up around IRJ causing a TCF (over 48 hours from any grinding activity)	IS	Network Rail (IQ**)
k	Swarf from rail grinding / post possession (occurring within 48 hours from possession completion) (Not including any resulting overruns)	JL	Network Rail (IQ**)
l	T piece missing or damaged	IS	Network Rail (IQ**)
m	Lightning affecting protected equipment	J6	Network Rail (IQ**)
n	Lightning affecting unprotected equipment	J6	Network Rail (IQ**)
o	Fault in repeat or indication circuit back to SB	IF	Network Rail (IQ**)
p	Point / signal (TFM) module failure	IF	Network Rail (IQ**)
q	Datalink problems	IF	Network Rail (IQ**)
r	Solid State Interlocking failure	IF	Network Rail (IQ**)
s	Rodent damage or insects / molluscs / bugs / bird droppings causing contact issues or electrical failures.	To Asset failure type (NOT I8)	Network Rail (IQ**)
t	650v fuse blown (life expired fuse) or Transformer	IH	Network Rail (IQ**)

u	110v fuse blown (life expired fuse) or Transformer	IE	Network Rail (IQ**)
v	Fuse blown due to faulty signalling / power supply component	IE / IH / I* for component	Network Rail (IQ**)
w	External (non-Rail Industry) salting/gritting causing a Track Circuit Failure	XN	Network Rail (XQ**)
x	Track Circuit Failure due to flooding / being underwater	JK or X2 as appropriate	Network Rail (IQ** / XQ**)
y	Litter causing a Track Circuit Failure	JX	Network Rail (IQ**)
z	Rails left in the 4ft with subsequent (not immediate) Track Circuit Failure that clears on removal of rails	IS	Network Rail (IQ**)
aa	Rails left in 4ft with subsequent (not immediate) Track Circuit Failure due to crushed or damaged cables	IS	Network Rail (IQ**)
ab	Rails placed in 4ft causing immediate failure of Track Circuit	JL	Network Rail (IQ**)

O4 Axle Counter Failures

O4.1 Axle Counter failures should be coded to Delay Code J3 except where an exception is identified as set out in O4.2 below.

O4.2 Exceptions: -

No.	Circumstances	Delay Code	Incident Attribution
a	Axle counter requiring reset after activity or damage by maintenance	JL	Network Rail (IQ**)
b	Axle counter requiring reset after possession activity (where asset was part of the work being undertaken and left in failure mode).	I5	Network Rail (IQ**)
c	Axle counter requiring reset after possession activity (where asset was part of the work being undertaken and reset was not carried out as planned)	JL – for local reset OC – for remote reset	Network Rail (IQ** / OQ**)
d	Axle counter requiring reset after a possession where possession plan has not factored in the required reset	QB	Network Rail (QQ**)
e	Disturbance caused whilst rectifying existing fault	I/J code for original fault	Network Rail (IQ**)
f	Rail Contacts/Cable damage caused by On Track Machine	J8	Network Rail (IQ**)
g	Multicore cable failure (1 or more cores defective)	II	Network Rail (IQ**)
h	Lightning affecting Protected equipment	J6	Network Rail (XQ**)
i	Lightning affecting Unprotected equipment	J6	Network Rail (IQ**)
j	110V fuse blown, UPS or other power issue (All <175V)	IE	Network Rail (IQ**)
k	New CWR/Scrap Rail (or other metallic object) dropped in close proximity to Rail Contact	JL / IS - See TCF Section O3	Network Rail (IQ**)

O5 Level Crossing Failures

O5.1 Level Crossing failures should be coded to Delay Code ID except where an exception is set out in O5.2 below.

O5.2 Exceptions: -

No.	Circumstances	Delay Code	Incident Attribution
a	Vehicle striking or stuck under barrier	XN	Network Rail (XQ**)
b	Failure due to power supply (signalling equipment <175V)	IE	Network Rail (IQ**)
c	Failure due to power supply (>175V)	IH	Network Rail (IQ**)
d	Failure due to External power supply	XK	Network Rail (XQ**)
e	Multicore cable failure (1 or more cores defective)	II	Network Rail (IQ**)
f	Pedestrians crossing while barriers down/ lights flashing	XN	Network Rail (XQ**)
g	Phones left off the hook after use	XN	Network Rail (XQ**)
h	Dropped bowmac	JF	Network Rail (IQ**)
i	Member of public makes allegation of a failure of road traffic lights, yodal-alarms, barriers or other level crossing equipment, where no fault is found (not telecoms equipment))	J4	Network Rail (IQ**)
j	Reported fault (including no fault found) on crossing telephone or the CCTV telecoms cable / supply	IK	Network Rail (IQ**)
k	Obstacle Detection (e.g. LIDAR) reports object, either: Identified (on site or via CCTV); or Where level crossing sets correctly when system "re-cycled" by signaller (where CCTV is not viewable remotely)	Appropriate to what was identified (I8, JX, JP, XN)	Network Rail (IQ** / XQ**)
l	Obstacle Detection (e.g. LIDAR) reports object - Due to heavy rain or snow falling	IW	Network Rail (IQ**)
m	Sunlight shining directly on CCTV monitors (NOT LIDAR)	XU	Network Rail (XQ**)
n	ESR / TSR implemented for crossing sighting issues per Rule Book requirement (not vegetation)	OT	Network Rail (OQ**)
o	ESR / TSR implemented for crossing sighting issues due to vegetation encroachment.	JP	Network Rail (IQ**)
p	Boom affected by high winds (over 78 mph)	XW	Network Rail (XQ**)
q	Boom affected by snow (when severe weather criteria are met)	XT	Network Rail (XQ**)

O6 Track and Rail Defects

O6.1 Likely Circumstances: -

No.	Circumstances	Delay Code	Incident Attribution
a	Broken Rail (including where causing a TCF)	IR	Network Rail (IQ**)
b	Track defects such as broken fishplates, bolts, IRJ failure, ballast and track formation, ESRs imposed, broken joints	IS	Network Rail (IQ**)
c	Poor ride quality / bump reported / suspected track defect where remedial work is carried out.	IS	Network Rail (IQ**)
d	Poor ride quality / bump reported / suspected track defect but no fault found or a defect is identified which is within maintenance tolerances	IT	Network Rail (IQ**)
e	Cautioning delays due to a proven mistaken report of a suspected track defect (post PWay site examination)	J5	Network Rail (IQ**)
f	Cautioning delays due to a report of a suspected track defect where no site visit by PWay is undertaken (i.e. cautioning is removed after only a report back from a driver or MOM doing a cab ride)	IR / IS (as reported)	Network Rail (IQ**)
g	Track is examined as a result of a reported loud noise or bang but no allegation is made directly against, and no fault found with, the track after a site visit then the incident should be treated as an (unidentified) object strike.	JX	Network Rail (IQ**)
h	Poor ride quality / bump reported on embankments (only) due to movement of embankment (e.g. clay after prolonged dry period with insufficient opportunity to tamp location)	IV	Network Rail (IQ**)
i	Poor ride quality / bump reported due to undermining of embankment by rabbit warrens, badger setts (infestation)	IV	Network Rail (IQ**)

O7 Interlocking and other signalling issues

O7.1 Likely Circumstances: -

No.	Circumstances	Delay Code	Incident Attribution
a	Any interlocking / panel / SSI / remote control system	IF	Network Rail (IQ**)
b	Power boxes – Interlocking failure	IF	Network Rail (IQ**)
c	Manual Boxes – Unable to use lever	IF	Network Rail (IQ**)
d	Trackside Functional Module (“TFM” ie Point module, or signal module) or datalink module failure	IF	Network Rail (IQ**)
e	Baseband data link problems or LDT module failure	IF	Network Rail (IQ**)
f	SSI transmission system fault within telecoms network	IK	Network Rail (IQ**)
g	Treadle failure	Coded to the Prime Cause (e.g. IC/ID)	Network Rail (IQ**)
h	650v fuse blown (life expired fuse) or Transformer	IH	Network Rail (IQ**)
i	Cold weather (Not ice or snow obstructing)	I* code (for asset affected)	Network Rail (IQ**)
j	Signal cable tension issues due to temperature variation (NOT severe weather or manual mitigation in place)	IF	Network Rail (IQ**)
k	Signal cable tension not adjusted as per agreed mitigation process by maintenance staff / Signaller for temperature variation mitigation	JL / OC	Network Rail (IQ** / OQ**)
l	Snow obscuring signal on lens or build up on hood	IW / XT	Network Rail (IQ** / XQ**)
m	Token equipment faults or failures	IL	Network Rail (IQ**)
n	Failures of communication links between telecoms or signalling equipment and where it the reason that signalling functions such as TDM/SSI, Train Describer (TD) and Block Circuits (BLO) are not operational.	IK	Network Rail (IQ**)

O8 RADIO AND COMMUNICATION FAILURES

O8.1 Radio Failures (Legacy Communications)

O8.1.1 The Code I0 (zero) should be used for delays due to failures of the RETB radio system (excluding train-based equipment).

O8.2 Radio Failures (GSM-R)

O8.2.1 For delays caused by GSM-R faults and failures please refer to Section G5

O9 OHLE and 3rd Rail Equipment

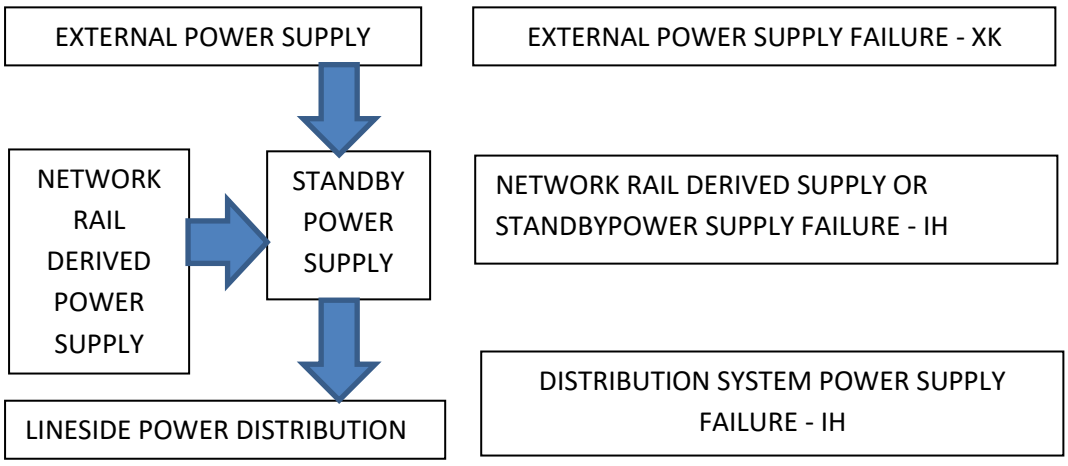
O9.1 Likely Circumstances: -

No.	Circumstances	Delay Code	Incident Attribution
a	OHLE or 3rd rail defect / failure of equipment	I1	Network Rail (IQ**)
b	OHLE or 3rd rail tripping occurs (not pantographs or shoes) and no known reason can be found	I2	Network Rail (IQ**)
c	Obstruction of the overhead wires or 3rd rail should be allocated to the reason for the item being there, i.e. weather, vandalism, trespass or which have been thrown or fallen from a train.	Appropriate Cause Code per DAPR	Network Rail (IQ** / XQ**)
d	OHLE or 3rd rail power supply failure/ reduction – problems associated with motorised and manual switches, incoming breakers, track feeder breakers and isolation irregularities	I4	Network Rail (IQ**)
e	Fire, smoke or arcing caused by conductor rail equipment (e.g. cable / jumper cable, lug, pot / insulator), OHLE or traction power cables	I1 / I4	Network Rail (IQ**)
f	Obstruction / tripping due to vandalism	XB	Network Rail (XQ**)
g	Obstruction / tripping due to weather including items blown onto the infrastructure (but not originating from the infrastructure)	XW	Network Rail (XQ**)
h	Obstruction / tripping due to bird strike, nest building or other animal incursion	I8	Network Rail (XQ**)
i	Obstruction / tripping due to bird strike or other animal where the bird or animal is present (dead or alive) and infrastructure damage has been caused and requires remedial action to repair (including incidents where the damage subsequently resulted in a lineside fire)	I1 / I4	Network Rail (IQ**)
j	Obstruction / tripping due to vegetation: OCB trip is caused by vegetation management that is not compliant with standards, including when attached to a structure or vegetation encroaching from off network	JP	Network Rail (IQ**)
k	Ice / icicles on OHLE or 3rd rail (regardless of weather severity)	OG	Network Rail (OQ**)
l	OHLE or 3rd rail interface Incident subject to formal inquiry	Appropriate delay code or where agreed use Holding Code D*	Operator of train concerned (M##*)

O9.2 In respect of circumstance l above, provided all possible causes have been investigated, considered and exhausted as agreed reasonable by both parties, if those investigations cannot determine the cause of the problem, the incident should be coded I1 and attributed to the Network Rail (IQ**).

O10 Cable Faults, Power Supply and Distribution Failures

O10.1 The figure below shows a schematic of Delay Codes that represent the main categories of failure for power supply and distribution equipment associated with the signalling system.



O10.1.1 If the fault arises following the loss or momentary loss (blip) of the external incoming power supply from the external supplier (usually a Distribution Network Operator such as UK Power Networks, Western Power Distribution, etc.) then: -

a) where a standby power supply (usually a diesel generator) and/or an Uninterruptable Power Supply ("UPS") is installed and fails to activate correctly or as designed to maintain the supply, then code IH should be used. (Note: generators are not designed to be instantaneous and some signal reversions and black signals are expected to occur while they start up (in the absence of a UPS); these initial delays should be coded to XK);

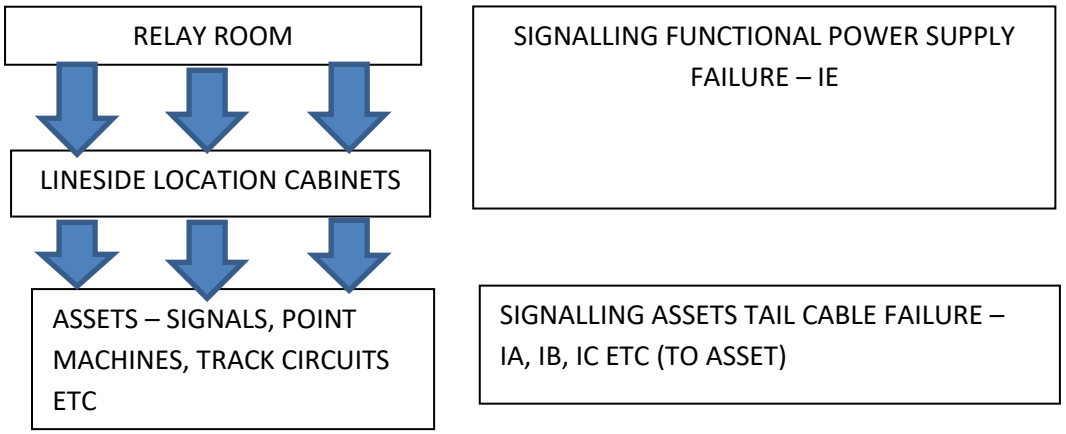
b) otherwise code XK should be used.

O10.1.2 If a fault is due to the failure of Network Rail standby supply equipment and this is as a result of damage due to the external power supply, for example by a voltage surge, then this should also be coded to XK.

O10.1.3 If the fault is due to a failure of the Network Rail derived power supply (due to a failure in the 'traction power supply' system) or standby power supply, which are located at the Principal Supply Point then the incident should be coded IH.

O10.1.4 If the fault is on the lineside power distribution system which comprises signalling power distribution cables and Functional Supply Points then the incident should also be coded IH.

O10.2 The figure below shows how to differentiate and attribute delays that are due to signalling functional power supplies, lineside signalling control cable faults, and asset tail cables.

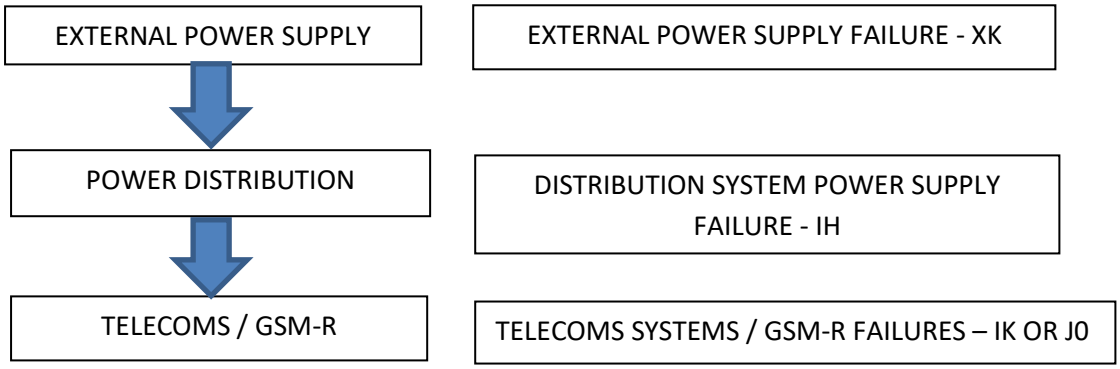


O10.2.1 If the signalling functional power supply equipment at a relay room or lineside location case causes a delay then this should be allocated to code IE.

O10.2.2 A fault with a lineside multi-core cable that is part of the signalling system or a lineside supply cable should be coded II. These are generally between relay rooms to location cases and location case to location case. (Note: Code II should not be used for signalling power distribution cable faults).

O10.2.3 If the fault lies between the lineside location case and equipment such as a signal, track circuit, or point machine, it is a tail cable failure. This should be coded according to the piece of equipment it feeds. Therefore, for example, if it is a track circuit tail cable it should be coded IC.

O10.3 The figure below shows how to differentiate and attribute delays that are due to external power supply failures to key lineside telecoms equipment rooms for cab secure radio, GSM-R and the telecommunications network.



O10.3.1 If a fault on the incoming supply to a telecoms / GSM-R site causes delays then these should be coded to XK.

O10.3.2 If the fault is on the power distribution equipment then these should be coded IH.

O10.3.3 If the fault is on the actual GSM-R or telecommunications network equipment in the lineside equipment room then it should be coded J0 or IK respectively.

O11 Station Dispatch Equipment

O11.1 Likely Circumstances: -

No.	Circumstances	Delay Code	Incident Attribution
a	Network Rail train dispatch equipment failure excluding telecoms equipment (including no fault found)	J2	Network Rail (IQ**)
b	Confirmed user error of train dispatch equipment	R1 / R2 as appropriate	Operator of train being dispatched (R##*)
c	Station platform DOO CCTV / monitors / mirrors (where asset is Network Rail Telecoms responsibility)	IK	Network Rail (IQ** / XQ**)
d	Failure of, or defect with, CD / RA equipment (including no fault found)	IA	Network Rail (IQ**)
e	Sunlight shining directly on and obscuring CD / RA equipment	XU	Network Rail (IQ**)

O12 Telecom Equipment Failures

O12.1 The code IK is to be used for 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)
- Level Crossing – telecoms cable feed to DOO CCTV (note CCTV equipment at level crossing itself is “signalling”)
- Station platform DOO CCTV/monitors/mirrors (where NR Telecoms responsibility)

O13 ETCS/CBTC and or ERTMS Equipment Failure

The code J7 is used for failures of ETCS or ERTMS equipment (excluding communications link and ETCS Balise (See Section G3).

O14 Accepted Design Limitations

O14.1 Accepted Design Limitations (ADL) is a generic title applied to asset related operational constraints that have the capacity to cause delay because equipment is unable to cater for particular circumstance, despite not being in failure mode.

a. If the ADL causes or manifests an infrastructure failure, use the appropriate I*/J* delay code for the equipment failure type.

b. If the ADL causes no failure, but still causes delay, further investigation will be required.

c. If the ADL is included in the Special Box Instructions or similar, the Signaller is able to mitigate the ADL effects and does not do so use delay code OC.

d. If the ADL is included in the Special Box Instructions or similar, the Signaller is unable to mitigate the ADL effects and does not otherwise cause delay, use the appropriate I*/J* delay code for the equipment type and attribute to the maintenance organisation.

e. If the ADL is not included in the Special Box Instructions or similar, then attribution should be considered as if the asset has failed and attribution should be to the appropriate I*/J* delay code for the equipment type.

f. If, via the RT3973 process, Capacity Planning has had the opportunity to reflect the impact of the ADL in the train plan and the train plan doesn't reflect it and no other delay cause exist, use delay code QA/QM (QQA*) and allocate to the Capacity Planning Centre.

g. Any accepted design flaw, operational functionality issue, network capability limitation or operational restriction due to a new equipment / asset installation post Project Works then the Delay Code should still reflect the asset type cause using the principles above.

h. Where an Accepted Design Limitation would not ordinarily cause delay when an asset is operating correctly but is deemed to have done so in reaction to another Delay Incident, this should be considered as a direct consequence of the other incident. Any delay should be attributed to that incident (e.g. a level crossing needing to be reset after a train has already activated the treadle but failed to traverse the crossing in the allotted time)

O15 Staff Safety Related Incidents (Delay Code JL)

O15.1 Staff safety related incidents (delay code JL) should be considered when: -

- There is a confirmed staff error which causes damage and an immediate failure of an asset (e.g. cable cut by contractor)
- A failure is caused by direct action or not following standards / procedures (where asset failure is within 24hrs of that staff action or non-compliance)

O15.2 Staff safety related incidents (delay Code JL) should NOT be considered when: -

- A subsequent reactionary failure occurs (e.g. tracing a fault in a LOC that causes a TCF due to a loose wire).
- A fault manifests itself after 24 hours of train running from any work being carried out (which should be considered an asset failure regardless of any staff cause)
- Any process or procedural issue occurred days or weeks prior to the failure.

- Damage is caused by incorrect use of on-track machinery (use Delay Code J8)
- A late hand back of possession / line block is due to staff communication issues (use Delay Code I5 / I6 as appropriate)
- The issue relates to Warning Boards (use Delay Code IQ – see O16)
- The issue is Operations staff related (utilise Delay Code OC or OK as appropriate e.g. Crossing Keeper, MOM)

O16 Trackside Signs Including TSR/ESR Board Defective/Blown Down

O16.1 Delays resulting from missing, damaged, defective, fallen, mis-placed or obscured trackside signs should be coded IQ and attributed to Network Rail (IQ**).

O17 Off Track Assets

O17.1 For defects or issues relating to fencing, gates, walkways, bowmac crossing panels or lighting on the Network Rail network (not including station infrastructure) Delay Code JF should be utilised except in circumstances where vandalism or severe weather is demonstrated (see Sections Q4 and Q5).

O17.2 Any infrastructure asset failure identified as originating from a location cabinet or other Network Rail equipment in the station environs should be coded to the appropriate infrastructure asset failure as set out within this Section O.

O18 Temporary and Emergency Speed Restrictions

O18.1 On publication of the Weekly Operating Notice relevant information must be made available to the Route Performance and Control organisations to enable them to ascertain the following requirements for the purpose of setting up of a TSR Network Delay Incidents within TRUST DA: -

- The correct coding of the incident
- The Responsible Manager Code
- The expected maximum time loss for each class of train

The Capacity Planning Managers' and Route Asset Managers' organisations must ensure that a suitable system is in place for such information to be available.
Conditions whereby the incident could be considered as 'Planned' can be found in table O18.4

O18.2 Emergency Speed Restrictions should follow the same principles for information as provided in paragraph O18.1. However, in addition, any additional delays caused awaiting the erection of speed boards should also be taken into account when determining the initial delay impact and attributed accordingly. The Incident created must then be subsequently amended to incorporate the Networking (see paragraph O18.3) of expected train delay once the boards have been erected.

O18.3 For situations covered in both paragraphs O18.1. and O18.2 a Network Delay shall be initiated except where the class of trains or running lines cannot be distinguished (e.g. 4 track railway where all classes of train run on all lines to a sufficient degree that applying network delays would lead to material misallocation of delay).

Where a specific class of train will be affected and runs solely (or almost entirely) on one line then the Network Delay shall be utilised.

Network Delay shall be initiated for all delays expected of 1 minute and above.
Where Network Delay cannot be initiated, an appropriate incident should be created and where practicable and cost effective the appropriate delay should be attributed to the relevant incidents. However, the relevant time loss shall be allocated where that delay is part of an above threshold delay; required to be explained.

O18.4 Likely situations:

No.	Circumstances	Delay Code	Incident Attribution
a.	Published TSR in connection with maintenance or renewal Engineering Work covered by sufficient Engineering Allowance within the train's schedule (where allowance and restriction are in the same Engineering Section).	PA	Network Rail (PQ**)
b.	Published TSR in connection with planned maintenance or renewal Engineering Work that is **not** covered by sufficient Engineering Allowance within the train's schedule.	JA (for Track Work) JD (for Structures work) IV (for embankment work) JS (for track condition work) Or as appropriate to any other asset	Network Rail (IQ**)
c.	Where an ESR has been imposed due to possession work not being completed or is more restrictive than that planned. (Only where the restriction did not exist prior to the possession)	As appropriate to resulting condition causing ESR	Network Rail (IQ**)
d.	Where an already existing TSR or ESR remains in place due to possession work not being completed or is still more restrictive than that planned.	As appropriate to pre-existing condition not remedied	Network Rail (IQ**)
e.	Published TSR due to condition of track or structure (not Engineering Work related) covered by sufficient Engineering Allowance within the train's schedule (where allowance and restriction are in the same Engineering Section) Engineering Section).	PB	Network Rail (PQ**)
f.	Published TSR due to condition of track or structure (not Engineering Work related) **not** covered by sufficient Engineering Allowance within a train's schedule.	JS / JD (as appropriate)	Network Rail (IQ**)
g.	Published TSR due to condition of track (not Engineering Work related) which is covered by sufficient Engineering Allowance is within the train's schedule **but** published rectification date has	JS	Network Rail (IQ**)

No.	Circumstances	Delay Code	Incident Attribution
	passed and the restriction is no longer covered by an Engineering allowance.		
h.	Condition of Bridge TSR not within the Engineering Access Statement (EAS)	JD	Network Rail (IQ**)
i.	Published TSR in connection with condition of earthworks 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 **not** covered by sufficient Engineering Allowance within the train's schedule.	IV	Network Rail (IQ**)
k.	Emergency Speed Restriction due to infrastructure related problem	I*/J* Code reflecting reason for restriction	As appropriate to asset responsibility
l.	Emergency Speed Restriction following a derailment or other mishap	I*/J* Code reflecting reason for restriction (not the cause of the derailment)	As appropriate to asset responsibility
m.	Temporary Speed Restriction imposed as a result of rolling contact fatigue.	JS	Network Rail (IQ**)
n.	Safety ESR or TSR implemented for sighting issues for level crossings, foot crossings or signals (excluding vegetation)	OT	Network Rail (OQ**)
o.	Safety ESR or TSR implemented for sighting issues for level crossings, foot crossings or signals due to vegetation	JP	Network Rail (IQ**)
p.	TSR/ESR imposed for the stated reason of "Safety – Operational Restriction"	OT	Network Rail (OQ**)

Note: For clarity, P Coding of TSR related delays should ONLY be applied in circumstances where:

- Suitable engineering allowance exists in that engineering section (as set out in the Timetable Planning Rules) and the train's schedule
- The engineering allowance is not already used for another TSR
- The delays incurred do not exceed the engineering allowance (only delay up to the engineering allowance can be P coded)

P Coding should NOT be applied in circumstances where:

- No engineering allowance exists in that engineering section (as set out in the Timetable Planning Rules) and train's schedule

- The engineering allowance is already used for another TSR (i.e. double counting)
- The delays exceed the engineering allowance (only delay up to the engineering allowance value can be P coded)
- The engineering allowance is being utilised from another engineering section(s)
- The allowances contained in the train's schedule are not engineering allowances (e.g. performance or pathing time)

For diagrammatic examples please refer to Process Guide PGD20

O18.5 In circumstances where a section delay due to single TSR is attributed as a part P Code and part non- P code; for reactionary delay principles the TSR should be considered as one delay event (i.e. not two delay incidents). Any reactionary delay due to the TSR should be allocated to the non P Code element of the TSR delay.

O19 Weather Affecting Infrastructure and Assets

Note: Please also refer to Section Q5 which covers circumstances shown in this section in more detail and also prescribes the severe weather criteria conditions.

O19.1 Rain / Flood Related Failures

O19.1.1 Any structure / earth works related failure caused by severe wet weather should ONLY be coded to an External (X*) Delay Code where the failure occurs on the day or immediately after the severe weather event (providing DAPR criteria for X* Code is met).

O19.1.2 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) – Similar principles should apply for prolonged heat where earthworks dry out.

O19.1.3 Any failures due to assets being under water should be coded to the relevant JK or X2 Delay Code dependent on the circumstances of the flooding.

O19.2 Heat Related Failures

O19.2.1 Speed restrictions:

O19.2.1.1 Blanket Speed restrictions should be coded to Delay Code X4 (usually one TIN per DU Area per day), subject to meeting criteria of there being no reasonable or viable economic mitigation.

O19.2.1.2 Speed Restrictions imposed in consequence of the Critical Rail Temperature (CRT) being reached, and where there is no underlying infrastructure issue that would have caused a speed to be in place irrespective of temperature, should be coded to JH. This includes cases where rail stressing is required to improve heat resilience, but the line is otherwise fit for the normal running of trains. (A new JH TIN should be created for each speed restriction that is imposed via the issue of a new emergency wire, even in cases where a speed at the same location is applied on multiple days during prolonged periods of hot weather. A single incident should, however, be used to account for heat speed restrictions that remain in place over the course of multiple days without being withdrawn)

O19.2.1.3 Where an infrastructure defect has resulted in the need for a speed restriction to be imposed, irrespective of whether CRT is reached, this should be allocated using the delay code appropriate to the condition causing the restriction. This remains the case even when CRT is reached and/or the effect of high temperature results in a speed restriction becoming more restrictive than would otherwise be the case. In such instances, incidents should not be recoded to JH, nor should separate incidents using the JH code be created to capture delays incurred whilst CRT is exceeded.

