



Guideline - How to complete the Accreditation Application Form

Introduction

Rail safety legislation imposes obligations on persons who undertake railway operations in Australia. *Rail transport operators* (as defined in legislation) are required to gain accreditation before undertaking railway operations unless they are granted an exemption from accreditation.

This guidance material explains how to prepare an application for accreditation and should be read in conjunction with the

- *National Rail Safety Guideline for Accreditation of Rail Transport Operators* which explains the national rail safety scheme and the circumstances in which accreditation may be required; and the
- *National Rail Safety Guideline for Preparation of a Rail Safety Management System* which explains requirements for safety management systems of rail transport operators.
- The Rail Safety Act and Regulations applicable to the state(s) and or territory in which rail operations are planned to be carried out.

Note These Guidelines may be accessed on the NTC Network at www.ntc.gov.au under Safety and Compliance, Rail Safety, National Guidelines.

The notes on the following pages are provided to assist applicants in completing the Accreditation Application Form.

Applying for Accreditation as a Rail Transport Operator

An application for accreditation must be made on the approved application form. The application form must be submitted as a hard copy original document to each jurisdiction where accreditation is required. It is necessary to submit hard copy original documents to ensure that endorsements and signatures on applications for accreditation meet legal requirements.

The application form provides for inclusion of supporting information. Supporting information may be included directly within the form, or listed as an attachment or reference to other documents where the level of detail required exceeds the capacity of the form.

Listed attachments must be clearly identified with appropriate document control information, e.g. name, and version information such as date of issue and/or version number (documents are not to be in draft form). It is important that attachments are clearly identified so that the information on which the regulators determine an application for accreditation is clear to any external body reviewing the decision. Appropriately referenced supporting information may be submitted in electronic form.



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Applications in more than one jurisdiction

The applicant must submit a separate application for each jurisdiction in which it wishes to operate. The relevant rail safety regulators will communicate and liaise with one another in processing the applications in accordance with the *National Rail Safety Guideline for Uniform Administration of Accreditation*.

The purpose of uniform requirements for accreditation applications across jurisdictions and coordinated assessment of applications by rail safety regulators is to reduce the burden on industry and promote consistency of outcome and administrative efficiency in respect of those operators who operate in more than one jurisdiction.

Application Fees

The fees involved in applying for accreditation vary across jurisdictions. Rail safety regulators will provide information on local requirements during the initial discussion prior to preparation and lodgement of the application. (see *National Rail Safety Guideline for Uniform Administration of Accreditation*).

Completing the Application Form

The following provides guidance on what information is required for each of the information fields on the approved application form.

Item	Commentary
Application type	Indicate if this is an application for a new accreditation or a variation of an existing accreditation in this jurisdiction.
1. Accreditation type	Indicate whether you are seeking accreditation as; <ul style="list-style-type: none">▪ a rail infrastructure manager, or▪ a rolling stock operator; or▪ both rail infrastructure manager and rolling stock operator.
2. Jurisdictions in which railway operations are or will be undertaken	<ol style="list-style-type: none">1. Indicate the jurisdictions (if any) in which accreditation is currently held, and attach a copy of the accreditation notice/s. Attach a copy of the accreditation notices for the relevant jurisdictions and note the references for those attachments in the space provided.2. Indicate the jurisdictions in which the application for accreditation or variation of accreditation is sought, e.g., VIC, NT, NSW etc. This information assists regulators to coordinate assessment of the applications across



