

Network Safeworking Rules and Procedures

Alternative Proceed Authority

Rule Number: 5019



Brookfield
Rail

Alternative Proceed Authority

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Glossary for this Rule

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| <i>Absolute Signal</i> | An automatic fixed signal that is controlled by the passage of Rail Traffic (i.e. they are not operated by a Network Controller) and must not be passed at STOP without the authority of the Network Controller. |
| <i>Active Control Level Crossing</i> | A road or pedestrian level crossing where warning equipment warns road users and pedestrians about approaching rail traffic by devices such as flashing lights or barriers. |
| <i>Alternative Proceed Authority (APA)</i> | An APA may be used to authorise rail traffic movements when the Proceed Authority normally provided by the system of Safeworking is not available. |
| <i>Authority</i> | Formal name for a written Authority (e.g. Local Possession Authority, Alternative Proceed Authority). |
| <i>Block</i> | A portion of line with defined limits between which only one rail traffic movement is permitted at any one time (i.e. not a Permissive Block). |
| <i>Cancel</i> | To withdraw permission for or to end previously authorised activities, such as Occupancy Authorities, without completing them. |
| <i>Clear</i> | A proceed indication displayed by a signal. In reference to a track circuit, block, section or signal route, the absence of rail traffic. In reference to track workers being clear of track. |
| <i>Complete</i> | Rail traffic where the consist has not parted. |
| <i>Competent Worker</i> | A worker certified as competent to carry out a relevant task. |
| <i>Crossing Location/Station</i> | May consist of single or double ended portion of track, to hold rail traffic, connected to a main line that is used to permit other rail traffic to cross or pass. |
| <i>Departure Signal</i> | A Controlled Absolute signal controlling the entrance to a Single line section in CTC territory. |
| <i>Double Line Automatic Signalling</i> | The portions of line where the Double Line Automatic Signalling system of Safeworking is used. |
| <i>Effective Communication</i> | The ability to successfully send, receive and understand information. The communication does not need to be continuous. |
| <i>Fulfil</i> | To advise the Network Controller that the instructions on, and associated activities for, an Occupancy Authority have been completed and can be terminated. |
| <i>In-Effect</i> | Activate, become current, in force. |
| <i>Infrastructure Representative</i> | An authorised Brookfield Rail employee or an organisation contracted to Brookfield Rail, responsible for constructing or maintaining Network infrastructure. |

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| <i>Intermediate Siding</i> | A siding located within a section, generally used for purposes other than crossing or passing of rail traffic. |
| <i>Issue</i> | To provide or send copies of authorities, warnings, notices and Network publications to affected Competent Workers by voice, hand delivery or electronic means. |
| <i>Limit of Authority</i> | The limit may be defined by a sign, a signal capable of displaying a STOP indication, or a specific kilometrage point on a line. It defines the location to which rail traffic may travel under a Proceed Authority or the limits of a work on track authority. |
| <i>Location</i> | A place in the Network with a designated name, identification number, or signalling reference. |
| <i>Network Controller</i> | A Competent Worker who authorises and issues Occupancy Authorities, and works points, signals and other signalling equipment to manage routes for safe and efficient transit of rail traffic in the Network. |
| <i>Occupancy</i> | Presence of rail traffic or track workers on track. |
| <i>Permanent Record</i> | A record made in writing or in an electronic system, and kept for reference and audit. |
| <i>Points</i> | A track component consisting of paired pieces of tapered rail (blades) that can be moved and set to allow tracks to diverge or converge. |
| <i>Proceed Authority</i> | An Authority (e.g. a PROCEED aspect on a signal, Train Order) that allows rail traffic to enter and occupy a portion of line and proceed in the forward direction. |
| <i>Protecting Signal</i> | A fixed signal that is held and maintained at Stop to prevent rail traffic entry into a worksite. A signal that protects a train from conflicting movements and/or obstructions. |
| <i>Protection</i> | The means used to prevent rail traffic from entering a worksite or other portion of track, or to prevent road or pedestrian traffic entering a level crossing. |
| <i>Restrain</i> | To prevent movement of rail traffic with signals, signalling equipment, blocking facilities, or the issue of a written warning. |
| <i>Restraint Authority</i> | The Restraint Authority directs rail traffic not to depart the location irrespective of any available Proceed Authority. |
| <i>Rail Traffic</i> | Trains and track vehicle or vehicles travelling on the Network. |
| <i>Rail Traffic Crew</i> | Competent Workers responsible for the operation of the Motive Power Unit. |
| <i>Route</i> | The rail traffic path from one limit of authority to the next in the direction of travel. |