O19.2.1.4 Any speed restriction due to a buckled rail or other track defect (including when CRT has not been exceeded) should be coded to IR or IS as appropriate.

O19.2.2 Equipment and Asset failures

O19.2.2.1 Asset failures caused by hot weather, excluding damage to buildings, structures and embankments, should be coded XJ if an ambient external air temperature (or internal cabinet temperature as appropriate) is recorded that exceeds Network Rail's design standards for the operation of assets in hot weather.

Any heat-related failures in temperatures below this – even if extreme weather criteria as detailed in Section Q5.1 are met – must be allocated to the asset that has failed. This will indicate that the asset has either failed to perform as designed or that equipment outside of the required design parameters has been installed.

At the point of publication, the relevant Network Rail standards documenting these maximum temperatures are NR/L2/SIG/19820/K01 and NR/L2/ELP/21088. Again, as at the point of publication, these document the maximum temperature at which equipment is designed to work as being 40 degrees centigrade or above (or 38 degrees for OHLE installed on or before 2010), and 70 degrees for equipment located within a location cabinet.

O19.2.2.2 Failure of points and track equipment (including insulated rail joints) should therefore not be considered as heat related, even if the immediate trigger for failure is expansion due to the heat. The underlying cause is generally asset condition, set-up or adjustment related.

O19.2.2.3 All asset failures triggered by location cabinets overheating should be coded to the asset that has failed.

O19.2.3 Delay Code JD should be used for all defects with buildings and structures (other than stations) on Network Rail infrastructure. This covers damage and degradation caused by heat, including that which may have been incurred in consequence of severe weather.

O19.3 Cold Related Failures

O19.3.1 Asset failures (e.g. points / track circuits) in cold weather should be coded to the asset concerned, unless conditions are agreed to be outside the stated design parameters of the asset-type concerned. Note that equipment is specified to cope with normal temperature extremes (temperatures within location cabinets down to -25 degrees are within design parameters for signalling equipment, in line with BS EN 50125-3)

O19.4 Temperature Variation

O19.4.1 Where asset failures are related to the variation in temperatures (generally overnight to daytime increases) the same principles should be applied as above in terms of design parameters. Signalling equipment in a location cabinet is expected to cope with a rate of change in temperature of approx.3 degrees/minute. This means, in practice, that temperature variation should NOT be considered as 'extreme' and should therefore not be X* Coded.

O19.5 Wind-related failures (signalling equipment, including level crossings)

O19.5.1 Signalling equipment incidents (including level crossing equipment) in high winds should be coded to the asset concerned, unless conditions are agreed to be outside the stated design parameters of the asset-type concerned. Signalling equipment (including level crossing equipment) is specified to cope with wind speeds/gusts of up to 78 mph (35 m/s),

O19.6 Ice / Snow-related failures

O19.6.1 Ice / icicles on the 3rd Rail or OHLE should be coded to OG (irrespective of the weather severity) unless planned treatment is not completed, then OE should be used.

O19.6.2 Points failures due to ice / snow should be coded as follows:

- Where weather conditions are non-severe, use code IB
- In severe weather, where no point heaters are fitted attribute to JT
- In severe weather, where point heaters are fitted but not operational attribute to IP
- In severe weather, where point heaters are fitted and operating but points still fail attribute to X9

Note - If points without working heaters are at the same location where other points that had operating heaters also failed in severe conditions, it is acceptable to code such failures as X9 (on the basis that fitment / operation would have made no difference). If nearby points with heaters operating didn't fail, then JT / IP applies.

O19.6.3 Snow physically obscuring signals / banner repeaters / track signs (not general visibility due to falling snow) should be coded to IW or XT (severe weather criteria dependent)

Note: Where Key Route Strategy is implemented, and assets are operating outside of current design specifications, then XT should be used.

O20 Remote Condition Monitoring - Proactive Fault Finding and Preventative Fixes

Any delays caused during proactive or preventative maintenance of an asset where a potential failure mode has been identified through Remote Condition Monitoring (RCM), should have Delay Code J9 applied.

If no access is granted to attend the asset identified by RCM and that asset subsequently fails, then attribution should be to the asset.

In all other cases where proactive preventative maintenance is being conducted (non-RCM assets) should be coded to I6 (if a line block is taken) or to the asset.

O21 Vegetation

Delays caused by overgrown or overhanging vegetation that is not the direct result of weather conditions and/or has not caused adhesion issues will normally be attributed to JP.

Examples and Exceptions:

a.	Vegetation within network boundaries is not in accordance with prevailing Network Rail standards, including where signals or track side signs are obscured by vegetation and where trains strike branches - not due to the weather.	JP	Network Rail (IQ**)
b	Obstruction in points (sufficient to cause failure and observed on site) caused by overgrown vegetation.	JP	Network Rail (IQ**)
c	ESR / TSR implemented for crossing sighting issues due to vegetation encroachment.	JP	Network Rail (IQ**)
d	Obstruction / tripping of OHLE due to vegetation: OCB trip is caused by vegetation that is not compliant with standards, including when attached to a structure or vegetation encroaching from off network	JP	Network Rail (IQ**)

For principles relating to adhesion, including adhesion issues stemming from leaves and other vegetation, refer to Section F of this document. For issues relating to falling or damaged trees caused by weather, refer to Section Q5.

SECTION P: POSSESSION AND INFRASTRUCTURE TRAINS INCIDENTS

P1 Engineers ON-TRACK Equipment and Engineering Haulage Train Failure

No.	Circumstances	Delay Code	Incident Attribution
a.	Self-propelled on track equipment ("Yellow Plant") failure or defect including late start from any stabling point or Yard.	MV	Party under whose Access Agreement the move is being made (M#**)
b.	Engineers' train failure or defect including late start from any yard or stabling point	F*/M*	Train Operator (F##* / M##*)
c.	Yellow Plant or Engineers train awaiting access to a possession site (including being held at originating location for a late starting possession).	I7	Network Rail organisation managing the possession (IQ**)
d.	Yellow Plant or Engineers Train late coming out of possession or work site due to the work in possession or work site running late or completing late. (NOT a Possession Overrun)	I7	The Party responsible for the work site where the problem arose (IQ**).
e.	Yellow Plant or Engineers Train late coming out of possession or work site due to the work in the possession or work site running or completing late. (Possession Overrun)	I5	The Party responsible for the work site causing the overrun (IQ**).
f.	Engineers' train or Yellow Plant late coming out of possession site due to waiting train-crew, vehicle fault or other train operator problem	F*/M*/A*	Train operator (A##* /F##*/M##*).
g.	Engineers train late coming out of possession site due to waiting train-crew, vehicle fault or other train operator problem (Possession Overrun)	Where overrun is purely due to the train involved (all works complete) and possession gives up on the train's departure F*/M*/A*	Train Operator (F##*/M##*).
h.	Engineers train late coming out of possession site due to waiting train-crew, vehicle fault or other train operator problem (Possession Overrun)	Where overrun is due to works incomplete regardless of any train issues I5	Network Rail organisation managing the possession (IQ**)

Note: Where a possession overrun is due to any work being incomplete, regardless of the circumstances above, delay code I5 should be used as set out in Section P2.5

P2 Planned and Emergency Possessions

P2.1 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.

P2.2 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 cause 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, paragraph D5.2 applies. The description of the QP-coded incident must include a reference to the incident number of the P-coded possession.

P2.3 Emergency Possessions

P2.4 When diversions or single line working are necessary due to an emergency possession or unplanned blockage of a route any Minutes Delay should be attributed to the appropriate incident as per Section O1. The incident should be coded to the appropriate Delay Code is used to reflect the actual reason for the possession (where the issue identified, and possession taken, are on the same day).

P2.5 Possession Overruns

P2.6 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 signalling work (associated with the possession) after the possession has been given up, in the event of such remedial works being required. It also includes the giving up of any OHLE or 3rd Rail isolation or asset left in failure mode (where associated with the possession works).

P2.7 Possession overruns as a consequence of a late start to the possession (regardless of reason) should be coded to I5. A decision is required as to whether the work required to be undertaken will still enable the booked hand back time to be maintained or if the works will be reduced in scope or cancelled.

P2.8 Assets (unrelated to the physical possession works) left in failure mode after a possession is given up (regardless of reason for failure) should be allocated a delay code representing the asset failure.

P2.9 Patrolling Blocks

P2.10 Delay resulting from line blocks taken for the purpose of track inspections or patrolling should be allocated to an incident attributed with Delay Code I6. This includes where delay is caused by the agreed duration of a possession or block being exceeded. However, if the overrun has been the result of the inspection finding a defect requiring attention then the resulting delay should be allocated to an incident that reflects the nature of the defect found. Line blocks taken to rectify faults and defects should also be allocated to an incident attributed a Delay Code that reflects the need for the possession as per Section O1

P2.11 Single Worksite Possession

The TRUST Responsible Manager for Minutes Delay in the event of an overrun is the Possession Manager.

P2.12 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. Where an individual worksite has caused the overrun the Possession Manager should identify the TRUST Responsible Manager responsible for that worksite overrun and arrange for the incident to be re-attributed as necessary. If a single work site Responsible Manager cannot be identified then Delay Minutes should remain attributed to the Possession Manager.

P2.13 In either of the circumstances described in paragraphs P2.11 or P2.12 above, where delay is identified as being caused by an agent acting for the Possession or Worksite Manager the delay should be attributed to the Possession or Worksite Manager (as appropriate)
Note: When identifying the owner of the worksite that has caused the overrun, if the cause of the problem is of a FOC or on-track machine provider nature Section P1 should be consulted.

P2.14 Infrastructure Trains

P2.15 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 Section P1

P2.16 If Minutes Delay are incurred by infrastructure trains running 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 I5 / I6 (as appropriate) and attributed to Network Rail.

P2.17 If the infrastructure 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.

P2.18 In either of the circumstances in paragraphs P2.15 and P2.16 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.

P2.19 Circumstances and Exceptions

	Circumstances	Delay Code	Incident Attribution
a.	Train Operator(s) and Network Rail agree not to retime trains for a published Possession / Line Block (e.g. SLW or booked line diversions) between the Recording Points where the work is taking place, and sufficient Recovery Time exists in the schedule to prevent any reactionary delays to other services occurring.	PF	Network Rail (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.	JB	Separate incident for such trains attributed to Network Rail (IQ**). 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.
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 due to incomplete works (regardless of reason) or due communication issues to and from site.	I5	Network Rail organisation managing the possession or work site where the problem arose (IQ**)
f.	Overrun of Possession, solely due to the failure of an Engineers Train or On-Track Machine (where the offending train is still in situ and all works completed).	F* / M* / A*	Train Operator (F##* / M##*)

	Circumstances	Delay Code	Incident Attribution
g.	Where the possession over-run is caused by problem with the train plan (either for trains booked to pass during the possession or engineering trains booked from the possession).	QB / QM	Network Rail (QQA*).
h.	Line block taken to repair an infrastructure defect	I* / J* as appropriate to asset (See Section O1)	Network Rail (IQ**)
i.	Track patrol possession not published in the WON.	I6	Network Rail organisation managing the possession (IQ**).
j.	Track patrol published in the WON (Where published any P* code allowance should be utilised).	I6	Network Rail organisation managing the possession (IQ**).
k.	Waiting for a line blockage to be given up to pass a booked train during the planned times of the possession or track patrol. If published any P* code allowance should be utilised.	I5 or I6 as appropriate	Network Rail organisation causing the overrun (IQ**).
l.	Trains weaving fast to slow etc. due to a track patrol. If published any P* code allowance should be utilised.	I6	Network Rail organisation managing the possession (IQ**).
m.	Safety speed restriction imposed due to a track patrol. If published any P* code allowance should be utilised.	I6	Network Rail organisation managing the track patrol or possession (IQ**).
n.	Overrun of patrol beyond the agreed times (excluding where any defect is found).	I6	Network Rail organisation managing the possession which overruns (IQ**). (Excess minutes only).
o.	Overrun of patrol as the result of a defect found.	I*/J* As applicable to asset.	As Per Section O1 (Excess minutes only).
p.	Overrun of possession due to a substandard action or inaction of a member of route operations staff. (e.g. Signallers, MOMs, LOMs)	I5	Network Rail (OQ**)
q.	Overrun of possession, due to the removal of staff from a worksite(s) – regardless of reason for removal.	I5	Network Rail organisation managing the possession which overruns (IQ**)
r.	Overrun of possession due to a substandard action or inaction of maintenance staff or any agent working on behalf of the Possession Manager.	I5	Network Rail organisation managing the possession which overruns (IQ**)

SECTION Q: EXTERNAL IMPACT INCIDENTS

Q1 Animal Incursion, Strikes and Infestation

Q1.1 The term 'infestation' used in this section, represents animal behaviour which on the balance of probability, commenced prior to the last planned infrastructure maintenance inspection; or two months before the date of infrastructure failure; whichever is sooner.

Q1.2 Any asset faults or failures relating to infestation such as rodent damage, insects, molluscs, arachnids or bird droppings causing contact issues or electrical failures should be considered as infestation and coded to the asset directly affected.

Q1.3 In the event of damage caused to the infrastructure by an animal via means other than infestation, code JF is used if that animal has gained access to the infrastructure via a fence (including where it has jumped over it), or a gap where a fence panel that should be in place is missing.

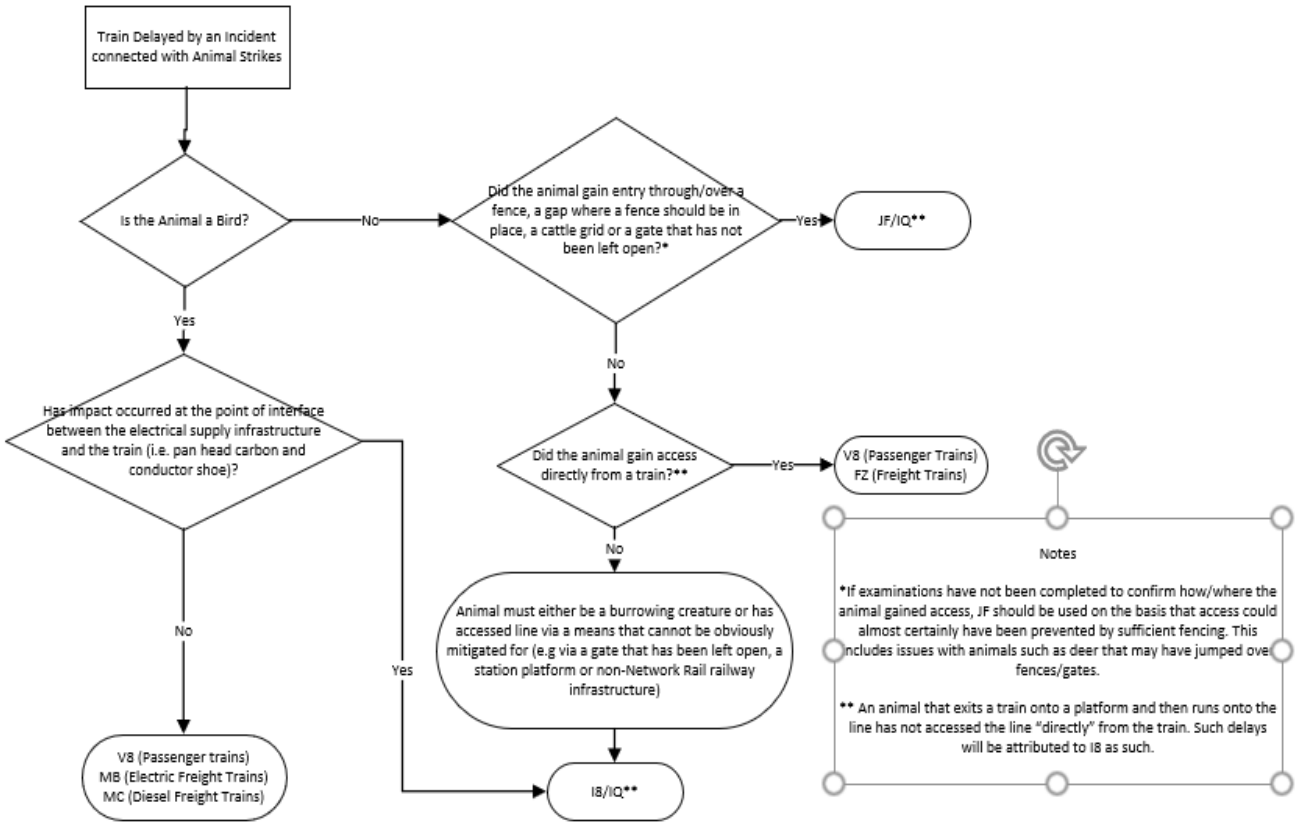
Q1.4 In cases where it has not been possible to complete an examination to identify where and how an animal has accessed the line and that animal is not a bird or burrowing creature (i.e. access should have been preventable by adequate fencing), JF is also to be used.

Q1.5 In the event that damage has been caused to the infrastructure by an animal, via means other than infestation:

- If rectification work to restore the asset is required even after the animal has been removed, the incident should be coded as appropriate to the asset affected.
- If the asset restores without the need for rectification work upon removal of the animal, and it has been identified that the animal has not gained access via a fence, gate or cattle grid, code I8 is to be used.
- If the asset restores without the need for rectification work upon removal of the animal, but the animal has gained access to the access via a fence, gate or cattle grid or it has not been determined how access was gained, code JF is to be used.

Q1.6 For incidents involving trains striking animals please refer to Flowchart Q1.7.

Q1.7 Animal Strikes



Note: For occurrences of incursion where the animal or bird is not struck, please refer to Section Q1.8

Q1.8 Animal Incursion

Q1.8.1 In instances of animal incursion that do not result in an animal strike as set out in flowchart Q1.7 above, attribution should be applied as to how the incursion was reported and action taken by the appropriate person in line with current Rules and Regulations

No.	Circumstances	Delay Code	Incident Attribution
a.	Animal incursion reported as a safety of the line incident. Delay occurs to reporting train and subsequent cautioning.	I8/JF in line with rationale in flowchart Q1.7	Network Rail (IQ**).
b.	Animal incursion reported by driver (not as safety of line). Delay occurs to reporting train.	TG / FC	Operator of train involved (T##*/F##*)
c.	Animal incursion reported (not reported as safety of the line per current rules). No delay to reporting train but delay occurs to subsequent trains.	OC	Network Rail (OQ**)

Note: Safety of the Line in this circumstance is deemed to be where the reporting person believes there is a potential risk to the safety of their train, other trains, any persons on those trains or the overall safe operation of the railway.

Note: Incursion incidents involving swans (not struck by a train) are to be coded to I8 regardless of whether they are considered to present a safety of the line risk. Cautioning is required for swans given their protected status.

Q2 Bridge Damage (including Strikes)

Q2.1 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 from below:

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 Section P1 or Section P2 as applicable.

Q2.2 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 the Rule Book.
- 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.

Q2.3 Damage incurred to overbridges (road over rail) by traffic is classed as a road/rail interface event rather than a bridge strike. Such incidents shall be coded to Network Rail using delay code XN.

Q.2.4 Accidental damage incurred to a bridge during the course of non-railway related works undertaken by a third party (e.g. roadworks on an overbridge) shall be coded to Network Rail using delay code XM.

Note: Issues with bridge condition ongoing beyond the original day of an event (including ESR's) shall be coded JD regardless of initial cause. In the event that delays on the date the bridge was damaged have been coded to an alternate code under principle Q2.2, Q2.3 or Q2.4, a separate incident will need to be created to reflect the change in prime cause after the date the bridge was damaged.

Q3 Fatalities and Injuries

Q3.1 The terms 'fatality' and 'injury' as used in this section, include persons having been struck by a train.

Q3.2 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 paragraph Q3.3).
c	Fatality or injury on non-Network Rail operated infrastructure affecting trains of non-passenger Operator.	AK/FC	FOC - separate incident to be created for each affected (A##*/V##*).
d	Fatality or injury on a station platform caused by a loose/detached component, including open doors, from a moving train (with non-trespass at the point of contact).	VC (passenger trains)/M* (freight)	Train Operator of the train involved (M##*/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##*).
f	Dispatch by platform staff or traincrew delayed owing to concerns over safety (including attempts to access a train via doors that have already been locked)	RY	Operator of train involved (R##*)

Q3.3 In the scenarios listed in the table above there may be occasion where both track access is denied to trains entering or passing through a station **and** the access of passengers is denied to the station (or booked platform) and to / from those trains. In these circumstances joint responsibility may be applicable so refer to Section D2 and Process Guide PGD13 for further guidance.

Q3.4 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 circumstance multiple incidents may be required as defined in table Q3.2

Q3.5 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.

Q3.6 The above section notwithstanding, normal arrangements apply in respect of the attribution of reactionary delay (see paragraph D5).

Q3.7 Initial attribution in accordance with the guidance above should be reviewed by performance and or 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 Section D4.

Q4 Vandalism, Theft and Trespass

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

Q4.1 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, including in points; or Objects that have been thrown or fired at trains or the 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 or 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 affecting trains including damage to fleet equipment originating from non-Network Rail infrastructure, except, objects being thrown or fired.	VB/AZ as appropriate	Train Operator – Separate incident to be created for each operator affected (V##*/A##*).
e.	Objects that are thrown or fired at trains or Network Rail infrastructure from depots.	MU	Depot owner (M##*).
f.	Objects that are thrown or fired from trains.	VB	Train Operator of the 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 network infrastructure where access is gained by persons exiting directly from within a passenger train (including ECS) without permission.	VA	Train Operator of train concerned (V##*)
i.	Fatality or injury caused by being hit by a train	See Section Q3	As per Section Q3

No.	Circumstances	Delay Code	Incident Attribution
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 Network Rail or where access is gained via a station (2nd Incident)	XA	Network Rail (XQ**) ADRC Determination 27
l.	Threat of trespass from station / footbridge resulting in cautioning of trains	XA	Network Rail (XQ**)
m.	Persons falling or jumping from platform onto Network Rail infrastructure or sitting with their legs over platform edge	XA	Network Rail (XQ**)
n.	Persons surfing on or alighting directly from the outside of a passenger or freight train where access was obtained to that train whilst on the Network Rail network (including stations)	XA	Network Rail (XQ**)
o.	Persons surfing on or alighting directly from the outside of a passenger or freight train where access was obtained to that train whilst off the Network Rail network.	AZ / VA	Train operator of the train concerned (A##* / V##*)

Q4.2 In the scenarios listed in the table above there may be occasion where both track access is denied to trains entering or passing through a station **and** the access of passengers is denied to the station (or booked platform) and to / from those trains. In these circumstances joint responsibility may be applicable so refer to Section D2 and Process Guide PGD6 for further guidance.

Q5 Weather Effects

Q5.1 If weather is classed as severe then External Delay Codes can be applied but it should be noted that, for attribution purposes, to be classed as severe at least two of the criteria below needs to be met: -

- the relevant authorities are advising the public not to travel due to the adverse weather being experienced on that day.
- a severe weather warning has been issued to the industry that is relevant to the cause of delay and in the vicinity in which the delays are occurring
- other modes of transport in the vicinity are being affected by the severe weather; e.g.
    - motorway traffic being disrupted
    - airports being affected
    - local roads being affected
    - ferry sailings are being disrupted or suspended
- Route Controls declaring a RED alert in accordance with National Control Instructions and Extreme Weather Action Team (EWAT) being initiated.
- a railway asset is operating outside of the design parameters due to the conditions being experienced.

  and, accepting all possible mitigation has been undertaken, is otherwise outside Industry control

  In all cases the severe weather needs to have been the direct and immediate cause of the issue and outside the control of the parties involved. This includes:

- The severe weather is occurring on the actual day of the Delay Incident and;
- No reasonable or viable economic mitigation was possible against the impact of the weather.

Q5.2 If the weather does not meet the criteria of paragraph Q5.1 use delay codes I*, J*or, M* as applicable in table Q5.4

Q5.3 For details relating to the impact of weather flowcharts Q5.6 to Q5.11 are split into sections each dealing with a particular weather type, these Sections are:

Wind	Q5.6
Flooding	Q5.7
Heat	Q5.8
Snow/Ice/Frost	Q5.9
Visibility – Sun	Q5.10
Visibility – General	Q5.11

Q5.4 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	Network Rail (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	MU	Train Operator(s) involved.

	weather affecting non-passenger Fleet depots.		Separate Incident to be created for each Operator affected (M##*).
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, due to high winds.	XW	Network Rail (XQ**).
f.	Forecast or actual extreme winds, heat or rain requiring imposition of blanket speed restrictions or implementation of Key Route Strategy in accordance with Group Standards or other national operational safety instructions	X4	Network Rail (XQ**).
g.	Ice on the conductor rail or OHLE regardless of weather severity (unless due to failure of de-icing train).	OG	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 high winds (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 Q5.1) 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 Q5.1)	VW	Train Operator. Separate Incident to be created for each affected (V##).
m.	Ice/Snow affecting operation of Network Rail signalling equipment, including obstacle detection and wire runs, but not involving introduction of a winter Key Route Strategy.	IW	Network Rail (IQ**).
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.	XU	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 (IQ**).
s.	Lightning strike against a NR asset that has had work undertaken to mitigate the effects of the strike.	J6	Network Rail (XQ**).
t.	Icicles hanging from Network Rail structures (including tunnels) where severe weather criteria have been met – including where resulting damage to a train or its load has occurred. (For icicles on the OHLE see circumstance g above)	XT	Network Rail (XQ**).
u.	Icicles hanging from Network Rail structures (including tunnels) where severe weather criteria have <u>not</u> been met – including where resulting damage to a train or its load has occurred. (For icicles on the OHLE see circumstance g above)	IW	Network Rail (IQ**/XQ**).
v.	Buckled rail caused by high temperatures.	IR	Network Rail (IQ**).
w.	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##*).
x.	Weather impacting on LUL or other non-Network Rail running lines importing delay which impacts on passenger trains.	VZ	Operator of the train concerned (V##*).
y.	Where drivers of passenger rolling stock confirm that delay is a result of adherence to company driving standards or policies during adverse weather conditions, where severe weather criteria has been met and delay is not fleet related.	VR	Operator of the train concerned (V##*).
z.	Visibility issues that have been caused by snow covering or physically obscuring signal aspects or track signs.	XT	Network Rail (XQ**).
aa.	The Driver's report confirms delay in a semaphore signalled area by the lack of visibility of the signals.	X1	Network Rail (XQ**).
ab.	Delays were caused by sun shining on to the driver's cab where the driver has not taken all preventative measures e.g. using company issued sunglasses.	TG/FZ	Operator of the train concerned (T##*/F##*).

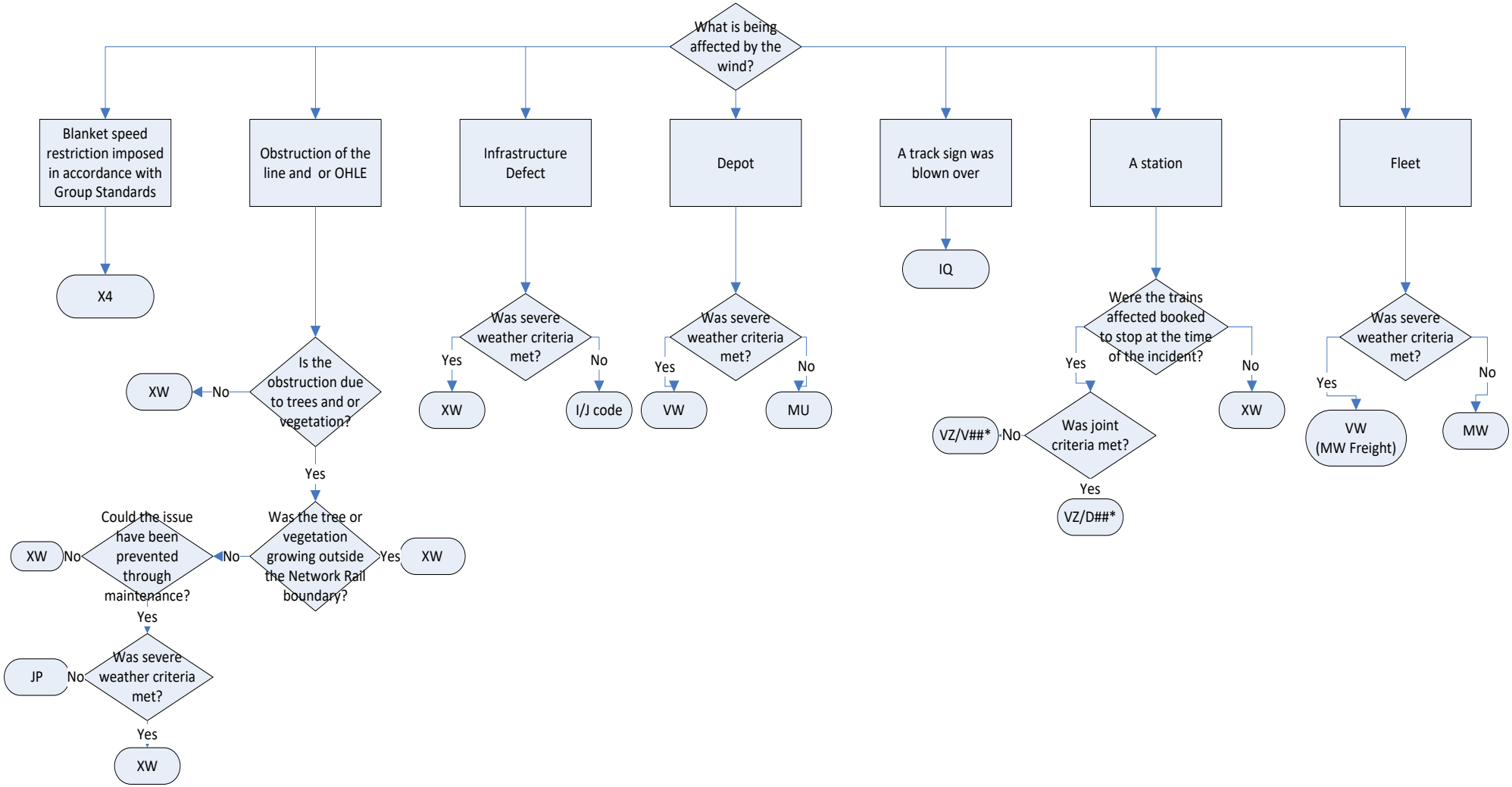
ac.	Where drivers of freight services confirm that delay is a result of adherence to company driving standards or policies during adverse weather conditions.	FG	Operator of the train concerned (F##*).