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	jurisdictions.
3. Applicant information	<p>Provide applicant information as indicated, noting the following particular requirements.</p> <p>Provide the name of the legal entity to be accredited. This should be the applicant's registered business name where applicable.</p> <p>Provide the trading name if it is different from the business name. <i>Note that unregistered business names and trading names are not legal entities and are not capable of accreditation.</i></p> <p>In the case of a body corporate, provide the registered business address. In the case of an association, supply the public officer's address. Where the applicant is an individual, insert the applicant's residential address.</p> <p>Insert the position title, person name and contact details of:</p> <ul style="list-style-type: none"> ▪ The person with highest level accountability for the railway organisation (eg Managing Director, etc); ▪ the person who has been appointed by you to respond to any enquiries that the rail safety regulator may have about the application (the Application Key Contact Representative). <p>Provide the applicant's postal address if different to the registered business or residential address.</p>
4. Accreditation requirement	<p>Provide a brief description of the railway operations for which accreditation is sought,</p> <p>E.g. passenger operations, bulk or intermodal freight operations, heavy haul, tramway, monorail etc.</p> <p>In the case of variation to accreditation describe the new railway operations or the change to be made to railway operations.</p>
5. Period of requirement	<p>If you wish you may indicate your preferred date for commencement for the accreditation for the information of the regulator.</p> <p>If you wish to apply for accreditation for a limited period, also indicate the proposed date of expiry for the accreditation.</p> <p>For example you may be applying for a variation to accreditation for the purposes of a one day event and/or for a</p>



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	short term trial. This can be indicated at this section of your application.
6. Railway operations to be conducted	<p>From the options listed on the form, indicate the categories of railway operations that are to be undertaken under this accreditation.</p> <p>Permission may be granted only for the activities listed on the application form, as provided for by the legislation.</p> <p>“Commissioning” refers to the process of bringing rail infrastructure or rolling stock into service.</p> <p><u>Note:</u> A persons required by legislation to be accredited may be granted permission for the following railway operations:-</p> <p><u>Infrastructure:</u> construction, management, commissioning, maintenance, repair, modification, installation, operation, decommissioning</p> <p><u>Rolling stock:</u> construction, commissioning, maintenance, repair, modification, decommissioning, operation or movement or causing the operation or movement by any means on a railway.</p>
7. Railway in relation to which accreditation is sought	<p>Please indicate the railway in relation to which the applicant is to be accredited.</p> <p>Sufficient detail should be inserted at this item to ensure that the physical and geographical limits of the relevant railway are clearly and unambiguously identified. Reference may be made to maps or diagrams attached to the application. Geographic Information System (GIS) references for the bounds of operation should be included where these are available.</p> <p>Detail of the geographic locations and limits for particular types of operation such as driverless (automatic), single driver or two driver operation should also be included.</p> <p>The geographic location and limits should be described using defined terms where available (e.g. PTA urban rail network) or specific localities (e.g. Kalgoorlie to Kwinana standard gauge railway) as appropriate. Attachment of maps of the railway may be included where appropriate.</p>
8. Evidence of effective management and	If the application is for accreditation as a rail infrastructure manager, indicate whether the applicant



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control of rail infrastructure	<ol style="list-style-type: none"> 1. owns the rail infrastructure that is to be managed; 2. has/or will have a statutory or contractual right to use the rail infrastructure or provide access to it; 3. owns some infrastructure and has rights in relation to some infrastructure (i.e. a combination of 1 and 2); 4. has the right to exercise effective management and control through any other means. <p>Supporting documentary evidence should be attached or referenced, e.g. the contract with the owner of the infrastructure for management and control of the infrastructure, or reference to the source of a statutory entitlement.</p>
8.1 Rail Infrastructure	<p>Please describe the rail infrastructure in relation to which the application is made.</p> <p>Rail infrastructure is defined in the Act and means the facilities that are necessary to enable a railway to operate safely and includes:</p> <ul style="list-style-type: none"> (a) railway tracks and associated track structures (b) service roads, signalling systems, communications systems, rolling stock control systems and data management systems; (c) notices and signs (d) electrical power supply and electric traction systems; (e) associated buildings, workshops, depots and yards; (f) plant, machinery and equipment <p><i>but does not include:</i></p> <ul style="list-style-type: none"> (g) rolling stock; or (h) any facility, or facility of a class , that is prescribed by the regulation not to be rail infrastructure. <p>.You may list specific items beyond those listed as examples if necessary.</p> <p>This information is needed to provide the regulator with a comprehensive description of the railway operations that are to be undertaken.</p> <p>Include locations for infrastructure not located within the rail corridor, such as a network control centre. GIS references</p>



