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Glossary of Abbreviations and Acronyms

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<tr>
<td>ARTC</td>
<td>Australian Rail Track Corporation</td>
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<td>ATSB</td>
<td>Australian Transport Safety Bureau</td>
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<tr>
<td>ATP</td>
<td>Automatic Train Protection</td>
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<tr>
<td>CORS</td>
<td>Confidential Observation of Rail Safety</td>
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<tr>
<td>CMS</td>
<td>Competence Management System</td>
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<tr>
<td>CRC</td>
<td>Cooperative Research Centre</td>
</tr>
<tr>
<td>ETCS</td>
<td>European Train Control System</td>
</tr>
<tr>
<td>HFESA</td>
<td>Human Factors and Ergonomics Society of Australia</td>
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<td>ONRSR</td>
<td>Office of the National Rail Safety Regulator</td>
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<td>PFA</td>
<td>Psychological First Aid</td>
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<tr>
<td>ISO</td>
<td>International Standards Organisation</td>
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<tr>
<td>ITSR</td>
<td>Independent Transport Safety Regulator (NSW)</td>
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<tr>
<td>NTC</td>
<td>National Transport Council</td>
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<tr>
<td>RIFOD</td>
<td>Returned In Face Of Driver</td>
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<tr>
<td>RSSB</td>
<td>Rail Safety Standards Board (UK)</td>
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<td>RTO</td>
<td>Rail Transport Operator</td>
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<tr>
<td>SFAIRP</td>
<td>So Far As Is Reasonably Practicable</td>
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<td>SPAD</td>
<td>Signal Passed at Danger</td>
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<tr>
<td>SMS</td>
<td>Safety Management System</td>
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<td>TPWS</td>
<td>Train Protection Warning System</td>
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1. Introduction

The purpose of this Guideline is to provide examples of good practice in preventing and mitigating the risks arising from a Signal Passed at Danger (SPAD) and to improve the understanding of SPAD risk. Rail Transport Operators (RTOs), which includes both rolling stock operators and rail infrastructure managers, may benchmark themselves against the good practice presented within this Guideline. Good practices have been presented in a scaled maturity model style to separate what is basically a minimal approach from the more sophisticated approaches indicative of a mature safety management system.

It is recognised that SPAD risks will vary between networks and RTOs and hence this Guideline is not intended to mandate any particular practices to manage SPAD risk. It is intended to share good practice and solutions within the rail industry. Effective management of SPAD risks will also assist in managing a range of other rail safety risks. The same precursors to SPADs can be factors leading to many other risks and it follows that good SPAD performance is a sound indicator of good safety management generally.

This document identifies a range of resources that may be accessed for further information about SPADs and SPAD risk management. In particular, the Independent Transport Safety Regulator (ITSR), the New South Wales arm of the Office of the National Rail Safety Regulator (ONRSR) produced a SPAD Guideline that provides tools and detailed guidance which can supplement work in this Guideline¹.

Whist the guidance herein focuses on the management of SPAD risk specifically, RTOs must consider SPAD risk management as part of their broader operational and safety risk portfolio and risk management strategy. This approach supports the principles of So Far As Is Reasonably Practicable (SFAIRP), which ensures that the legislated duty of care obligations of RTOs do not require safety at any cost. This Guideline also responds directly to the items in RISSB’s Hazard Register relating to SPADs, particularly hazards 5.9.1.1 through 5.9.1.42 as well as 5.7.1.26, 5.7.1.27, 6.11.1.13, 9.13.1.4, 9.52.1.1. Refer to the Hazard Register for further details (RISSB, December 2013).

1.1 Intended audience
This Guideline is designed for:
• Rolling stock operators, and
• Rail infrastructure managers, including:
  • Those involved in shaping strategic organisational response SPAD management
  • All staff involved in the development and implementation of SPAD management strategies and those affected by SPADs.

1.2 How to use this Guideline
The Guideline is designed to be used by railway professionals seeking to improve the way in which they manage and prevent SPAD occurrences. It provides illustrated examples of international best practice in relation to the management and prevention of SPADs.

The remainder of this Guideline is structured as follows:
• Chapter 2 – background information about SPADs: why they occur, associated risks, classification and costs;
• Chapter 3 – common contributing factors that lead to SPADs;
• Chapter 4 – the development of SPAD risk management strategies;
• Chapter 5 – measures to prevent SPADs occurring;
• Chapter 6 – the importance of post SPAD incident management and data capture;
• Chapter 7 – examples of joint initiatives that can enhance SPAD management;
• Chapter 8 – a brief discussion on managing the implementation of new technology; and,
• Chapter 9 – suggested further reading.

Footnote: ¹ITSR, 2011, Managing signals passed at danger.