

**PUBLIC TRANSPORT AUTHORITY**  
SAFEWORKING RULES AND PROCEDURES

**9016**  
WRITTEN  
AUTHORITIES  
AND FORMS

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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*.

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## 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*.

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## 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. OTHER SAFWORKING FORMS**

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

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## **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”.

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### 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*.
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## 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.

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## 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.
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## 8. REFERENCE

Rule 2007 Network Communications

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## 9. EFFECTIVE DATE

4 December 2017

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