

SUBJECT	CLASSIFICATION	DATE APPROVED	P/I NUMBER
Recording of Train Delays and On-Time Performance Reporting	Operations	November 26, 2019	3.21.3

1.0 DEPARTMENT

The Executive Vice President/Chief Operations Officer has overall responsibility for recording of train delays and on-time performance reporting.

2.0 PURPOSE

To provide corporate policy for the recording and reporting of: 1) minutes of delay and associated delay reason information incurred by Amtrak trains, and 2) On Time Performance (OTP).

3.0 RESPONSIBILITY

The Operations Department will be responsible for measuring, classifying, recording, and reporting all minutes of delay incurred by Amtrak trains and OTP by train and by service.

3.1 Amtrak OTP Monitor Report System (OTP-MRS). All delays incurred by Amtrak trains and actual arrival, departure, and passing times will be recorded in the Amtrak OTP-MRS. The OTP-MRS will be the corporate system of record for such data. As the system of record, the OTP-MRS data will be used to report the OTP and minutes of delay for trains and services both internally and externally. The OTP-MRS data will also be used to support the audit of payments to host railroads and for the analysis of causes of delay in order to improve the performance of Amtrak trains.

The OTP-MRS will be maintained by the Information Technology Department. Any requests for changes to the OTP-MRS will be reviewed and approved by the Senior Director Compliance and Metrics after ensuring requests have been properly prepared and thoroughly vetted with all impacted parties.

Changes to the OTP-MRS train service structure and definitions must be approved by the AVP Network Support. Requests for development of new reports or changes to the official OTP and minutes of delay reports in OTP-MRS or other data reporting systems will be reviewed and approved by the Senior Director Compliance and Metrics after thoroughly vetting requests and preparing documentation.

3.2 Arrival and Departure Time Entry Procedures. The Senior Director System Operations shall be responsible for procedures governing the recording of actual train arrival and departure times and for transmission of this information to the OTP-MRS. Any requests for changes to the procedures will be reviewed and approved by the Senior Director System Operations after ensuring requests have been properly prepared and thoroughly vetted with all impacted parties.

3.3 Delay Codes and Categories. Delay codes and categories will be maintained by the Senior Director Compliance and Metrics. Each delay code will be categorized as the responsibility of either Amtrak, the host railroad, or a third party. Changes to delay code definitions,

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assignments of responsibility, and additions or deletions of active codes will be approved by the Executive Vice President/Chief Operations Officer. Requests for changes will be reviewed by the Senior Director Compliance and Metrics, who will be responsible for ensuring requests have been properly prepared, thoroughly vetted with all impacted parties, and properly approved. The review will include business and financial impacts to reporting consistency and costs for system and user device modification and training that would result from approval of the change.

- 3.4 Delay Entry Procedures. On the Amtrak-owned Northeast Corridor territory: Delays will be classified and recorded at the Centralized Electrification and Traffic Control (CETC) centers.

All other territories: Delays will be classified and reported by the train Conductor using the Electronic Delay Reporting (eDR) system, following delay reporting procedures which shall be included in Reporting and Recording Delays on Host Railroads successor document. Such delay reporting procedures shall be developed and maintained by the Principal Host Railroad Development, which will approve and implement any changes to such procedures after ensuring they have been properly prepared and thoroughly vetted with all impacted parties. The review will include business and financial impacts to reporting consistency and costs for system and user device modification and training that would result from approval of the change. Conductors' supervisors shall be accountable for ensuring that all Conductors adhere to the established delay reporting procedures.

- 3.5 eDR System. The eDR system will be maintained by the Information Technology Department. Any requests for changes to the eDR system will be reviewed and approved by Director Conductor Systems, after ensuring requests have been properly prepared and thoroughly vetted with all impacted parties.

- 3.6 Data Change Requests and Corrections. On the Amtrak owned Northeast Corridor territory: The Assistant Superintendent of Operations at each of the CETC locations is responsible for the accurate coding of delay data. Requests for changes to recorded delay data or correction of errors should be made in writing to the Assistant Superintendent who will determine the validity of the request based on known facts and if appropriate correct the entry. Any internal disputes regarding such changes or corrections will be adjudicated by the Senior Director System Operations.

All other territories: Requests for changes to delay, arrival, departure, or passing time data must be made in accordance with the Support Procedures for Data Change Requests document. The Support Procedures for Data Change Requests document shall be developed and maintained by the Senior Director Compliance and Metrics, which will approve and implement any changes to this document after ensuring they have been properly prepared and thoroughly vetted with all impacted parties.

- 3.7 OTP Business Rules. The Senior Director Compliance and Metrics will maintain a comprehensive list of business rules for use in computing on-time performance (OTP) for individual trains. These rules will include guidelines for determining, among other things, if a train is to be considered as having operated, its on-time performance at the initial terminal, and the performance at each station including its end point. Changes to the OTP Business Rules will be approved by the Executive Vice President/Chief

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Operations Officer. Requests for changes will be reviewed by the Senior Director Compliance and Metrics, who will be responsible for ensuring requests have been properly prepared, thoroughly vetted with all impacted parties, and properly approved. The OTP Business Rules will be made available on the Amtrak Intranet.

- 3.8 On-time Performance and Delay Reporting. The Senior Director Compliance and Metrics will prepare official reports on a monthly basis which show the on-time performance and delays for the entire Amtrak system and for individual services operated by Amtrak. The Senior Director Compliance and Metrics will also be responsible for reports as needed on historical performance of the system and individual services. The formats and methodologies for any reports containing on-time performance or train delay information that will be shared outside of Amtrak must be approved by the Senior Director Compliance and Metrics to ensure reporting consistency throughout the Corporation.

4.0 ADMINISTRATION

- 4.1 Official Document Retention. Data gathered pursuant to this policy will be stored electronically in compliance with Amtrak's Records Retention Policy. Field locations are not required to retain delay reports. Northeast Corridor CETC facilities will be required to store movement logs and other documentation of delays in accordance with Amtrak's Records Retention Policy.

5.0 DEFINITIONS

- 5.1 Pure Running Time (PRT). The optimum (least) amount of time that a passenger train will take to operate between stations and/or designated passing points over the train's optimal route, operating at maximum authorized speeds with the most favorable possible signal aspects on that route, with a defined consist size, weight and power.
- 5.2 Delay. Delay is measured in whole minutes and is defined as a) Actual operating time in excess of Pure Running Time between stations, and/or designated passing points or b) Actual time in excess of Allowed Dwell Time at en route stations or scheduled servicing stops, or c) Actual departure time later than publicly-scheduled departure time at a train's Initial Terminal Station. On host railroad territory, only stations and/or designated passing points included in train schedules exchanged with host railroads will be used for delay reporting. Delays are caused by situations such as an irregular stop, or any slowing to speeds not reflecting the train's optimum operation.
- 5.3 Allowed Dwell Time. The amount of time assigned to every en route station and servicing stop to account for normal work. Any actual standing time in excess of this amount constitutes delay.
- 5.4 Recovery Time. Additional time used to build train schedules, above and beyond PRT and Allowed Dwell Time, to help a train "recover" to public schedule on-time operation in the event that it encounters delays. Recovery Time is not considered when calculating minutes of delay.

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