

**SPAD data collection form RT/3119/A
 (infrastructure manager)**



Rail Safety & Standards Board

PART 1 – GENERAL

***Delete as appropriate**

1.1	SMIS ref number	
1.2	Date (dd/mm/yy)	
1.3	Time (24 clock)	
1.4	Location	
1.5	Engineers line ref	
1.6	Mileage / miles / chains	
1.7	Location manager	
1.8	Site type. <i>Tick one.</i>	<input type="checkbox"/> Station <input type="checkbox"/> Level crossing <input type="checkbox"/> Tunnel <input type="checkbox"/> Track / lineside <input type="checkbox"/> Yard <input type="checkbox"/> Depot
1.9	Is the event within the Network Rail Railway Safety Case scope?	click here
1.10	Was a T(iii) possession involved?	click here
1.11	Was T(ii) involved, if so which type? <i>Tick one.</i>	<input type="checkbox"/> T(ii)A – T-COD <input type="checkbox"/> T(ii)T – Token/block indicator <input type="checkbox"/> T(ii)D – Disconnection <input type="checkbox"/> T(ii)X – Emergency protection <input type="checkbox"/> T(ii)H – Handsignaller
1.12	Weather. <i>Tick one.</i>	<input type="checkbox"/> Fine <input type="checkbox"/> Bright sunlight <input type="checkbox"/> Rain <input type="checkbox"/> Fog <input type="checkbox"/> Falling snow <input type="checkbox"/> Mist
1.13	Visibility. <i>Tick one.</i>	<input type="checkbox"/> More than 200 yards <input type="checkbox"/> Less than 200 yards
1.14	Was frost present?	click here
1.15	Railway investigation / inquiry? <i>Tick one.</i>	<input type="checkbox"/> Formal inquiry <input type="checkbox"/> Formal investigation <input type="checkbox"/> Local investigation
1.16	Government inquiry. <i>Tick one.</i>	<input type="checkbox"/> None <input type="checkbox"/> HSE Inspectors inquiry <input type="checkbox"/> Local investigation
1.17	Was the site inspected?	click here

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PART 2 – RISK

2.1	Repetition likelihood. <i>Tick one.</i>	<input type="checkbox"/> Highly improbable
		<input type="checkbox"/> Remotely possible
		<input type="checkbox"/> Infrequent
		<input type="checkbox"/> Occasional
		<input type="checkbox"/> Frequent
2.2	Actual consequence. <i>Tick one.</i>	<input type="checkbox"/> No injury or insignificant loss or damage
		<input type="checkbox"/> Minor injury / minor loss and / or damage
		<input type="checkbox"/> Major non-disabling injury / medium loss and / or damage
		<input type="checkbox"/> Fatality / disabling injury / serious loss and / or damage
		<input type="checkbox"/> Fatalities / disabling injuries / catastrophic loss and / or damage
2.3	Potential consequence. <i>Tick one.</i>	<input type="checkbox"/> No injury or insignificant loss or damage
		<input type="checkbox"/> Minor injury / minor loss and / or damage
		<input type="checkbox"/> Fatality / disabling injury / serious loss and / or damage
		<input type="checkbox"/> Fatalities / disabling injuries / catastrophic loss and / or damage
		<input type="checkbox"/> Major non-disabling injury / medium loss and /or damage

PART 3 – SUMMARY OF THE INCIDENT

The information written here will be entered into SMIS.

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PART 4 – CLASSIFICATION OF SPAD

4.1	Did the SPAD occur on Network Rail Infrastructure Ltd controlled infrastructure?	click here	
4.2	SPAD classification	click here	
4.3	Length of overrun		
4.4	Was the fouling point obstructed?	click here	
4.5	If 'Yes' to 4.4, state the number of movements per hour		
4.6	SPAD risk. <i>Tick one.</i>	<input type="checkbox"/> Dangerous goods leak	<input type="checkbox"/> Electrocution
		<input type="checkbox"/> Explosion	<input type="checkbox"/> Fire
		<input type="checkbox"/> Derailment	<input type="checkbox"/> Collision
		<input type="checkbox"/> None	<input type="checkbox"/> Other
4.7	SPAD risk ranking		
4.7a	Initial collision potential?	click here	
4.7b	SPAD accident vulnerability rating? (A to K)	click here	
4.7c	SPAD risk rating? (00 to 28)		
4.8	Did the SPAD occur on a running line?	click here	
4.9	Was the route set from a siding onto a running line?	click here	
4.10	Did the train proceed beyond or obstruct the fouling point?	click here	
4.11	Was the aspect displayed in sufficient time for it to be possible for the driver to stop?	click here	
4.12	Was the line protected by Automatic Train Protection?	click here	
4.13	Was the ATP fully operational?	click here	
4.14	Had the ATP been isolated /over-ridden by the driver? <i>(Note: Transfer information from form RT3119B question 5.9)</i>	click here	
4.15	Was the overlap of the clearing point of a semaphore signal obstructed?	click here	
4.16	Were there any points run through?	click here	
4.17	Was the SPAD a result of braking or adhesion problems?	click here	
4.18	Was damage caused?	click here	
4.19	Were there any injuries (<i>excluding traumatic shock</i>)?	click here	
4.20	If 'Yes' to 4.19, were there any fatalities?	click here	
4.21	Starting of the train. <i>Tick one.</i>	<input type="checkbox"/> Train did not start against the signal	
		<input type="checkbox"/> Train started against a signal at a platform	
		<input type="checkbox"/> Train started against a signal NOT at a platform	
4.22	Was a conflicting route set ahead of the SPAD?	click here	
4.23	Was a train between the SPAD and the next signal?	click here	

