

SPAD Summary

1 Signal Details

Signal Number

Signal Location

Geographical Location

Direction

What does the signal protect?

[▼ Give details](#)

Signal Characteristics

Position to running line

Previous Signal

Signal aspects normally seen on approach

Distance to fouling point

m

Sighting Distance

m

Signal History

[▼ Give details](#)

Technical

Illumination

Signal Type

Track Details

Speed limit of track

km/h

Track Condition

Speed restrictions

[▼ Give details](#)

2 Vehicle Details

Technical

Unit ID

Make of Vehicle

Traction Type

Type of Equipment

Type of Vehicle

Speed Limit of Vehicle (if applicable)

km/h

Loco Details (if applicable)

Service Information

Consist / Configuration

Train ID

Departure Time

Origin

Destination

Operation Type

[▼ Give details](#)

Further Information

3 Driver

Profile

Occupational details:

1 Was the driver registered for secondary employment?

Yes **explain** No

2 Was the driver on a support / development plan?

Yes **explain** No

3 Was the driver competent?

Yes No **explain**

4 Does the driver have the appropriate practical / route knowledge?

Yes No **explain**

Multi-SPAD?

Incidents in previous 2 years

Job Role:

Present Job Role

Time in Job Role

Time in Industry

Current Medical Restrictions (if applicable)

Driver Roster (Current Shift Details):

Shift Identifier

Proximity to Annual Leave

Duration of Driving

Shift Hours

How long since / until crib, the driver changed ends or was relieved?

Shift Rotation

Driver Roster (Historical Shift Details):

FAID Score

Driver Testimonial

Contributing Factors

1 *Signal aspect seen in preceding signal?*

2 *Describe any other distractions that the driver was aware of*

3 *Explain the nature/detail of the unusual circumstances if any were present*

Driver's Recollection of Environmental Conditions:

Noise	Light	Track Gradient
Vibration	Glare	Other describe

Timeline Reconstruction:

Fitness for Duty:

Sleep Prior

Was the driver taking medications?

Yes provide details No

Medical Treatment

Personal Issues

Driver wearing visual/aural aid if required? Yes No

4 Other Actor(s)

Other Actor(s) Profile

Witness Details

Other Rail Personnel:

Personal Identifying Information (if applicable)

Job Role

Time in Job Role

Time in Industry


Medical Category

Medical Expiry

Current Shift Identifier

Current Shift Details

Historical Shift Details

Nature of Involvement of Other Actor(s)  *Give details*

Other Actor(s) Testimonial

Other Actor(s) Sleep Prior to SPAD

Witness Statement

Controller Report

Location / Actions of Key Personnel

No. Persons in Cab / Onboard

5 Damage Assessment

Was there damage?

Yes No

Cargo / Freight Damage

Equipment Damage

Property / Points

Damaged? Yes No

Still Operable? Yes No

Rail Vehicle

Damaged? Yes No

Still Operable? Yes No

Motor Vehicle Damage

Injury Details

Injured Persons Name and Role

Medical Treatment Type

Other Important Details

6 Incident Details

Location

Overrun Distance Line ID
m

Did the SPAD Occur Before or After a Platform?

Property / Other Vehicles Involved

Service Information

Incident Date Incident Time

Environmental and Weather Conditions:

Noise Vibration Light Glare

Wind Track Gradient Rain Snow

Visibility Humidity Sun Angle Fallen Foliage

Other (give details)

Rail Condition

Rail State

Adhesion

Humidity

System State

Was the site frozen / site evidence preserved?

Yes No


Safety Actions Taken

Post Incident Procedure


Was the RSWC Removed? Yes No

Was EAP offered? Yes No

What recovery work was involved?

 Give details

What were the safety issues / responses?

 Give details

Was a drug / alcohol test given?

Yes No

Date Given (if applicable) Time Given (if applicable)

Test Result - Driver

Test Result - Other Actor

Train State

Loco / Unit being...

Train was...

Emergency brake application?

Yes No

Conflicting move / train?


Yes No

Distance to potential conflict point:


m

Schedule State

Reason for Signal Stop

 Give details

Time / Supply Constraint

 Give details

Network (select multiple if applicable):

Other:

Rolling Stock Operator

Network Operator

7 Contributory Factors - Immediate

Driver (select all applicable)

