

SPAD Data Collection Form RT3252/A (infrastructure controller)

PART 1 – GENERAL

* Delete as appropriate

1.1	SMIS Ref number	_____		
1.2	Date (DD/MM/YY)	_____	1.3	Time _____ hours
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?	* Yes / No		
1.10	Was a T(iii) possession involved?	* Yes / No		
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?	* Yes / No		
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"/> Public inquiry		
1.17	Was the site inspected?	* Yes / No		

4.1 Did the SPAD occur on Network Rail Infrastructure Ltd controlled infrastructure? * Yes / No

4.2 SPAD classification **Category 'A'**

4.3 Length of overrun _____ * yards / metres

4.4 Was the fouling point obstructed? * Yes / No

4.5 If 'Yes' to 4.4, state the number of movements per hour _____

4.6 SPAD risk. *Tick one*

<input type="checkbox"/> Dangerous goods leak	<input type="checkbox"/> Electrocutation	<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? * Yes / No

4.7b SPAD accident vulnerability rating? (A to J)

4.7c SPAD risk rating? (00 to 28)

4.8 Did the SPAD occur on a running line? * Yes / No

4.9 Was the route set from a siding onto a running line? * Yes / No

4.10 Did the train proceed beyond or obstruct the fouling point? * Yes / No

4.11 Was the aspect displayed in sufficient time for it to be possible for the Driver to stop? ***Yes/No**

4.12 Was the line protected by Automatic Train Protection? * Yes / No

4.13 Was the ATP fully operational? * Yes / No

4.14 Had the ATP been isolated /over-ridden by the driver? * Yes / No
(Note: Transfer information from form GO/GN3552/B question 5.9)

4.15 Was the overlap of the clearing point of a semaphore signal obstructed? ***Yes/No**

4.16 Were there any points run through? * Yes / No

4.17 Was the SPAD a result of braking or adhesion problems? * Yes / No

4.18 Was damage caused? * Yes / No

4.19 Were there any injuries (*excluding traumatic shock*)? * Yes / No

4.20 If 'Yes' to 4.19, were there any fatalities? * Yes / No

4.21 Starting of the train. *Tick one*

<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? *Yes / No

4.23 Was a train between the SPAD and the next signal? *Yes / No

Uncontrolled When Printed

PART 4 - CLASSIFICATION OF SPAD - *continued*

** Delete as appropriate*

- 4.24** Why was the signal at danger? *Tick one*
- | | | |
|---|---|--|
| <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 | | <input type="checkbox"/> |
- 4.25** Was TPWS fitted on the train involved? *Yes / No
- 4.26** Was TPWS fitted approaching/at the SPAD? *Yes / No
- 4.27** Did TPWS activate on the approach at the SPAD? *Yes / No
- 4.28** Is there a level crossing in the route ahead of the SPAD? *Yes / No

PART 5 - PRINCIPAL SIGNAL

** delete as appropriate*

- 5.1** Signal passed *number on signal post* eg KX326. *Do not leave space between letters and numbers or use full stop* _____
- 5.2** Signal control. *Tick one*
- | | | |
|---|---|---|
| <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. *Tick one*
- | | | |
|---|---|-------------------------------------|
| <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? *Yes / No
- 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. *Tick all applicable*
- | | 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 stop | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| INDUSI | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| Other | | | | |
- 5.7** Aspect at signal at the time of the SPAD. *Tick one*
- | | | |
|-------------------------------------|-----------------------------------|--------------------------------|
| <input type="checkbox"/> Red / Stop | <input type="checkbox"/> No light | <input type="checkbox"/> Other |
|-------------------------------------|-----------------------------------|--------------------------------|
- 5.8** The signal is accompanied by? *Tick as many as appropriate*
- | | | |
|---|---|--|
| <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

