

Signals Passed at Danger (SPAD) and Exceeded Limit of Authority Management

RLS-PR-002

Applicability

ARTC Network Wide SMS

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SP-03-12 SPAD Management

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Amendment Record

Amendment #	Date Reviewed	Clause	Description of Amendment
1.0	May 2015		Rebranded and assigned new document number as per COR-PR-001. Updated responsibilities, definitions, compliance practice and Appendix A to current process.

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1. Introduction

1.1. Purpose

The purpose of this procedure is to provide a framework for the management of SPAD's and Exceeded Limit of Authority that occur on the ARTC Network.

1.2. Scope

This procedure provides guidance for management of SPADs and Exceeded Limit of Authority breaches. There are typically five categories:

- Infrastructure fault
- Network Control error
- Rail Traffic Crew error (operator)
- Rail Traffic Crew error (Track Vehicles – ARTC Operated)
- Maintenance representative error

For the purpose of this procedure a SPAD is taken as also referring to a Exceeded Limit of Authority.

1.3. Procedure Owner

The General Manager Risk & Safety is the Procedure Owner and is the initial point of contact for all queries relating to this procedure.

1.4. Responsibilities

The Business Unit Operational General Managers are responsible for the identification and recording of SPADs, and the investigation and management of SPADs not caused by infrastructure failure, including liaison with rail traffic operators.

The Asset General Managers of the Business Units are responsible for the investigation and management of SPADs caused by infrastructure failure.

The General Manager Risk & Safety is responsible for the reporting of SPADs to applicable rail safety regulatory authorities.

1.5. Reference Documents

The following documents support this procedure:

- Signal Engineering Standard SMP 04 – Failures
- Signal Engineering Standard SMP 43 – Guidelines for Irregularity Inspection and Testing to Determine Cause
- Code of Practice for the Defined Interstate Rail Network (Operations and Safeworking) Rule 3.15
- ARTC Addendum to the Code of Practice for ARTC Addendum to the Code of Practice for the Defined Interstate Rail Network, Section 28

- OPP-01-01 Network Control Centre Operational Procedure
- RISSB SPAD Risk Management
- ARTC NSW Network Rules (NSW), ANSG 612

1.6. Definitions

The following terms and acronyms are used within this document:

1.6.1. Table of Terms or Acronyms

Term or acronym	Description
Exceeded Limit of Authority	Where a train exceeds the limits of authorised movement.
SPAD	Where a train passes without authority a signal displaying a stop indication or stop aspect.
Track Vehicles	Meaning track machines and road rail vehicles

2. Response to a SPAD

The process for SPAD management is outlined in Appendix A.

2.1. Initial Report of a SPAD

On report of a SPAD the Network Controller must guard against any danger of collision with other rail traffic and/or road traffic.

The Network Controller shall then report the breach to the Train Transit Manager.

2.2. Infrastructure Fault

Where the cause of a SPAD is alleged to be due to an infrastructure fault the Train Transit Manager will contact ARTC's Infrastructure Division to investigate. An investigation is to be carried out in accordance with Signal Engineering Standards.

2.3. Network Control Error

In the event a Network Controller error the TTM will take immediate steps to assess the situation and determine if the Network Controller has had a safe working breach.

The incident will be investigated in accordance with the ARTC SMS.

The Interstate Service Delivery Manager or Hunter Valley Manager Operations Services will be responsible for the performance management (including arranging drug and alcohol testing) of the Network Controller following the outcome of the investigation and commensurate with ARTC Discipline Procedure HR-06-006.

2.4. Rail Traffic Crew error (Operator)

Where the Train Transit Manager has confirmed a SPAD due to rail traffic crew error the Train Transit Manager must liaise with the Rail Operator to ensure the internal disciplinary procedures are enacted. The Train Transit Manager must continue to engage with the Train Operator until such time as arrangements are agreed for the safe passage of the affected rail traffic crew.

Where it has been established that the SPAD was not caused by rail traffic crew error (such as a signal reverting to "STOP" in the face of the rail traffic) the movement will be permitted to proceed after obtaining the required Authority to do so. It must be assumed that there may be a track defect that has caused the signal to revert to stop.

Where it has been established that the SPAD was caused by rail traffic crew error the movement must be given the required Authority to move to a location where other movements may be able to cross or pass (if applicable). Once the movement has come to a stand at this location it must not be permitted to proceed until such time as the Train Crew involved in the incident has been relieved of duty.

2.5. Rail Traffic Crew error (Track Vehicles – ARTC Operated)

In the event a track machine (include road rail vehicles) operated by an ARTC worker is involved in a SPAD the Network Controller will take immediate steps to assess the situation and ensure the safety of the Network. The Train Transit Manager will inform the

applicable Business Unit Infrastructure Manager representative who will be responsible for performance management (including arranging drug and alcohol testing) following the outcome of an investigation and commensurate with ARTC Discipline Procedure HR-06-006.

2.6. Maintenance Representative Error

In the event that a SPAD is identified as resulting from a breach by an ARTC worker the Train Transit Manager will notify the applicable Business Unit Infrastructure Manager who will be responsible for performance management (including arranging drug and alcohol testing) following the outcome of an investigation and commensurate with ARTC Discipline Procedure HR-06-006.

Where the maintenance representative is a contractor the applicable Business Unit Infrastructure Manager will further manage the breach with the contractor's employer including the possible suspension of the workers role(s) pending investigation.

Appendix A

SPAD Investigation Process