Note 1: For the avoidance of doubt a blanket speed restriction is considered to be a speed restriction that is imposed over an entire Network Rail Route operational area or covering an entire line of route for operational safety reasons. In situations where every train is being cautioned over a just section of line is not considered a blanket speed restriction

Note 2: Where an emergency speed restriction (excluding blanket or KRS related speed restrictions) is put in place due to the weather for a previously identified issue with, or condition of, a specific asset or section of line (including assets with an Accepted Design Limitation), then any delay should be coded to the asset or underlying issue previously identified.

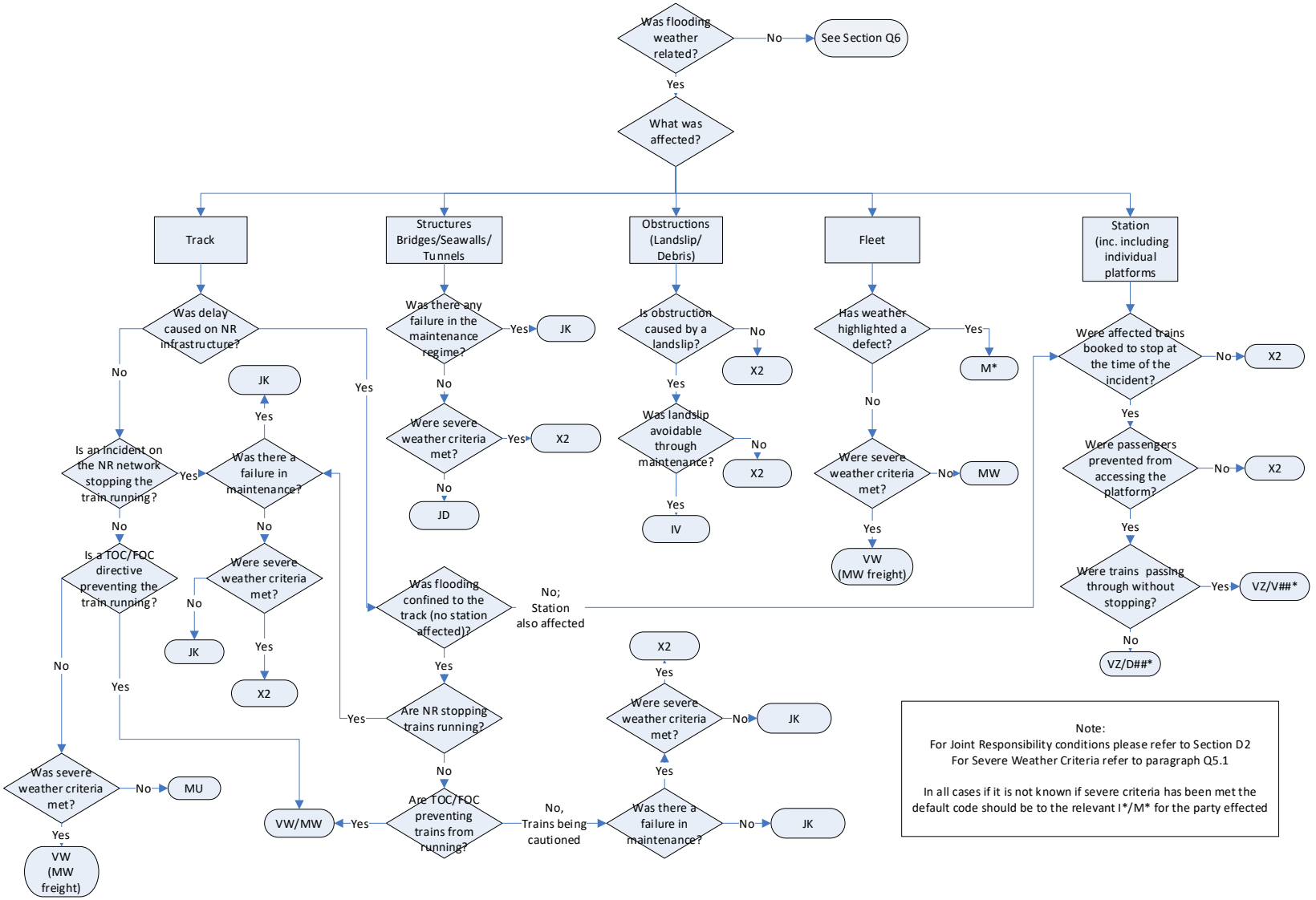
Q5.5 In the scenarios listed in the table above there may be occasion where both track access is denied to trains entering or passing through a station **and** the access of passengers is denied to the station (or booked platform) and to / from those trains. In these circumstances joint responsibility may be applicable so refer to Section D2 and Process Guide PGD6 for further guidance.

Q5.6 Delay code guidance for dealing with the impact of wind

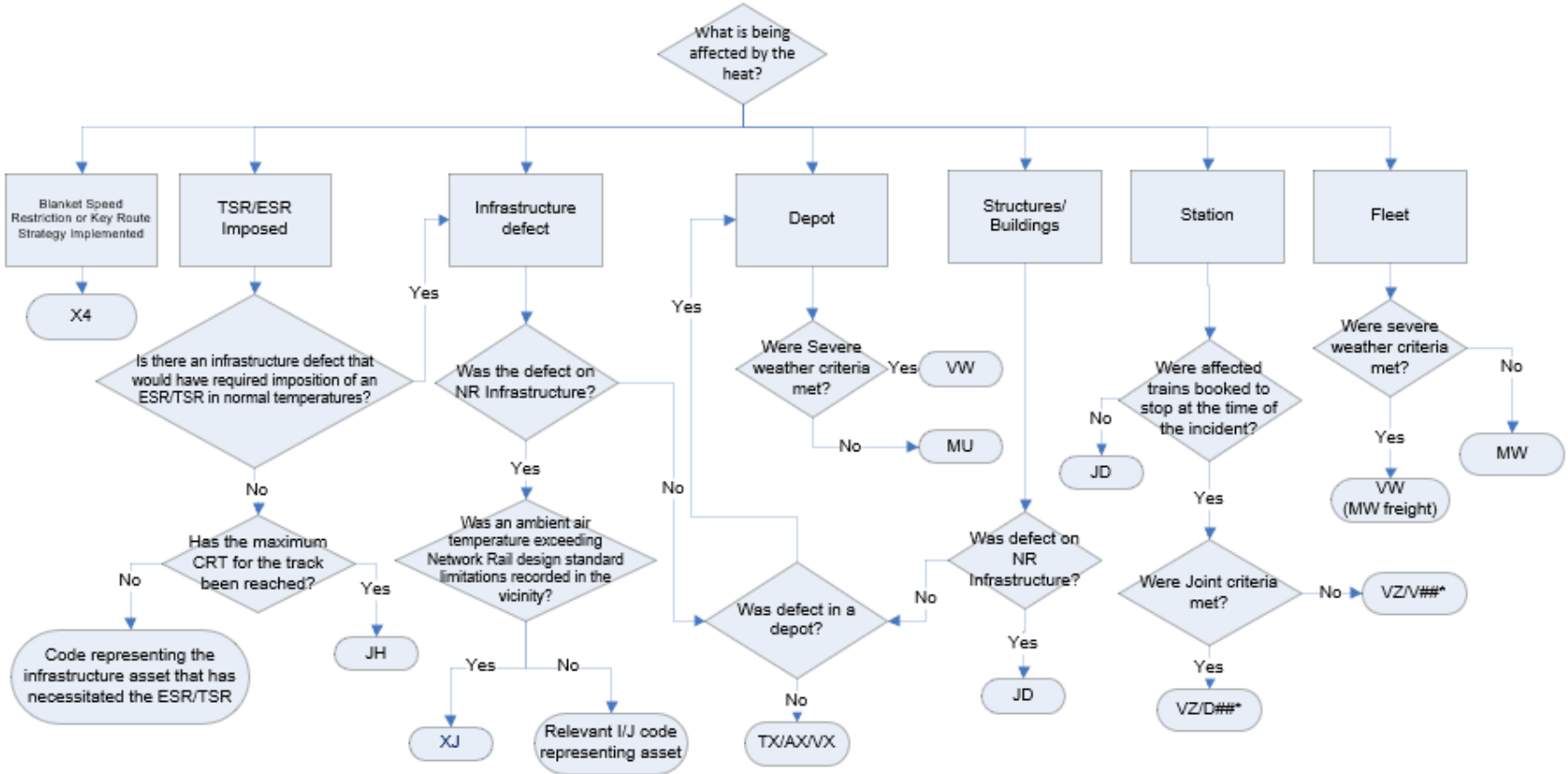


In all cases, if it is not known if severe weather criteria has been met, the default delay code should be the relevant I*/J*/M* for the party affected.

Q5.7 Delay code guidance for dealing with the impact of flooding

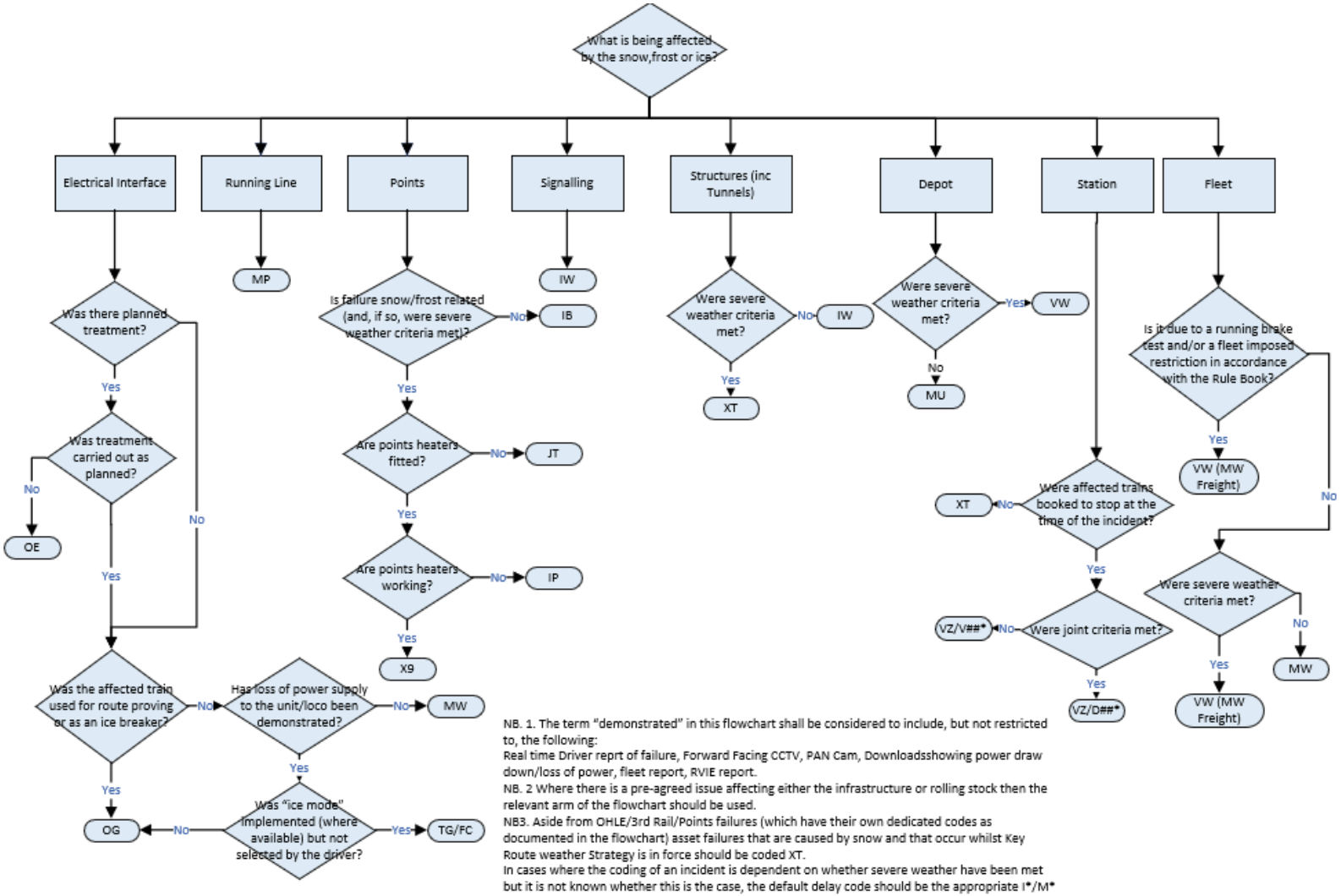


Q5.8 Delay code guidance for dealing with the impact of heat



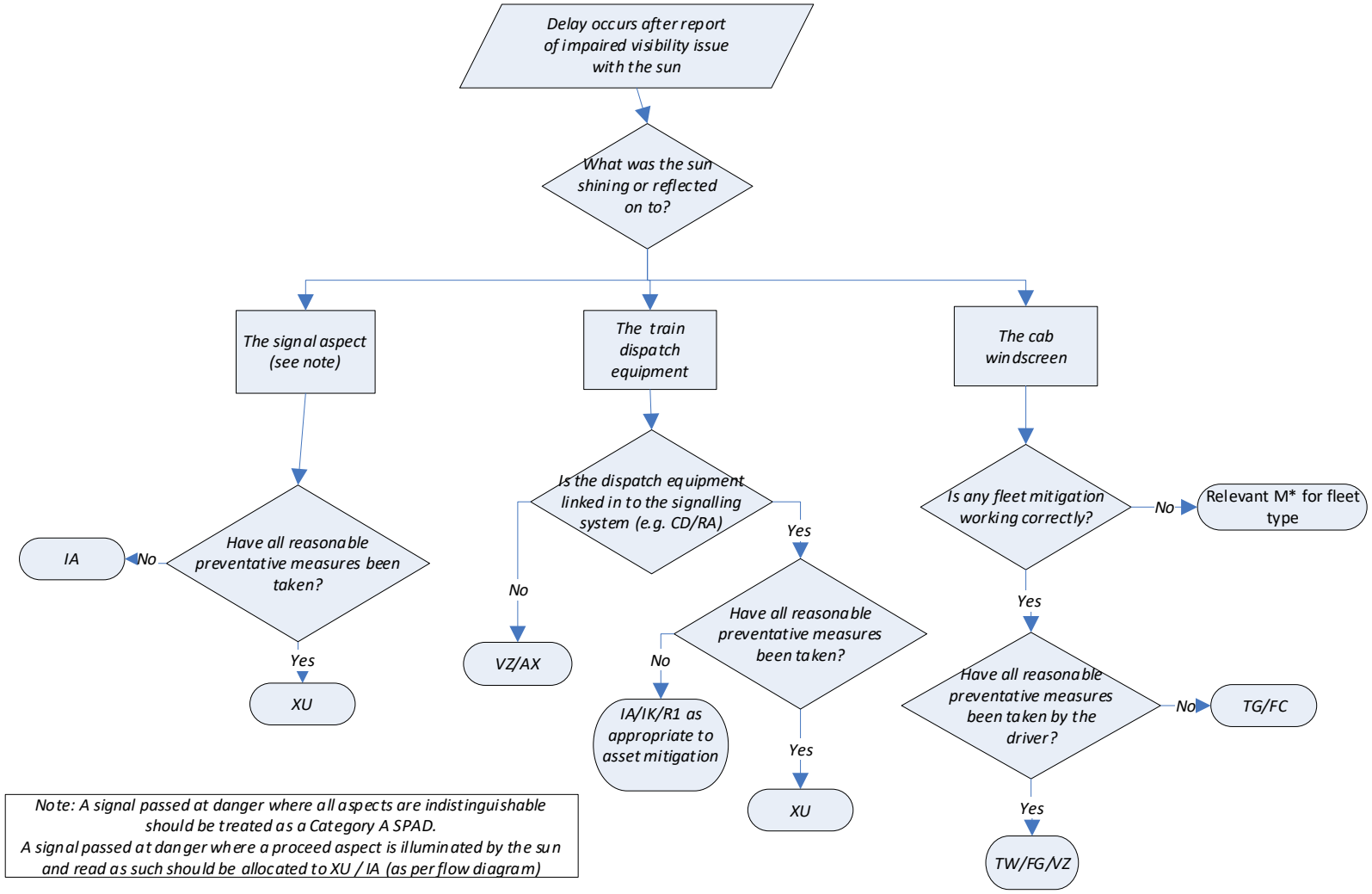
Note:
For Joint Responsibility conditions please refer to Section D2.
For Severe Weather Criteria refer to Paragraph Q5.1
In all cases, if it is not known if severe weather criteria has been met, the default code should be to the relevant I*/M* for the party affected.
The Network Rail design standards documenting the maximum temperatures at which assets are expected to function are NR/L2/SIG/19820/K01 and NR/L2/ELP/21088

Q5.9 Delay code guidance for dealing with the impact of snow, ice or frost

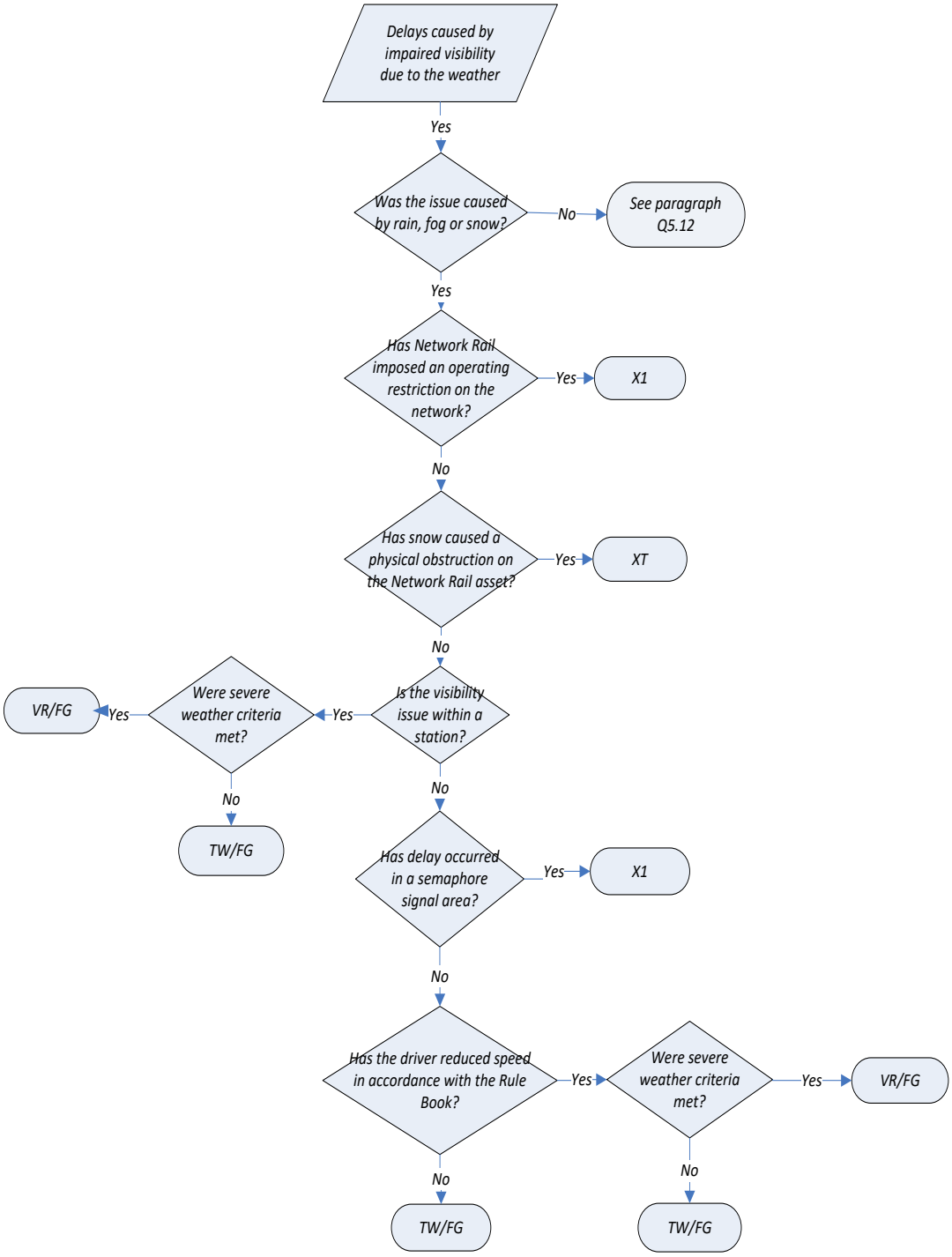


NB. 1. The term "demonstrated" in this flowchart shall be considered to include, but not restricted to, the following:
Real time Driver reprt of failure, Forward Facing CCTV, PAN Cam, Downloadsshowing power draw down/loss of power, fleet report, RVIE report.
NB. 2 Where there is a pre-agreed issue affecting either the infrastructure or rolling stock then the relevant arm of the flowchart should be used.
NB3. Aside from OHLE/3rd Rail/Points failures (which have their own dedicated codes as documented in the flowchart) asset failures that are caused by snow and that occur whilst Key Route weather Strategy is in force should be coded XT.
In cases where the coding of an incident is dependent on whether severe weather have been met but it is not known whether this is the case, the default delay code should be the appropriate I*/M* for the party affected.
In all cases if it not known if severe weather criteria has been met, the default delay code should be the relevant I*/M* for the party affected.

Q5.10 Delay code guidance for dealing with the impact of visibility caused by the sun.



Q5.11 Delay code guidance for dealing with the impact of visibility caused by fog, snow or rain



Q5.12 Operating Restrictions in Severe Weather

Q5.12.1 During extreme cold and or snow conditions there are several operating restrictions, standards and rules that cause the speed of trains to be reduced and can cause consequent delay. The DAPR differentiation is dependent on whether the requirement for the restriction is due to a Network/infrastructure asset or instruction or whether the requirement is due to train operation or fleet activity or instruction. Attributors should consider the impact of each separate restriction during adverse weather as a sectional delay may be due to application of more than one instruction or restriction.

Some examples of different types of restriction that may occur during a period of snow or extreme cold weather are:

a) The Rule Book advises a maximum of 100 mph or 10 mph below line speed in snow. This is a restriction to train operation due to a perceived risk in the reduction of braking capability due to frozen brakes and is thus fleet related. Code to VW (MW freight).

b) Reduction in speed due to the difficulty in sighting signals (The Rule Book – This is a restriction to train operations coded to TOCs/FOCs in colour light signalling areas TW/VR, (TOCs), FG(Freight) as there is no viable mitigation and no network restriction. In semaphore signalled areas Network Rail are allocated responsibility (code X1) as they are deemed best placed to mitigate impact through the replacement with more modern signalling technology.

c) Reduction in speed due to difficulty sighting other line, line side structures or assets e.g.(stations, level crossings, TSR boards) due to falling snow TW/VR(TOCs), FG(Freight)

d) Reduction in speed due to sighting of infrastructure assets (e.g. TSR boards) due to snow on and obscuring the asset (for falling snow, see c above) – IW/XT.

e) Completion of additional running brake tests in extreme cold/snow (Rule Book instruction) - This is a restriction due to risk to train operations from poor railhead condition and reduced braking capability or frozen brakes. This should be coded VW (TOCs), MW (FOCs) depending on the severity of weather conditions.

f) Speed restriction imposed by a TOC(s) to protect fleet from snow or ice damage. This is a train operator responsibility (code VW) or (MW for FOCs).

g) Speed Restriction imposed by Network Rail to protect an infrastructure asset or maintain safe network operations is a Network Rail responsibility utilising the relevant code for the restriction/asset type.

Q5.13 Operator owned trains utilised for short-notice Network Rail activities.

Q5.13.1 Network Rail may, on occasion, utilise traction that is owned by a Train Operator at short notice for operational purposes, particularly in cases where poor weather that could potentially impact the operation of trains is expected. This may include “Route Proving” (running a train through a section of line to prove it is safe for the normal operation of trains) and running trains to keep rails, third rails and/or overhead line equipment in operable condition. These latter moves are sometimes referred to as “Ghost Trains”.

Q5.13.2 If a scheduled train is utilised for route proving and loses time and no other cause is identified the delays should be coded to the relevant weather Delay Code necessitating the route proving (generally XT or XW)

Q5.13.3 If a train loses time whilst being utilised as a ghost train and no other cause is identified the delay should be coded to OS (in line with the principles of RHTT operation)

Q5.13.4 Any delays or cancellations incurred to a planned service as a result of displaced stock or crew in consequence of their previously being utilised to run a Ghost Train should be attributed in line with DAPR Section M3.3 for hired and commandeered trains.

Q5.14 Cancellations (including presumed cancellations) with unknown cause.

Q5.14.1 During severe perturbation best endeavours is often applied by all Parties to run the best train service it can. In some situations it is not possible to fully record if, and why, a train is cancelled. In these situations investigation and attribution of trains either cancelled or believed to be cancelled the following principles should be applied in the first instance: -

- If the train could have run (no network restriction) then allocate to the Operator to review and explain.
- If the train could not have run (due to a network or train operator restriction) then code to cause for not being able to run
- If train is cancelled as reaction to another train then utilise Reactionary Delay Codes YI and YJ.
- If the train is cancelled from a depot, yard or siding (no network restriction) then allocate to the Operator to review and explain
- If the passenger train operator cancellation is part of a plan agreed by the Parties prior to 22.00 the previous day then application of a P Code is permissible (see DAPR L1.5)
- If, after full investigation by both Parties, a cause for a cancellation cannot be ascertained then the cancellation should be coded ZU.

Q6 Flooding

Q6.1 Where flooding occurs affecting Network Rail infrastructure an incident should be raised coded (JK/IQ**).

Q6.2 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**). For further guidance on flooding due to weather please refer to flowchart Q5.7.

Q6.3 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. 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.

Q6.4 Likely examples:

No.	Circumstances	Delay Code	Incident Attribution
a.	Flooding caused by drainage being inadequately maintained.	JK	Network Rail (IQ**).
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 Network Rail.	XM	Network Rail (XQ**).
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 an off Network freight yard or terminal.	AZ	Train Operator – separate incident to be created for each involved FOC operating in or out of the off Network yard or terminal. (A##*)
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##*).

Q7 Security Alerts

Q7.1 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 or operated by Network Rail	XI	Network Rail (XQ**)
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 Q7.2 below).
e.	Security alert affecting trains of Train 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 the depot.	VI	Train Operator - separate Incident for each Operator affected (V##*).
h.	Security alert in off Network freight depot affecting trains in the depot.	M* (appropriate to cause)	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/ Freight)	Operator of train concerned (V##* or F##*/R##*).

Q7.2 In the scenarios listed in the table above there may be occasion where both track access is denied to trains entering or passing through a station and the access of passengers is denied to the station (or booked platform) and to / from those trains. In these circumstances joint responsibility may be applicable so refer to Section D2 and Process Guide PGD6 for further guidance.