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PART 4 – CLASSIFICATION OF SPAD – continued

4.24	Why was the signal at danger? <i>Tick one.</i>	<input type="checkbox"/> Emergency	<input type="checkbox"/> Engineering work
		<input type="checkbox"/> Regulation	<input type="checkbox"/> Failure
		<input type="checkbox"/> Other	<input type="checkbox"/> To caution the driver
		<input type="checkbox"/> Signaller failed to clear signal	
4.25	Was TPWS fitted on the train involved?	click here	
4.26	Was TPWS fitted approaching /at the SPAD?	click here	
4.27	Did TPWS activate on the approach at the SPAD?	click here	
4.28	Is there a level crossing in the route ahead of the SPAD?	click here	

PART 5 – PRINCIPAL SIGNAL

5.1	Signal passed number on signal post eg KX326. <i>Do not leave space between letters and numbers or use full stop.</i>																																				
5.2	Signal control. <i>Tick one.</i>	<input type="checkbox"/> Automatic <input type="checkbox"/> Controlled <input type="checkbox"/> Intermediate Block <input type="checkbox"/> Semi-automatic <input type="checkbox"/> Fixed (<i>ie Stop board or fixed aspect</i>)																																			
5.3	Signal category. <i>Tick one.</i>	<input type="checkbox"/> Four Aspect <input type="checkbox"/> Three Aspect <input type="checkbox"/> Two Aspect <input type="checkbox"/> Fixed colour light <input type="checkbox"/> Semaphore <input type="checkbox"/> Disc <input type="checkbox"/> Position light <input type="checkbox"/> Limit of Shunt <input type="checkbox"/> Stop Board <input type="checkbox"/> Illuminated notice <input type="checkbox"/> Hand Signal <input type="checkbox"/> Other																																			
5.4	Is this a Network Rail signal?	click here																																			
5.5	Controlling signal box																																				
5.6	Indicate if the signal fitted with any of the following and, if so, the status of the system. <i>Tick all applicable.</i>	<table border="1"> <thead> <tr> <th></th> <th>Not Fitted</th> <th>Fitted and working</th> <th>Fitted and not working</th> <th>Exempt</th> </tr> </thead> <tbody> <tr> <td>AWS</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>ATP</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>TPWS</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>Mechanical train</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>INDUSI</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td></td> </tr> <tr> <td>OTHER</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Not Fitted	Fitted and working	Fitted and not working	Exempt	AWS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		ATP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		TPWS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Mechanical train	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		INDUSI	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		OTHER				
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5.7	Aspect at signal at the time of the SPAD. <i>Tick one.</i>	<input type="checkbox"/> Red / Stop <input type="checkbox"/> No light <input type="checkbox"/> Other																																			
5.8	The signal is accompanied by? <i>Tick as many as appropriate.</i>	<input type="checkbox"/> Junction Indicator <input type="checkbox"/> Position Light <input type="checkbox"/> Route Indicator <input type="checkbox"/> Other																																			
5.9	Aspect / position most often seen by driver?	<input type="checkbox"/> Red <input type="checkbox"/> Other than red																																			
5.10	Length of overlap at SPAD? *yards/metres																																				

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PART 5 – PRINCIPAL SIGNAL continued

5.11	Points / switches between the signal and the next signal?	click here																																																																																																									
5.12	Fouling point distance? *yards/metres																																																																																																										
5.13	Distance from last signal? *yards/metres																																																																																																										
5.14	Date signal was last sighted																																																																																																										
5.15	Was the signal equipped with approach release for the intended route?	click here																																																																																																									
5.16	Is the signal preceded by a banner repeater?	click here																																																																																																									
5.17	Is the signal provided with countdown markers?	click here																																																																																																									
5.18	Is the signal provided with SPAD indicator?	click here																																																																																																									
5.19	If semaphore, describe role (eg home, section, junction etc)																																																																																																										
5.20	Give details of any previous category 'A' SPADs at this signal.																																																																																																										
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PART 6 – SIGNAL IN REAR OF PRINCIPAL SIGNAL