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| <i>Section</i> | The line between the departure end station limit of one location and the arrival end station limit of another location. A section consists of one or more blocks. |
| <i>Secure</i> | To safeguard against accidental or unauthorised access or movement. |
| <i>Single Line Automatic Signalling</i> | The portions of line where the Single Line Automatic Signalling system of Safeworking is used. |
| <i>Single Line Working</i> | Rail traffic working in both directions over a single line where multiple line unidirectional operation normally applies. |
| <i>System of Safeworking</i> | An integrated system of operating procedures and engineered systems used on the Network, for safe operation of rail traffic, and protection of people and property. |
| <i>Temporary Speed Restriction (TSR)</i> | An imposed reduction of the normal speed for a portion of track. |
| <i>Track</i> | The combination of rails, rail connectors, sleepers, ballast, points and crossings. |
| <i>Travel</i> | Planned or purposeful movement from one location to another. |
| <i>Uni-Directional</i> | Allowing for normal travel in one direction only according to the infrastructure and system of Safeworking in use. |
| <i>Work On Track Authority</i> | An authority to perform work on track. See Local Possession Authority (LPA); Track Occupancy Authority (TOA) and Track Work Authority (TWA), |
| <i>Wrong Running-Direction</i> | The direction opposite to the normal direction of travel on unidirectional lines. |

1. Purpose

The aim of this Rule is to detail the protocols for using *Alternative Proceed Authorities (APA)*. These are *Issued* to authorise *Rail Traffic* movements when the *Proceed Authority* normally provided by the *System of Safeworking* is not available.

2. General

A written *APA* will be *Issued* to authorise *Rail Traffic* movements:

- past a *Departure Signal* at STOP in *Single Line Automatic Signalling* areas; and
- for *Single Line Working* in *Double Line Automatic Signalling* areas, in accordance with Rule 5027 Single Line Working.

During *APA* working, safe separation between *Rail Traffic* movements must be maintained.

Unless entry is authorised, *Rail Traffic* must be *Restrained* from entering the limits of *APA* working.

An *APA* must:

- specify the *Limit of Authority* for the movements it authorises;
- specify the line to be used; and
- where necessary, specify any speed restrictions that must be applied.

3. Assurances

The *Network Controller* must be assured that:

- conflicting *Occupancies* or *Routes* are not authorised;
- the *Track* within the limits of the *APA* will be *Occupied* only by authorised *Rail Traffic*;
- *Effective Communication* is established between:
 - *Rail Traffic Crews*; and
 - affected *Competent Workers*;
- previously *Issued Proceed Authorities* have been *Cancelled* or *Fulfilled*;
- the Half Pilot Key is in its switch and turned to in.
- current *Work on Track Authorities* in affected *Sections* are *Fulfilled*, or worksites are *protected* against movements under the *APA*;
- other *Competent Workers* known to be affected have been told about the planned movements under the *APA*;
- when *Rail Traffic* is *Travelling* in the *Wrong Running-Direction*, *Rail Traffic Crews* are advised of *Temporary Speed Restriction* details until *TEMPORARY SPEED RESTRICTION* signs are erected;
- the *Route* to be taken by *Rail Traffic* is:
 - set and *Secured*; or
 - will be set and *Secured* by a *Competent Worker*;
- *Protecting Signals* are at STOP with *Blocking Facilities* applied in accordance with Rule 6003 Blocking Facilities; and
- releasing switches for *Intermediate Sidings* are in the NORMAL position with *Blocking Facilities* applied.

Where *Blocking Facilities* cannot be applied, *Rail Traffic* must be *Restrained* in writing on a *Restraint Authority* in accordance with Rule 4001 Protecting Disabled Rail Traffic.

3.1 Active Control Level Crossings



WARNING: On *Uni-Directional* lines *Active Control Level Crossing* equipment may be operating correctly, however for a *Wrong Running-Direction* movement, it may not provide the required *Protection* due to the *Level Crossing* equipment not operating until the *Rail Traffic* is too close to the *Level Crossing*.