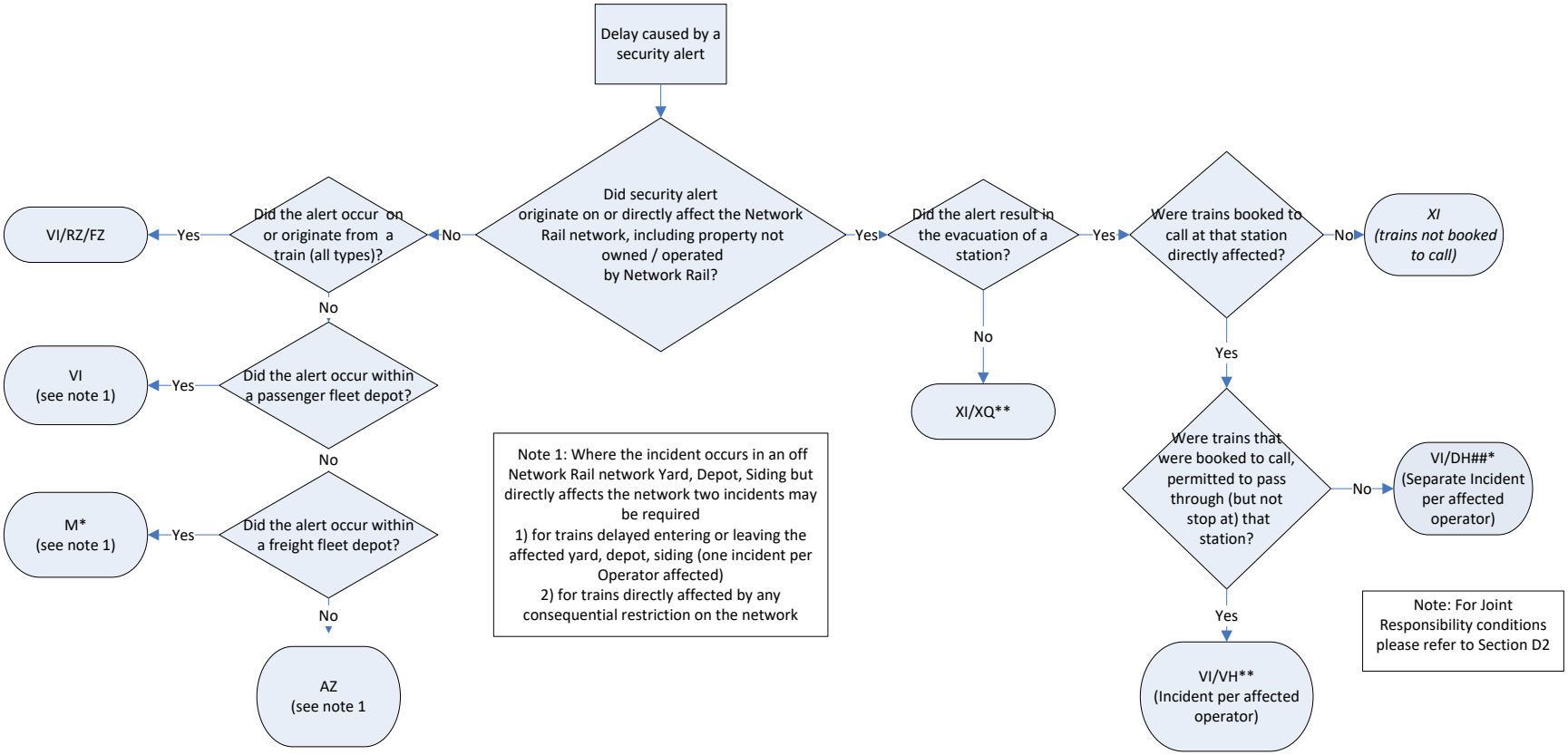
Q7.3 Circumstances may arise where Joint Responsibility criteria are met for only a limited period within the overall duration of the incident; for example, the police may initially close the line and the station, but then allow one to be re-opened, while keeping the other closed. In such circumstances multiple incidents may be required as defined in table Q7.1

Q7.4 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.

Q7.5 The above section notwithstanding, normal arrangements apply in respect of the attribution of reactionary delay (see Section D5).

Q7.6 In all the circumstances in table Q7.1 above, the term station should be taken to include Network Rail Managed Stations

Q7.7 Flowchart identifying attribution of various types of security alert



Q7.7.1 For the purposes of this flowchart Network Rail Managed Stations are to be treated as a station and not Network Rail property.

Q8 Fires (Including False Alarms)

Q8.1 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 O1
c.	Lineside fire caused by traction unit	Appropriate M* Code	Train Operator of train causing fire (M##*).
d.	External fire to Railway Infrastructure causing delay to trains but not preventing access of passengers to and from a train at a station. (including those that spread to railway infrastructure).	XL	Network Rail (XQ**).
e.	Fire (including false alarms) in 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 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.	Not vandalism OJ	Network Rail (OQ**).
		Caused by vandalism XB	Network Rail (XQ**).
g.	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 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##*).

No.	Circumstances	Delay Code	Incident Attribution
h.	Fire in 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 platforms or in station buildings affecting FOC Trains booked to call at stations.	AK	FOC Trains (A##*).
j.	Fire in off Network freight yard or 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 caused by vandalism MU	Separate incident for each Train Operator affected. (M##*)
l.	Fire on a passenger train	Caused by Vandalism. VF	Operator of train involved (V##*).
		Not caused by vandalism MD/M8	Operator of train involved (M##*).
m.	Fire on freight train.	MB/MC/ML As appropriate	Operator of train involved (M##*).

Q8.2 In the scenarios listed in the table above there may be occasion where both track access is denied to trains entering or passing through a station **and** the access of passengers is denied to the station (or booked platform) and to / from those trains. In these circumstances joint responsibility may be applicable so refer to Section D2 and Process Guide PGD6 for further guidance.

Q8.3 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 Q3.2

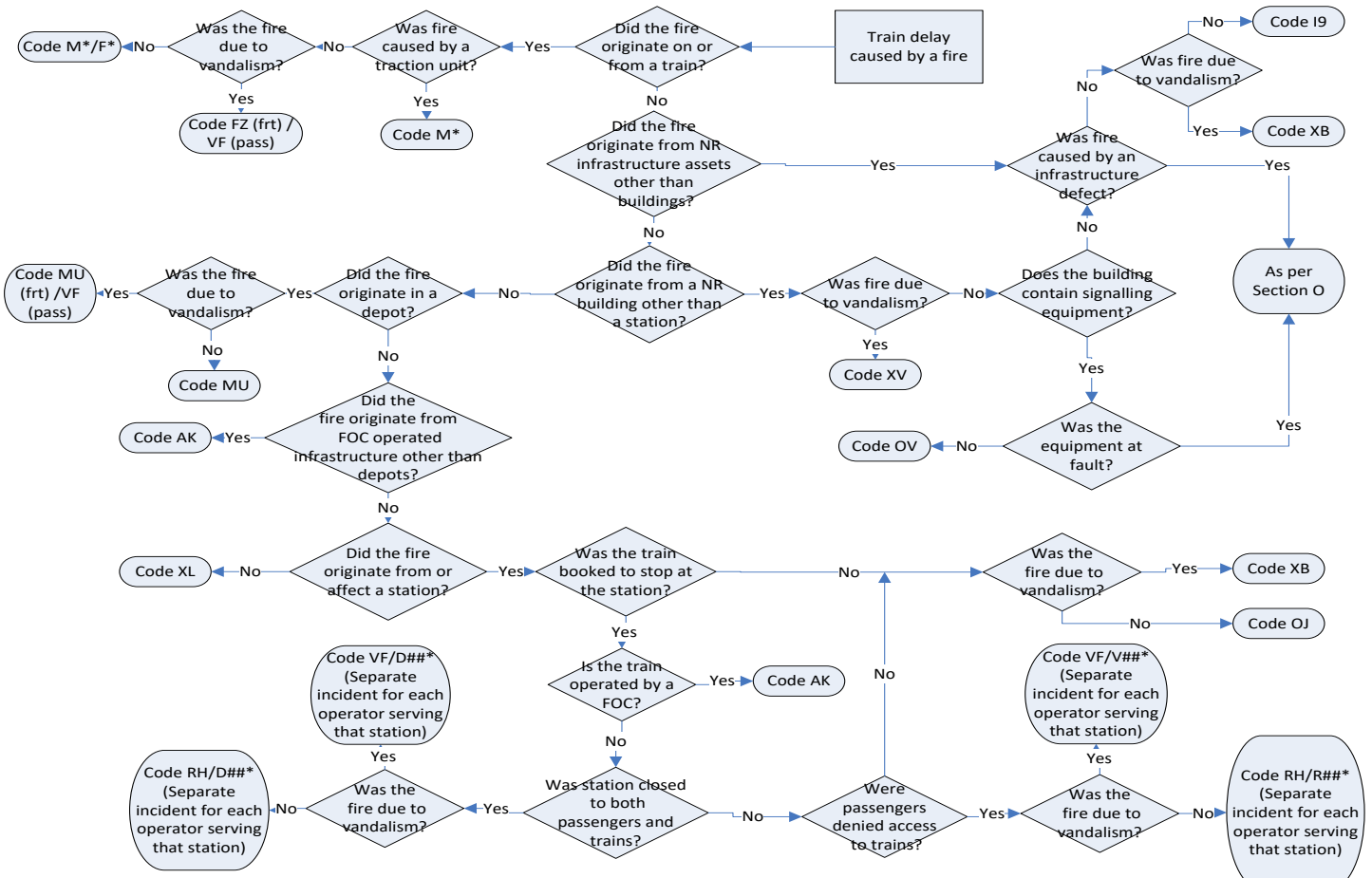
Q8.4 Note that, in the event of Joint Responsibility being applicable in accordance with the guidance, an incident should be created for each operator incurring at least one direct delay in respect of any train booked to call at the station affected during the period of closure. Any subsequent direct 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.

Q8.5 The above section notwithstanding, normal arrangements apply in respect of the attribution of reactionary delay (see Section D5).

Q8.6 In all the circumstances in table Q8.1 above, the term station should be taken to include Network Rail Managed Stations.

Q8.7 For the scenarios above involving fires originating in an off network yard, siding, terminal or depot, any delays caused directly to trains on the network due to the effects of the fire (cautioning, or stopping traffic due to smoke, proximity of the fire itself), should be attributed to a separate XL coded incident. This would not include trains delayed waiting entry to the off network location.

Q8.8 Flowchart identifying attribution of various types of fire (including alarm activations)



Note: Where the incident occurs in an off Network Rail network Yard, Depot, Siding but directly affects the network two incidents may be required
1) for trains delayed entering or leaving the affected yard, depot, siding (one incident per Operator affected)
2) for trains directly affected by any consequential restriction on the network

Note: For Joint Responsibility conditions please refer to Section D2
In regard to the flow chart the word Fire should also be read as fire alarms, including false alarms.
Throughout this flow chart the term 'station' can also refer to the platform at which the train is booked to call

Q8.8.1 For the purpose of this flowchart Network Rail Managed Stations are to be treated as a station and not a Network Rail controlled building

Q8.8.2 For any resulting attribution scenarios pertaining to fires originating in an off-network yard, siding, terminal or depot, it should be noted that any delays caused directly to trains on the network due to the effects of the fire (smoke, proximity of the fire itself) should be attributed to a separate XL coded incident

SECTION R: SAFETY REPORTING, INVESTIGATIONS AND NO FAULT FOUND INCIDENTS

R1 Mishaps and Major Safety Incidents

R1.1 If an incident occurs on Network Rail infrastructure, for which the outcome of a Formal Inquiry, as convened in accordance with current group standards, is required to establish responsibility and this could lie with at least one Train Operator, then refer to the Holding Code Section R4. If two or more Train Operators are responsible, a separate Incident may be required for the trains of each. The conclusion of the formal investigation 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 paragraph R1.2 and or table R1.3

R1.2 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 R1.1 immediately. 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 most appropriate code reflecting the prime cause based on the information available is to be used.

R1.3 Particular codes:

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	MT	Train Operator (M##*).
d.	Hot Axle Box detection - no fault found or wrong detection.	IN	Network Rail (IQ**).
e.	Displaced conductor rail.	I1 or where agreed use Holding Code D*	As appropriate to either Network Rail (IQ**) or Operator of train concerned where Holding Code agreed.
f.	Overhead wires down.	See Section O4	As per Section O4
g.	Fires or fire alarms.	See Section Q8	As per Section Q8
h.	Injury to passenger (accidental).	VD	Train Operator (V##*)
i.	Assault on passenger.	VA	Train Operator (V##*)
j.	Injury to member of staff in Railway Industry and unable to complete current or subsequent duties	Delay code appropriate to the cause of subsequent delay (not the cause of injury).	Depending on whether the injury prevents the operation of the Network or operation of train(s). Network Rail (OQ**) or Operator of the train. (F##*/M##*/R##*/T##*).

No.	Circumstances	Delay Code	Incident Attribution
k.	Door Open incident on passenger train.	Appropriate M*/R*/T*/V* code	Train Operator (M##*/R##*/T##*/ V##*).
l.	Door open incident on non-passenger train.	FZ	Train Operator (F##*).
m.	Level crossing incidents involving damage.	ID	Network Rail (IQ**)
n.	Misuse of level crossing.	XN	Network Rail (XQ**)
o.	Bridge Strike.	XP	As per Section Q2
p.	Fatality or injury caused by being hit by a train.	See Section Q3	As per Section Q3
q.	Vandalism, trespass and theft	See Section Q4	As per Section Q4
r.	Signal Passed at Danger due to infrastructure failure.	Appropriate I*/J* Code	Network Rail (IQ**)
s.	Signal Passed at Danger due to Train Operator causes.	AZ/FC/FZ/ M*/RY/RZ/ TG/TH	Train Operator. (A##*/F##*/M##*/R##*/ T##*)
t.	Signal Passed at Danger due to signaller's error.	OC	Network Rail (OQ**).
u.	Signal Passed at Danger as a result of Signaller reverting signal in emergency.	Delay Code representing cause of Incident requiring the signal reversion	As appropriate to delay code and responsible party
v.	Signal Passed at Danger due to leaf fall contamination.	QH/FC/TG	As Per Section F1
w.	Network Rail network closed due to emergency on adjacent airfield/airport or other aviation related incident directly affecting the Network Rail network.	XO	Network Rail (XQ**)
x.	Union directive or industrial action causing un-planned delays (including non-safety issues).	Appropriate delay code to the function to whom the party taking action is contracted to at the time of the delay occurring	As appropriate to delay code and responsible party.

R2 Safety Problems Reported by Staff or Public

R2.1 All Railway Industry staff has 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.

R2.2 The principles of attribution within this section are that attribution responsibility will be to the owner of the reported fault or safety issue and NOT to the person (staff or public) that reported the issue should it be proven to be a mistaken report.

R2.3 When considering resolution of incidents utilising this section, thought should be given to the distinct difference between 'no cause found' for an identified fault and 'no fault found' for a reported fault. For No Fault Found concerning technical incidents please refer to section R3

R2.4 Likely circumstances:

No.	Circumstances	Delay Code	Incident Attribution
a.	Network Rail confirm defect after report of poor ride quality	As per Section O1	As per Section O1
b.	Following report of poor ride quality Network Rail unable to find an apparent cause	IT	Network Rail (IQ**)
c.	Network Rail confirm signalling problems causing change of signal aspects or other reported signalling anomaly	As per section O1	As per section O1
d.	Signaller accidentally puts signal to danger	OC	Network Rail (OQ**)
e.	Signal put back to danger to stop train due to a safety of the line incident	Appropriate Code	As appropriate to cause
f.	No fault can be found or no cause is apparent for any reported signalling anomaly or change or aspect. (For report proven to be mistaken see circumstance 'o' below)	IA	Network Rail (IQ**)
g.	Network Rail staff confirm presence of reported obstruction	JX	Network Rail (IQ**)
h.	Network Rail and Train Operator agree that a train has struck an unidentified obstruction on the line and Network Rail were required to attend (not vandalism)	JX	Network Rail (IQ**) (see also paragraph Q4.1)
i.	Network Rail and Train Operator agree that a train has struck an unidentified obstruction on the line and Network Rail were not required to attend (not vandalism)	JX	Network Rail (IQ**) (see also paragraph Q4.1)
j.	The Train Operator's staff confirm that there is a defect with the traction or rolling stock	Appropriate M* Code	Operator of train concerned (M##*)
k.	Head or tail lights are missing, not lit or wrongly displayed	FM or TG as appropriate to type of train	Operator of train concerned (F##* or T##*)

No.	Circumstances	Delay Code	Incident Attribution
l.	The Train Operator staff are unable to find the reported train-related safety problem or can prove the report to be false.	FZ, M9 or TZ as appropriate to type of train	Operator of train concerned (F##*, M##* or T##*).
m.	Network Rail is unable to find the infrastructure related safety problem – No Fault Found (when reported by Industry staff/contractors)	As appropriate to reported asset	Network Rail (IQ**)
n.	Network Rail is unable to find the infrastructure related safety problem (when reported by a member of the public)	J4	Network Rail (IQ**)
o.	Network Rail is able to categorically prove (via FFCCTV or the like) that the infrastructure related safety reported is mistaken (NOT No Fault Found- see circumstance 'm' above)	J5	Network Rail (IQ**)

R2.5 While signallers are completing the RT3185 or RT3187 forms, the delays to the train involved and any reactionary delays should be attributed to the incident that made the use of the form necessary. Trains delayed as a result of being overlooked whilst completing this process should be attributed as a new incident to the Signaller.

R3 Guidance Where No Fault Found (Technical Equipment)

This Section is only applicable where parties have agreed that all reasonable efforts had been made to investigate the cause of delay resulting from the perceived failure of equipment in Table R3.5 (including the use of OTMR, voice recordings, and other technical data). If there is no agreement that all reasonable efforts have been undertaken this would not constitute No Fault Found. The guidance given in this section is not a substitute for a lack of investigation. Where parties have agreed that opportunity was afforded to a party through timely advice or challenge and all reasonable efforts to investigate have been undertaken, the following principles shall apply.

R3.1 When considering resolution of incidents utilising this section, thought should be given to the distinct difference between 'no cause found' for an identified fault and 'no fault found' for a reported fault.

R3.2 Where the equipment is solely infrastructure based and no fault is found with the train; the incident is attributed to Network Rail (use delay code I*, J*)

R3.3 Where the equipment is not solely infrastructure based and no fault is found with either the train or the infrastructure based equipment the incident shall be attributed to the Operator (use delay code F*, N*, M* or T*).

R3.4 These principles are subject to review in the following circumstances.

R3.4.1 Where a train fails to acknowledge more than one piece of infrastructure based equipment of the same type, it should be deemed that the fault is with the train based equipment.

R3.4.2 Where a train fails to read a piece of infrastructure-based equipment but then reads subsequent equipment and it cannot be determined if the fault is train based or infrastructure based, it should be deemed unless otherwise proven, that the fault is with the train-based equipment.

R3.4.3 Where a train fails to read a piece of infrastructure-based equipment but subsequent trains utilising the same piece of equipment in similar circumstances experience no issues, it should be deemed unless otherwise proven, that the fault is with the train-based equipment.

R3.4.4 Where two or more consecutive trains that utilise, and fail to read, the same piece of Network Rail owned and maintained infrastructure-based equipment in similar circumstances, it should be deemed that the fault is with the infrastructure-based equipment. This principle of two or more separate trains should also be applied in the same way to two separate train-based radios.

R3.5

Network Rail Responsibility	Operator Responsibility	
HABD	ADD	PIBS
PANCHEX	ATP	Power Change Over
WHEELCHEX	AWS	RETB
WILD	ERTMS	SDO System
GOTCHA	Failure to Couple	TASS
	On Board HABD	TPWS

Note: Where a specific item of equipment is not listed in the above table, the principles should be applied utilising any similar equipment (i.e. that performs the same or similar role)

R3.6 For GSM-R No Fault Found, please refer to Section G5.

R4 HOLDING CODES Pending investigation

R4.1 This section covers incidents where a cause is not initially apparent and that requires formal investigation by RAIB, Independent or Industry Bodies (persons outside of the parties involved) and should ONLY be used as a temporary coding and NOT final resolution
The use of the D* Codes (Holding Codes) should be restricted to the following circumstances:-

- Incidents that are being investigated by the RAIB
- Incidents that are being investigated by an independent party
- Incidents where the events have destroyed obvious evidence
- Incidents that require forensic investigation
- Incidents that involve a train/infrastructure interface.
    - OHLE/Pantograph
    - SPADs
    - Object Strikes
    - Derailments
    - 3rd Rail shoe interface
- Incidents that have occurred on or directly affecting the Network within any of the criteria stated above
- Incidents where Network Rail and at least one other track access party is involved within any of the above criteria stated.

R4.2 When authorised to use a Holding Code the relevant D* should be utilised representing the same KPI as that of the current Delay Code mapping to ensure correct data mapping whilst the investigation is ongoing.

R4.3 Once the investigation is concluded the incident should be re-allocated to the relevant delay code and responsible party.

Note: For application of Y* Codes please refer to Process Guide PGD3.

SECTION S: DELAY CODES

A - FREIGHT TERMINAL OPERATING CAUSES
D – HOLDING CODES
F - FREIGHT OPERATING CAUSES
I - INFRASTRUCTURE CAUSES
J - FURTHER INFRASTRUCTURE CAUSES
M - MECHANICAL OR FLEET ENGINEER CAUSES
N –OTHER MECHANICAL OR FLEET ENGINEER CAUSES
O - NETWORK RAIL OPERATING CAUSES
P - PLANNED OR EXCLUDED DELAYS OR CANCELLATIONS
Q - NETWORK RAIL NON-OPERATING CAUSES
R - STATION OPERATING CAUSES
T - PASSENGER OPERATING CAUSES
V – EXTERNAL EVENTS – TOC RESPONSIBILITY
X - EXTERNAL EVENTS - NETWORK RAIL
Y - REACTIONARY DELAYS
Z - UNEXPLAINED DELAYS AND CANCELLATIONS

A - FREIGHT TERMINAL OPERATING CAUSES

Abbreviated Departmental Cause Code: FTO

These codes are to be used for delays caused by operators using Freight Terminal 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 acceptance into off Network Rail network Terminal or Yard	ACCEPTANCE
AC	Waiting train preparation or completion of TOPS list/RT3973	TRAIN PREP
AD	Off Network Rail network Terminal or Yard staff shortage including reactionary congestion caused by the shortage	WTG STAFF
AG	Wagon load incident including adjusting loads or open door	LOAD INCDT
AH	Customer or off Network Rail network yard equipment breakdown/reduced capacity	YARD EQUIP
AJ	Waiting Customer's traffic including release information and documentation	TRAF DOC
AK	Safety incidents and mishaps (e.g. derailments, fire or chemical spill) in off Network Rail network freight yard or terminal (including private sidings, and stations – where it affects FOC services)	YARDSAFETY
AX	Failure of off network infrastructure (FOC or private)	OFFNET INF
AZ	Other Freight Operating Company cause, to be specified (including congestion), in off Network Rail network terminals or yards	YARD OTHER

D - HOLDING CODES

Abbreviated Departmental Cause Code: HOLD

These delay codes are Holding Codes only and not for use in final attribution. Their use should align with the incident's original delay code to enable KPI reporting to remain consistent.

CODE	CAUSE	ABBREVIATION
DA	Non Technical Fleet Holding Code	HOLD NT FL
DB	Train Operations Holding Code	HOLD T-OPS
DC	Train Crew Causes Holding Code	HOLD T-CRW
DD	Technical Fleet Holding Code	HOLD T FL
DE	Station Causes Holding Code	HOLD STN
DF	External Causes Holding Code	HOLD EXT
DG	Freight Terminal and or Yard Holding Code	HOLD YARD
DH	Adhesion and or Autumn Holding Code	HOLD AUTM

F - FREIGHT OPERATING 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	DANG GOODS
FC	Freight Train Driver error, SPAD, Wrong routing or Missed AWS/DSD	DVR ERROR
FE	Train crew not available including after rest	NO T-CREW
FF	FOC Diagramming or Rostering issue	FOC DIAG
FG	Driver adhering to company professional driving standards or policy	PRO DRIVER
FH	FOC Planning issue (not diagramming or rostering)	FOC PLAN
FI	Delay due to incorrect ETCS system or equipment operation by Driver	ETCS DVR
FJ	FOC Control decision or directive including diversion requests and errors	FOC CONTRL
FL	Train cancelled at FOC request or planned not to run	CANCEL REQ
FM	Tail lamp or head lamp out or incorrectly shown	LAMP ISSUE
FO	Time lost en-route believed to be Operator cause and information required from Operator (Ops Responsibility)	LIR UNEX
FW	Late start or yard overtime not explained by Train Operator	LATE START
FX	Freight train running at lower class or speed than planned classification or overweight	TRAIN SPEC
FZ	Other FOC causes incl. cause to be specified, including mishaps.	FOC OTHER

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 (including no fault found)	SIGNAL FLR
IB	Points failure (including no fault found)	POINTS FLR
IC	Track circuit failure (including no fault found)	TC FAILURE
ID	Level crossing faults and failure incl. barrow/foot crossings and crossing treadles	LEVEL XING
IE	Signalling functional power supply failure	SIG FUNC PWR
IF	Train Describer/Panel/ARS/SSI/TDM/Remote Control failure	PANEL FLR
IG	Block failure	BLOCK FLR
IH	Power supply and distribution system failure	PWR SUP DIS
II	Signalling lineside cable fault	SIG CABLE
IJ	AWS/ATP/TPWS/Train Stop (lineside/on-track equipment failure)	AWS/ATP
IK	Telecom equipment failure (including no fault found)	TELECOMS
IL	Token equipment failure (including no fault found)	TOKEN FLR
IM	Infrastructure Balise Failure (TASS / ETCS / ERTMS)	BALISE FLR
IN	HABD/Panchex/WILD/Wheelchex fault, failure or mis-detection	HABD FAULT
IP	Points failure caused by snow or frost where heaters are fitted but found to be not turned on, not operative or defective	POINT HEAT
IQ	Trackside sign blown down, fallen over, missing, defective, mis-placed	TRACK SIGN
IR	Broken/cracked/twisted/buckled/flawed rail	RAIL FLAW
IS	Track defects (other than rail defects) inc. fish plates, wet beds etc.	TRACK FLT
IT	Rough ride or bumps reported - cause not known or no fault found	TRACK NFF
IV	Cutting or embankment earth slip, rock fall or subsidence (not the result of severe weather on the day of failure)	EARTHSLIP
IW	Non severe weather - snow/ice/frost affecting infrastructure equipment excluding points	INF WEATHR
I0	Telecom equipment legacy radio failure (RETB)	RETB FLR
I1	Overhead line/3rd rail defect	OHL/3 RAIL
I2	AC/DC trip (including no fault or cause found)	AC/DC TRIP
I4	OHLE/3rd rail power supply failure or reduction	SUPPLY FLR
I5	Possession over-run from planned work	OVERRUN
I6	Delays as a result of line blocks / track patrols (including late handback)	LINE BLOCK
I7	Engineer's train late into, from or failed in possession	ENGNRS TRN
I8	Trains striking animals (excluding birds) or animal incursion resulting in cautioning of trains or directly affecting infrastructure assets	ANIMAL
I9	Fires starting on Network Rail Infrastructure	INFRA FIRE

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 speed restrictions for track work outside of the Timetable Planning Rules	TSRNOT EAS
JB	Reactionary Delay to 'P' coded TSR	TSR REACTN
JD	Structures - Bridges/tunnels/buildings/retaining walls/sea defences (not bridge strikes)	STRUCTURES
JF	Off track asset defects or issues on the Network Rail network including fencing, gates, walkways, lighting (not due to vandalism or weather or where the asset is part of the station infrastructure)	OFFTRK ASS
JH	Critical Rail Temperature speeds, (other than buckled rails)	HEAT SPEED
JK	Flooding not due to exceptional weather	FLOODING
JL	Safety related incident caused by maintenance or infrastructure staff oversight or error (not Operations staff)	SAFETY INF
JP	Failure to maintain vegetation within network boundaries in accordance with prevailing Network Rail standards, including where signals are obscured and a train strikes branches.	VEGETATION
JR	Delay due to RBC issues affecting ETCS/ATO/CBTC operation (not balise related)	RBC
JS	Condition of Track TSR outside the Timetable Planning Rules	TRACK COND
JT	Points failure caused by snow or frost where heaters are not fitted.	NO PNT HTR
JX	Miscellaneous items on the track or railhead, including litter, (not including leaves or the result of demonstrated vandalism, weather or fallen/thrown from trains)	MISC OBJCT
J0 (zero)	Telecom equipment radio failure (GSM-R)	GSM-R FLR
J2	Network Rail train dispatch equipment failure (including no fault found but excluding telecoms equipment)	TRTS FLR
J3	Axle Counter Failure	AXLE C FLR
J4	Infrastructure Safety Issue Reported by Member of the Public – No Fault Found	MOP NFF
J5	Infrastructure Asset Fault Reported but Proven to be mistaken	MIS REPORT
J6	Lightning strike on protected and unprotected assets	LIGHTNING
J7	ETCS/ERTMS/CBTC Equipment Failure (excluding communications link and balises)	ETCS/CBTC
J8	Damage to infrastructure caused by on-track machine whilst operating in a possession	OTM DAMAGE
J9	Preventative Maintenance to the infrastructure in response to a Remote Condition Monitoring Alert	RCM ALERT

M - MECHANICAL OR FLEET ENGINEER CAUSES

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

CODE	CAUSE	ABBREVIATION
MB	Electric loco failure, defect, attention.	ELEC LOCO
MC	Diesel loco failure, defect, attention.	DIESL LOCO
MD	Other technical failures below the solebar	BELOW SBAR
ME	Steam locomotive failure/defect/attention	STEAM LOCO
MF	Off depot non-technical fleet delay	NON TECH
MG	Technical failure off depot	OFF DEPOT
ML	Wagons, coaches and parcel vehicle faults	WAGN/COACH
MN	Brake and brake systems faults; including wheel flats where no other cause had been identified	BRAKE/WHLS
MP	Rail / wheel interface, adhesion problems (including ice on the running rail)	ADHESION
MQ	Confirmed shoe beam or associated system faults Incl. train borne power switch over systems (DC)	SHOE/DC
MR	Sanders and scrubber faults	SANDER
MS	Planned underpowered or shortformed service and or vehicle, incl. exam set swaps	ALOC STOCK
MT	Confirmed train borne safety system faults (not cab based)	SYST FAULT
MU	Depot operating problem	DEPOT OPS
MV	Engineer's on-track equipment failure outside possession	ON-TRACK
MW	Weather – effect on T&RS equipment	WEATHR FLT
MY	Coupler, Coupler system and Jumper cable faults	COUPLER
M1	Confirmed Pantograph ADD, associated system faults, positive PANCHEX activations and train borne power switch over systems (AC)	PANTO/AC
M2	Delay due to ATO / ETCS equipment	ETCS CBTC
M7	Door and Door system faults	DOORS
M8	Other technical failures above the Solebar	ABOVE SBAR
M9	Reported fleet equipment defect - no fault found	FLEET NFF
M0 (zero)	Confirmed train cab-based safety system fault (including GSM-R)	CAB SAFETY

N - OTHER MECHANICAL OR FLEET ENGINEER CAUSES

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

CODE	CAUSE	ABBREVIATION
NA	On-train TASS/TILT failure	TASS/TILT

O - NETWORK RAIL OPERATING CAUSES

Abbreviated Departmental Cause Code: PROD

CODE	CAUSE	ABBREVIATION
OA	Regulation decision made with best endeavours	ENDVR REG
OB	Delayed by signaller not applying applicable regulating policy	REGULATION
OC	Signaller including mis-routing (not ERTM/CBTC/ETCS related)	SIGNALLER
OD	Delays due to National/Regional/Route Operations directives or Route Control decision or directive	NR CONTROL
OE	Failure to lay Sandite or operate Railhead Conditioning train as programmed	RHC PROG
OF	Delay due to incorrect ETCS/CBTC system or equipment operation by Signaller / Controller	ETCS CTRL
OG	Ice on conductor rail/OHLE	ICING
OH	ARS / TMS / SARS software problem (excluding scheduling issues and technical failures)	ARS / TMS
OJ	Fire in station building or on platform, affecting operators not booked to call at that station	STN FIRE
OK	Delay caused by Operating staff oversight, issues or absence (excluding signallers and Control)	OPTG STAFF
OL	Signal Box not open during booked hours	BOX CLOSED
OM	Technical failure associated with a Railhead Conditioning train	RHC FAIL
ON	Investigated and concluded delays not reallocated to a Train Operator within contractual timescales	NR CONTRCT
OQ	Incorrect Simplifier (where produced by Ops staff)	SIMPLIFIER
OR	LOM directive or Signaller correctly applying local Operations (Box) Instructions (unless applied due to a late running train or infrastructure Accepted Design Limitation)	BOX INSTR
OS	Late start or delays to Railhead Conditioning (RHC) or Ghost Train due to its own activity and not in reaction to another incident.	RHC LATE
OT	Operational Safety TSR/ESR implemented for Operational Safety reasons and/or sighting issues relating to foot crossings, level crossings or signals (Not vegetation caused)	OPS SPEED
OU	Delays not investigated by Network Rail	NOT INVEST
OV	Fire or evacuation due to fire alarm of Network Rail buildings other than stations not due to vandalism	NR FIRE
OW	Connections held where the Prime Incident causing delay to the incoming train is a FOC responsibility incident and the next departing service is scheduled to depart less than 60 minutes later than the train being held.	FOC CONECT

P - PLANNED OR EXCLUDED DELAYS OR CANCELLATIONS

Abbreviated Departmental Cause Code: PLND

These codes are to be used for time lost due to Temporary Speed Restrictions within Engineering Access and for planned train cancellations or delay and or cancellations otherwise excluded from the Track Access Performance Regime. Reactionary delays (Y*) must not be used against P coded incidents.