6.1	Signal passed number on signal post eg KX326. <i>Do not leave space between letters and numbers or use full stop.</i>				
6.2	Signal control. <i>Tick one.</i>		<input type="checkbox"/> Automatic	<input type="checkbox"/> Controlled	
			<input type="checkbox"/> Intermediate Block	<input type="checkbox"/> Semi-automatic	
	<input type="checkbox"/> Fixed (<i>ie Stop board or fixed aspect</i>)				
6.3	Signal category. <i>Tick one.</i>		<input type="checkbox"/> Four Aspect	<input type="checkbox"/> Three Aspect	
			<input type="checkbox"/> Two Aspect	<input type="checkbox"/> Fixed colour light	
			<input type="checkbox"/> Semaphore	<input type="checkbox"/> Disc	
			<input type="checkbox"/> Position light	<input type="checkbox"/> Limit of Shunt	
			<input type="checkbox"/> Stop Board	<input type="checkbox"/> Repeater	
			<input type="checkbox"/> Semaphore distant	<input type="checkbox"/> Distant Board	
			<input type="checkbox"/> Hand Signal	<input type="checkbox"/> Other	
	6.4	Is this a Network Rail signal?	click here		
6.5	Controlling signal box				
6.6	Indicate if the signal fitted with any of the following and, if so, the status of the system. <i>Tick all applicable.</i>				
		Not Fitted	Fitted and working	Fitted and not working	Exempt
	AWS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	ATP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	TPWS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Mechanical train	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	INDUSI	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
OTHER					
6.7	Aspect at signal at the time of the SPAD. <i>Tick one.</i>		<input type="checkbox"/> Red / Stop	Green / Off	
			<input type="checkbox"/> Yellow	No Light	
			<input type="checkbox"/> Other		
6.8	If semaphore, describe role (eg home, section, junction etc)				
6.9	Aspect / position most often seen by the driver.				

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PART 7 – PRINCIPAL LINE

Note. If further lines are involved, complete this section for each additional line and attach to form.

7.1	Line Status. <i>Tick one.</i>	<input type="checkbox"/> Running Line	<input type="checkbox"/> Siding	<input type="checkbox"/> Depot
7.2	Direction. <i>Tick one.</i>	<input type="checkbox"/> Bi-directional	<input type="checkbox"/> Down	<input type="checkbox"/> Up
		<input type="checkbox"/> Reversible	<input type="checkbox"/> Single	
7.3	Classification. <i>Tick one.</i>	<input type="checkbox"/> Avoiding	<input type="checkbox"/> Goods Loop	<input type="checkbox"/> Passenger Loop
		<input type="checkbox"/> Bay	<input type="checkbox"/> Independent	<input type="checkbox"/> Relief
		<input type="checkbox"/> Carriage	<input type="checkbox"/> Local	<input type="checkbox"/> Slow
		<input type="checkbox"/> Crossover	<input type="checkbox"/> Main	<input type="checkbox"/> Through
		<input type="checkbox"/> Fast	<input type="checkbox"/> Passenger & Freight	<input type="checkbox"/> Goods
		<input type="checkbox"/> Other		
7.4	Is the line freight only?	click here		
7.5	Did the SPAD occur at a platform?	click here		
7.6	Line name?			
7.7	Aspect at signal at the time of the SPAD. <i>Tick one.</i>	<input type="checkbox"/> Red / Stop	<input type="checkbox"/> Green / Off	
		<input type="checkbox"/> Yellow	<input type="checkbox"/> No Light	
		<input type="checkbox"/> Other		
7.8	Rail treatment. <i>Tick one.</i>	<input type="checkbox"/> Sandite	<input type="checkbox"/> Waterjet	
		<input type="checkbox"/> Weedkiller	<input type="checkbox"/> None	
		<input type="checkbox"/> Other		
7.9	Is the line prone to leaf fall?	click here		
7.10	Is the line a known site of low adhesion?	click here		
7.11	Special Working. <i>Tick one.</i>	<input type="checkbox"/> Temporary block working	<input type="checkbox"/> Single line working (section N)	
		<input type="checkbox"/> Pilot man working	<input type="checkbox"/> None	
		<input type="checkbox"/> Other		
7.12	System of signalling. <i>Tick one.</i>	<input type="checkbox"/> TCB	<input type="checkbox"/> Absolute block	
		<input type="checkbox"/> Electric token	<input type="checkbox"/> No signalman token	
		<input type="checkbox"/> Tokenless block	<input type="checkbox"/> RETB	
		<input type="checkbox"/> No signalling system	<input type="checkbox"/> Permissive	
		<input type="checkbox"/> Direction lever working	<input type="checkbox"/> Depot working	
		<input type="checkbox"/> One train working with staff	<input type="checkbox"/> One train working no staff	
7.13	Signalling control type. <i>Tick one.</i>	<input type="checkbox"/> Handsignalman	<input type="checkbox"/> Other	
		<input type="checkbox"/> Power signal box	<input type="checkbox"/> IECC	
		<input type="checkbox"/> Mechanical signal box	<input type="checkbox"/> Other	
7.14	Gradient. <i>Tick one.</i>	<input type="checkbox"/> Level	<input type="checkbox"/> Falling	<input type="checkbox"/> Rising
7.15	If rising or falling, state gradient?	1 in		