PART 5 – PRINCIPAL SIGNAL - *continued*

** Delete as appropriate*

- 5.11 Points / switches between the signal and the next signal? *Yes / No
- 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? *Yes / No
- 5.16 Is the signal preceded by a banner repeater? *Yes / No
- 5.17 Is the signal provided with countdown markers? *Yes / No
- 5.18 Is the signal provided with SPAD indicator? *Yes / No
- 5.19 If semaphore, describe role (*eg home, section, junction etc*)

5.20 Give details of any previous category 'A' SPADs at this signal

	Date	Cause	Loco/unit No	Severity
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				

Uncontrolled When Printed

PART 6 - SIGNAL IN REAR OF PRINCIPAL SIGNAL

** delete as appropriate*

6.1 Aspect displayed at signal in rear of principal signal *number on signal post eg KX326. Do not leave space between letters and numbers or use full stop* _____

6.2 Signal control. *Tick one*

- | | | |
|---|---|---|
| <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. *Tick one*

- | | | |
|---|--|--|
| <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? *Yes / No

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. *Tick all applicable*

	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 stop	<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. *Tick one*

- | | | |
|-------------------------------------|--------------------------------------|---------------------------------|
| <input type="checkbox"/> Red / Stop | <input type="checkbox"/> Green / Off | <input type="checkbox"/> Yellow |
| <input type="checkbox"/> 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

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

7.1 Line Status. *Tick one*

- Running Line Siding Depot

7.2 Direction. *Tick one*

- Bi-directional Down Up
 Reversible Single

7.3 Classification. *Tick one*

- Avoiding Goods Loop Passenger Loop
 Bay Independent Relief
 Carriage Local Slow
 Crossover Main Through
 Fast Passenger & Freight Goods
 Other

7.4 Is the line freight only? *Yes / No

7.5 Did the SPAD occur at a platform *Yes / No

7.6 Line name? _____

7.7 Rail condition. *Tick one*

- Not contaminated Contaminated by previous train Dry Greasy
 Ice / snow Leaves Wet

7.8 Rail treatment. *Tick one*

- Sandite Waterjet Weedkiller
 None Other

7.9 Is the line prone to leaf fall? *Yes / No

7.10 Is the line a known site of low adhesion?? *Yes / No

7.11 Special Working. *Tick one*

- Temporary block working Single line working (section N) Pilot man working
 None Other : _____

7.12 System of signalling. *Tick one*

- TCB Absolute block Electric token
 No signalman token Tokenless block RETB
 No signalling system Permissive Direction lever working
 One train working no staff One train working with staff
 Depot working Handsignalman
 Other _____

PART 7 - PRINCIPAL LINE - *continued*

** Delete as appropriate*

7.13 Signalling control type. *Tick one*

Power signal box IECC Mechanical signal box

Other _____

7.14 Gradient. *Tick one*

Level Falling Rising

7.15 If rising or falling, state gradient 1 in _____

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? * Yes / No

9.2 If 'Yes', what was the equipment associated with?
Tick as many as appropriate – if more than one applies, number corresponding equipment types and issues

Non rail vehicle Tool / equipment Infrastructure

Level crossing Rail vehicle Plant and machinery

Communications PPE

Other _____

9.3 If 'Yes' at 9.1, indicate the nature of the 'Equipment' issue(s)? *Tick as many as appropriate*

Supply / Procurement Condition Maintenance

Usage Design

9.4 If 9.3 includes 'Supply / Procurement', what was the nature of the issue? *Tick as many as appropriate*

SUPPLY

Inadequate supply – Lack of process for ordering parts / spares / replacements Inadequate supply – Inadequate purchasing

Failure of supplier Inadequate supply – Inadequate resources

Poor work planning

PART 11 - Signatories

11.1 Investigating Officer

Name _____ Company _____

Position _____ Date _____

Location _____ Signature _____

11.2 TOC

Name _____ Company _____

Position _____ Date _____

Location _____ Signature _____

~ Form Ends ~