CODE	CAUSE	ABBREVIATION
PA	Published TSR associated with Planned Engineering Works where time loss is within Engineering Allowance	PLANND ENG
PB	Published TSR due to condition of asset (not associated with Engineering Work) where time loss is within Engineering Allowance	PLANND CON
PD	System generated cancellation (NOT to be attributed to manually)	SYSTM CANC
PE	Planned cancellation due to Network Rail restrictions of use (including engineering work) where that cancellation is identified and agreed prior to 22.00 the day before the schedule runs	NR P CANC
PF	Planned engineering work where a published diversion/SLW is not provided for in the schedule but where time loss is within Engineering Allowance	DIVRSN SLW
PG	Planned cancellation due to Train Operator requirements where that cancellation is identified and agreed prior to 22.00 the day before the schedule runs	OP P CAPE
PJ	Cancellation of a duplicate or erroneous schedule or an identified duplicate, false or erroneous delay (NOT berth off set related)	DUPLICATE
PL	Exclusion commercially agreed and documented between Network Rail and Train Operator	AGREED EXC
PN	Freight and non-applicable Passenger VSTP service delays of under 5 minutes caused by regulation and or time lost in running (VSTP Schedule delay ONLY where that delay causes no reactionary delay)	VSTP DELAY
PT	Authorised TRUST reporting anomalies or inaccuracies relating to berth off sets	TRUST ANOM

Q - NETWORK RAIL NON-OPERATING CAUSES

Abbreviated Departmental Cause Code: COMM

CODE	CAUSE	ABBREVIATION
QA	WTT Schedule and or LTP process including incorrect simplifiers (where produced by Capacity Planning).	WTT SCHED
QB	Planned engineering work- diversion/SLW not timetabled (outside the Timetable Planning Rules.)	DIVRSN/SLW
QH	Adhesion problems due to leaf contamination (not the result of non-compliant vegetation management)	RAILCONTAM
QI	Cautioning due to railhead leaf contamination	CAUTCONTAM
QJ	Special working for leaf-fall track circuit operation	LEAVES T/C
QM	Train Schedule VAR/STP process including incorrect simplifiers (where produced by Capacity Planning).	STP SCHED
QN	VSTP schedule / VSTP process (TSI created schedule)	VSTP SCHED
QP	Reactionary Delay to “P” coded Possession	PLND REACT

R - STATION OPERATING 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
RA	Station Buildings and Facilities (incl Platforms)	STN BLDNGS
RB	Passengers joining/alighting	PASSENGERS
RC	Pre-booked assistance for a person with reduced mobility joining/alighting	BKD ASSIST
RD	Attaching/detaching/Shunter/watering	ATT/DETACH
RE	Lift/escalator defect/failure	LIFT/ESC
RH	Station evacuated due to fire alarm	FIRE ALARM
RI	Waiting connections from other trains - not authorised by TOC Control and not part of a connection policy	UNAUTH CON
RJ	Special Stop Orders - not authorised by TOC Control	UNAUTH SSO
RK	Waiting passenger connections arranged by station staff in accordance with pre-authorised TOC arrangements (outside of agreed TOC/Network Rail connection policies)	AUTH CON
RL	Special Stop Orders authorised by TOC Control (including any delay at point of issue)	AUTH SSO
RM	Waiting connections from other transport modes – not authorised by TOC Control	XTNL UNAUT
RP	Passenger dropped object whilst boarding/alighting from train and train delayed at TOC request	PASS DROP
RQ	Un-booked assistance for a person with reduced mobility joining/alighting	UBKD ASST
RR	Loading or unloading reserved bicycles	BIKE RSVD
RS	Loading or unloading unreserved bicycles	BIKE URSVD
RT	Loading luggage	LUGGAGE
RU	Locating lost luggage	LOST LUGG
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
RX	Station delays as a result of overcrowding due to unplanned events or incidents (e.g result of line or station closure) where causal event is not determined.	UNPL EVENT
RY	Mishap - Station operating causes	STN MISHAP
RZ	Other Station operating causes	STN OTHER
R1	Station staff dispatch issues including dispatch errors	DISPATCH
R2	Late TRTS given by station staff	LATE TRTS
R3	Station staff unavailable - missing or uncovered	STAFF MSNG
R4	Station staff split responsibility - unable to cover all duties	STAFF DUTY
R5	Station staff error - e.g. wrong announcements, misdirection	STAFF ERR
R7	Station delays as a result of overcrowding due to planned events (e.g. sports fixtures, concerts)	PLND EVENT
R8	Delay at staffed Station believed to be Operator cause and information required from Operator (Station Responsibility)	STF UNEX

T - PASSENGER OPERATING 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	Train-crew/loco/stock/unit diagram issues other than in connection with emergency timetables	DIAG ISSUE
TB	Train cancelled or delayed as a result of ad hoc Train Operator Control requests or decisions	TOC REQEST
TC	Agreed mitigation resource plan (crew/stock) issues	EMRG PLAN
TF	Seat reservation problems	SEAT RESVN
TG	Driver	TOC DRIVER
TH	(Senior) Conductor/Train Manager	T-MGR/COND
TI	Train-crew rostering problem	ROSTERING
TK	Train catering staff (including Contractors)	CATERING
TM	Connection from other trains authorised by TOC Control but not part of a connection policy	AUTH CONN
TN	Late presentation from the continent	LATE CHUNL
TO	Time lost en-route believed to be Operator cause and information required from Operator (Ops Responsibility)	LIR UNEX
TP	Special Stop Orders	AUTH SSO
TR	Altered workings that have been requested by Train Operating Companies in advance	TOC DIRECT
TS	Delay due to incorrect ETCS system or equipment operation by Driver	ETCS DVR
TT	Autumn-attribution Neutral Zone delays (See Supplementary Autumn Attribution Guidance)	LF NEUTRAL
TW	Driver adhering to company professional driving standards or policy	PRO DRIVER
TX	Delays incurred on non-Network Rail running lines or networks including London Underground (except fleet related delays)	OTH NETWK
TY	Mishap-Train Operating Company cause	TOC MISHAP
TZ	Other Passenger Train Operating Company causes	TOC OTHER
T2	Delay at unstaffed station to non-DOO train	NONDOO STN
T3	Waiting connections from other transport modes – authorised by TOC Control	XTNL AUTH
T4	Loading Supplies (including catering)	SUPPLIES
T8	Delay at unstaffed Station believed to be Operator cause and information required from Operator (Ops Responsibility)	USTF UNEX

V – EXTERNAL EVENTS – TOC RESPONSIBILITY

Abbreviated Departmental Cause Codes: EXT

These codes cover events considered to be outside the control of the Rail Industry but normally attributable to Passenger Train Operators under the Track Access Performance Regime.

CODE	CAUSE	ABBREVIATION
VA	Disorder, drunks or trespass	DISORDER
VB	Vandalism and or theft	VANDALISM
VC	Fatalities and or 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 or incurring non-malicious injury	ILL PASS
VE	Ticket irregularities or refusals to pay	TICKET IRR
VF	Fire caused by vandalism	VANDL FIRE
VG	Police searching train	POLICE-TRN
VH	Passenger Communication cord, door egress or emergency train alarm operated	PASS COMM
VI	Security alert affecting stations and depots	SEC ALERT
VR	Driver adhering to company professional driving standards or policies during severe weather conditions that are not fleet related	PRO DRIVER
VW	Severe weather affecting passenger fleet equipment including following company standards/policies or Rule Book instructions	SEV WEATHR
VX	External events occurring on the LUL or other non NR running lines	LUL CAUSES
VZ	Other passenger or external causes the responsibility of TOC	EXT OTHER
V8	Train striking or being struck by a bird	BIRDSTRIKE

X – EXTERNAL EVENTS - NETWORK RAIL

Abbreviated Departmental Cause Codes: EXT

These codes cover events considered to be outside the control of the Rail Industry (or the result of actions undertaken by non-Track Access Parties that are of the industry but cannot be contractually held responsible for delay). These are attributable to Network Rail under the Track Access Performance Regime.

CODE	CAUSE	ABBREVIATION
XA	Trespass (Including non-intentional)	TRESPASS
XB	Vandalism or theft (including the placing of objects on the line)	VANDALS
XC	Fatalities or injuries caused by being hit by train (Including non-intentional)	FATALITIES
XE	Fleet-related safety issues (including GSM-R calls) originating from outside of the Network	NON-TAC
XI	Security alert affecting the Network Rail Network (including line blocks taken for emergency services attending an off Network Rail network incident)	SEC ALERT
XJ	Asset failures caused by heat in external ambient air temperatures exceeding Network Rail design standards in the vicinity.	ASSET HEAT
XK	National Grid Power Supply Failure where local area is also affected (including outages, surges, blips where standby generator or UPS is installed and working)	NATL GRID
XL	Fire external to but directly affecting the Network Rail network (including line blocks taken for emergency services attending an incident not directly affecting the Network Rail network)	EXTL FIRES
XM	External utility incident including gas, water mains, overhead power lines or roadworks	EX UTILITY
XN	Road or Crossing related incidents including cars on the line, level crossing misuse and emergency services being prioritised over rail services (NOT bridge strikes)	ROAD/XING
XO	External trees, building or structures encroaching or falling onto Network Rail network infrastructure (not due to weather or vandalism) also including aircraft and airport safety or operational related incidents.	EXT OBJECT
XP	Bridge Strike	BRIDGE HIT
XQ	Swing bridge open for river or canal traffic	BRIDGE OPN
XR	Cable vandalism or theft	CABLE VAND
XT	Severe snow or ice affecting infrastructure which is the responsibility of Network Rail (including implementation of Key Route Strategy)	SEV SNOW
XU	Sunlight on signal or dispatch equipment where all reasonable mitigation has been taken	SUN OBSCUR
XW	High winds affecting infrastructure the responsibility of Network Rail including objects on the line due to the effect of weather	HIGH WIND
X1	Visibility in semaphore signalled areas, or special working for fog and falling snow implemented by Network Rail – in all signalling areas (including special working for level crossing visibility)	SPL WRKING
X2	Severe flooding beyond that which could be mitigated on Network Rail infrastructure	SEV FLOOD
X4	Forecast or actual extreme winds, heat or rain requiring imposition of blanket speed restrictions or implementation of Key Route Strategy in accordance with Group Standards or other national operational safety instructions	KRS / BLKT

CODE	CAUSE	ABBREVIATION
X9	Points failure caused by severe snow or ice where heaters are fitted and working as designed	PNTS SNOW

Y - REACTIONARY DELAYS

Abbreviated Departmental Cause Code: REAC

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

CODE	CAUSE	ABBREVIATION
YA	Lost path - regulated for train running less late	REG-ONTIME
YB	Lost path - regulated for another later running train	REG-LATE
YC	Lost path - following train running less late	FOL-ONTIME
YD	Lost path - following another *later* running train	FOL-LATE
YE	Waiting path onto/from single line	WTG S/LINE
YG	Regulated in accordance with Regulation Policy	REG INSTRC
YI	Late arrival of booked inward stock (inward and outward trains are operated under the same Track Access Contract)	INWD STOCK
YJ	Late arrival of booked inward train-crew (where the inward and outward trains worked by that train-crew are operated under the same Track Access Contract)	INWD CREW
YL	Waiting passenger connections within connections policy, contingency plan or otherwise agreed by NR/TOC	AUTHSD CON
YM	Special stop orders within the contingency plan or agreed by NR/TOC	AUTHSD SSO
YN	Service Recovery- booked train crew, not available	FIND CREW
YO	Waiting platform/station congestion/platform alteration	PLATFORM
YP	Delays due to diversions from booked route or line	DIVERSION
YQ	Passenger overcrowding caused by a train being of short-formation	SHRT FRMD
YR	Tactical cancellation for service recovery not caused by late running	SR CNCL
YT	Reactionary delay to a train that is not leaving the network, by a train that is leaving the network	NON NR INF
YU	Service Recovery- booked rolling stock, not available	UNIT SWAPS
YV	Tactical intervention holding a train back at origin or at a strategic location en-route due to a line blocking incident on the train's booked route	HELD BACK
YX	Passenger overcrowding caused by delay or cancellation of another train or its own late running	OVER CRWD

Z - UNEXPLAINED DELAYS AND CANCELLATIONS

Abbreviated Departmental Cause Code: UNEX

CODE	CAUSE	ABBREVIATION
ZS	No cause ascertainable for a Sub Threshold Delay causing Threshold Reactionary (where agreed by both Parties)	NOCAUSE AS
ZU	No Cause Identified After Full Investigation by Both Parties (A 'Full Investigation' will be one including all avenues of investigation agreed as reasonable by both Parties)	NOCAUSE ID
ZW	Uninvestigated Cancellations System Roll-Ups only	SYS CANC
ZX	Uninvestigated Late Start System Roll-Ups only	SYS L-STRT
ZY	Uninvestigated Station Overtime System Roll-Up only	SYS OTIME
ZZ	Uninvestigated Loss in Running System Roll-Up only	SYS LIR

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DELAY ATTRIBUTION PRINCIPLES AND RULES

SUPPLEMENTARY INFORMATION

The content from this point forward is supplementary to the
Delay Attribution Principles and Rules

Delay Attribution Board
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Delay Attribution Board Members and Representation

Franchised Passenger Class Band 1		**DAB Representative**
ScotRail First Trenitalia West Coast Rail First MTR South Western Railway Govia Thameslink Railway		Lee Latham
Franchised Passenger Class Band 2		
Transport UK East Anglia Northern Trains First Great Western Ltd	South Eastern Trains London North Eastern Railway West Midlands Trains	James Lyall
Franchised Passenger Class Band 3		
Arriva Rail London Chiltern Railway Company Cross Country Trains Transport UK East Midlands TransPennine Trains	Merseyrail Electrics MTR Crossrail Caledonian Sleeper Transport for Wales Trenitalia C2C	Steve Longmore
Non-Franchised Passenger Class		
Chinnor and Princes Risborough East Coast Trains Eurostar International Ffestiniog Railway Grand Central Railway Company Heathrow Express Hull Trains Company Locomotive Services Limited	Nexus Tyne and Wear North Yorkshire Moors Railway Peak Rail Rail Express Systems South Yorkshire Future Trams Vintage Trains West Coast Railway Company	Jonathan Seager
Non-Passenger Class companies - Band 1		
DB Cargo Freightliner GB Railfreight		Richard Holmes
Non-Passenger Class companies - Band 2		
COLAS Rail Ltd Devon and Cornwall Railways Direct Rail Services Europhoenix Freightliner Heavy Haul Hanson and Hall Rail Harsco Rail	LORAM RailAdventure UK Ltd Rail Express Systems Rail Operations Group Varamis Victa Railfreight	Joshua Bull
Network Rail		Alex Kenney Andrew Rowe Georgina Newby John Thomlinson Chris Scharf Anna Langford
Non-Voting Members	Chairman: Richard Morris Secretary: Richard Ashley	

TRAIN OPERATING COMPANY AND NETWORK RAIL BUSINESS CODES

Operating Company	**Business Code**	**Operating Company**	**Business Code**
Abellio Greater Anglia	EB	Legge Infrastructure	LG
Abellio Scotrail	HA	Locomotive Services Limited	LS
Amey Infrastructure Services	RE	London & North Eastern Railway	HB
Arriva Rail London	EK	Loram Freight	LC
Avanti West Coast	HF	LUL Bakerloo Line	XC
Balfour Beatty Rail Plant	RZ	LUL District Line – Wimbledon	XB
Caledonian Sleeper	ES	LUL District Line – Richmond	XE
Chiltern Railway	HO	Merseyrail	HE
Colas Rail	RG	Nexus Tyne and Wear Metro	PG
Cross Country Trains	EH	North Yorkshire Moors Railway	PR
DB Cargo	WA	Northern Trains	ED
Devon and Cornwall Railway	PO	RailAdventure Freight	SO
Direct Rail Services	XH	Rail Express Systems	WA
East Coast Trains (Lumo)	LD	Rail Operations Group	PH
East Midlands Railway	EM	SB(Swietelsky Babcock) Rail	RD
Eurostar International	GA	Serco Rail Maintenance	RS
Great Western Railway	EF	South Western Railway	HY
First Hull Trains	PF	Southeastern	HU
First Transpennine Express	EA	Supertram (Sheffield)	SJ
Freightliner Heavy Haul	DB	Transport for London Elizabeth Line	EX
Freightliner Intermodal	DB	Transport for Wales	HL
GB Railfreight	PE	Trenitalia c2c	HT
Govia Thameslink Railway	ET	Varamis Rail	MV
Grand Central Trains	EC	Victa Rail freight	PV
Hanson and Hall Freight	YG	Vintage Trains	TY
Harsco Rail	RT	Volker Rail	RH
Heathrow Express	HM	West Coast Railway Company	PA
Island Lines	HZ	West Midlands Trains	EJ

Network Rail – Route Business Codes			
Network Rail Route	**Business Code**	**Network Rail Route**	**Business Code**
Anglia	QH	Kent	QM
East Midlands	QV	Network Rail High Speed	QQ
East Coast	QI	Sussex	QB
North East	QG	Wessex	QC
Central	QE	Western	QD
West Coast Mainline South	QN	Wales	QW
North West	QF	Scotland	QL

Delay Attribution Board Process and Guidance Documents

The Process and Guidance documents (PGDs) produced by DAB cover specific principles and processes relating to Delay Attribution at a level that is not always possible within DAPR itself. As such, it is hoped that they will promote good practice and consistency in attribution.

The PGDs are intended to reflect and clarify the contractual principles contained within Track Access Agreements and the Delay Attribution Principles and Rules. Unlike DAPR itself, however, they are not contractual documents.

The full suite of PGDs is detailed below. All of these may be accessed from the Delay Attribution Board website – networkrail.co.uk/dab.

PGD1 – PRIME Cause definition / Examples
This document defines the term 'Prime Cause' and is supported with examples of application by a number of real scenarios that should be used for briefing or referencing.

PGD2 – Reactionary Delay Attribution Examples
This document contains explanations on how to allocate reactionary delays being a critical element of the attribution process, fully demonstrated with worked examples.

PGD3 – Y code application
This document was derived from the brief that supported the Y code changes for the April 2015 DAG. It contains descriptions of all the Y codes with examples of usage and diagrams to aid understanding.

PGD4 – Dispute and Resolution Process Guide
This document was designed for Operators and Network Rail Routes covering disputes and resolution principles to enable timely and appropriate disputes and resolution.

PGD5 – Delay Management TIN reattribution process
This document was designed for the reattribution of Management TINs including appropriate actions and timescales. It sets out there needs to be a common understanding of communication requirements between parties in relation to the occurrence and subsequent reattributions.

PGD6 – Joint Responsibility
This document sets out what does and doesn't constitute Joint Responsibility and provides a reference table and flow diagram for the attribution of individual trains when joint responsibility criteria has been determined. Additionally, it sets out some common examples of when Joint Responsibility does and doesn't apply to aid understanding.

PGD7 – Holding Code
This document sets out scenarios that should and shouldn't be considered for a Holding Code and covers the process to follow should a Holding Code be agreed.

PGD8 – Delay Allocation Entering and Leaving the network
This document covers various scenarios, in diagrammatic form, of delays caused to trains waiting to enter or leave the Network Rail network.

PGD9 – Delay Allocation Managing Freight Services
This document covers various scenarios of freight trains retimed / rescheduled under the Managing Freight Services during Disruption (MFSdD) Control instructions and the attribution of any subsequent delays incurred.

PGD10 – Permissive Working
This document covers various scenarios relating to the process of 'calling-on' at stations and the relevant responsibility of each scenario. It particularly covers the principle that station staff communication with the Signaller is seen as acting as an agent to Network Rail in the same vein that a member of platform staff dispatching another TOCs service is applied.

PGD11 – Queue of Trains
This document sets out examples to improve understanding of the allocation of delays for trains in a stationary (and subsequently moving) queue of trains.

PGD12 – Uninvestigated and Unexplained
This document supports the previous amendments to the Z Codes (reclassification of ZW, ZX, ZY and ZZ and introduction of ZS and ZU) as well as the two new Delay Codes R8 and T8.
It sets out the appropriate use of these Delay Codes, supported by process guidance in relation to the investigation and resolution of delays deemed unexplained or un-investigated.

PGD13 - Fatalities
This document supports and builds on PGD6 and specifically covers fatalities being an area cited by Industry as in most need of improved guidance supported with flow diagrams and further example incidents specific to fatalities.

PGD14 – Asset Failures On – Off network
This document sets out the principles to apply for asset failures that occur either side of the network boundary and the effect they have on other assets, the network or the of network location. It reiterates the principles of attribution being to either Network Rail 'as operator of the network' or Operators 'as operator of trains.

PGD15 – TRUST Accuracy and Anomalies
This document sets out circumstances where TRUST accuracy may be highlighted and the appropriate processes that should be applied to firstly confirm the issue but most importantly when and how to correct any such anomaly.

PGD16 – Stock Swap Scenarios Attribution
This document covers various scenarios relating to stock swaps and the relevant responsibility of each scenario. It particularly covers the principle that Network Rail is responsible for the operation of the network and thus should manage any such requests to amend the train plan.

PGD17 – Investigation Templates
This document has been developed to provide suitable guidance as to the co-ordination of investigations and information that is deemed required for three main incident types; namely:
•Fires believed to be caused by trains.
•Train failures believed to be caused by object strikes (and similar damage related incidents)
•Pantograph Damage / Automatic Dropper Device Activations (and similar OHLE interface scenarios)
This document and is not intended to be an attribution or resolution guidance document.

PGD18 – Autumn Good Practice Guide
This document is the previous DAB Good Practice Guide re-released in the form of a PGD.
It covers the main principles of attribution during autumn and can be utilised as both a briefing and reference document for the season.

PGD19 – Templates for Investigation and Dispute
This document sets out incident templates that are for use by both Network Rail and Operators alike in the creation and disputing of incidents, respectively, setting out the expected levels of investigations for each party in either determining causes or demonstrating no cause is identified.

PGD20 – TSR P Coding Attribution
This document sets out circumstances whereby P Coding of TSR delays is allowable (or not) by way of worked examples in a matrix.

PGD21 – Diversionary Routes and Diversions
This document covers attribution in relation to all aspects of diversions, including the definition of what constitutes a "Diversion" and guidance on how to correctly allocate delay incurred by trains taking a diversion as well as attribution of trains unable to take a diversion for varying reasons.

PGD22 – Other Infrastructure Networks
This document explains the concept of Other Networks and explains how they are distinct from Off-Network Locations. The Guide provides a list of these Other Networks and the attribution principles that apply on each of them (not all of which are consistent with DAPR). Finally, it includes a number of scenarios to assist with attribution of delays caused by incidents concurrently affecting more than one network.

PGD23 – Delay Attribution Board Services and Processes
This document covers the prime attribution services that DAB provides to the Industry, with the focus being on Changes to DAPR, the Request for Guidance process and the Retrospective Incident Review Service. It provides a walkthrough of how Industry parties should go about proposing a DAPR change or seek guidance from the Board as necessary.

PGD24 – P-Code Application
This document explains the correct use of each delay code in the P* series. It details each P-code that is available for use, along with an example of when it should be used and, if appropriate, when it should not be used. It also provides detail on how a delay that is considered to be in reaction to a P-coded delay should be attributed.

PGD25 - Failure to Mitigate Application
This document supplements DAPR Sections D4 (on Mitigation) and M (on Service Recovery). It is intended to provide an explanation of when delays should be attributed as "Failures to Mitigate" and when they should not. This includes some scenarios that may typically arise in a scenario when Service Recovery arrangements are put in place but are then not carried out to expectations, as well as detail on the information that will typically need to be ascertained and recorded to substantiate such attribution.

PGD26 - Multiple Delay Causes in a Section
This document explains and illustrates the principles covered by DAPR E4.6 and E4.6.1 on section delays consisting of multiple smaller delay elements. Specifically, it illustrates when a section delay should and should and should not be allocated to multiple separate delay incidents, depending on whether delay causes have been identified for some/all elements of the delay.

ALL PROCESS AND GUIDANCE DOCUMENTS CAN BE FOUND ON THE DAB WEBSITE www.networkrail.co.uk/dab.

