

TRAIN OPERATIONS MANUAL

MANAGEMENT OF SIGNALS PASSED AT DANGER (TRAIN OPERATIONS)

Procedure: TMC01

Issue: 7

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Date of Issue: June 2011

1 Purpose

- 1.1 To set out the process to be implemented whenever OTP operating under Network Rail's Health and Safety Management System (H&SMS) passes a signal at danger without authority as defined by GO/RT3119 "Accident and Incident Investigation".

2 Scope

- 2.1 Applicable when any signal is passed at danger without appropriate authority by OTP operating under Network Rail's H&SMS.
- 2.2 The arrangements for Signal Passed at Danger (SPAD) investigation from an Infrastructure Manager's perspective are detailed within Company Standard NR/L1/OPS/010.

3 References or associated documents

- | | | |
|-----|----------------|---|
| 3.1 | GE/RT8070 | Testing Railway Safety Critical Workers for Drugs and Alcohol |
| | GO/RT3119 | Accident and Incident Investigation |
| | NR/L1/OPS/010 | Signals Passed at Danger and Signal Reversions |
| | NR/L2/INV/002 | Accident and Incident Reporting and Investigation |
| | NR/L3/INV/0207 | Investigation Remit and Report Writing |

4 Definitions

4.1 Signal

A visual display device that conveys instructions or provides prior warning of instructions regarding the driver's authority to proceed.

4.2 Stop Signal

A signal capable of displaying a stop aspect or indication. Additionally, for the purpose of this document, it includes:

- a) Stop Boards or Indicators
- b) Limit of Shunt Indicators
- c) Position Light and Shunting Signals where the normal aspect means 'stop' and (where applicable) the movement is in the direction for which the signal can be cleared
- d) Possession Limit Boards
- e) Marker Boards at the entrance to exit from a worksite within a possession
- f) Stop indications given by authorised handsignallers or a signaller
- g) ERTMS block marker or shunt entry marker

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4.3 Category A SPAD

Any SPAD when a stop aspect or indication (and any associated preceding cautionary indications) was displayed correctly, in sufficient time for the train to be stopped safely at the signal.

4.4 Category B SPAD

Any SPAD when a stop aspect was displayed because:

- a) signalling or level crossing equipment has failed or malfunctioned
- b) it was returned to danger in error

4.5 Category C SPAD

Any SPAD when a stop aspect or indication was not displayed in sufficient time for the train to be stopped safely at the signal because it was returned to danger in an emergency in compliance with the Rule Book.

4.6 Category D SPAD

When vehicles without any traction unit attached, or a train which is unattended, runs away past a signal which is at danger.

If the vehicles involved are being propelled and run away because the movement was not controlled in compliance with the Rule Book, the incident shall be treated as a Category A SPAD.

5 Procedure

All instances of signals passed at danger (Category A SPADs) without authority by OTP working under Network Rail's H&SMS shall be reported and investigated in accordance with this procedure.

Where the cause of the SPAD is disputed or there is insufficient information available to categorise the SPAD as a Category A it shall be initially investigated as a Category A SPAD.

5.1 Training and Competence

Investigating Officers involved in the investigation of a SPAD should be trained in the following subjects:

- a) Interview techniques
- b) Investigation techniques
- c) Root cause analysis
- d) Report writing

There shall be documented evidence of competence and methods of training and assessment.

On-call managers shall be briefed in their duties in association with this procedure.