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PART 8 – CAUSE – Immediate Cause

- Where the immediate cause(s) is established as being due, either wholly or partly, to failures of or defects in any infrastructure or equipment, etc. complete this section as appropriate.
- A separate report should be made for each item of infrastructure or equipment, where appropriate.

PART 9 – CAUSE – Underlying causes

- To be completed in respect of any infrastructure or equipment, etc. if either wholly or partly responsible.
- A separate report should be made for each item of infrastructure or equipment, where appropriate.

Equipment Factors

9.1	Was an 'Equipment' issue(s) a contributory factor?	click here	
9.2	If 'Yes', what was the equipment associated with? <i>Tick as many as appropriate – if more than one applies, number corresponding equipment types and issues</i>	<input type="checkbox"/> Non rail vehicle	<input type="checkbox"/> Tool / equipment
		<input type="checkbox"/> Infrastructure	<input type="checkbox"/> Level crossing
		<input type="checkbox"/> Rail vehicle	<input type="checkbox"/> Plant and machinery
		<input type="checkbox"/> Communications	<input type="checkbox"/> PPE
		<input type="checkbox"/> Other	
9.3	If 'Yes' at 9.1, indicate the nature of the 'Equipment' issues(s)? <i>Tick as many as appropriate.</i>	<input type="checkbox"/> Supply / Procurement	<input type="checkbox"/> Condition
		<input type="checkbox"/> Maintenance	<input type="checkbox"/> Usage
		<input type="checkbox"/> Design	
9.4	If 'Yes' at 9.3 includes ' Supply / Procurement ', what was the nature of the issue? <i>Tick as many as appropriate.</i>	<input type="checkbox"/> Inadequate supply – inadequate resources	<input type="checkbox"/> Inadequate supply – inadequate purchasing
		<input type="checkbox"/> Failure of supplier	<input type="checkbox"/> Poor work planning
		<input type="checkbox"/> Inadequate supply – lack of process for ordering parts / spares / replacements	
9.5	If 'Yes' at 9.3 includes ' Usage ', what was the nature of the issue? <i>Tick as many as appropriate.</i>	<input type="checkbox"/> Inadequate housekeeping	<input type="checkbox"/> Inadequate procedures for use
		<input type="checkbox"/> Supplied but not used	<input type="checkbox"/> Not familiar in its use
		<input type="checkbox"/> Used without authority	<input type="checkbox"/> Inappropriate supervision
		<input type="checkbox"/> Not trained / instructed to use	
9.6	If 'Yes' at 9.3 includes ' Condition ', what was the nature of the issue? <i>Tick as many as appropriate.</i>	<input type="checkbox"/> Inadequate housekeeping	<input type="checkbox"/> Affected by weather / climate
		<input type="checkbox"/> Inadequate repair	<input type="checkbox"/> Unreliable
		<input type="checkbox"/> Vandalised	<input type="checkbox"/> Inadequate transportation
		<input type="checkbox"/> Aged	<input type="checkbox"/> Worn Equipment
9.7	If 'Yes' at 9.3 includes ' Maintenance ', what was the nature of the issue? <i>Tick as many as appropriate.</i>	<input type="checkbox"/> Inadequate maintenance specification	<input type="checkbox"/> Inadequate inspection / monitoring
		<input type="checkbox"/> Inadequate planning / scheduling of maintenance	
9.8	If 'Yes' at 9.3 includes ' Design ', what was the nature of the issue? <i>Tick as many as appropriate.</i>	<input type="checkbox"/> Inadequate design for intended use	<input type="checkbox"/> Inadequate consideration of ergonomic principles

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PART 10 – CAUSE – Narrative

10.1	Use the space below to explain the immediate cause identified and the relationship with the underlying cause(s)
Initials	

PART 11 – Signatories

11.1	Investigating Officer	
	Name	Company
	Position	Date
	Location	

Signature:

11.2	TOC	
	Name	Company
	Position	Date
	Location	

Signature:

***Scanned signatures may be inserted in the signature sections above
 Form Ends***

If you have difficulty entering data into this form, please contact: claudia.brogelli@rssb.co.uk