Delay Attribution Principles And Rules September 2024 index

Subject	Clause	Specific Codes
Batteries technical faults below sole bar on passenger trains	G1.2.e	MD
Below threshold delays introduction. Several small delays	E4.1	
Below threshold delays sub threshold	B5.3	
Below threshold delays. Statement of good practice (PGD12)	viii	
Below threshold reaction P coded TSR incident (O18.5 / P2.19c)	E4.2	JB
Berth reporting anomalies or inaccuracies. SMART (PGD15) (C3.8)	E3	PT
Best endeavours regulation decision. Signaller	K5	OA
Bicycles loading,unloading.Reserved presented late or not reserved	N4.1.j	RR/RS
Bird strike at electrical interface. Pantograph head or conductor shoe	Q1.7	I8
Bird strike by train, except at point of electrical interface	Q1.7	V8
Bird strike/nest building obstruction/tripping. Damage OHLE 3rd rail	O9.1.i	I1/I4
Bird strike/nest building obstruction/tripping. No damage OHLE 3rd rail	O9.1.h	I8
Biscuit or pad related causing a track circuit failure	O3.2.i	IS
Blanket speed restriction for extreme heat,wind,rain per KRS	Q5.4.f	X4
Blanket speed restrictions heat related	O19.2.1	
Block failure signalling	Si	IG
Blown fuse 110v or 650v	O10	IE/IH
Boards defective or blown down or fallen over	O16	IQ
Booked train crew not available service recovery (reactionary)	M3.1.l	YN
Booking on duty train crew. Driver,guard,conductor,train manager	J2.1/2	FE/TG/TH
Booms at level crossing affected by high winds over 78 MPH	O5.2.p	XW
Booms at level crossing affected by snow extreme weather criteria	O5.2.q	XT
Bowmac dropped at level crossing	O5.2.h	JF
Box instructions ADL is not included	O14.1..e	I*/J*
Box instructions ADL signaller can mitigate	O14.1..c	OC
Box instructions ADL signaller unable to mitigate	O14.1..d	I*/J*
Brake and brake system faults including wheel flats on a train	G1.2.h	MN
Brake tests, running due to weather	Q5.12.e	MW/VW
Brakes poor on passenger trains or system faults	G1.2.h	MN
Bridge condition, on going after day of event	Q2	JD
Bridge damage accidental none--railway related works	Q2.4	XM
Bridge damage road over rail accidental none- railway related works	Q2.3	XN
Bridge damage/strikes involving road or waterborne vehicles	Q2	XP
Bridge strike subsequent delays ESR due to structural damage	Q2.2	JD
Bridge strikes rail vehicle or its load (P1/P2)	Q2.1	
Broken bolt causing track circuit failure	O3.2.h	IS
Broken joints track defect	O6.1.b	IS
Broken rail causing a track circuit failure	O3.2.f	IR
Broken rail including where is causes a TCF.	O6.1.a	IR
Buckled rails including high temperature	Q5.4.v	IR
Buildings and structures heat related failures	O19.2.3	JD
Buildings encroaching NR infrastructure not weather or vandalism	Sx	XO
Bump reports no fault found within maintenance tolerances	O6.1.d	IT
Bump reports where remedial work is carried out	O6.1.c	IS
Burred rail points failure	O2.2.j	IR
Cab heaters technical faults above sole bar on a passenger train	G1.2.d	M8
Cable fault. Infrastructure	O10	IA/IB/IC/IE/IH/II/XK/X4
Cable vandalism or theft	Q4.1.a	XR
Cancellation ad hoc train operators control request or decision	St	TB
Cancellation freight including planned not to run or no specific reason	I3	FL
Cancellation including presumed cancellations cause unknown	Q5.14	
Cancellation of a duplicate or erroneous schedule	C3.7	PJ
Cancellation planned agreed cancel prior to 2200 hrs NR/TOC	L1.5	PE/PG
Cancellation stemming from a Network Rail restriction of use	C3.6	PE
Cancellation stemming from an operator requirement	C3.6	PG
Categories of TRUST delay code and their default attribution	C2	
Catering loading of supplies to or from a train	St	T4
Catering staff including trolleys	N4.5.b	TK
Causal incident. Greatest impacting incident	B7.4	
Cautioning of trains when contamination present during autumn	F1.7.1.g	QI
CBTC issues afecting PIS	G3.1.g	RV
CBTC Train borne safety system	G1.2.b	M0
Chair bolt broken or obstructing switch movement	O2.2.e	IS
Change of aspects (COA) with no apparent cause	R2.4.f	IA

Subject	Clause	Specific Codes
Channel tunnel late ex Europe passenger	St	TN
Close Door(CD)/right away (RA) defect operator mitigation not made	N7.1.f	R1
Close Door(CD)/right away (RA) defect, with signal	N7.1.e	IA
Close Door(CD)/right away (RA) sun on equipment mitigation in place	N7.1.g	XU
Close Door(CD)/right away (RA) sunlight operator mitigation not made	N7.1.h	R1
Coaching stock delays on passenger trains	G1.2.n	ML
Coaching stock on a freight train fault	G1.3.c	ML
Cold related asset failures. Code to asset concerned	O19.3	
Cold weather severe operating restrictions	Q5.12	
Cold weather severe passenger charter excludable	Q5.1	V*/X*
Cold weather signalling, not snow or ice obstructing	O7.1.i	
Collapse station building,roof,platform. Not flooding (Q5.7) (if joint D2)	N8.1.f	RA
Combination loss of running and station overtime except if TSR or ESR	E4.6.1	
Commencement board (speed indicator) for TSR/ESR defective/down	O16	IQ
Communication cord or emergency train alarm pulled.PassComm	Sv	VH
Communication links telecoms or signalling TDM SSI TD BOL	O7.1.j	IK
Concentrator System (CON) signal box including no fault found	O12.1	IK
Concert passengers joining or alighting. Special event	N4.1.e	R7
Condition of bridge temporary speed restriction (COB TSR) (C3.4)	O18.4.h	JD/PB
Condition of track temporary speed restriction (COT TSR) (C3.4)	O18.4.e/f	JS/PB
Conductor, senior conductor, train manager or train guard	St	TH
Congestion yard or terminal off Network Rail network	Sa	AZ
Connections not authorised (M3.1.f)	N6.1.d	RI
Connections other transport modes authorised by control (M3.1.i)	N6.1.e	T3
Connections other transport modes not authorised by control (M3.1.i)	N6.1.f	RM
Connections other transport. Authorised TOC not agreed NR policy	M3.1.k	RM
Connections other transport. Not authorised TOC control	M3.1.j	T3
Connections pre authorised TOC arrangements outside policy (M3.1.i)	N6.1.c	RK/TM
Connections with other trains arranged locally not authorised control	M3.1.f	RI
Connections with trains authorised TOC control not agreed NR policy	M3.1.h	TM
Connections with trains per TOC plan but not agreed NR policy	M3.1.g	RK
Connections within policy (FOC) hourly frequency or less (M3.1.h)	N6.1.b	YL
Connections within policy (FOC) more frequently than hourly	N6.1.b	OW
Connections within policy (not FOC) (M3.1.h)	N6.1.a	YL
Connections within policy or part of service recovery plan	M3.1.l	YL
Contamination of railhead after spillage from train	F1.7.3.b	M*
Contamination present agreed autumn vegetation measure completed	F1.7.1.c	QH
Contamination present cautioning of trains during autumn	F1.7.1.g	QI
Contingency and service recovery plans flow chart	M2.8	
Contingency plans and service recovery diversionary route knowledge	M1	
Control Network Rail decision or directive	So	OD
Control permissive working train longer than plan no advise (PGD10)	K8.a	OC/OD/OR
Control relay fault in interlocking system multiple assets. Points	O2.2.b	IF
Control systems faults excluding track or driver based	G1.2.i	MY
Coolant checks by fitter	G1.2.o	MF
Coupler and coupler system faults excluding track or driver based	G1.2.i	MY
Coupler no fault found after failure to couple train operator	R3.5	M*
Cracked rail including broken,twisted,buckled or flawed	Si	IR
Crew doors delays associated with faults on doors	G1.2.c	M7
Crime at a station disorder,drunks,assaults,theft,vagrants	N4.1.k	VA
Critical Rail temperature speeds (CRT) other than buckled rails	O19.2.1	JH
Cross boundary Network Rail delays incorrect regulation	B6.15	OB
Cross Network Rail boundary delays for VSTP	B6.16	QN
Crossing defective flat or diamond no switch rail. Points failure	O2.2.k	IR
Crushed/damaged cables track circuit failure rails left in 4 foot	O3.2.aa	IS
Cumulative delays (E4.7)	B7.6	
Cumulative sub threshold delays (D5.2)	E4.5	
Customer equipment breakdown or reduced capacity, off network.FOC	Sa	AH
Customer information system failures (CIS / PIS) (if joint D2)	N8.1.b	RV
Damaged/crushed cables track circuit failure rails left in 4 foot	O3.2.aa	IS
Dangerous goods incident (DGI) or irregularity	R1.3.a	FA
Dangerous goods marshalling (DGI)	I2.2.a	FA
Dangerous goods overloaded (DGI) freight trains	I1.2.a	FA
Datalink module failure	O7.1.d	IF

Subject	Clause	Specific Codes
Datalink problems track circuit failure	O3.2.q	IF
Defective traction or stock safety problem	R2.4.j	M*
Definitions. Prime cause, primary delay and reactionary delay.	B7	
De-icer (RHC) (MPV)	F2.2	OB/OE/OS/QA/QM/QN
Delay attribution board (DAB)	A4	
Delay attribution process. Diagrammatic form	A1.1	
Delayed ad hoc train operators control request or decision	St	TB
Delays not investigated by Network Rail	So	OU
Delays not investigated by Network Rail (PGD04)	E7	OU
Delays NR can not contractually attribute to an identified prime cause	E8	ON
Depot fleet delays (PGD14)	H1	FZ/I*/J*/OB/TZ/X*/YE
Depot isolated equipment off depot	G1.2.p	MG
Depot operating problem including non severe weather	Q5.4.c	MU
Depot severe weather passenger fleet depot	Q5.4.k	VW
Derived delays sub threshold (PGD12)	B5.4	
Detaching vehicles station operating	Sr	RD
Diagram issue, not emergency timetable	St	TA
Diagramming or FOC rostering issue	Sf	FF
Diesel hauled freight train faults	G1.3.a	MC
Different operator/access contract late start,inwards.Separate incident	J1.2	
Direct delay (PGD1)	B7.2	
Disorder at a station	N4.1.k	VA
Dispatch by platform staff delayed safety concerns (Q3.2.f)	N7.1.i	RY
Dispatch equipment failure excluding telecoms include no fault found	O11.1.a	J2
Dispatch equipment failure or defect with CD or RA including NFF	O11.1.d	IA
Dispatch equipment Sunlight on CD or RA	O11.1.e	XU
Dispatch equipment users error operation of equipment	O11.1.b	R1/R2
Dispatch incorrect or issues by station staff	Sr	R1
Distribution network operator (DNO)/distribution point electrical supply	O10	IA/IB/IC/IE/IH/II/XK/X4
Distribution power supply failure of traction power supply	O10.1.1.b	IH
Diversionary routes for line blocking incidents	M4	
Divert at FOC request. Freight trains	Sf	FJ
Divert engineering work planned not timetabled out of planning rules	Sq	QB
Divert from booked route or line delayed by (reactionary)	Sy	YP
Divert not included contingency plan no route knowledge	M1.b	
Divert per pre arranged contingency plan, no route knowledge	M1.a	FF/TI
Divert planned engineering not timetabled within planning rules (C3.2)	C3.5	PF
DOO CCTV monitors, mirrors station platforms when NR telecoms	O12.1	IK
Door delays associated with faults on doors & associated systems	G1.2.c	M7
Door open freight wagons	I1	AG
Door open on a non passenger train	R1.3.l	FZ
Door open on a passenger train	R1.3.k	M*/R*/T*/V*
Doors isolated by cleaners	G1.2.o	MF
Drive train technical faults below sole bar on a passenger train	G1.2.e	MD
Driver adhering to company professional driving standards or policy	Sf/t	FG/TW
Driver adhering to company professional driving standards weather	Q5.4.y	VR
Driver GSM-R error including entering wrong registration code	G5.2.f	FC/TG
Driver GSM-R fails to de register radio	G5.2.e	FC/TG
Driver TPWS adhering to company professional driving standards	G6.1.b	TG/TW
Droppings from animal causing track circuit failure	O3.2.s	
Drunks at a station	N4.1.k	VA
DSD train borne fault safety system within the cab passenger train	G1.2.b	M0
Duplicate delay excess minutes (C3.7)	E1	PJ
Early running and out of path control agreement	K7.c	OD
Early running and out of path result of a known incident	K7.e	Y*
Early running at request of driver or shunter that signaller agrees to	K7.d	OC
Early running regulation error at point of delay, signaller	K7.a	OB
Early running regulation not held at prior regulating point, signaller	K7.b	OC
Earth slip, subsidence or breached sea defences not weather on day	Si	IV
Earthworks or structures failures caused by severe weather	O19.1.1	
Earthworks temporary speed restriction (TSR) (C3.4)	O18.4.i/j	IV/PB
Electric hauled freight train faults	G1.3.b	MB
Electric technical faults below sole bar on a passenger train	G1.2.e	MD
Electrical distribution supply chain or board national grid,DNO	O10	IA/IB/IC/IE/II/IH/XK/X4

Subject	Clause	Specific Codes
Embankment infestation track poor ride quality	O6.1.i	IV
Embankment poor ride quality report	O6.1.h	IV
Emergency possessions	P2.3	I*/J*/Q*/X*
Emergency services line blockages off Network Rail incident fire	Sx	XL
Emergency services line blockages off Network Rail incident security	Sx	XI
Emergency services prioritised over rail at Level crossings	Sx	XN
Emergency train alarm pulled (communication cord,PassComm)	Sv	VH
Encroaching objects NR infrastructure not weather or vandalism	Sx	XO
Engineering access statement temporary speed restrictions(TSR)(C3.2)	O18.4.f	JS/JD
Engineering trains and on track equipment or machines	P1	MV/I5/I7
Engineering trains incentivised performance scheme (P1)	D3.1	
Engineering work/divert SLW planned not timetable out of planning rules	Sq	QB
Engineering work/divert SLW planned not timetable within rules (C3.2)	C3.5	PF
Engineers on track equipment or machine (OTM)	P1	MV/I5/I7
Engineers on track machine (OTM) failure or problem	G1.4.c	MV
Engines technical faults below sole bar on a passenger train	G1.2.e	MD
Equipment and asset failures extreme heat. Infrastructure	O19.2.2	XJ
Equipment breakdown/reduced capacity customer or yard off network	Sa	AH
Equipment failures not listed in table R3.5 utilise similar equipment	R3.5	
Erroneous or duplicate schedule cancellation	E2	PJ
ERTMS or ETCS no fault found train operator	R3.5	M*
ERTMS or ETCS Signaller wrong instructions	So	OF
ERTMS,ETCS,ATO or CBTC track mounted balise faults	G3.1.b	IM
ERTMS,ETCS,ATO or CBTC train borne system faults	G3.1.a	M2
ERTMS,ETCS,CBTC failure, exclud communications links and balises	O13	
Escalator failure at a station including lifts (if joint D2)	N8.1.a	RE
ESR after bridge strike structural damage subsequent delays	Q2.2	JD
ESR derailment	O18.4.l	I*/J*
ESR infrastructure problem	O18.4.k	I*/J*
ESR or TSR Level crossing sighting safety	O5.2.n	OT
ESR or TSR Level crossing sighting vegetation (O21)	O5.2.o	JP
ESR overview	O18	
ESR work not completed	O18.4.c	
ETCS incorrect operation by driver	G3.1.f	FI/TS
ETCS or CBTC incorrect operation by signaller or controller	G3.1.e	OF
Evacuation Network Rail buildings other than stations not vandals	So	OV
EWAT initiated by route controls. RED alert	Q5.1	V*/X*
Exceptional loads (RT3973) train schedules	L1.2.f/g	QA/QM/FH/TA
Excess minutes duplicate delay or excess minutes (C3.7)	E2	PJ
Exclude from performance regime or contractually (C3.3)	C2.7/8	P*
Exclusion commercially agreed and documented between NR TOC/FOC	C3.9	PL
External delay codes passenger charter excludable (C2.6 / Q5.1)	C2.4	V*/X*
External impact incidents animal incursions, strikes and infestations	Q1	I*/J*
External passenger charter excludable criteria due to weather (C2.6)	Q5.1	V*/X*
External passenger other responsibility of TOC	Sv	VZ
External power supply failure at a station (if joint D2)	N8.1.d	VZ
External power supply failure level crossing	O5.2.d	XK
External trees,buildings,objects encroaching NR infrastructure	Sx	XO
Extreme heat or wind forecasts blanket speed restrictions or KRS	Q5.4.f	X4
Failed train recovery. Loco or unit hired or commandeered	M3.3	
Failure mode equipment after infrastructure possession	P2.8	I*/J*
Failure to call or stop (FTS) joint responsibility incidents (PGD6)	D2.9	
Failure to mitigate effects of incident, reasonable request contingency	D4	
Falling snow and fog regulations with semaphore signalling	Q5.4.p	X1
Fatality including struck by train (PGD6/PGD13))	Q3.2	AK/FZ/VC/XC
Fatality/injury none--Network Rail infrastructure none- passenger trains	Q3.2.c	AK/FC
Fatality/injury platform loose/detatch componunts moving trains	Q3.2.d	VC/M*
Fencing adequately maintained vandalism and theft	Q4.1.b	XB
Fire alarms	Q8.1.e-i	AK/OJ/RH/VF/XB
Fire caused by a traction unit (PGD17)	Q8.1.c	M*
Fire emergency services line blockages off Network Rail incident	Sx	XL
Fire external not prevent passenger access to or from train at station	Q8.1.d	XL
Fire fleet depot	Q8.1.k	MU/VF
Fire flowchart. Identifying attribution of various types of fire and alarms	Q8.8	AK/M*/O*/RH/VF/X*

Subject	Clause	Specific Codes
Fire freight yard, terminal or private yard off network	Q8.1.j	AK
Fire line side on Network Rail infrastructure.	Q8.1.a	I9
Fire Network Rail buildings other than stations not vandal / vandal	Q8.1.h	OV / XV
Fire Network Rail managed stations definition (Q8.1)	Q8.6	
Fire off network the effect of fire cautioning or stopping due to smoke	Q8.7	XL
Fire on a freight train	Q8.1.m	MB/MC/ML
Fire on a passenger train	Q8.1.l	MD/M8/VF
Fire or smoke or arching caused by conductor rail or OHLE	O9.1.e	I1/I4
Fire station buildings or platform affecting FOC trains booked to stop	Q8.1.i	AK
Fire station buildings or platform failed to stop not vandalism	Q8.1.e	RH
Fire station buildings or platform failed to stop vandalism	Q8.1.e	VF
Fire station buildings or platform no train stops passengers not vandal	Q8.1.g	OJ
Fire station buildings or platform no train stops passengers vandalism	Q8.1.g	XB
Fire station buildings or platform regular trains not call not vandalism	Q8.1.f	OJ
Fire station buildings or platform regular trains not call vandalism	Q8.1.f	XB
Fire station false alarms, train can pass through. Not vandals/vandals	Q8.1.e	RH/VF
Fish plates track defect	O6.1.b	IS
Flanger grease causing adhesion problems	F1.7.3.a	IS
Flawed rail. Track defect	Si	IR
Fleet depot delays (PGD14)	H1	FZ/I*/J*/OB/TZ/YE/X*
Fleet problems weather non severe	Q5.4.d	MW
Fleet problems weather severe	Q5.4.l	VW
Fleet related safety issue including GSM-R off network	Sx	XE
Fleet restriction snow or Ice	Q5.12.f	MW/VW
Fleet trains losing time in multiple sections	G1.6	FX/M*/N*
Fleet unathorised ingress, none track access party onto network	H3.3.h	XE
Flooding affecting other forms of transport	Q6.4.b	X2
Flooding burst pipes out of Network Rails control	Q6.4.c	XM
Flooding drainage inadequately maintained, not exceptional weather	Q6.4.a	JK
Flooding due to weather further guidance (Q5.7)	Q6	X2
Flooding flow chart for weather (Q5.6)	Q5.7	
Flooding freight yard off Network Rail network	Q6.4.e	AZ
Flooding obstructions on line including trees	Q5.4.j	X2
Flooding or rain related failures	O19.1	
Flooding or under water track circuit failure	O3.2.x	JK/X2
Flooding station access passengers	Q6.4.g	VZ
Flooding station buildings	Q6.4.d	RW
Flooding TOC/FOC restriction directive affecting traction	Q6.4.f	MW
Fog and falling snow regulations, semaphore signalling	Q5.4.p	X1
Fog semaphore signals visibility due to weather (Q5.12.b)	Q5.4.aa	X1
Foot crossing fault or failure	Si	ID
Formal inquiry incident. Possible operator responsibility (R4)	R1	
Formal inquiry OHLE or 3rd rail	O9.1.l	
Forms signaller completion of RT3185/7 trains overlooked	R2.5	OC
Freight adjusting loaded wagons, loading incident or open door	Sa	AG
Freight diagramming or rostering issue. FOC	Sf	FF
Freight diesel hauled train faults	G1.3.a	MC
Freight electric hauled train faults	G1.3.b	MB
Freight operating company cause to be specified including congestion	Sa	AZ
Freight operating company cause to be specified or marshalling	Sa	AZ
Freight operating company control decision or directive	Sf	FJ
Freight operating company to be specified causes, including mishaps	Sf	FZ
Freight operator unexplained believed to be due to operator (PGD12)	E2	FO
Freight overweight against the timing load	I1.2.b	FX
Freight planning issue including loco diagram or RT3973 not requested	Sf	FH
Freight terminal or yards or non-Network Rail operated Off Network	H3	
Freight train driver error,SPAD,wrong route or missed AWS/DSD	Sf	FC
Freight train running at lower than planned classification or overweight	Sf	FX
Freight train wagons or coaches fault	G1.3.c	ML
Frost flow chart weather, delay code guidance (F1.7.3.c)	Q5.9	
Frost or snow defective or not turned on point heaters points failure	Si	IP
Frost, snow or ice non severe affecting infrastructure equipment	Si	IW
Frozen couplers mitigation not applied weather affecting the train	G1.2.j	MW
Fuel checks by fitter	G1.2.o	MF

Subject	Clause	Specific Codes
Functional supply points (FSP)	O10.1.1.b	IH
Fuse blown 110v or 650v	O10	IE/IH
Fuse blown 650v or transformer, signalling	O7.1.h	IH
Gangway doors delays associated with faults on doors & associated	G1.2.c	M7
Gas leak originating from within station (if joint D2)	N8.1.g	RA
Gas,water mains, overhead power lines national grid, DNO,road works	Sx	XM
Gauge Corner Cracking (GCC) / rolling contact fatigue (RCF) TSR	O18.4.m	JS
Gearbox technical faults below sole bar on a passenger train	G1.2.e	MD
Ghost trains or route proving trains (M3.3)	Q5.13	OS/XT/XW
Good practice statement. Attribution		
GOTCHA no fault found Network Rail or wrong detection. WILD	R3.5	IN
Grease, oil or substance on railhead source can not be identified	F1.7.3.d	JX
Grinding track circuit failure 48 hours after grinding	O3.2.j	IS
Grinding track circuit failure. Within 48 hours of grinding	O3.2.k	JL
Gritting or salting external track circuit failure (TCF)	O3.2.w	XN
Ground frame (GF) telephones including no fault found	O12.1	IK
GSM-R cab based equipment vandalised	G5.2.h	FZ/VA
GSM-R cab radio software fault	G5.2.p	J0
GSM-R call off Network affects on network made by non-TOC/FOC	Sx	XE
GSM-R call picked up by wrong mast and wrongly routed	G5.2.g	J0
GSM-R driver error including entering wrong registration code	G5.2.f	FC/TG
GSM-R driver fails to de register radio	G5.2.e	FC/TG
GSM-R fault on Network Rail infrastructure no fault identified	G5.2.c	I0
GSM-R fault on train no fault found	G5.2.d	M9
GSM-R fault with infrastructure or signalling based equipment	G5.2.a	J0
GSM-R hardware fault on train, cause identified	G5.2.b	M0
GSM-R infrastructure maintenance staff error	G5.2.j	JL
GSM-R infrastructure or signal centre based equipment vandalised	G5.2.i	XB
GSM-R no fault found train operator	R3.5	M*
GSM-R operational system faults and failures. Flow chart	G5.1	TG/FZ/J0/MD/M8/M9
GSM-R REC error from cab by authorised person on network	G4.1.d	FC/TG/TH/TZ
GSM-R REC error from cab by train maintenance staff on network	G4.1.e	MU
GSM-R REC error from cab off network (H3.3.f)	G4.1.f	MU/TG/FC/TH/TZ/XE
GSM-R REC error from cab off network preventing access to network	G4.1.g	MU/XE
GSM-R REC from cab by unauthorised person no operational event	G4.1.h	FZ/RZ/VA/XE
GSM-R REC initiated by a non TAC party from off network (H3.3.g)	G4.1.c	XE
GSM-R REC initiated by NR maintenance staff or contractor in error	G4.1.j	JL
GSM-R REC initiated by signaller in error	G4.1.i	OC/XE
GSM-R REC operational event safety reported in good faith.	G4.1.a	
GSM-R REC unable to identify responsible part no technician report	G4.1.b	J0/XE
GSM-R registration failure signaller entering wrong Rep No or TD berth	G5.2.k	OC
GSM-R registration failures, no technical or responsibility identified	G5.2.m	J0
GSM-R signal on train lost no cause identified no other trains affected	G5.2.o	J0
GSM-R technical registration failure	G5.2.m	J0
GSM-R telecommunications equipment in line side equipment room	O10.1.1.b	IK/J0
GSM-R train borne fault safety system within the cab passenger train	G1.2.b	M0
Guidance on responsibility and coding of delay incidents	D1	
Guidance where no fault found (NFF) technical equipment	R3	
Headlight out or displayed wrongly on a train	R2.4.k	FM/TG
Heat blanket restriction per KRS	Q5.4.f	X4
Heat flow chart weather delay code guidance	Q5.8	
Heat related failures. Infrastructure	O19.2	
Heat related speed restrictions	O19.2.1	
Heavy axle weight restrictions (RT3973) (schedules)	L1.2.f/g	FH/QA/QM/TA
Heavy rain or snow Level crossing obstacle detection LIDAR	O5.2.l	IW
High temperature buckled rails	Q5.4.v	IR
High winds flow chart weather	Q5.6	
Hired or commandeered loco/unit failed train recovery	M3.3	
Holding codes pending investigation (PGD7/17)	R4	D*
Horn train borne fault safety system within the cab (passenger)	G1.2.b	M0
Hot axle box (HABD) confirmed activation or positive on train	R1.3.c	MT
Hot axle box (HABD) no fault found (NFF) Network Rail	R3.5	IN
Hot axle box (HABD) no fault found (NFF) or wrong detection (R3)	R1.3.d	IN
Hot axle box (HABD) on board train no fault found train operator	R3.5	

Subject	Clause	Specific Codes
Hot axle box (HABD) train borne safety system faults passenger train	G1.2.f	MT
IBJ / IRJ track defect	O6.1.b	IS
Ice flow chart weather delay code guidance (F1.7.3.c)	Q5.9	
Ice on 3rd rail or OHLE	O19.6.1	OG
Ice on OHLE or conductor rail due to failure to run de-icing train	Q5.4.h	OE
Ice on OHLE or conductor rail unless due to failure of de-icing train	Q5.4.g	OG
Ice or icicles on OHLE or third rail regardless of weather	O9.1.k	OG
Ice or snow or frost non severe affecting infrastructure equipment	Si	IW
Ice or snow points failure not preventable with points heater	O2.2.p	X9
Ice or snow points heater not fitted Points failure	O2.2.o	JT
Ice or snow points heater not working. Points failure	O2.2.n	IP
Ice or snow related failures	O19.6	IP/JT/OG/X9
Ice or water on running railhead (Q5.9 third rail)	F1.7.3.c	MP
Icicles hanging from NR infrastructure train damage not severe weather	Q5.4.u	IW
Icicles hanging from NR infrastructure train damage or severe weather	Q5.4.t	XT
Illness to passenger infrastructure restriction Joint	N4.1.b	VD
Illness to passenger no infrastructure restriction	N4.1.a	VD
Illness to passenger. Platform edge or Track side	N4.1.c	XA
Incident within network yard,sdg or terminal causing terminal delays	H4.2.e	
Incidents allocation of minutes and reliability events to an organisation	B6	
Incidents arising out of other track access agreements	D3	
Incidents at stations flow chart guidance for the allocation of delays	N12	
Incorrect route driver not stopping taken route not agreed diversionary	K6.2	OC and FC/TG
Incorrect route on an agreed diversionary route,signaler	K6.1	OC
Incorrect train dispatch or issues by station staff	Sr	R1
Industrial action causing un-planned delays.	R1.3.x	
Infestation damage due to repeated chronic animal behaviour	Q1.1	I*/J*
Infestation. Coded to the asset directly affected	O1.1.2	
Infrastructure attribution principles	O1	
Infrastructure based equipment no fault found Network Rail (R1.3.d)	R3.1	IN
Infrastructure defect depot yard or terminal (H1)	H4.2.a	I*/J*/X*
Infrastructure defect/problem on network affects trains entering network	H1.2.a	I*/J*/X*
Infrastructure defect/problem on network affects trains entering network	H3.3.a	I*/J*/X*
Infrastructure failure accepted design limitations (ADL)	O14.1..a	I*/J*
Infrastructure failure weather equipment outside design	Q5.4.b	X*
Infrastructure failure weather equipment within design	Q5.4.a	I*/J*
Infrastructure off Network	A2.4	
Infrastructure project failure. Responsibility not to affect the coding	O1.1.1	
Infrastructure staff oversight or error including maintenance staff	Sj	JL
Infrastructure trains arriving or leaving possessions	P2.14	I7
Infrastructure vandalism or theft	Q4	
Injury including fatality stuck by a train (PGD6/PGD13)	Q3	AZ/FZ/VC/XC
Injury sustained when on platform struck or falling from train	Sv	VC
Injury to member of staff	R1.3.j	
Injury to passenger accidental	R1.3.h	M*/R*/T*/V*
Injury/fatality none--Network Rail infrastructure none- passenger trains	Q3.2.c	AK/FC
Injury/fatality platform loose/detatch componunts moving trains	Q3.2.d	VC/M*
Inquiry possible operator responsibility (R4)	R1	
Insulated rail joint resulting in track circuit failure or defect IBJ/IRJ	O3.2.g	IS
Interlocking failure Signalling power boxes	O7.1.b	IF
Interlocking panel SSI or remote control system Signalling	O7.1.a	IF
Internal lighting technical faults above sole bar on a passenger train	G1.2.d	M8
Investigation pending holding codes (PDG7/17)	R4	D*
Investigation unable to provide explanation or identify clause	E2.4	ZU
Inward booked train crew same TAC (reactionary)	Sy	YJ
Inward stock/unit late arrival booked, same TAC (reactionary)	Sy	YI
Items cause obstruction, not vandal, weather or from train	Sj	JX
Joining network from off network. Missing times (J1.6)	H5	
Joint responsibility criteria not applying (PGD6)	D2.12	
Joint responsibility incidents at stations (PGD6)	D2.13	
Joint responsibility incidents including exceptions (PGD6)	D2	
Joint responsibility incidents vandalism, theft or trespass (PGD6)	Q4.3	
Jointly agreed neutral zones for autumn	F1.4.1	
Jumper connective cables	G1.2.i	MY