<p><u>Misjudgement:</u></p> <p><i>Misjudged environment</i></p> <p><i>Misjudged train handling</i></p>	<p><u>Memory Error:</u></p> <p><i>Mental block</i></p> <p><i>Insufficient knowledge, learning or retention</i></p> <p><i>Information overload</i></p> <p><i>Distraction / Preoccupation</i></p> <p><i>Confusion</i></p>	<p><u>Action Error (Failure):</u></p> <p><i>to react to caution signal</i></p> <p><i>to locate signal</i></p> <p><i>monitor for signal</i></p> <p><i>to check signal aspect</i></p> <p><i>to maintain correct operating speed</i></p>			
<p><u>Intentional Behaviour / Violation of Rules:</u></p> <p><i>Blatant disregard of rules</i></p> <p><i>Management pressure</i></p> <p><i>Unavoidable departure from rules</i></p> <p><i>Short cuts</i></p> <p><i>Horseplay, thrill seeking etc.</i></p>	<p><u>Sensory Error:</u></p> <p><i>Situational awareness / Risk perception</i></p> <p><i>Expectation / Anticipation / Assumption</i></p> <p><i>Confusion</i></p> <p><i>Distraction / Preoccupation</i></p> <p><i>Visual perception</i></p> <p><i>Information overload</i></p>	<p><u>Action Error:</u></p> <p><i>Confusion</i></p> <p><i>Work method error</i></p> <p><i>PPE / Equipment misuse / Tampering</i></p> <p><i>Operating authority error</i></p>			
<p><u>Decision Error:</u></p> <p><i>Interpretation of instructions</i></p> <p><i>Mindset</i></p> <p><i>Decision Freeze</i></p> <p><i>Insufficient knowledge / learning</i></p> <p><i>Information Integration</i></p>	<p><u>Additional:</u></p> <table style="width: 100%; border: none;"> <tr> <td style="width: 33%;"><i>Intrusive thoughts</i></td> <td style="width: 33%;"><i>Unintentional behaviour</i></td> <td style="width: 33%;"><i>Completely missed in running</i></td> </tr> </table>		<i>Intrusive thoughts</i>	<i>Unintentional behaviour</i>	<i>Completely missed in running</i>
<i>Intrusive thoughts</i>	<i>Unintentional behaviour</i>	<i>Completely missed in running</i>			

Other (explain):

Influence of Other Actor(s), the Organisation or the Operation on the Driver

<p><u>Team Actions:</u></p> <p><i>Supervisory error</i></p> <p><i>Work method error</i></p> <p><i>Confusion</i></p> <p><i>Miscommunication with the driver</i></p>	<p><u>Additional:</u></p> <p><i>Outside factor</i></p> <p><i>Peer pressure / Poor supervisory example</i></p> <p><i>Signal sighting issue</i></p>	<p><u>Other (explain):</u> <input type="text"/></p>
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Has a Safety Briefing associated with Immediate Actions been conducted?

Yes No

Give details

Immediate Cause

8 Contributory Factors - Underlying

Organisational / Operational Factors

<p><u>Management:</u></p> <p><i>Management of change / Abnormal situations</i></p> <p><i>Compliance management</i></p> <p><i>Maintenance / Hygiene management</i></p> <p><i>Contractor management</i></p> <p><i>Systems management</i></p> <p><i>Workload / Shift management</i></p> <p><i>Vehicle management</i></p> <p><i>Risk management</i></p>	<p><u>Failures:</u></p> <p><i>Infrastructure failures</i></p> <p><i>Network failures</i></p> <p><i>Equipment failures</i></p> <p><i>Hazard analysis failures / Job safety analysis / Take 5</i></p> <p><i>Signal failures</i></p> <p><i>Hardware failures</i></p>	<p><u>Culture / Normalised Deviance:</u></p> <p><i>Perceived license to bend rules</i></p> <p><i>Passive tolerance of violation</i></p> <hr/> <p style="text-align: center;"><u>Additional:</u></p> <p><i>Conflicting goals</i></p> <p><i>Perceived pressure from other actor(s)</i></p> <p><i>Organisational learning</i></p> <p><i>Communication</i></p>
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Other (explain):

Describe Underlying **Organisational / Operational** Factors

Workload Factors

<p><u>Mental:</u></p> <p><i>Mental stress</i></p>	<p><u>Task Demands:</u></p> <p><i>Emergency / Degraded / Abnormal conditions</i></p> <p><i>Demands due to high risk</i></p> <p><i>High / Low cognitive demand</i></p> <p><i>Insufficient resources</i></p> <p><i>Improper supervision</i></p>	<p><u>Other (explain):</u> <input type="checkbox"/></p>
<p><u>Physical:</u></p> <p><i>Physical stress</i></p>		
<p><u>Task:</u></p> <p><i>Time / Productivity / Pressure</i></p> <p><i>Monotonous / Boring</i></p>		

Describe Underlying **Workload** Factors

Absent / Failed Defences

<u>Controls / Recovery:</u>	<u>Detection:</u>	<u>Awareness:</u>
<i>Procedure</i>	<i>of speed and movement</i>	<i>Awareness of supervision</i>
<i>Engineering / Secondary / Backup</i>	<i>of Vigilance / Fatigue</i>	<i>Hazard awareness</i>
	<i>of Visual / Aural warnings</i>	<i>Awareness of communication</i>
		<i>Awareness of knowledge, skills and experience</i>
		<i>Awareness of procedures</i>

