SPAD Coding Decision Tree

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on behalf of the rail industry

Did Rail Traffic (Train, track vehicle, Hi-Rail, wagons or other rollingstock)occupy a location without the appropriate authority?

YES → Was the rail traffic that occupied a location without authority a runaway vehicle or vehicles?

NO → Event is not a SPAD or Proceed Authority Exceeded – this chart does not apply

Was the rail traffic that occupied a location without authority a runaway vehicle or vehicles?

YES → Code B4

NO → Was the limit of authority displayed at that location previously displaying a proceed indication while the rail traffic was *moving* on approach to that location i.e. after the traffic had entered the section on approach to that signal, sign,board or location limit with a valid authority?

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YES → Was the limit of authority displayed/restored at that location as a result of an infrastructure failure e.g. signalling or level crossing equipment?

NO → Did the rail traffic have appropriate warning that the limit of authority was displayed (or to be expected to be displayed) either by way of approach signalsequence, visual or audible warning, or by the mandated procedures of the organisation (i.e. rules provide for the limit of authority to be expected at stop) so that it could stop safely at the limit? Includes instances where:

- rail traffic is already stopped safely and procedures mandate the authority must be checked before departure,
- no “approach warning” is able to be provided by the system and procedures provide for the next limit, signal or board to be expected to display a stop indication / limit of authority – procedures provide “appropriate” warning.
- Hi –Rail traffic is to place on-track and procedures mandate that authority is to be obtained and verified before the rail wheels are placedon the rails

Excludes instances where a Hi-Rail vehicle is not in rail mode and enters a location without authority. In this case the vehicle is a road vehicle that has breached the safeworking procedures for accessing the danger zone, and thiscoding system should not be used.

Was the limit of authority displayed/restored at that location as a result of an infrastructure failure e.g. signalling or level crossing equipment?

YES → Was the limit of authority displayed/restored at that location as a result of an error by the person controlling that authority? (includes occasions where it was restored unintentionallyand occasions when it was restored on purpose but this was not done in accordance with the organisations procedures.

NO → Was the limit of authority displayed/restored at that location as a result of an emergency (either automatically by the system, or by the person controlling the authority)? e.g. the authority was restored in an attempt to prevent collision, derailment

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YES → Code B1

NO → Was the limit of authority displayed/restored at that location as a result of an emergency (either automatically by the system, or by the person controlling the authority)? e.g. the authority was restored in an attempt to prevent collision, derailment

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YES → Code B2

NO → Revisit circumstances of event and begin chart again. Did the limit of authority restore while traffic was moving on approach? If so, one of the above reasons must be selected.

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YES → Code B3

NO → Was the limit of authority displayed correctly, in accordance with your organisations standards and procedures?

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YES → Was permission to pass the limit of authority / occupy that location given by a hand signaller or other authorised officer of the organisation, without the authorityof the Officer in Charge or Controller of the signal / limit of authority?

NO → Code A2

Was permission to pass the limit of authority / occupy that location given by a hand signaller or other authorised officer of the organisation, without the authorityof the Officer in Charge or Controller of the signal / limit of authority?

YES → Was the rail traffic unable to be stopped before the limit of authority for reasons beyond the Driver’s control e.g. brake failure, poor rail adhesion

NO → Code A3

Was the rail traffic unable to be stopped before the limit of authority for reasons beyond the Driver’s control e.g. brake failure, poor rail adhesion

YES → The limit of authority was valid, displayed correctly and with sufficient warning forthe train to be stopped safely at it. Code A1

NO → Code A4