

Network Safeworking Rules and Procedures

Authorities and Forms

Rule Number: 9016

Arc Infrastructure maintains the master for this document and publishes the current version on the Arc Infrastructure website. All changes and updates to the Network Safeworking Rules and Procedures are authorised by the Arc Infrastructure Rule Book Committee. This document is uncontrolled when printed.

Document History

Version	Effective Date	Pages updated	Reasons for change
2.0	03 02 2020	All	Major Review

Table of Contents

1.	Purpose.....	3
2.	General	3
3.	Forms Used.....	4
3.1	Rail Traffic Authorities	4
3.2	Authorities for Track Occupancies.....	4
3.3	Other Safeworking Forms.....	4
3.4	No Safeworking Forms.....	4
4.	Issuing Authorities.....	5
4.1	Preparation of an Authority.....	5
4.2	Assurances	5
4.3	Authority Format.....	6
4.4	Manual Transmission	6
4.5	Error During Manual Transmission	7
5.	Receipt of Manual Authority	7
5.1	Challenging Errors.....	7
5.2	Error During Receipt.....	7
5.3	Forms Transmitted Electronically	8
5.4	Read Back of Authorities or Forms.....	8
5.5	Error During Manual Read Back.....	8
5.6	Authority In-Effect.....	8
6.	Fulfilling an Authority.....	9
7.	Cancelling an Authority	9
8.	References.....	9
9.	Effective Date.....	9

1. Purpose

This procedure describes how to compile, *Issue*, *Cancel* and *Fulfil Authorities* and forms used in the *Network*.

2. General

Authorities and forms are used:

- in *Systems of Safeworking* in certain circumstances; and
- to make sure Safeworking instructions and information are *Clear*, *Complete* and *Issued* in a consistent way.

Rail Traffic Crews and *Competent Workers* must establish *Effective Communication* with the *Network Controller*.

Authorities and forms may be:

- transmitted using voice communication and recorded in writing in accordance with Rule 2007 Network Communications; or
- sent electronically.

All *Cancelled* and *Fulfilled Written Authorities* and forms must be retained for at least 3 months and forwarded to the Approved Operations *Delegate* if requested.

3. Forms Used

3.1 Rail Traffic Authorities

Authorities and Safeworking instructions are *Issued to Rail Traffic Crews* on one of the following forms.

- Movement *Authority* which includes:
 - Train Order;
- Alternative Movement *Authority* which includes:
 - *Relief Rail Traffic Authority; and*
 - *Single Line Working.*
- *Restraint Authority.*

3.2 Authorities for Track Occupancies

Work on Track Authority forms is used for Local Possession Authority or Work on Track Authority and Safeworking instructions are *Issued to Protection Officers.*

3.3 Other Safeworking Forms

Other forms that may be required in relation to Safeworking for *Rail Traffic Crews* and other workers are:

- *Worksite Protection Plan;*
- *Infrastructure Booking Advice (IBA);*
- *Rail Traffic Working Advice; and*
- *Condition Affecting the Network (CAN).*

3.4 No Safeworking Forms

In the event there are no safe working forms available, the *Competent Worker* may write out the form and the information required to be captured (text only) on a blank sheet of paper. In that event, the *Competent Worker* must confirm all information is captured as required by section 5.4 of this rule.

4. Issuing Authorities

4.1 Preparation of an Authority

Authorities Issued by the Network Controller, must:

- be uniquely identified;
- contain only information or instructions essential to the specific task;
- be filled out and recorded in an approved format;
- be filled out and recorded without deletions, alterations, or additions;
- not contain any letters, words or numerals surrounded by circles, brackets or other characters; and
- contain only *Authorised* abbreviations.

4.2 Assurances

Before preparing an *Authority*, the *Network Controller* must ensure all information is up to date relating to:

- *Rail Traffic* identification;
- *Authorities* currently in effect;
- the *Location of Rail Traffic* affected by, or having an effect on, the *Authority*;
- the *Location* of worksites affected by, or having an effect on, the *Authority*;
- the integrity of the *Route*;
- *Track* conditions; and
- any *Temporary Speed Restrictions (TSRs)* or other warnings for which advice is required.

4.3 Authority Format

The following information must be recorded in the spaces provided on the *Authority* form:

- for electronic transmission
 - *Authority* ID
 - status
 - *Limit of Authority (Blocking)*
- for manual transmission
 - *Authority* ID
 - status
 - *Limit of Authority (Blocking)*
 - name of *PO* or *RTC*
 - contact details of *PO*
 - name of control desk
 - date
 - time

4.4 Manual Transmission

When dictating an *Authority*, the *Network Controller* must dictate at a speed that allows the recipient to record it during transmission.