Where possible the *Network Controller* must be assured that *Active Control Level Crossings* are:

- operating correctly;
- attended by *Competent Workers* if not operating correctly; or
- closed to road and pedestrian traffic.

Where unable to obtain or apply these assurances, the *Network Controller* must advise *Rail Traffic Crews* to treat *Active Control Level Crossings* as faulty and act in accordance with Rule 2015 Active Control Level Crossing Management.

4. Issuing an APA

The *Network Controller* authorises *Travel* by compiling and *Issuing* an *APA* form.

The *Network Controller* must arrange for an *APA* to be *Issued* to the *Rail Traffic Crew* carrying out the authorised movements.

Rail Traffic Crews must not pass signals at STOP unless:

- authorised on the *APA* form; and
- in accordance with Rule 6013 Passing Fixed Signals at STOP.

Rail Traffic Crews must be advised on the *APA* form of:

- what is known about the condition of *Active Control Level Crossings*;
- any speed restrictions in the *Wrong Running-Direction*; and
- any speed restrictions that may be applied by the *Infrastructure Representative* because of the fault.

4.1 Competent Workers Receiving Authorities

Competent Workers may receive *APA*'s on behalf of the *Network Controller* and deliver them to *Rail Traffic Crews*.

If a *Rail Traffic Crew* does not receive an *APA* directly from the *Network Controller*, the *Rail Traffic Crew* must verify the *APA* with the *Network Controller* before departure.

5. Restraint of Rail Traffic

Rail Traffic must be *Restrained* from entering a *Block* in which *APA* working is *In-Effect*.

The *Restraint Authority* must direct *Rail Traffic* not to depart that *Location* irrespective of any available *Proceed Authority*.

6. Reporting

The *Network Controller* must tell *Rail Traffic Crews* or other *Competent Workers* of the *Locations* at which they are to report entry, progress and exit.

7. Authorising a Following Rail Traffic Movement

When unoccupied blocks behind *Rail Traffic Travelling* on an *APA* are to be released for following *Rail Traffic* movements, the *Network Controller* must tell the *Rail Traffic Crew* to report when the *Rail Traffic* has passed *Complete* beyond:

- nominated *Absolute Signals*; or
- the authorised *Non-Crossing Location* during *Single Line Working*.

When told by the *Rail Traffic Crew* that the *Rail Traffic* has passed *Complete* beyond nominated *Absolute Signals* or *Non-Crossing Locations*, the *Network Controller* may *Issue* an *APA* for a following *Rail Traffic* movement.

8. Cancelling an APA

An *APA* may be *Cancelled* only if the *Network Controller* is assured that the authorised movement has not started or has not been completed.

The *Network Controller* must tell affected *Competent Workers* that the *APA* has been *Cancelled*.

9. Fulfilling an APA

An *APA* must be *Fulfilled* only when the *Rail Traffic Crew* or *Competent Worker* assures the *Network Controller* that the authorised *Rail Traffic* movement has been completed and the *Section* is *Clear*.

The *Network Controller* must tell affected *Competent Workers* that the *APA* has been *Fulfilled*.

10. Returning to Normal Working

Before normal working is resumed the *Network Controller* must ensure that:

- any *Authority Issued* to enter the affected *Section* is *Cancelled* or *Fulfilled*;
- the affected *Section* is *Clear* of any *Rail Traffic*;
- any *Active Control Level Crossings* in the *Section* are restored to normal operation;
- *Blocking Facilities* are removed;
- if required, *Points* that had been *Secured* are restored for normal operation; and
- instructions still *In-Effect* for the *Restraint* of *Rail Traffic* are *Cancelled*.

11. Keeping Records

Network Controllers must keep a *Permanent Record* of:

- the *Issue* of an *APA*, and
- details of affected *Competent Workers* told about the authorised *Rail Traffic* movements.

Rail Traffic Crews and other *Competent Workers* must keep a *Permanent Record* of the *Issue* of an *APA*.

12. References

2015 Active Control Level Crossing Management

4001 Protecting Disabled Rail Traffic

5027 Single Line Working

6003 Blocking Facilities

6013 Passing Fixed Signals at STOP

13. Effective Date

1 April 2017