Subject	Clause	Specific Codes
Key route strategy (KRS) weather snow	Q5.4.m/n	XT
Late arrival booked inward stock/unit same TAC (reactionary)	Sy	YI
Late arrival of booked train crew, same TAC (reactionary)	Sy	YJ
Late running possession principal incident causing train to be late	P2.17	
Late running train booked crew service recovery (reactionary)	Sy	YN
Late start different operator.Late inwards working of locomotive or stock	J1.2	
Late start from origin not train crew	J1	
Late start late inwards. Same TOC/TAC	J1.1	Y*
Late start mitigation	J1.3	
Late start network depot crew,vehicles,loading or FOC issue	H4.2.b	A*/F*/M*
Late start stock change	J1.5	
Late start train crew (J2)	J1.4	
LDT module or Baseband data link failure	O7.1.e	IF
Leaf fall contamination adhesion problems during autumn	F1.7.1.c	QH
Leaf fall contamination cautioning during autumn	F1.7.1.g	QI
Leaf fall during autumn	F1	
Leaf fall special working implemented for track circuit operation	F1.7.1.i	QJ
Leaking wipers weather delays associated with passenger train	G1.2.j	MW
Level crossing booms affected by high winds over 78 MPH	O5.2.p	XW
Level crossing booms affected by snow extreme weather criteria	O5.2.q	XT
Level crossing bowmac dropped	O5.2.h	JF
Level crossing CCTV DOO telecoms cable feed including no fault found	O12.1	IK
Level crossing emergency services prioritised over rail	Sx	XN
Level crossing external power supply failure	O5.2.d	XK
Level crossing failures (general). Barrow, foot or treadle	O5	ID
Level crossing incidents involving damage	R1.3.m	ID
Level crossing misuse	R1.3.n	XN
Level crossing multicore cable failure	O5.2.e	II
Level crossing obstacle detection LIDAR	O5.2.k	JX/JP/XN/I8
Level crossing obstacle detection LIDAR heavy rain or snow	O5.2.l	IW
Level crossing pedestrians crossing barriers down or lights flashing	O5.2.f	XN
Level crossing phones left of hook after use	O5.2.g	XN
Level crossing power supply failure (<175v)	O5.2.b	IE
Level crossing power supply failure (>175v)	O5.2.c	IH
Level crossing public allegation no fault found	O5.2.i	J4
Level crossing safety TSR ESR sighting issue not vegetation	O18.4.n	OT
Level crossing safety TSR/ESR sighting issue due to vegetation	O18.4.o	JP
Level crossing sighting TSR or ESR safety	O5.2.n	OT
Level crossing sighting TSR or ESR vegetation	O5.2.o	JP
Level crossing sunlight on monitors but NOT LIDAR	O5.2.m	XU
Level crossing telephone fault including no fault found	O5.2.j	IK
Level crossing telephones (LCT) (both Network Rail and BT lines)	O12.1	IK
Level crossing vehicle striking or stuck under barrier	O5.2.a	XN
Lever manual boxes unable to use	O7.1.c	IF
LIDAR or obstacle detection. Level crossing	O5.2.k	JX/JP/XN/I8
Lift failure at a station including escalators (if joint D2)	N8.1.a	RE
Lighting at stations loss of (if joint D2)	N8.1.e	RA
Lightning affecting protected equipment axle counter failure	O4.2.h	J6
Lightning affecting protected equipment track circuit failure	O3.2.m	J6
Lightning affecting unprotected equipment axle counter failure	O4.2.i	J6
Lightning affecting unprotected equipment track circuit failure	O3.2.n	J6
Lightning strike on Network Rail assets no protection	Q5.4.r	J6
Lightning strike on Network Rail assets with protection	Q5.4.s	J6
Lights internal technical faults above sole bar on a passenger train	G1.2.d	M8
Line block and track inspection. Including late hand backs	P2.9	I6
Line block incidents unplanned. Infrastructure	M2	
Line block taken to repair infrastructure defect (O1)	P2.19.g	
Line blocking incidents diversionary routes	M4	
Lineside cable fault signalling	Si	II
Lineside location cabinet	O10	IA/IB/IC/IE/II/IH/XK/X4
Lineside telephones including no fault found	O12.1	IK
Litter causing Track circuit failure	O3.2.y	JX
Loading problems freight not dangerous goods including adjusting	I1	AG
Loading supplies, including catering	St	T4

Subject	Clause	Specific Codes
Neutral zone concept autumn and setting up incidents	F1.5.1	
Neutral zone incidents use of during autumn	F1.5.2	
Neutral zone list during autumn delays not on jointly agreed list	F1.6	
Neutral zone reasonable level of time loss autumn	F1.4.2	
Neutral zone review during autumn	F1.4.4	
No cause ascertainable sub threshold (PGD12)	Sz	ZS
No cause found (No fault found R3)	R2.3	
No cause identified after full investigation. Loss in running	Sz	ZU
No fault found (NFF) technical equipment guidance	R3	
No fault found infrastructure based equipment Network Rail (R1.3.d)	R3.1	IN
No fault found safety incident infrastructure public report	R2.4.n	J4
No fault found safety incident Network Rail staff unable to find	R2.4.m	
No fault found train borne equipment (train operator)	R3.3	F*/M*/N*/T*
No fault found train borne systems on freight trains (R3)	G1.3.d	M9
No fault found train borne systems on passenger trains (R3)	G1.2.l	M9
Non malicious injury to passenger infrastructure restriction Joint	N4.1.b	VD
Non malicious injury to passenger no infrastructure restriction	N4.1.a	VD
Non malicious injury to passenger. Platform edge or Track side	N4.1.c	XA
Non Network Rail lines passenger charter excludable	Sv	VX
Non Network Rail running lines or Networks including LUL not fleet	St	TX
Non Network Rail staff operating Network Rail assets	O1.3	
Non severe weather snow,ice or frost affecting infrastructure equipment	Si	IW
Not leaving network delayed by train leaving Network (reactionary)	Sy	YT
NR maintenance staff or contractor REC GSM-R initiated in error	G4.1.j	JL
Objects encroaching NR infrastructure not weather or vandalism	Sx	XO
Objects placed deliberately on Network Rail infrastructure incl points	Q4.1.b	XB
Objects thrown or fired at trains	Q4.1.b/c	AZ/VB/XB
Objects thrown or fired from trains	Q4.1.f	VB
Objects thrown or fired onto Network Rail from fleet depots	Q4.1.e	MU
Obstacle detection or LIDAR Level crossing	O5.2.k	JX/JP/XN/I8
Obstruction hit by train, not vandalism,trespass,weather	R2.4.h/i	JX
Obstruction in points overgrown vegetation	O2,2.t	JP
Obstruction on line due to flooding including trees	Q5.4.j	X2
Obstruction on line due to wind including trees	Q5.4.i	XW
Obstruction or tripping bird strike/nest building. Damage OHLE 3rd rail	O9.1.i	I1/I4
Obstruction points failure vandalism	O2.2.u	XB
Obstruction points failure. Sand,coal,litter,ballast,branches,leaves.	O2.2.s	JX
Obstruction safety confirmation of reported obstruction	R2.4.g	JX
Obstruction/tripping bird strike/nest building. Damage OHLE 3rd rail	O9.1.i	I1/I4
Obstruction/tripping bird strike/nest building. No damage OHLE 3rd rail	O9.1.h	I8
Obstruction/tripping bird strike/nest building. No damage OHLE 3rd rail	O9.1.h	I8
Obstruction/tripping due to vandalism OHLE or 3rd rail	O9.1.f	XB
Obstruction/tripping due to weather OHLE or 3rd rail	O9.1.g	XW
Obstruction/tripping vegetation non-compliant.Damage OHLE 3rd rail	O9.1.j	JP
Off depot non technical delays	G1.2.o	MF
Off network entering or leaving Network exceptions	H2.3	
Off network freight terminals/yards waiting acceptance yard/siding	H2	
Off network GSM-R REC not registered to track access party (H3.3.g)	G4.1.c	XE
Off network infrastructure yards and operating incidents (PGD8)	H3	
Off network not leaving network by train leaving network reactionary	Sy	YT
Off network Rail network locations.Depots,yards,sidings (PGD22)	H1.1	
Off network REC GSM-R error from cab (H3.3.f)	G4.1.f	MU/TG/FC/TH/TZ/XE
Off network REC GSM-R error from cab preventing access to network	G4.1.g	MU/XE
Off Network trains joining network missing times (J1.6)	H5	
Off track assets. Fencing,gates,walkways,lighting. Not stations	O17	JF
OHLE and 3rd rail equipment (general)	O9.1	
OHLE bond fault causing track circuit failure	O3.2.e	I1
OHLE fire, smoke or arching caused by conductor rail or OHLE	O9.1.e	I1/I4
OHLE formal inquiry or 3rd rail	O9.1.l	
OHLE Ice or icicles on OHLE or third rail regardless of weather	O9.1.k	OG
OHLE obstruction or tripping bird strike or nest building. Damage	O9.1.i	I1/I4
OHLE obstruction or tripping bird strike or nest building.No damage	O9.1.h	I8
OHLE obstruction or tripping due to vandalism OHLE or 3rd rail	O9.1.f	XB
OHLE obstruction or tripping vegetation non-compliant (O21)	O9.1.j	JP

Subject	Clause	Specific Codes
OHLE obstruction, reason item was there	O9.1.c	
OHLE or third rail equipment defect of failure	O9.1.a	I1
OHLE or third rail tripping no reason found	O9.1.b	I2
OHLE power supply failure/reduction problems	O9.1.d	I4
Oil grease or substance on railhead source can not be identified	F1.7.3.d	JX
On network REC GSM-R error from cab by authorised person	G4.1.d	FC/TG/TH/TZ
On network REC GSM-R error from cab by train maintenance staff	G4.1.e	MU
On track machine OTM (yellow plant) fleet problem	G1.3.e	MV
On track machine OTM axle counter failure rail contacts cable damage	O4.2.f	II
On track Machine OTM damage in a possession / incorrect use	O15	J8
On track Machine OTM yellow plant. Possessions	P1	I5/I7/MV
Operating incidents off Network Rail network	H3	
Operating staff oversight, error or absence not signaller or control	So	OK
Operational event safety reported in good faith (GSM-R) (REC)	G4.1.a	
Operational GSM-R railway emergency call (REC)	G4	J0
Operational GSM-R system faults and failures. Flow chart	G5.1	FZ/J0/MD/M8/M9/TG
Operations staff errors. Network Rail	O15	OC/OK
Operator terminals or yards or non-Network Rail operated. Off network	H3	
Origin time not available off network (H5)	J1.6	
Other forms of transport due to weather not meeting external criteria	Q5.2	I*/J*/M*
OTMR train borne fault safety system within the cab passenger train	G1.2.b	M0
Over speed TPWS or train stop intervention against danger signal	G6.1.a	FC/TG
Overcrowding (reactionary) other services cancelled	Sy	YX
Overcrowding (reactionary) short formed train	Sy	YQ
Overcrowding station overtime displaced passengers another line	N4.1.h	RX
Overhead power lines national grid,DNO,gas,water mains,road works	Sx	XM
Overheating location cabinets code to asset that failed	O19.2.2.3	
Overloaded freight (not dangerous goods) including possession	I1	AG
Overruns possession (P2.5)	P2.19.e-h	I5/QM
Overruns possession defect found	P2.19.o	I*/J*
Overruns track patrol beyond agreed time unless defect found(P2.19.o)	P2.19.n	I6
Overweight against the timing load. Freight train	I1.2.b	FX
Overwhelmed asset weather. Infrastructure	Q5.9	XT
Pad or biscuit related fault causing track circuit failure	O3.2.i	IS
PANCHEX activations on passenger trains. OHLE pantographs	G1.2.a	M1
PANCHEX no fault found Network Rail or wrong detection. Pantographs	R3.5	IN
Panel failure. Signalling	Si	IF
Panel interlocking SSI or remote control system Signalling	O7.1.a	IF
Pantograph faults on passenger trains (PGD17)	G1.2.a	M1
Parcels vehicle delays	G1.2.n	ML
Passenger accidental injury	R1.3.h	M*/R*/T*/V*
Passenger assault	R1.3.i	VA
Passenger charter excludable criteria due to weather (C2.6)	Q5.1	V*/X*
Passenger charter excludable events on LUL or non Network Rail lines	Sv	VX
Passenger communication cord pulled.PassComm or door egress	Sv	VH
Passenger doors delays associated with faults on doors & associated	G1.2.c	M7
Passenger drop item signaller delays train to remove, not obstruction	N9.1.c	OR
Passenger dropped object causing obstruction but not on or off train	N9.1.b	JX
Passenger dropped object whilst boarding or alighting held by TOC	N9.1.a	RP
Passenger external other responsibility of TOC	Sv	VZ
Passenger facilities failed technical faults above sole bar on train	G1.2.d	M8
Passenger fallen between train and platform whilst boarding/alighting	N9.1.e	RY/RZ
Passenger injury non malicious infrastructure restriction. Joint	N4.1.b	VD
Passenger injury non malicious no infrastructure restriction	N4.1.a	VD
Passenger injury non malicious. Platform edge or Track side	N4.1.c	XA
Passenger join, alight overtime. Passenger volume no casual incident	N4.1.d	RB
Passenger joining or alighting special event such as sports fixture	N4.1.e	R7
Passenger lost luggage	Sr	RU
Passenger operator train driver	St	TG
Passenger overcrowding (reactionary) including own late running	Sy	YX
Passenger overcrowding (reactionary) short formed train	Sy	YQ
Passenger taken ill on a train	Sv	VD
Passenger train operating cause other causes	St	TZ
Passengers falling/collapsing onto platform when boarding/alighting	N4.1.o	RY/VD

Subject	Clause	Specific Codes
Passing booked trains possessions (P2.11)	P2.19.k	I5/I6/P*
Patrolling blocks. Track inspections. Including late hand backs	P2.9	I6
Patrolling including when published P code not utilised (M2)	P2.19.i/j/l	I6
Pedestrians level crossing barriers down or lights flashing	O5.2.f	XN
Pending investigation holding codes (PGD7)	R4	D*
Permissive working at stations (PGD10) (NR operating)	K8.a/b	OC/OD/OR
Permissive working at stations (PGD10) (station staff)	N10.1.a/b	R3/R4/R5
Personal needs break (PNB) train crew further delay	J2.4	
Perturbation cancellations including presumed cancellations	Q5.14	
Phones left of hook after use at Level crossing	O5.2.g	XN
PIBS No fault found, train operator	R3.5	M*
PIBS train borne faults	G2.2.1.a	M7
Placing objects deliberately on Network Rail infrastructure incl points	Q4.1.b	XB
Planned cancellation duplicate or erroneous train schedule	E2	PJ
Planned cancellation not cancelled NR restriction (C2.8,C3.6)	L1.5	PE
Planned cancellation not cancelled TOC requirement (C2.8,C3.6)	L1.5	PG
Planned cancellation through train planning system (TPS) (C3.6)	L1.5/6	PD
Planned engineering work/divert.SLW not timetabled out of EAS	Sq	QB
Planned incidents and P coding	C3	P*
Planned possession reactionary trains not retimed (P2.2)	P2.19.d	QP
Planned possessions (C3.5)	P2.19	PF/QB
Planned published temporary speed restrictions (TSR) (WON)	O18.4	IV/JA/JD/JP/JS/OT/PA/PB
Planned TSR (P coded) reaction to	P2.19.c	JB
Planning issues including loco diagramming or RT3973 not requested	Sf	FH
Planning related delays flow chart (schedules) Capacity planning	L1.3	OQ/QA/QM/QN
Platform alteration actioned by CIS/PIS not updated	N11.5	
Platform alteration by signaller for given reason	N11.3	
Platform alteration requested to and actioned by signaller	N11.4	
Platform alteration varies from CIS/PIS,signaller passengers joining	N11.2	OC
Platform alteration varies from CIS/PIS,sufficient time. Passengers	N11.2	
Platform alterations actioned by ARS ACI	N11.6	OH/QA/QM
Platform change, waiting platform, station congestion (reactionary)	Sy	YO
Platform changes and alterations	N11.2	
Platform closures passenger behavious on board a train	N4.1.p	V*
Platform fatality,injuries,being struck or fallen from train (PGD13)	Sv	VC
Platform persons falling, jumping or dangling legs	Q4.1.m	XA
Platform staff delayed dispatch safety concerns (Q3.2.f)	N7.1.i	RY
Platform staff not confirm to signaller waiting confirmation of position	N10.1.a	R3/R4/R5
Platform staff stopped train in wrong part of platform	N10.1.b	R5
Point heaters defective snow or frost causing points failure	Si	IP
Points defect possession given back late	O2.2.r	
Points failure (general) including no fault found	O2.1	IB
Points failure animal obstructing points, removal rectifies	O2.2.v	I8
Points failure chair bolt broken or obstructing switch movement	O2.2.e	IS
Points failure control relay fault in interlocking system multiple assets	O2.2.b	IF
Points failure crossing defective flat or diamond no switch rail.	O2.2.l	IR
Points failure direct staff error	O2.2.w	JL
Points failure due to ice or snow.	O19.6.2	IB/IP/JT/X9
Points failure loose rail clip obstruction and or damaging points	O2.2.d	IS
Points failure module failure	O2.2.a	IF
Points failure multicore cable failure one or more cores defective	O2.2.q	II
Points failure obstructed points sand,coal,litter,ballast,branches,leaves	O2.2.s	JX
Points failure or defect due to RHTT jetting	O2.2.y	OK
Points failure overgrown vegetation	O2.2.t	JP
Points failure repeat or indication circuit back to SB.Points	O2.2.c	IF
Points failure snow or ice not preventable with points heater	O2.2.p	X9
Points failure snow or ice points heater defective/not on. Points failure	O2.2.n	IP
Points failure snow or ice points heater not fitted Points failure	O2.2.o	JT
Points failure SO53 test switch failed	O2.2.l	IR
Points failure switch creep	O2.2.h	IS
Points failure switch heater failure	O2.2.m	IP
Points failure track formation requires lift and packing	O2.2.g	IS
Points failure track out of gauge or Switches failed SO53 test,bured rail	O2.2.l	IR
Points failure twisted sleeper or timber	O2.2.f	IS

Subject	Clause	Specific Codes
Points left in manual after possession hand back or run through	O2.2.x	JL
Points obstructed by vegetation	O21.b	JX
Points obstruction confirmed vandalism	O2.2.u	XB
Points telephones including no fault found	O12.1	IK
Police searching a train not security	N4.1.m	VG
Poor ride quality report no fault found within maintenance tolerances	O6.1.d	IT
Poor ride quality report where remedial work is carried out	O6.1.c	IS
Poor ride quality track (O1.4)	R2.4.a	IS
Poor ride quality track, no apparent cause or no fault found	R2.4.b	IT
Possession activity axle counter failure reset after	O4.2.b	I5
Possession activity reset not as planned after axle counter failure	O4.2.c	JL/OC
Possession agreed TOC/NR not to retime or NR fails to retime	L1.2.e	QB
Possession axle counter failure reset, plan did not factor in	O4.2.d	QB
Possession communication issues late hand back	O15	I5
Possession given back late, points defect	O2.2.r	
Possession hand back points left in manual or run through	O2.2.x	JL
Possession infrastructure trains arriving or departing	P2.14	I7
Possession on track machine (OTM) damage to infrastructure	Sj	J8
Possession on track machine (OTM) or engineering haulage	P1	MV/I5/I7
Possession overrun defect found	P2.19.o	I*/J*
Possession overrun due to removal of staff from a worksite	P2.19.q	I5
Possession overrun due to substandard action of staff	P2.19.r	I5
Possession overrun substandard action signaller, LOM or MOM	P2.19.p	I5
Possession overrun track patrol	P2.19.n	I5
Possession overruns	P2.5	I5
Possession passing booked trains	P2.19.k	I5/P*
Possession planned (reaction P code delay) not retimed	P2.19.d	QP
Possession with a single worksite	P2.11	
Possession with multiple worksites	P2.12	
Possession work not completed TSR/ESR	O18.4.c	
Possessions leaving equipment in failure mode	P2.8	I*/J*
Power distribution system functional supply points (FSP)	O10.1.1.b	IH
Power failure signalling functional	Si	IE
Power supply failure at a station (if joint D2)	N8.1.c	RZ
Power supply failure at a station external (if joint D2)	N8.1.d	VZ
Power supply failure external level crossing	O5.2.d	XK
Power supply failure level crossing (<175v)	O5.2.b	IE
Power supply failure level crossing (>175v)	O5.2.c	IH
Power supply failure. Infrastructure	O10	IA/IB/IC/IE/II/IH/XK/X4
Power supply failure/reduction OHLE or third rail	O9.1.d	I4
Power switch over systems. Train borne	G1.2.q	MQ
Preparation of freight train waiting trains list	Sa	AC
Preventative maintenance response remote condition monitoring alert	O20	J9
Prime cause delay (PGD1) (C1.4) The immediate cause or event	B7.1	
Prime cause train identified not delay to its self.	C1.5	
Principal supply points (PSP) signalling power	O10.1.1.b	IH
Process guide documents (PGD) to support DAPR	A6	
Protected equipment lightning affecting track circuit failure	O3.2.m	J6
Provision of information to correctly identify causes of delay	A3	
Provision of rolling stock (coaches) passenger operators	L2	
Provision of specified equipment locos and wagons freight operators	L2.4	
Public allegation no fault found at level crossing	O5.2.i	J4
Public no fault found (NFF) Safety incident infrastructure	R2.4.n	J4
Published in WON temporary speed restrictions (TSR) (C3.2/4)	O18.4.a/b	PA/JA/JD/JS/IV
Published TSR COT/structure rectification date passed no allowance	O18.4.g	JS/JD
Radio and communication failures (general)	O8	
Rail and track defects (general)	O6	
Rail clip loose or rail clip causing short circuit Track circuit failure	O3.2.h	IS
Rail clip obstruction and or damaging points causing failure	O2.2.d	IS
Railhead conditioning / ghost train (RHC) delays including reactionary	F1.7.1.b	OS
Railhead conditioning train (RHC) failure	F2.3.j	OM
Railhead conditioning train (RHC) long time in section other train delay	F2.3.g	OS
Railhead conditioning train (RHC) non-treatment	F2.3.k	
Railhead conditioning train (RHC) schedule pathing	F2.3.b-d	QA/QM/QN

Subject	Clause	Specific Codes
Relay room, signalling	O10	IA/IB/IC/IE/II/IH/XK/X4
Reliability events.Cancellations,diversions or missed stops	B7.8	
Remote condition monitoring alert-preventative maintenance response	O20	J9
Remote control failure, signalling	Si	IF
Remote control system interlocking panel SSI Signalling	O7.1.a	IF
Renewal date exceeded temporary speed restriction (TSR)	O18.4.f	JS/JD
Repeat or indication circuit back to Signal Box. Points	O2.2.c	IF
Reservation seating problems	N4.1.n	TF
Responsible manager codes used in TRUST	B6.4	
Responsible train. Cause of the reactionary delay	B7.5	Y*
Retaining walls. Structures	Sj	JD
RETB emergency telephones including no fault found	O12.1	IK
RETB failures	O8.1.1	I0 (zero)
RETB no fault found (train operator)	R3.5	M9
RETB train borne fault safety system within the cab (passenger)	G1.2.b	M0
Revisions to the delay attribution principles and rules (DAPR) (PGD23)	A5	
RHTT points failure of defect water jetting	O2.2.y	OK
Right away (RA)/close door (CD) defect	N7.1.e	IA
Right away (RA)/close door (CD) defect operator mitigation not made	N7.1.f	R1
Right away (RA)/close door (CD) sun on equipment mitigation in place	N7.1.g	XU
Right away (RA)/close door (CD) sunlight operator mitigation not made	N7.1.h	R1
Road connections from other transport modes	Sr/t	RM/T3
Road vehicles hitting bridges. Bridge Strike	Q2	XP
Road works,overhead power lines national grid,DNO,gas,water mains	Sx	XM
Rock fall not weather on day	Si	IV
Rolling contact fatigue (RCF)/GCC temporary speed restriction (TSR)	O18.4.m	JS
Rostering or FOC diagramming issue	Sf	FF
Rostering train crew problem	St	TI
Rough ride no apparent cause or no fault found	R2.4.b	IT
Rough ride poor ride quality (H1.2.a)	R2.4.a	
Route incorrect driver not stopping taken route, not agreed diversionary	K6.2	OC and FC/TG
Route knowledge infrastructure not commissioned per brief	J3.c	I*/J*
Route knowledge lacking diverted per pre arranged contingency plan	M1.a	FF/TI
Route knowledge route card not updated to allow rostering	J3.b	TG/TH/F*
Route knowledge route code missed from diagram	J3.a	TA/FF
Route knowledge route code missed from schedule (L1)	J3.g	
Route knowledge train crew on a booked route (M1)	J3	
Route knowledge traincrew lacking diverted not in contingency plan	M1.b	
Route knowledge waiting route conductor late on duty	J3.d	TG/FE
Route knowledge waiting route conductor previous working late	J3.e	YJ
Route proving trains or ghost trains (M3.3)	Q5.13	OS/XT/XW
RT3185/7 forms signaller completion of when trains overlooked	R2.5	OC
RT3973 schedule ADL not taken into consideration	O14.1..f	QA/QM
RT3973 schedule error timings requested by operator	L1.2.f	QA/QM
RT3973 schedule timings not requested by operator	L1.2.g	FH/TA
RT3973 waiting train preparation or completion of TOPS list	Sa	AC
Run through points possession hand back	O2.2.x	JL
Running brake tests additional due to weather	Q5.12.e	MW/VW
Safety concerns platform staff dispatch delayed	N7.1.i	RY
Safety defect traction or rolling stock (T&RS)	R2.4.j	M*
Safety ESR/TSR level crossing sighting issue not vegetation	O18.4.n	OT
Safety ESR/TSR level crossing sighting issue, due to vegetation	O18.4.o	JP
Safety incident infrastructure categorically proven mistaken report	R2.4.o	J5
Safety incident Network Rail staff unable to find	R2.4.m	
Safety incident train operators staff unable to find reported issue	R2.4.l	FZ/M9/TZ
Safety incidents and mishaps (R4)	R1	
Safety operational restriction TSR/ESR	O18.4.p	OT
Safety problems reported by staff or public the principle.	R2.2	
Safety report in good faith GSM-R REC	G4.1.a	
Safety speed restriction for track patrol unless published TSR	P2.19.m	I6
Salting or gritting external Track circuit failure	O3.2.w	XN
Sanders faults on passenger trains	G1.2.g	MR
Sandite train (RHC)	F2.1	OB/OE/OS/QA/QM/QN
Sandite vehicle break down train failure or problem (RHC)	G1.4.b	OM

Subject	Clause	Specific Codes
SARS ACI incorrect Rep No or berth. Software not schedule	G5.2.l	OH
Schedule ADL not taken into consideration LTP/STP/VAR	O14.1..f	QA/QM
Schedule change by NR without ref to TOC affects stock balance.VSTP	L2.3.e	OD/QN
Schedule change by NR without ref to TOC affects stock balance.VSTP	L2.6.e	OD/QN
Schedule error on a WTT/LTP trains including simplifiers	L1.2.a	QA
Schedule error RT3973 requested by operator (D4.3)	L1.2.f	QA/QM
Schedule error RT3973 timings not requested by operator	L1.2.g	FH/TA
Schedule error STP/VAR train service including simplifiers	L1.2.b	QM
Schedule error VSTP train unvalidated timings used	L1.2.c	QN
Schedule error VSTP where train is using validated WTT/STP times	L1.2.d	QA/QM
Schedule flow chart planning related delays. Capacity planning	L1.3	OQ/QA/QM/QN
Schedule not retimed for possession or NR/TOC agree not to retime	L1.2.e	QB
Schedule STP in conjunction with a freight schedule	L1.2.h	QM
Schedule train running without a schedule in TRUST (M3.3)	L1.8	OC/OD/M*/Y*
Scrubbers faults on a passenger train	G1.2.g	MR
SDO Balise Network Rail trackside equipment defective or fails	G2.2.1.b	IM
SDO Balise non Network Rail trackside equipment defective or fails	G2.2.1.c	M7
Sea defences. Structures	Sj	JD
Searching a train police not security	N4.1.m	VG
Seat reservation problems	N4.1.n	TF
Seating broken technical faults above sole bar on a passenger train	G1.2.d	M8
Security alert adjacent to Network Rail infrastructure	Q7.1.b	XI
Security alert affecting a station where trains can pass (PGD6)	Q7.1.c	VI
Security alert affecting a station where trains can stop (PGD6)	Q7.1.d	VI
Security alert affecting operators who do not stop at station	Q7.1.e	XI
Security alert flowchart (H3.3.e)	Q7.7	
Security alert in fleet depot	Q7.1.g	VI
Security alert in freight depot off network	Q7.1.h	M*
Security alert joint responsibility	Q7.3	
Security alert Network Rail managed stations (definition) (Q7.1)	Q7.6	
Security alert non Network Rail not passenger trains	Q7.1.i	AZ
Security alert on a train	Q7.1.j	FZ/RZ/VI
Security alert stations affecting mail,parcels,charters	Q7.1.f	AZ
Security emergency services line blockages off Network Rail incident	Sx	XI
Selective door operation (SDO) no fault found (train operator)	R3.5	M7
Semaphore signalling fog and falling snow regulations	Q5.4.p	X1
Semaphore signals visibility due to weather (Q5.12.b)	Q5.4.aa	X1
Senior conductor, train manager, conductor or guard	St	TH
Service recovery and contingency plans diversionary route knowledge	M1	
Service recovery and contingency plans flow chart	M2.8	
Service recovery booked stock not available (reactionary)	M3.1.n	YU
Service recovery flowchart covering activities	M3.2	
Service recovery tactical cancellation not caused by late running	Sy	YR
Severe cold weather affecting infrastructure responsibility of NR	Sx	XT
Severe flooding obstructions on line, including trees	Q5.4.j	X2
Severe weather passenger charter excludable	Q5.1	V*/X*
Severe weather passenger fleet depots	Q5.4.k	VW
Short formed train (reactionary)	Sy	YQ
Shunter at a station	N4.5.c	RD
Sighting weather restrictions. Operating restrictions	Q5.12.b-d	
Signal box concentrator system (CON) including no fault found	O12.1	IK
Signal box not open during booked hours	So	OL
Signal box simplifier locally produced (L1.3)	K5	OQ/QA/QM
Signal cable tension not adjusted by agreed mitigation	O7.1.k	JL/OC
Signal cable tension temperature variation not severe or mitigation	O7.1.j	IF
Signal failure including no fault found	Si	IA
Signal or signs obscured by snow	Q5.4.z	XT
Signal post telephone (SPT) including no fault found	O12.1	IK
Signaller accidentally puts a signal to danger	R2.4.d	OC
Signaller ADL is not included in box instructions	O14.1..e	I*/J*
Signaller can mitigate ADL in box instructions	O14.1..c	OC
Signaller completion of forms RT3185/7 trains overlooked	R2.5	OC
Signaller GSM-R registration failure entering wrong Rep No or TD berth	G5.2.k	OC
Signaller incorrectly applies specific regulation policy	K4	OB