Other (explain): ▾

Describe Underlying **Absent / Failed Defences** Factors

Workplace Factors

<u>Design (Visibility):</u>	<u>Environmental:</u>	<u>Environmental (cont.):</u>
<i>Viewing / Sighting distance</i>	<i>Lighting</i>	<i>Temperature inside cab</i>
<i>Obstructed by structure / Sunlight / Glare</i>	<i>Noise</i>	<i>Temperature outside cab</i>
<u>Design (Condition):</u>	<i>Weather / Humidity</i>	<i>Ventilation</i>
<i>Weather affected</i>	<i>Vegetation</i>	<i>Restricted space</i>
<i>Equipment / Infrastructure Inadequately repaired</i>	<i>Temperature</i>	<i>Gas / Dust / Fumes etc.</i>

Other (explain): ▾

Describe Underlying **Workplace** Factors

Procedural Factors

<u>Procedure Misuse (Nature of):</u> <i>Wrong sequence</i> <i>Complete disregard of procedure</i> <i>Procedure not followed</i> <i>Procedure implementation delay</i> <i>Use of unauthorised procedure</i>	<u>Procedure Misuse (Reason for):</u> <i>Conflicting activities</i> <i>Procedure not applicable</i> <i>Inadequate supervision</i> <i>Inattention</i> <i>Misunderstanding</i> <i>Procedure too complex</i> <i>Insufficient briefing</i> <i>Insufficient training initial / refresher</i> <i>Task familiarity (over/under)</i>	<u>Documentation:</u> <i>Ambiguous unclear</i> <i>Not complete / Not available</i> <i>Too little information</i> <i>Not accurate</i> <i>Difficult to read</i> <i>Out of date</i> <hr/> <u>Additional:</u> <i>Compliance</i>
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Other (explain): ▾

Describe Underlying **Procedural** Factors

Knowledge, Skills and Experience Factors

<u>Driver Competence:</u> <i>Briefing of driver</i> <i>Driver experience</i> <i>Driver assessment</i> <i>Driver training</i> <i>Driver reliance on undocumented learning</i>	<u>Driver Knowledge, Skills / Exp.:</u> <i>Task familiarity</i> <i>Change of routine / Non-routine tasks</i> <hr/> <u>Other (explain):</u> ▾	<u>Additional:</u> <i>Controller</i>
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Describe Underlying **Knowledge, Skills and Experience** Factors

Supervision Factors

<p>Conflicting role</p> <p>Inadequate knowledge, skills and experience</p>	<p>Poor example</p> <p>Lack of supervision</p>	<p><u>Other (explain):</u> ▾</p>
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Describe Underlying **Supervision** Factors

Personal Factors

<p><u>Communication (Receiving):</u></p> <p><i>Checking understanding</i></p> <p><i>Complex message received</i></p> <p><i>Taking lead responsibility</i></p> <p><i>Repeating back</i></p> <p><i>Identifying person / location</i></p>	<p><u>Communication (Sending):</u></p> <p><i>Checking understanding</i></p> <p><i>Taking lead responsibility</i></p> <p><i>Repeating back</i></p> <p><i>Inadequate communication equipment</i></p> <p><i>Identifying person / location</i></p> <p><i>Poor communication skills</i></p>	<p><u>Attention:</u></p> <p><i>Anticipation</i></p> <p><i>Autopilot</i></p> <p><i>Preoccupation with personal issues</i></p> <p><i>Preoccupation with work duties/workplace</i></p>
<p><u>Lifestyle:</u></p> <p><i>Personal issue</i></p> <p><i>Influence of drugs / alcohol / medication</i></p> <p><i>Fatigue / Fatigue management</i></p> <p><i>Physical / Mental health</i></p>	<p><u>Additional:</u></p> <p><i>Personal goals</i></p>	<p><u>Other (explain):</u> ▾</p>

Describe Underlying **Personal** Factors

Describe Underlying Causal Factors


9 Incident Timeline

Timeline of Events

10 Conclusions and Recommendations

Corrective Actions

Immediate Corrective Actions

 Give details

Change to Procedure

Change to Working Practices


Change to Incident Management

Safety Management Plan / System


Is a change to training documents required?

Yes

No


 Give details

Lessons Learnt


 Give details

Recommendations

Further Investigation

 Give details

Safety Actions Required

 Give details

Organisations / Individuals Impacted**Notified**

Follow-up Assignees**Follow-up Date**

Investigator Sign Off

Full Name

Mobile Number

Job Title

Location

Signature

Date

Reviewed By (if applicable)

Full Name

Mobile Number

Job Title

Location

Signature

Date

