

PUBLIC TRANSPORT AUTHORITY
SAFEWORKING RULES AND PROCEDURES

5019
ALTERNATIVE
PROCEED
AUTHORITY

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1. PURPOSE

The purpose of this rule is to detail the protocols for using *Alternative Proceed Authorities (APA)* in the Public Transport Authority (PTA) *Network*. These are *Issued* to authorise *Rail Traffic* movements to pass a *Departure Signal* at Stop.

2. GENERAL

A written *APA* will be *Issued* to authorise *Rail Traffic* movements to pass a *Departure Signal* at Stop in single line *Automatic Signalling Sections*.

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*;
 - the line to be used; and
 - where necessary, specify any *Speed Restrictions* that must be applied.
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3. ASSURANCES

The *Train Controller* must make sure or be assured that:

- conflicting *Occupancy* 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 Crew*; and
 - affected *Competent Workers*;
- previously *Issued Proceed Authorities* have been *Cancelled* or *Fulfilled*;
- 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*;
- the *Route* to be taken by *Rail Traffic* is:
 - set and *Secured*; or
 - will be set and *Secured* by a *Competent Worker*; and
- *Protecting Signals* are at Stop with *Blocking Facilities* applied in accordance with **Rule 6003 Blocking Facilities**.

Where *Blocking Facilities* cannot be applied, *Rail Traffic* must be *Restrained* in writing on a *Restraint Authority*.

3.1. ACTIVE CONTROL LEVEL CROSSINGS

Where possible the *Train Controller* must make sure or be assured that *Active Control Level Crossings* are:

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

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

4. ISSUING AN ALTERNATIVE PROCEED AUTHORITY

The *Train Controller Authorises Travel* by compiling and issuing an Alternative Proceed Authority Form.

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

If available, *Signals* within the limits of the *APA* must be cleared.

Rail Traffic Crew may only pass *Signals* at Stop:

- if *Authorised* on the Alternative Proceed Authority Form and with confirmation from *Train Control to Proceed*; and
- in accordance with **Rule 6013 Passing Fixed Signals at Stop**.

Rail Traffic Crew must be advised on the Alternative Proceed Authority Form of:

- what is known about the condition of *Active Control Level Crossings*;
 - any *Speed Restrictions*; and
 - any *Speed Restrictions* that may be applied by the *Maintenance Representative* because of the fault.
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5. RESTRAINT OF RAIL TRAFFIC

Rail Traffic must be *Restrained* from entering a *Block* in which *APA* is in effect.

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

6. REPORTING

The *Train Controller* must tell *Rail Traffic Crew* 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 *Train Controller* must tell the *Rail Traffic Crew* to report when the *Rail Traffic* has passed *Complete* beyond nominated *Absolute Signals*.

When told by the *Rail Traffic Crew* that the *Rail Traffic* has passed *Complete* beyond nominated *Absolute Signals*, the *Train Controller* may issue an *APA* for a following *Rail Traffic* movement.

8. CANCELLING AN ALTERNATIVE PROCEED AUTHORITY

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

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

9. FULFILLING AN ALTERNATIVE PROCEED AUTHORITY

An *APA* must be *Fulfilled* only when the *Rail Traffic Crew* or *Competent Worker* assures the *Train Controller* that the *Authorised* movements have been completed and the *Block* is *Clear*.

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

10. RETURNING TO NORMAL WORKING

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

- any *Authority Issued* to enter the affected *Block* is *Cancelled* or *Fulfilled*;
 - the affected *Block* 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*.
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11. KEEPING RECORDS

Train Controllers must keep a *Permanent Record* of:

- the issue of an *APA*; and
- details of affected *Competent Workers* told about the *Authorised* movements.

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

12. REFERENCE

Rule 2015 Active Control Level Crossing Management

Rule 6003 Blocking Facilities

Rule 6013 Passing Fixed Signals at Stop

13. EFFECTIVE DATE

1 November 2018