

**Provisional SPAD Data Collection
Form RT3119/B
(Railway Undertakings)**



Note: All mention of SPAD in this form refers to 'provisional SPAD'.

PART 1 – INCIDENT DETAIL

1.1	What was the date of the incident? (dd/mm/yy)																					
1.2	What was the time of the incident? (24 hour clock)																					
1.3	Where was the location of the incident?																					
1.4	What was the number of the signal involved in the incident?																					
1.5	Has the driver alleged that signal sighting was a contributory factor to the SPAD?	click here																				
1.6	Do drivers normally encounter this signal at danger?	click here																				
1.7	Initial factors involved in the SPAD. Which of the following may be involved and to what level? <i>Tick all applicable.</i>																					
		<table border="1"><thead><tr><th></th><th>Wholly Implicated</th><th>Partially Implicated</th><th>Not Implicated</th></tr></thead><tbody><tr><td>Driver</td><td>☐</td><td>☐</td><td>☐</td></tr><tr><td>Other Persons</td><td>☐</td><td>☐</td><td>☐</td></tr><tr><td>Equipment</td><td>☐</td><td>☐</td><td>☐</td></tr><tr><td>Weather / Rail Contamination</td><td>☐</td><td>☐</td><td>☐</td></tr></tbody></table>		Wholly Implicated	Partially Implicated	Not Implicated	Driver	☐	☐	☐	Other Persons	☐	☐	☐	Equipment	☐	☐	☐	Weather / Rail Contamination	☐	☐	☐
		Wholly Implicated	Partially Implicated	Not Implicated																		
	Driver	☐	☐	☐																		
	Other Persons	☐	☐	☐																		
Equipment	☐	☐	☐																			
Weather / Rail Contamination	☐	☐	☐																			

**Provisional SPAD Data Collection
Form RT3119/B
(Railway Undertakings)**



PART 2 – SUMMARY OF THE INCIDENT

Please use this space to record a brief description of the SPAD incident.
The information written here will be entered into SMIS:

**Provisional SPAD Data Collection
Form RT3119/B
(Railway Undertakings)**



PART 3 – THE SPAD TRAIN

3.1	What was the train reporting number?	
	What was the train's departure time?	
	Where was the origin of the train?	
	Where was the destination of the train?	
3.2	What was the type of train involved in the SPAD? <i>Tick one.</i>	☐ Parcel train ☐ On-track machine ☐ Passenger HST ☐ ECS HST ☐ Open line inspection and work trains ☐ Passenger electric loco hauled ☐ Passenger diesel loco hauled ☐ Passenger steam loco hauled ☐ ECS electric loco hauled ☐ ECS diesel loco hauled ☐ ECS steam loco hauled ☐ Passenger diesel multiple unit ☐ Passenger electric multiple unit ☐ ECS diesel multiple unit ☐ ECS electric multiple unit ☐ Freight - intermodal ☐ Freight - single commodity ☐ Loco only ☐ Trolleys ☐ On track plant ☐ MPV
3.3	What was the train doing at the time the SPAD occurred? <i>Tick one.</i>	☐ Approaching station / terminal ☐ Running away ☐ Accelerating ☐ Departing station / terminal ☐ Stationary ☐ Decelerating ☐ Running normal ☐ Running propelling ☐ Coasting ☐ Propelling wrong direction ☐ Running back ☐ Braking ☐ Starting other than from station / terminal ☐ Stopping ☐ Not in running ☐ Not known ☐ Movement in possession ☐ Entering a possession ☐ Leaving a possession ☐ Drawing forward
3.4	Was the train Driver Only Operated (DOO)?	click here

**Provisional SPAD Data Collection
Form RT3119/B
(Railway Undertakings)**



PART 3 – THE SPAD TRAIN – Continued

3.5	Was the train driven from an authorised cab?	click here
3.6	Under which railway undertaking's safety certificate was the train being operated?	
3.7	What were the unit numbers in the train's composition?	Unit 1 Unit 2 Unit 3 Unit 4
3.8	What was the total number of vehicles? (inc. locomotive(s))	
3.9	What was the type of brake control? <i>Tick one.</i>	☐ AFI brake ☐ Air ☐ EP brake / Auto ☐ EP brake auto or normal unknown ☐ EP brake - normal ☐ Hand / Parking ☐ Light locomotive only ☐ One pipe air ☐ Seven step ☐ Three step ☐ Two pipe air ☐ Unbraked / Isolated ☐ Vacuum ☐ Westcode ☐ Other ☐ Rheostatic ☐ Regenerative
3.10	If a rheostatic brake was fitted, was it working?	click here
3.11	If a regenerative brake was fitted, was it working?	click here
3.12	What was the type of brake gear? <i>Tick one.</i>	☐ Disc ☐ Clasp cast iron ☐ Clasp composite ☐ Mixture
3.13	What was the tonnage / brake force? <i>(Freight train only)</i>	Authorised tonnage Authorised brake force Actual tonnage Actual brake force
3.14	Was the driver accompanied in the driving cab?	click here

**Provisional SPAD Data Collection
Form RT3119/B
(Railway Undertakings)**



PART 3 – THE SPAD TRAIN – Continued

3.15	If the driver was accompanied in driving cab, indicate by whom. <i>Tick as appropriate.</i>	☐ Trainee driver ☐ Shunter ☐ Driver Instructor (or equivalent) ☐ Signaller ☐ Driver Manager (or equivalent) ☐ Guard ☐ Route conductor ☐ Other
3.16	What was the total number of persons in the cab?	

