

Network Safeworking Rules and Procedures

Written Authorities and Forms

Procedure Number: 9016



Brookfield
Rail

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Document Control Identification

Document title	Number	Version	Date
9016 – Written Authorities and Forms		1.0	31 March 2016
		1.01	01 October 2016

Document History

Publication version	Effective date	Page(s) affected	Reasons for and extent of change(s)
9016 – Written Authorities and Forms	4 May 2016		Initial Issue
	01 Oct 2016	7, 9, 12-14	Review & Update

Authorisation



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01 October 2016



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Table of Contents

Glossary for this Procedure	4
1. Purpose	7
2. General	7
3. Forms Used	8
3.1 Rail Traffic Authorities	8
3.2 Work on Track Authorities	8
3.3 Other Safeworking Forms.....	8
3.4 No Safeworking Forms	9
4. Issuing Authorities.....	9
4.1 Preparation of an Authority.....	9
4.2 Assurances.....	9
4.3 Authority Format	10
4.4 Transmission	10
4.5 Error During Transmission.....	11
5. Receipt of Authority	11
5.1 Challenging Errors.....	11
5.2 Error During Receipt	11
5.3 Forms Transmitted Electronically	12
5.4 Read Back of Authorities or Forms	12
5.5 Error During Read Back	12
5.6 Authority In-Effect	12
6. Fulfilling an Authority	13
7. Cancelling an Authority.....	13
8. References	14
9. Effective Date.....	14

Glossary for this Procedure

<i>Absolute Signal Blocking (ASB)</i>	A method used by Competent Workers to carry out work on track using controlled absolute signals set and kept at STOP, without a formally issued work on track authority.
<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>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>Competent Worker</i>	A worker certified as competent to carry out a relevant task.
<i>Condition Affecting the Network (CAN)</i>	A situation or condition that affects or has potential to affect the safety of the Network.
<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>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>Local Possession Authority (LPA)</i>	An authority that closes a defined portion of track from non-associated rail traffic for a specified period.
<i>Location</i>	A place in the Network with a designated name, identification number, or signalling reference.
<i>Lookout Working</i>	A safety measure used by Competent Workers to carry out work on track without a formally issued work on track authority.

<i>Motive Power Unit</i>	A rail vehicle used to provide the power to move itself or other vehicles.
<i>Network</i>	A combination of track and other associated infrastructure controlled by Brookfield Rail.
<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>Pilot Key</i>	Where two half pilot keys from each end of a section have been joined to provide a full pilot key for the section.
<i>Pilot Key Caution Authority</i>	A written authority issued after a rail traffic crew has seen the full pilot key for a section.
<i>Possession Protection Officer</i>	The Competent Worker responsible for coordinating protection of worksites under a Local Possession Authority.
<i>Protection Officer</i>	The Competent Worker responsible for managing the rail safety component of worksite protection (i.e. compliance with Network Safeworking Rules and procedures).
<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>Road Rail Vehicle</i>	A road vehicle fitted with additional rail gear that enables the vehicle to be driven on rail.
<i>Route</i>	The rail traffic path from one limit of authority to the next in the direction of travel.
<i>Special Train Notice (STN)</i>	A notice issued by Brookfield Rail which contains safeworking information for competent workers.
<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>Track Occupancy Authority (TOA)</i>	An authority for Competent Workers and their equipment to occupy a defined portion of track for a specified period.
<i>Track Vehicle</i>	A vehicle, usually self-propelled, used for inspecting and/or maintaining infrastructure.

<i>Track Work Authority (TWA)</i>	An authority for non-exclusive occupancy of track by track workers and equipment within a defined portion of track for a specified period..
<i>Track Workers</i>	Competent rail safety workers whose primary duties are associated with work on or around infrastructure in the Rail Corridor.
<i>Wrong Running-Direction</i>	The direction opposite to the normal direction of travel on unidirectional lines.

1. Purpose

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

2. General

Written *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*.

Written *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* endorsed *Authorities* and forms must be forwarded to the *Network Rail Operations Manager* and retained for at least 3 months.

3. Forms Used

3.1 Rail Traffic Authorities

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

- *Alternative Proceed Authority (APA)*:
 - which incorporates a Pilot Key Caution Authority for Pilot Key working;
- *Relief Rail Traffic Authority (RRTA)*:
 - which incorporates a Wrong Direction *Authority* for *Wrong Running-Direction* movements on Double Line;
- *Road Rail Vehicle Authority (RRVA)*.
- *Restraint Authority*.
- *Train Order*.

3.2 Work on Track Authorities

Work on Track Authorities and Safeworking instructions are *Issued to Track Workers* on one of the following forms:

- *Work on Track Authority*:
 - which incorporates *Local Possession Authority (LPA)*, *Track Occupancy Authority (TOA)* and *Track Work Authority (TWA)*; and
- Blocking Request for *Work on Track*:
- which incorporates Absolute Signal Blocking (ASB) and Train Order System Blocking (TOSB).

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 Planner;
- *Infrastructure Booking Advice (IBA)*;
- *Institution of Single Line Working on Double Line Automatic Signalling*;
- *Rail Traffic Working Advice*;
- *Rail Traffic Information Advice*;
- *Condition Affecting the Network (CAN)*; and
- *Special Train Notices (STN)*.

3.4 No Safeworking Forms

In the event there is 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 (TSR's)* 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:

- *Authority* type.
- identification number of *Authority*.
- date and time of *Issue*.
- identity of *Rail Traffic*.
- as required, the leading *Motive Power Unit* or all *Track Vehicle* numbers.
- *Location* names in upper case block letters.
- limits of the *Authority*.
- name of the *Network Controller*.
- identity of the recipient of the *Authority*.
- any other instructions; and
- date and time at which read back is confirmed correct.

4.4 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 Transmission

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

- cease *Issuing* the *Authority*;
- endorse “NOT ISSUED” in upper case block letters with the date, time, name and signature diagonally across the face of the *Network Controller’s* copy;
- 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 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;
- underline each word as it is read back; and
- tell the recipient the time at which the read back is confirmed as correct.

5.5 Error During 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;
 - 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:

- 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
- advise the *Network Controller* of the time that the *Authority* was *Fulfilled*.

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

01 October 2016