Subject	Clause	Specific Codes
Signaller put signal back to danger safety reason	R2.4.e	
Signaller REC GSM-R initiated in error	G4.1.i	OC/XE
Signaller stops trains to recover item which is not obstruction	N9.1.c	OR
Signaller unable to mitigate ADL box instructions	O14.1..d	I*/J*
Signaller wrong ERTMS or ETCS instructions	So	OF
Signaller wrong routing not taken by driver or agreed diversionary route	K5	OC
Signalling and regulation of trains. Signaller (PGD11)	K1	OA/OB/OD/Y*/OQ
Signalling anomaly / change of aspect no fault found or apparent cause	R2.4.f	IA
Signalling communication links telecoms or TDM SSI TD BOL	O7.1.j	IK
Signalling functional power supply failure	Si	IE
Signalling interlocking panel SSI or remote control system	O7.1.a	IF
Signalling lineside cable fault	Si	II
Signalling power boxes interlocking failure	O7.1.b	IF
Signs defective or blown down or fallen over	O16	IQ
Signs or signals obscured by snow	Q5.4.z	XT
Simplifiers signaller or station locally produced (K3/L1.3)	K5	OQ/QA/QM
Single worksite possessions. Infrastructure	P2.11	
Slower vehicles stock swap or change (PGD16)	Sm	MS
SLW engineering work planned not timetabled out of EAS	Sq	QB
SLW planned engineering work not timetabled within EAS (C3.2)	C3.5	PF
SMART site or system failure automatic train reporting (PGD15)	E5.1	
Smoke fire from off network cautioning or stopping (H3.3.e)	Q8.8.2	XL
Smoke or fire or arching caused by conductor rail or OHLE	O9.1.e	I1/I4
Snow affecting infrastructure key route strategy (KRS) is in place.	Q5.4.n	XT
Snow affecting infrastructure key route strategy (KRS) not in place	Q5.4.m	IW
Snow flow chart weather	Q5.9	
Snow obscuring signal lens or build up on hood	O7.1.l	IW/XT
Snow obscuring signals or signs	Q5.4.z	XT
Snow or frost defective or not turned on point heaters points failure	Si	IP
Snow or heavy rain Level crossing obstacle detection LIDAR	O5.2.l	IW
Snow or ice points failure not preventable with points heater	O2.2.p	X9
Snow or ice points heater not fitted points failure	O2.2.o	JT
Snow or ice points heater not working points failure	O2.2.n	IP
Snow or ice related failures	O19.6	IP/JT/OG/X9
Snow physically obscuring signals, banner repeaters and track signs	O19.6.3	IW/XT
Snow plough break down train failure or problem	G1.4.b	OM
Snow severe operating restrictions	Q5.12	
SO53 test switch failed. Points failure	O2.2.l	IR
Solid state interlocking failure (SSI) Track circuit failure	O3.2.r	IF
Solid State interlocking failure, signalling (SSI)	Si	IF
SPAD or station overshoot at a published contamination site	F1.7.2.b	TG/FC
SPAD signal passed at danger infrastructure failure former Cat B	R1.3.r	I*/J*
SPAD signal passed at danger signaller error former Cat B	R1.3.t	OC
SPAD signal passed at danger signaller reverting signal in emergency	R1.3.u	
SPAD signal passed at danger train operator cause former Cat A	R1.3.s	AZ/FC/FZ/M*/RY/TG/TH
Special event passengers joining, alighting or station overtime	N4.1.e	R7
Special stop orders (SSO) additional station stops	St	TP
Special stop orders (SSO) unauthorised waiting issue (M3.1.b/e)	N7.1.d	RJ
Special stop orders (SSO) waiting for authorisation (M3.1.a/d)	N7.1.c	RL
Special stop orders within contingency/agreed NR/TOC (reactionary)	M3.1.c	YM
Special train. Royal or military. No TRUST schedule, priority regulation	E6.1	OD
Special working fog falling snow regulations including level crossings	Q5.4.p	X1
Speed reduction due to weather. Operating restriction	Q5.12	
Speed restrictions heat related	O19.2.1	
Speed restrictions weather potential frozen brakes FOC/TOC	Q5.12.a	MW/VW
Speedometer train borne fault safety system within the cab passenger	G1.2.b	M0
Splitting reactionary delay. Same value two or more incidents	D5.5	Y*
Sports fixture passengers joining or alighting special event	N4.1.e	R7
SSI Interlocking panel or remote control system Signalling	O7.1.a	IF
SSI transmition fault within telecoms network	O7.1.f	IK
Staff error causing points failure	O2.2.w	JL
Staff error Network Rail including criteria for not considering	O15	JL
Staff error Network Rail operations not signaller or control	So	OK
Staff error possession overrun operations staff	P2.19.p	I5

Subject	Clause	Specific Codes
Staff injury	R1.3.j	
Staff shortage terminal or yard, off network	Sa	AD
Standby supply equipment failure with external power supply	O10.1.2	XK
Standing water TOC/FOC directive not allowed to travel though water	Q5.4.w	MW/VW
Star model definition and diagram. Figure 1	C1.3	
Station building,roof,platform collapse. Not flooding (Q5.7) (if joint D2)	N8.1.f	RA
Station buildings, weather affecting stopping trains	Q5.4.q	VZ
Station congestion, platform change or waiting platform (reactionary)	Sy	YO
Station customer information system failures (CIS / PIS) (if joint D2)	N8.1.b	RV
Station delays believed to be operator waiting information	Sr	R8
Station delays believed to be operator waiting information	St	T8
Station dispatch equipment	O11.1	
Station evacuated due to fire alarm	Sr	RH
Station flooding, including drain, not weather or from Network Rail	Sr	RW
Station gas leak originating from within station (if joint D2)	N8.1.g	RA
Station incidents. Flow chart	N12	
Station joint responsibility incidents	D2.13	
Station lighting loss of (if joint D2)	N8.1.e	RA
Station mishap operating causes	Sr	RY
Station or SPAD overshoot at published contamination site	F1.7.2.b	FC/TG
Station other operating causes	Sr	RZ
Station overtime displaced passenger another line,indetermined incident	N4.1.h	RX
Station overtime displaced passengers another line of route	N4.1.g	
Station overtime passenger volume join,alight.No casual incident	N4.1.d	RB
Station overtime short-formed train (reactionary)	Sy	YQ
Station overtime special event such as a sports fixture	N4.1.e	R7
Station overtime trains late running or another cancelled late runner	N4.1.f	YX
Station passenger drop object whilst getting on/off train held by TOC	N9.1.a	RP
Station passenger dropped object causing obstruction not on/off train	N9.1.b	JX
Station passenger fallen between train and platform getting on/off train	N9.1.e	RY/RZ
Station platform DOO CCTV monitors mirrors NR Telecoms	O11.1.c	IK
Station power supply failure (if joint D2)	N8.1.c	RZ
Station power supply failure external (if joint D2)	N8.1.d	VZ
Station signaller stops trains to recover item not an obstruction.	N9.1.c	OR
Station staff error wrong announcements mis-direction	Sr	R5
Station staff not confirm to signaller waiting confirmation of position	N10.1.a	R3/R4/R5
Station staff permissive working (PGD10) (NR operating)	K8.a/b	OC/OD/OR
Station staff problems when missing or uncovered	N7.1.b	R3
Station staff split responsibility unable to cover all duties	Sr	R4
Station staff stopped train in wrong part of platform	N10.1.b	R5
Station unstaffed non DOO train	St	T2
Steam train locomotives on passenger trains	G1.2.m	ME
Stock change or set swap or change (N2.an) (PGD16)	Sm	MS
Stock provision passenger operators	L2	
Stock service recovery booked stock unavailable (reactionary)(PGD16)	Sy	YU
Stock swap unplanned no localised arrangement or deviation from plan	K9	OC/Y*
Structures and buildings heat related failures	O19.2.3	JD
Structures encroaching NR infrastructure not weather or vandalism	Sx	XO
Structures or earth works failures caused by severe weather	O19.1.1	
Sub threshold delays cumulative or succession (E4) (PGD12)	D5.2	
Sub threshold no cause ascertainable (PGD12)	Sz	ZS
Suicides including stuck by a train (PGD6/PGD13)	Q3	AK/FZ/VC/XC
Sun light on Level crossing monitors but NOT LIDAR	O5.2.m	XU
Sun on right away (RA)/close Door(CD) except when no mitigation	N7.1.g	XU
Sun on right away (RA)/close Door(CD) operator mitigation not made	N7.1.h	R1
Sun on signal aspect (Q5.4.o)	Q5.10	IA/XU
Sun on signaller panel or workstation	Q5.10	
Sun on the cab windscreen (Q5.4.k)	Q5.10	M*/FG/FZ/TG/TW
Sun on train dispatch equipment (N2.aj/ak)	Q5.10	AZ/IA/IK/R1/VZ/XU
Sun shining onto cab where driver not taken preventative action	Q5.4.ab	FZ/TG
Sun shinning on signal aspect driver unable to clearly see aspect	Q5.4.o	XU
Sun visibility flow chart (Q5.4)	Q5.10	
Supplies loading including catering	St	T4
Surfing or alighting from train access off NR from outside of trains	Q4.1.o	AZ/VA

Subject	Clause	Specific Codes
Surfing or alighting from train access on NR from outside of trains	Q4.1.n	XA
Surge voltage external power supply	O10.1.1.b	XK
Suspect package on Network Rail infrastructure	Q7.1.a	XI
Suspect package on train. Security	Q7.1.j	FZ/RZ/VI
Suspected track defect cautioning no site visit from PW	O6.1.f	IR/IS
Suspected track defect proven mistaken report cautioning	O6.1.e	J5
Swan incursion not struck by train. See note at end of clause	Q1.8	I8
Swarf build up causing track circuit failure. Within 48 hours of grinding	O3.2.k	JL
Swarf build up causing track circuit failure.48 hours after grinding	O3.2.j	IS
Swing bridge open for river of canal traffic	Sx	XQ
Switch creep causing points failure	O2.2.h	IS
Switch heater failure. Points failure	O2.2.m	IP
Switches failed SO53 test points failure	O2.2.i	IR
T piece missing or damaged track circuit failure (TCF)	O3.2.l	IS
Tactical cancel for service recovery not caused by own late running	M3.1.m	YR
Tactical intervention train being held back (reactionary)	Sy	YV
Tail lamp/light out, missing or showing wrongly on a train	R2.4.k	FM/TG
Tail light train borne fault safety system within the cab passenger train	G1.2.b	M0
TASS balise activated train borne systems on passenger trains	G1.2.k	NA
TASS balise trackside infrastructure failure	G2.1.b	IM
TASS no fault found (R3)	G2.4	
TASS no fault found (train operator)	R3.5	NA
TASS on board system fails	G2.1.a	NA
TCA train borne safety system faults on passenger trains. Not cab	G1.2.f	MT
TDM Time division multiplex failure, signalling	Si	IF
Technical failures just off depot	G1.2.p	MG
Technical faults above sole bar on passenger trains	G1.2.d	M8
Technical faults below sole bar on passenger trains (PGD17)	G1.2.e	MD
Technical head train borne fault safety system within the cab	G1.2.b	M0
Telecoms equipment failure, transmission sys & cable failure	O12.1	IK
Telecoms equipment failures, legacy RETB	Si	I0
Telecoms incoming supply FTN/GSM-R	O10.1.1.b	XK
Telecoms network SSI transmition fault	O7.1.f	IK
Telephone concentrator,SPT,LC,RETB,GF,pints,line side	O12.1	IK
Telephone fault including no fault found Level crossing	O5.2.j	IK
Temperature variation. Code to asset concerned	O19.4	
Terminal congestion off network	Sa	AZ
Terminal waiting traffic including release information/documentation	Sa	AJ
Terminal yard staff shortage off network	Sa	AD
Theft infrastructure but not cables	Q4.1.b	XB
Theft infrastructure on non Network Rail infrastructure	Q4.1.d	AZ/VB
Theft of cable causing infrastructure failure	Q4.1.a	XR
Theft unexplained train coming to halt	Q4.2	
Third rail and OHLE equipment (general)	O9.1	
Third rail fire, smoke or arching caused by conductor rail or OHLE	O9.1.e	I1/I4
Third rail formal inquiry or OHLE	O9.1.l	
Third rail ice or icicles on OHLE or third rail regardless of weather	O9.1.k	OG
Third rail obstruction or tripping bird strike or nest building.Damage	O9.1.i	I1/I4
Third rail obstruction or tripping bird strike or nest building.No damage	O9.1.h	I8
Third rail obstruction or tripping due to vandalism OHLE or 3rd rail	O9.1.f	XB
Third rail obstruction or tripping due to weather OHLE or 3rd rail	O9.1.g	XW
Third rail obstruction or tripping vegetation non-compliant (O21)	O9.1.j	JP
Third rail obstruction, reason item was there	O9.1.c	
Third rail or OHLE equipment defect of failure	O9.1.a	I1
Third rail or OHLE tripping no reason found	O9.1.b	I2
Third rail power supply failure/reduction problems	O9.1.d	I4
Third rail shoe beam faults on passenger trains	G1.2.q	MQ
Threat of trespass from station or footbridge	Q4.1.l	XA
Ticket irregularities (TI) including refusal to pay	N4.1.l	VE
Tilting trains TASS / Balise. Infrastructure / on train	G2	IM/NA
Time loss reasonable level of. Neutral zone during autumn	F1.4.2	
Timetable and resource planning incidents. Capacity planning	L1	FH/QA/QM/TA
TMS ACI incorrect Rep No or berth. Software not schedule	G5.2.l	OH
Toilet doors delays associated with faults on doors & associated	G1.2.c	M7

Subject	Clause	Specific Codes
Toilet technical faults above sole bar on passenger trains	G1.2.d	M8
Token equipment failure,signalling,including no fault found	Si	IL
Token equipment faults or failures	O7.1.k	IL
TOPS train list waiting or completion of list	Sa	AC
TPR track circuit failure, signalling	O3.2.b	J8
TPS train schedule cancellation (C3.6)	L1.5/6	PD
TPWS driver adhering to company professional driving standards	G6.1.b	TW/TG
TPWS fault protecting signal at red including lineside equipment	G6.3	IJ
TPWS intervention of failure	G6	FC/IJ/MT/TG/FG/TW
TPWS no fault found train operator (G6.1.c)	R3.5	M*
TPWS on track equipment incorrectly installed or positioned	G6.1.d	IJ
TPWS on train safety system failure	G6.1.c	MT
TPWS over speed or train stop intervention against danger signal	G6.1.a	FC/TG
TPWS train borne safety system faults on passenger trains. Not cab	G1.2.f	MT
TPWS train stop sensor (TSS) intervention against proceed aspect	G6.1.e	IJ
Track and rail defects (general)	O6	
Track circuit failure (general) including no fault found	O3	IC
Track circuit failure 110v fuse blown life expired or transformer	O3.2.u	IE
Track circuit failure 650v fuse blown life expired or transformer	O3.2.t	IH
Track circuit failure broken bolt, loose rail clip incl causing short circuit	O3.2.h	IS
Track circuit failure caused by a broken rail	O3.2.f	IR
Track circuit failure caused by litter	O3.2.y	JX
Track circuit failure datalink problems	O3.2.q	IF
Track circuit failure fault in repeat or indication circuit to SB	O3.2.o	IF
Track circuit failure flooding or under water	O3.2.x	JK/X2
Track circuit failure fuse blown faulty signalling/power supply component	O3.2.v	
Track circuit failure lightning affecting protected equipment	O3.2.m	J6
Track circuit failure lightning affecting unprotected equipment	O3.2.n	J6
Track circuit failure multicore cable failure	O3.2.c	II
Track circuit failure multicore cable failure more than 1 core telecoms	O3.2.d	IK
Track circuit failure OHLE bond fault	O3.2.e	I1
Track circuit failure or defect due to Insulated rail joint IBJ IRJ	O3.2.g	IS
Track circuit failure pads and biscuit related fault	O3.2.i	IS
Track circuit failure point or signal TFM module failure	O3.2.p	IF
Track circuit failure rails left in 4 foot clears when rail removed	O3.2.z	IS
Track circuit failure rails left in 4 foot crushed/damaged cables	O3.2.aa	IS
Track circuit failure rails left in 4 foot Immediate failure	O3.2.k	JL
Track circuit failure relay link defect in TPR or indication circuit	O3.2.b	J8
Track circuit failure rodent insect molluscs bird damage or droppings	O3.2.s	
Track circuit failure salting or gritting external	O3.2.w	XN
Track circuit failure solid state interlocking failure (SSI)	O3.2.r	IF
Track circuit failure swarf. Within 48 hours of grinding	O3.2.k	JL
Track circuit failure swarf.48 hours after grinding	O3.2.j	IS
Track circuit failure T piece missing or damaged	O3.2.l	IS
Track defect such as fishplates,bolts,IRJ,broken joints,ballast,formation	O6.1.b	IS
Track defect suspected no fault found within maintenance tolerances	O6.1.d	IT
Track defect suspected proven mistaken report cautioning	O6.1.e	J5
Track defect suspected where remedial work is carried out	O6.1.c	IS
Track formation requires lift and packing points failure	O2.2.g	IS
Track noise or bang no track allegation or fault found	O6.1.g	JX
Track out of gauge points failure	O2.2.i	IS
Track poor ride quality embankment	O6.1.h	IV
Track poor ride quality embankment infestation	O6.1.i	IV
Trackside functional module TFM or datalink module failure	O7.1.d	IF
Trackside signs including TSR/ESR board defective or down	O16	IQ
Traction motors technical faults below sole bar on train (passenger)	G1.2.e	MD
Traction power supply failure principal supply point (PSP)	O10.1.1.b	IH
Traffic waiting customer including release information / documentation	Sa	AJ
Train based equipment failed multiple infrastructure based equipment	R3.2	F*/N*/M*/T*
Train based equipment list or responsibilities	R3.5	
Train based equipment two or more trains on track equipment faults	R3.2	IN
Train borne equipment no fault found (train operator)	R3.3	F*/N*/M*/T*
Train borne safety system faults (passenger trains) not cab based	G1.2.f	MT
Train borne safety system within the cab	G1.2.b	M0

Subject	Clause	Specific Codes
Train borne systems no fault found (R3) freight trains	G1.3.d	M9
Train borne systems no fault found (R3) passenger trains	G1.2.l	M9
Train crew booked not available service recovery (reactionary)	Sy	YN
Train crew booking on duty including between turns	J2.1/2	FE/TG/TH
Train crew on duty travelling passenger on a late running service	J2.3.c	YJ
Train crew personal needs break (PNB) further delay	J2.4	
Train crew route knowledge on a booked route (M1)	J3	
Train crew stepping up significant lateness	J2.3.b	YN
Train crew travelling passenger planned cancellation pre 2200 hrs	J2.3.e	
Train crew travelling passenger planned cancellation. After 2200 hrs	J2.3.d	FH/TC
Train crew waiting for, including after rest (N5.1)	J2	FE/TG/TH/YJ/YN
Train crew working late inward services on the same turn of duty	J2.3.a	YJ
Train describer,panel,ARS,SSI failure, signalling	Si	IF
Train dispatch equipment failure. Network Rail but not telecoms	Sj	J2
Train diverted or re-routed at FOC request (freight)	Sf	FJ
Train manager,conductor,senior conductor or guard	St	TH
Train operating company altered workings requested in advance	St	TR
Train operator mishap	St	TY
Train operators control cancelled or delayed passenger services	St	TB
Train plan. Timetabled train schedules	B2	
Train preparation, train list	Sa	AC
Train regulation (PGD11)	K1	
Train stop failure, signalling	Si	IJ
Train stop intervention or over speed TPWS	G6.1.a	TG/FC
Train time reports to TRUST	B3	
Transformer or 110v fuse blown life expired track circuit failure	O3.2.u	IE
Transformer or 650v fuse blown life expired track circuit failure	O3.2.t	IH
Treadle failure, signalling	O7.1.g	
Treadle fault or failure at level crossings	Si	ID
Trees encroaching NR infrastructure not weather or vandalism	Sx	XO
Trees on line due to wind	Q5.4.i	XW
Trespass from train access off NR from outside of trains	Q4.1.o	AZ/VA
Trespass from train access on NR from outside of trains	Q4.1.n	XA
Trespass on Network Rail exit from passenger train without permission	Q4.1.h	VA
Trespass on Network Rail from freight trains ex Network Rail	Q4.1.k	XA
Trespass on Network Rail from freight trains ex terminals/yards	Q4.1.j	AZ
Trespass on Network Rail infrastructure not from a trains	Q4.1.g	XA
Trespass on non Network Rail infrastructure	Q4.1.d	AZ/VB
Trespass threat of from station or footbridge	Q4.1.l	XA
Trespass unexplained train coming to halt	Q4.2	
Trip cock train stop failure	Si	IJ
Tripping or obstruction bird strike / nest building.Damage OHLE 3rd	O9.1.i	I1/I4
Tripping or obstruction bird strike / nest building.No damage OHLE 3rd	O9.1.h	I8
Tripping or obstruction due to vandalism OHLE or 3rd rail	O9.1.f	XB
Tripping or obstruction or tripping due to weather OHLE or 3rd rail	O9.1.g	XW
Tripping/obstruction vegetation non-compliant.Damage OHLE 3rd rail	O9.1.j	JP
Trolley catering problems train related	N4.5.b	TK
TRTS late train ready to start by station staff	N7.1.a	R2
TRUST delay codes (section S)	B6.3	
TRUST incidents, updating	B6.18	
TRUST outages or failure preventing recording and investigation	E5	OU
TRUST train running system TOPS	B1.2	
TSI created schedule by Network Rail schedule error (VSTP)	L1	QN
TSR condition of bridge (COB) (C3.4)	O18.4.h	JD/PB
TSR condition of earthworks (C3.4)	O18.4.i/j	IV/PB
TSR condition of track (COT) (C3.4)	O18.4.d/e	JS/PB
TSR indicators defective or down	O16	IQ
TSR or ESR Level crossing sighting safety	O5.2.n	OT
TSR or ESR Level crossing sighting vegetation (O21)	O5.2.o	JP
TSR outside planning rules allowances	Sj	JA
TSR P coded part split reactionary delay attribution to non-P code	O18.5	
TSR P coding clarity listing acceptable circumstances for use	O18.5	
TSR possession work not completed	O18.4.d	
TSR rolling contact fatigue (RCF) or gauge corner cracking (GCC)	O18.4.m	JS

Subject	Clause	Specific Codes
TSR work not completed	O18.4.c	
TSR/ESR Safety operational restriction	O18.4.p	OT
Twisted rail. Track defect	Si	IR
Twisted sleeper or timber. Track defect	O2.2.f	IS
Unauthorised person GSM-R REC from cab no operational event	G4.1.h	FZ/RZ/VA/XE
Unexplained delay after full investigation (PGD12)	Sz	ZU
Unexplained delay believed down to passenger train operator (PGD12)	E2	TO
Unexplained delay believed to be down to freight operator (PGD12)	E2	FO
Unexplained delay loss in running (PGD12)	E4	
Unexplained delays succession (E4) (PGD12)	D5.2	
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Subject	Clause	Specific Codes
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Weed killer train break down train failure or problem	G1.4.b	OM
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WILD train borne safety system faults on a passenger train. Not cab	G1.2.f	MT
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Wind screen wipers weather delays associated with the train	G1.2.j	MW
Wind wires down or damage to OHLE	Q5.4.e	XW
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Wires down or damage to OHLE due to wind	Q5.4.e	XW
Worksites (possessions)	P2.12	
Wrong announcements, station staff	Sr	R5
Wrong route driver not stopping, taken route, not agreed diversionary	K6.2	OC and FC/TG
Wrong routing signaller including agreed diversionary route.	K6.1	OC
WSP brake and Brake system faults including wheel flats on a train	G1.2.h	MN
Yard congestion off network	Sa	AZ
Yard equipment breakdown or reduced capacity, off network	Sa	AH
Yard staff shortage off network	Sa	AD
Yard waiting customer traffic includes release information/documentation	Sa	AJ

Index and glossary compiled by Chris Scharf

GLOSSARY

ABS	Air brake system.On train
ACI	Automatic code insertion (ARS) (TD)
ADD	Automatic dropper device (pantograph VCB)
ADL	Accepted design limitations.Infrastructure
APCO	Automatic power change over
ADRC	Access dispute resolution committee
ARS	Automatic route setting.Signalling
ATO	Automatic train operation
ATP	Automatic train protection
AWA	Autumn working arrangements
AWS	Automatic warning system
BSR	Blanket speed restriction.
BTP	British Transport Police.Railway Police force
CASDO	Coach based Selective Door Opening (ASDO)
CaSL	Cancellations and significant lateness
CBTC	Communication based train control
C-DAS	Connected driver advisory system
CIS	Customer information system (PIS)
COA	Change of *signal* aspect
COT	Condition of track.Infrastructure
CRT	Critical rail temperature. Often related to ESR
CWR	Continuous welded rail
DAB	Delay attribution board
DAPR	Delay attribution principles and rules
DGI	Dangerous goods incident
DMU	Diesel multiple unit *train*
DNO	Distribution Network Operators (national grid)
DOO	Driver only operation.No guard or conductor
DSD	Drivers safety device (dead mans handle)
DVD	Drivers Vigilance Device (DSD)
DVT	Driving van trailer.With locomotive and coaches
EAS	Engineering access statement
EWAT	Extreme weather action teleconference
ECR	Electrical control room. AC/DC traction supply
EMU	Electric multiple unit *train*
ERTMS	European rail traffic management system
ESR	Emergency speed restriction. Infrastructure
ETCS	European train control system
FMS	Fault management system.Infrastructure
FOC	Freight operating company
GCC	Gauge corner cracking (RCF).Track defect
GSM-R	Global system mobile telecoms railways
GZAM	Green zone access manager.Track blockages
HABD	Hot axle box/bearing detector
HST	High speed train
IBJ	Insulated block joint or rail joint (IRJ)
IECC	Integrated electronic control centre.Signalbox
KRS	Key route strategy. Adverse weather
LC	Level crossing
LIDAR	Laser image detection and ranging
LRA	Low rail adhesion
LOM	Local operations Manager (NR position)
LTP	Long term planning (WTT) train schedule
LUL	London underground Limited
MFSDD	Management freight services during disruption
MPV	Multi purpose vehicle. Used for RHC etc
MOM	Mobile Operations Manager (NR position)
NFF	No fault found. Fault not found
NR	Network Rail. Infrastructure operator
OCB	Oil circuit breaker (OHLE)
OHLE	Overhead line equipment (25 KV AC)
OTM	On track machine (yellow plant)
OTMR	On train monitoring recorder (black box)
PANCHEX	Pantograph checking system. PanMon
PDAC	Performance data accuracy code
PGD	Process and guidance document (DAB)
PIBS	Platform indicator beacon system
PIS	Passenger information system (CIS)
PNB	Personal need break.Train crew break
PRM	Persons with reduced mobility
PSB	Power signal box
RBC	Radio block centre (ERTMS)
RCF	Rolling contact fatigue (GCC).Track defect
RCM	Remote condition monitoring.Infrastructure
REC	Railway emergency call (GSM-R)
RETB	Radio electronic token block.Signalling
RHC	Railhead conditioning. MPV,Sandite,de-icer etc
RHTT	Rail head treatment train. Autumn
ROC	Rail operating centre. Integrated control
RRV	Road Rail Vehicle. Used for engineering works
SARS	Signallers assistant route setting
SB	Signal box
SCC	Signalling control centre
SDO	Selective door operation.Short platform stations
SDR	Simplified direct reporting.TRUST train reporting
SLW	Single line working
SMART	Signal monitoring and reporting to TRUST
SPAD	Signal passed at danger,without authority
SPT	Signal post telephone
STANME	Station name in TOPS.Up to nine characters
STANOX	Station number used in TOPS.Five numbers
SSI	Solid state *electronic* interlocking
SSO	Special stop order.Additional station stop
STP	Short term planning train schedule
T&RS	Traction and rolling stock
TAC	Track access contract
TASS	Tilt authorisation and speed supervision
TCA	Track circuit actuator.Shunt assist
TD	Train describer. SB train identifier
TDA	TRUST delay attribution
TDM	Time division multiplex. Data transmition
TIN	TRUST incident number.Six numbers
TIPLOC	Train planning location.4-7 alpha numeric
TIS	Traction interlock switch.Fleet safety
TMS	Traffic Management system
TOC	Train operating *passenger* company
TOPS	Total operations processing system
TPS	Train planning system.Timetabling,schedules
TPWS	Train protection warning system
TRTS	Train ready to start (ringing out)
TRUST	Train running system:TOPS
TSI	Train service information
TSR	Temporary speed restriction.Infrastructure
TTP	Timetable processor (ARS)
VAR	Variation train schedule (STP)
VCB	Vacuum circuit breaker.Pantograph ADD
VHME	Vehicle health monitoring equipment (WILD)
VSTP	Very short term planning train schedule
WILD	Wheel impact load detector.Gotcha/Wheelchex
WON	Weekly operating notice.TSRs & possessions
WSP	Wheel slide protection
WTT	Working timetable (LTP) train schedule

Index and glossary compiled by Chris Scharf