

AS 7457:2019



# Management of SPADs and Proceed Authority Exceeded Events



Operations Standard



This Australian Standard® AS 7457 Management of SPADs and Proceed Authority Exceeded Events was prepared by a Rail Industry Safety and Standards Board (RISSB) Development Group consisting of representatives from the following organisations:

ARTC

BHP Billiton

CQUniversity

John Holland

Metro Trains Melbourne

Pacific National

PTA WA

Queensland Rail  
V/Line

TfNSW

The Standard was approved by the Development Group and the Operations Standing Committee in January, 2019. On January 30, 2019 the RISSB Board approved the Standard for release.

This standard was issued for public consultation and was independently validated before being approved.

Development of the Standard was undertaken in accordance with RISSB's accredited process. As part of the approval process, the Standing Committee verified that proper process was followed in developing the Standard.

RISSB wishes to acknowledge the positive contribution of subject matter experts in the development of this Standard. Their efforts ranged from membership of the Development Group through to individuals providing comment on a draft of the Standard during the open review.

I commend this Standard to the Australasian rail industry as it represents industry good practice and has been developed through a rigorous process.



**Paul Daly**  
Chief Executive Officer  
Rail Industry Safety and Standards Board

## Keeping Standards up-to-date

Australian Standards developed by RISSB are living documents that reflect progress in science, technology and systems. To maintain their currency, Australian Standards developed by RISSB are periodically reviewed, and new editions published when required. Between editions, amendments could be issued. Australian Standards developed by RISSB could also be withdrawn.

It is important that readers assure themselves they are using a current Australian Standard developed by RISSB, which should include any amendments that have been issued since the Standard was published. Information about Australian Standards developed by RISSB, including amendments, can be found by visiting [www.rissb.com.au](http://www.rissb.com.au).

RISSB welcomes suggestions for improvements, and asks readers to notify us immediately of any apparent inaccuracies or ambiguities. Members are encouraged to use the change request feature of the RISSB website at: <http://www.rissb.com.au/products/>. Otherwise, please contact us via email at [info@rissb.com.au](mailto:info@rissb.com.au) or write to Rail Industry Safety and Standards Board, PO Box 518 Spring Hill Qld 4004, Australia.

## AS 7457:2019

# Management of SPADs and Proceed Authority Exceeded Events

---

### Document details

First published as: AS 7457:2019

ISBN 978-1-76072-343-9

Published by SAI Global Limited under licence from the Rail Industry Safety and Standards Board,  
PO Box 518 Spring Hill Qld 4004, Australia

### Copyright

© RISSB

All rights are reserved. No part of this work can be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of RISSB, unless otherwise permitted under the Copyright Act 1968.

---

### Notice to users

This RISSB product has been developed using input from rail experts from across the rail industry and represents good practice for the industry. The reliance upon or manner of use of this RISSB product is the sole responsibility of the user who is to assess whether it meets their organisation's operational environment and risk profile.

## Document control

### Document identification

Designation / Title
AS 7457:2019 Management of SPADs and Proceed Authority Exceeded Events

### Document history

Publication Version	Effective Date	Reason for and Extent of Change(s)
2019	January 30, 2019	First published

### Approval

Name	Date
Rail Industry Safety and Standards Board	30/01/2019

## Contents

1	Introduction.....	6
1.1	Purpose .....	6
1.2	Scope .....	6
1.3	Compliance.....	6
1.4	Referenced documents.....	6
1.4.1	Normative references.....	6
1.4.2	Informative references .....	7
1.5	Definitions.....	7
1.6	Abbreviations.....	7
2	SPAD categorisation and communication.....	8
2.1	Principles.....	8
2.2	SPAD categorisation.....	8
2.3	The SPAD management process.....	9
3	Initial responses to a SPAD.....	9
3.1	Responsibility for managing SPADs.....	9
3.2	Initial SPAD actions .....	9
4	Treatment of rail safety workers.....	10
4.1	Determining the continuation of rail safety work.....	10
4.2	Medical assessments.....	10
4.3	Further D&A testing post event.....	10
4.4	Rail safety worker return to work.....	11
5	Additional requirements for allowing rail traffic to continue.....	11
5.1	Rail traffic being moved by the SPAD rail traffic crew.....	11
6	Investigations of a SPAD.....	12
6.1	Initial actions.....	12
6.2	Investigation process .....	12
6.3	Investigation of a Classification A1-A4 SPAD.....	12
6.4	Collection of evidence.....	13
6.5	Post event inspection of infrastructure .....	14
6.6	Post event inspection of rolling stock .....	14
6.7	Signal Sighting committee utilisation.....	15
6.8	Scope of the signal sighting committee .....	15
6.9	Signal sighting committee outcomes.....	15
6.10	Investigations of a Classification B1-B4 SPAD.....	16
6.11	Rail traffic crew feedback.....	16
7	Requirements following a SPAD Investigation.....	16
7.1	Communicating conclusions and recommendations.....	16
7.2	Reviewing reports and recommendations .....	16
7.3	Communication with stakeholders.....	17
7.3.1	Immediate communications .....	17

7.3.2	Ongoing communications.....	17
8	Record management.....	17
8.1	Regulatory requirements.....	17
8.2	Event database.....	17

## Appendix Contents

Appendix A	Hazard register .....	18
Appendix B	ONRSR SPAD Classification .....	19

Management of SPADs and Proceed Authority Exceeded Events  
Preview

## 1 Introduction

---

### 1.1 Purpose

This Standard contains the minimum requirements for managing signal passed at danger (SPAD) and proceed authority exceeded events as defined by ONRSR Reporting Requirements for Notifiable Occurrences (2018). The purpose of the document is to ensure that risks and hazards associated with these incident types are managed in a consistent manner that will reduce the likelihood of recurrence and minimise the potential consequences.

For ease of readability, the term SPAD throughout the document can also mean proceed authority exceeded.

### 1.2 Scope

The scope includes the management of the SPAD event from the occurrence to the closure, and communication of the investigation. Light rail is not included in the scope of this document.

### 1.3 Compliance

There are two types of control contained within Australian Standards developed by RISSB:

- (a) Requirements.
- (b) Recommendations.

**Requirements** – it is mandatory to follow all requirements to claim full compliance with the Standard.

Requirements are identified within the text by the term 'shall'.

**Recommendations** – do not mention or exclude other possibilities but do offer the one that is preferred.

Recommendations are identified within the text by the term 'should'.

Recommendations recognise that there could be limitations to the universal application of the control, i.e. the identified control cannot be applied, or other controls are appropriate or better.

For compliance purposes, where a recommended control is not applied as written in the standard it could be incumbent on the adopter of the standard to demonstrate their actual method of controlling the risk as part of their workplace health and safety (WHS) or Rail Safety National Law (RSNL) obligations. Similarly, it could also be incumbent on an adopter of the standard to demonstrate their method of controlling the risk to contracting entities, or interfacing organisations where the risk may be shared.

Controls in RISSB standards address known railway hazards as included in Appendix A Hazard Register.

### 1.4 Referenced documents

#### 1.4.1 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this Standard:

- (a) RISSB SPAD Risk Management Guideline.