PART 4 – LEADING VEHICLE OF THE SPAD TRAIN

4.1	What was the type of the leading vehicle of the SPAD train? <i>Tick one.</i>	☐ Road rail vehicle (RRV) ☐ Driving van trailer (DVT) ☐ Wagon ☐ Multi-purpose vehicle (MPV) ☐ Rail mounted maintenance machines (RMMM) ☐ Other ☐ Loco ☐ Carriage ☐ Power car ☐ Trailer ☐ Unit ☐ Trolley ☐ OTM
4.2	What was the class and sub class of the vehicle?	
4.3	What was the number of the vehicle / traction unit from which the train was being driven?	
4.4	What was the leading vehicle's role as driving traction for the train? <i>Tick one.</i>	☐ DMU / EMU trailer vehicle ☐ Driving traction ☐ Hauled vehicle ☐ Other driving vehicle ☐ Other vehicle
4.5	What was the status of the driver reminder device (DRA)? <i>Tick one.</i>	☐ Driver set DRA fitted and used ☐ Driver set DRA fitted but not used ☐ Driver set DRA fitted and not working ☐ DRA not fitted ☐ Not applicable

**Provisional SPAD Data Collection
Form RT3119/B
(Railway Undertakings)**



PART 4 – LEADING VEHICLE OF THE SPAD TRAIN - Continued

4.6	Indicate if the vehicle was fitted with any of the following and, if so, what was the status of the system? <i>Tick all applicable.</i>				
		Not Fitted	Fitted and working	Fitted and not working	Exempt
	AWS	☐	☐	☐	
	ATP	☐	☐	☐	
	TPWS	☐	☐	☐	☐
	Mechanical train trip	☐	☐	☐	
	INDUSI	☐	☐	☐	
	OTHER				
4.7	Is the leading vehicle (driving unit) fitted with a data recorder?		click here		
4.8	Had the ATP been isolated / over-ridden by the driver?		click here		

SMIS inputters please note that 4.8 is a classification question within the train – SPAD component – see form RT3119A, question 3.8.

PART 5 – DRIVER OF THE SPAD TRAIN

5.1	What employee type was the driver of the SPAD train?	☐ Workforce ☐ Contractor
5.2	What are the driver's details?	Surname:
		Forename(s):
		National insurance number:
5.3	Was the driver injured as a consequence of the SPAD? <i>If YES, please ensure the respective personal accident form is completed and attached to this form.</i>	click here
5.4	Who is the driver's employer?	
5.5	Who is the driver's manager?	
5.6	State the name of the driver's base (depot).	
5.7	Was anyone other than the driver implicated in the SPAD?	click here
5.8	Is that person safety critical?	click here
5.9	Was the driver authorised to be there?	click here
5.10	Did the driver experience unusual circumstances at the time of the SPAD?	click here
5.11	If 'Yes' to 5.10, what was the nature of the unusual circumstances? <i>Tick one.</i>	☐ Emergency conditions ☐ Abnormal conditions ☐ Degraded conditions

**Provisional SPAD Data Collection
Form RT3119/B
(Railway Undertakings)**



PART 6 – PERSONAL DETAILS OF THE DRIVER OF THE SPAD TRAIN – Service / Competency / Fitness

6.1	Driver's details:	Date of birth
		Date entered service
		Date entered current grade (date passed as a driver, not necessarily with current employer)
6.2	Is formal competency required?	click here
6.3	What was the date of the driver's last certification?	
6.4	What was the date of driver's last competency assessment?	
6.5	What was the date of driver's last practical assessment ('in-cab' or similar)?	
6.6	What was the date of driver's last medical?	
6.7	What was the result of driver's last medical? <i>Tick one.</i>	☐ Passed ☐ Passed with conditions
6.8	Had the driver been taking any self-prescribed medical treatments? (If 'Yes' describe below in 6.10)	click here
6.9	Had the driver been taking any prescribed medical treatments? (If 'Yes' describe below at 6.10)	click here
6.10	Give details of any medical restrictions or conditions imposed following a medical or as a result of treatments being taken.	
6.11	Is the driver authorised to wear visual aids?	click here
6.12	If 'Yes' to 6.11, were the authorised visual aids being worn at the time of the SPAD?	click here
6.13	What types of visual aids (if any) were being worn by the driver at the time of the SPAD? <i>Tick one.</i>	☐ Authorised distance visual aids ☐ Unauthorised distance visual aids ☐ Contact lenses ☐ Laser eye surgery ☐ Unauthorised sunglasses ☐ Authorised sunglasses ☐ Authorised prescription sunglasses ☐ Other
6.14	Had the driver recently suffered ill-health?	click here
6.15	If 'Yes' to 6.14, what were the dates between which the ill-health was suffered?	From To

**Provisional SPAD Data Collection
Form RT3119/B
(Railway Undertakings)**



PART 6 – PERSONAL DETAILS OF THE DRIVER OF THE SPAD TRAIN – Service / Competency / Fitness – Continued

6.16	Give details of the recent ill-health	
6.17	What was the date of the driver's last drugs or alcohol test? <i>(Including any test carried out after this accident)</i>	
6.18	What was the nature of the last test? <i>Tick one.</i>	☐ For cause ☐ Random
6.19	What were the test results? <i>Tick one.</i>	☐ Negative ☐ Positive

PART 7 – PERSONAL DETAILS OF THE DRIVER OF THE SPAD TRAIN – Duty / Time

7.1	What were the driver's rostered hours?	Start Finish
7.2	When was the actual start of the shift?	Date Time
7.3	At what time was the driver's physical needs break?	Start Finish
7.4	How many hours had the driver been driving prior to the SPAD?	<i>(Hrs undertaking activity)</i>
7.5	When did the driver's previous duty start?	Date Time
7.6	When did the driver's previous duty finish?	Date Time
7.7	What was the approximate duration of the driver's last sleep?	<i>(hours)</i>
7.8	How many consecutive days had the driver worked prior to the SPAD?	