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1. PURPOSE

The purpose of this procedure is to describe how to compile, Issue, Cancel and Fulfil written Authorities and forms used in the Public Transport Authority (PTA) Network.

2. GENERAL

Written Authorities and forms are used:

- in Systems of Safeworking in certain circumstances; and
- to make sure Safeworking instructions and information is clear, complete and issued in a consistent way.

Rail Traffic Crew and Competent Workers must establish Effective Communication with the Train 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 written Authorities and forms must be maintained as a Permanent Record.

3. FORMS USED

3.1. RAIL TRAFFIC AUTHORITIES

Authorities and Safeworking instructions are issued to Rail Traffic Crew on one of the following forms:

- Alternative Proceed Authority;
- Pilot Key Caution Authority;
- Relief Rail Traffic Authority;
- Road Rail Vehicle Authority; or
- Restraint Authority.
3.2. WORK ON TRACK AUTHORITIES AND METHODS

Authorities and Safeworking instructions are issued to Track Workers on one of the following forms:
- Local Possession Authority (LPA);
- Track Occupancy Authority (TOA);
- Absolute Signal Blocking (ASB); or
- Worksite Protection Planner.

3.3. OTHERSAFEWORKING FORMS

Special Notices are other forms that may be required in relation to Safeworking for Rail Traffic Crew and other Workers.

4. ISSUING AUTHORITIES

4.1. PREPARATION OF AN AUTHORITY

Authorities issued by the Train 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 Train 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 affect on, the Authority;
- the Location of Worksites affected by or having an affect 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:

- Authority type;
- date and time of issue;
- identity of Rail Traffic;
- identity of Possession Protection Officer (PPO) or Protection Officer (PO) for which the Authority is intended;
- 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 Train Controller;
- identity of the recipient of the Authority;
- any other instructions; and
- date and time at which read back is confirmed correct.
4.3.1. Blocking ID

Some forms have a field identified as Blocking ID. The Blocking ID is a special number that is provided to ensure that the Blocking Facilities cannot be removed inadvertently.

The Competent Worker requiring the placement of Blocking Facilities will provide a unique Blocking ID number to the Train Controller.

The Blocking ID number is generated by linking:

- the time of the application in Hour/Minute (HH) and Minute/Minute (MM) format;
- the last four digits of the PO’s Track Access permit number; and
- the direction of the track where the blocking will be activated, i.e., U for Up main, D for Down main and UD for both mains.

Example: 13450234UD

The Train Controller must enter the number directly into the Train Control system and is not permitted to record the number in any other manner.

4.4. Transmission

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

The Train 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 Train Controller must:

- cease issuing the Authority;
- write “NOT ISSUED” in upper case block letters with the date, time, name and signature diagonally across the face of the Train Controller's copy;
- tell the recipient to write “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 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. The detail must not be recorded 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 Train Controller that an error has been made;
- when advised to do so, write “NOT ISSUED” in upper case block letters with the date, time, recipients 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 Train Controller. The Train 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 Train Controller must:

- ask that the Authority or form to be read back again; and
- if it is confirmed that the Authority or form contains an error:
  - tell the recipient of the error;
  - tell the recipient to write “NOT ISSUED” in upper case block letters with the date, time, 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.
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 (PPO) or Protection Officer (PO) must:

- write “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 Train Controller of the time that the Authority was *Fulfilled*.

When an Authority that was manually prepared is *Fulfilled*, the Train Controller must write “FULFILLED” in upper case block letters with the date, the time the Authority is *Fulfilled*, and the Train 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 Train Controller must:

- tell the recipient to write “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, write “CANCELLED” in upper case block letters with the date, time, and Train Controller’s name and signature diagonally across the face of the Train Controller’s copy.

8. **REFERENCE**

Rule 2007 Network Communications

9. **EFFECTIVE DATE**

4 December 2017