The *Network Controller* must:

- clearly pronounce all information;
- pronounce each digit individually (e.g. ONE – SIX – TWO);
- spell *Location* names immediately after they are spoken (e.g. ALPHA, A-L-P-H-A); and
- pause if conditions do not allow the transmission to continue clearly.

Voice communications are to be carried out in accordance with Rule 2007 Network Communications.

4.5 Error During Manual Transmission

If an error is detected during transmission of the *Authority*, the *Network Controller* must:

- cease *Issuing* the *Authority*;
- tell the recipient to endorse “NOT ISSUED” in upper case block letters with the date, time, recipient name and signature diagonally across the face of each copy of the partially prepared form; and
- *Issue* a new *Authority*.



NOTE: Where the system allows it, the new *Authority* may be *Issued* with the same number as the one marked NOT *ISSUED*.

5. Receipt of Manual Authority

During transmission the recipient must legibly record:

- the *Authority* as it is being transmitted;
- *Location* names in upper case block letters; and
- details as they are being transmitted, not from memory, presumption or notes.

5.1 Challenging Errors

If an error or inconsistency is identified or suspected during transmission of an *Authority*, the recipient must:

- challenge the *Authority*; and
- seek clarification.

5.2 Error During Receipt

If the recipient makes an error during receipt of the *Authority* the recipient must:

- cease recording the *Authority*;
- advise the *Network Controller* that an error has been made;
- when advised to do so, endorse “NOT *ISSUED*” in upper case block letters with the date, time, and recipient’s name and signature diagonally across the face of the recipient’s copy of the partially prepared form; and
- prepare to receive another *Authority*.

5.3 Forms Transmitted Electronically

If an *Authority* or form is delivered electronically, the recipient must make sure that the *Authority* or form is legible and contains no omissions.

5.4 Read Back of Authorities or Forms

The recipient must read back their copy of the *Authority* or form to the *Network Controller*.

The *Network Controller* must:

- during the read back, verify that the *Authority* or form matches the *Authority* or form that has been transmitted; and
- review all fields in the form and confirm all details match; and tell the recipient the time at which the read back is confirmed as correct.

5.5 Error During Manual Read Back

If an error is detected during read back of the *Authority* or form, the *Network Controller* must:

- ask for that portion of the *Authority* or form to be read back again;
- if it is confirmed that the *Authority* or form contains an error:
 - tell the recipient of the error;
 - if manually issued, tell the recipient to endorse “NOT ISSUED” in upper case block letters with the date, time, and recipient’s name and signature diagonally across the face of each copy of the form; and
 - re-Issue the *Authority* or form.

5.6 Authority In-Effect

An *Authority* is deemed to be *In-Effect* at the time of confirmation of the correct read back.

An *Authority* remains *In-Effect* until it is:

- *Fulfilled*, or
- *Cancelled*.

When an *Authority* is *In-Effect* it must not be altered or rewritten.

6. Fulfilling an Authority

An *Authority* is *Fulfilled* after all instructions contained within it, have been carried out.

When an *Authority* is *Fulfilled*, the *Rail Traffic Crew*, *Possession Protection Officer* or *Protection Officer* must advise the *Network Controller* of the time that the *Authority* was *Fulfilled* and for manually issued *Authorities*;

- endorse “*FULFILLED*” in upper case block letters with the date, time, and recipient’s name and signature diagonally across the face of each copy; and
- the *Network Controller* must *Fulfil* the *Authorities Issued* in *Network Control System*.

When an *Authority* that was manually prepared is *Fulfilled*, the *Network Controller* must endorse “*FULFILLED*” in upper case block letters with the date, the time the *Authority* is *Fulfilled*, the *Network Controller’s* name and signature diagonally across the face of their copy.

7. Cancelling an Authority

If it is not possible to carry out all of the instructions contained within an *Authority*, the *Authority* must be *Cancelled*.

The *Authority* currently *In-Effect* must be *Cancelled* before a replacement *Authority* containing altered instructions can be *Issued*.

The manner of *Cancellation* and the type of a replacement *Authority* is determined by the *System of Safeworking* in use.

When an *Authority* is *Cancelled* the *Network Controller* must:

- tell the recipient to endorse “*CANCELLED*” in upper case block letters with the date, time, and recipient’s name and signature diagonally across the face of each copy; and
- if manually prepared, endorse “*CANCELLED*” in upper case block letters with the date, time, *Network Controller’s* name and signature diagonally across the face of the *Network Controller’s* copy.

8. References

2007 Network Communications

9. Effective Date

3 February 2020