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	<p>should be provided where these are available.</p> <p>Details of electrification of railway tracks should be included in the space provided where this is applicable.</p>
<p>8.2 Rail Infrastructure Operations</p>	<p>List the parties undertaking the construction, management, commissioning, maintenance, repair, modification, installation, repair, operation or decommissioning of the rail infrastructure relevant to the railway operations for which accreditation is being sought.</p> <p>Also indicate the manner in which the services of these parties are engaged. This information is needed to provide the regulator with a comprehensive description of the manner in which the required competency and capacity is being assembled to undertake the railway operations for which accreditation is being sought.</p>
<p>8.3 Rail Interfaces</p>	<p>Indicate whether the railway has any interfaces with the railway operations of any other rail transport operator, or with any public road or other road. Provide a copy of and/or references to the Register of Interface Agreements.</p> <p>In smaller operations it may be appropriate to simply provide a copy of the register; for larger railways it may be impractical to supply the whole register in which case the regulator may agree to the submission of information about the register and where it may be examined more fully.</p>
<p>9. Evidence of effective management and control of the operation or movement of rolling stock</p>	<p>If the application is for accreditation as a rolling stock operator indicate whether the applicant</p> <ol style="list-style-type: none"> 1. Owns the rolling stock. 2. Hires or leases the rolling stock from a third party 3. Owns some rolling stock and hires or leases some rolling stock. 4. has the right to exercise effective management and control of the movement or operation of rolling stock through other means. <p>Where rollingstock is operated under items 2 - 4 above detail the responsibility of each party related to certifying and maintaining the rollingstock fit for rail operations.</p> <p>If the provision of train crews for the rolling stock operation or movement is to be undertaken by another party or parties, provide a list of the parties involved and the manner in which</p>



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	<p>their services are engaged (e.g. hire of train crew as contracted staff or hire of another organisation to provide train crew). Identify the management procedures for competency and medical requirements of rail safety workers directly employed and where applicable, engaged by way of contract or hire.</p> <p>If the effective management and control of rolling stock operation or movement by a third party is to be exercised by the applicant (e.g. track machines/vehicles or rolling stock on hire or loan), provide a list of such third parties and details of such arrangements.</p>
<p>9.1 Right of access to rail infrastructure</p>	<p>Provide details of the rights of access to the rail infrastructure on which the rolling stock is to operate. Reference supporting documentation, for example access agreements which may be held by the applicant or a third party.</p> <p><i>Note: Having an access agreement is not a requirement of accreditation. This information is requested as a relevant matter of fact in establishing who has the effective management and control of the railway operations for which accreditation is sought.</i></p>
<p>9.2 Rolling stock to be moved or operated</p>	<p>Indicate the rolling stock that is to be operated or moved under this accreditation. Rolling stock may be described by class or type of rolling stock as appropriate. Indicate the type of motive power in respect of each class or type.</p>
<p>9.3 Parties undertaking movement or operation of rolling stock</p>	<p>If the movement of rolling stock is to be undertaken by another party or parties, provide a list of the parties involved and the manner in which their services are engaged (e.g. “hook-and-pull” arrangement).</p> <p><i>Note: a “hook-and-pull” arrangement is typically related to a third party providing locomotive power to effect the movement of the applicant’s rolling stock.</i></p>
<p>9.4 Providers of train crews</p>	<p>If train crews are to be supplied by another party or parties list these parties.</p>
<p>9.5 Rolling stock operations</p>	<p>If the operation, movement, commissioning, maintenance, repair, modification, or decommissioning of rolling stock is to be undertaken by another party or parties, provide a list of the parties involved and the manner in which their services are engaged (e.g. a contractor arrangement or as a result of a lease agreement). This includes causing the operation or</p>



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	movement by any means.
10. Financial capacity/ Public Risk Insurance	<p>Applicants may provide a copy of public risk insurance held in relation to the railway operations for which accreditation is sought. The insurance held must be a full policy not a cover note.</p> <p>Alternatively, applicants may provide evidence of financial capacity to meet reasonable potential liabilities arising from the accredited railway operations.</p>
11. Evidence of consultation in the preparation of the safety management system	<p>Provide details of consultation undertaken in relation to the applicant's SMS, including</p> <ul style="list-style-type: none"> ▪ who was consulted; ▪ when and how the consultation occurred; ▪ results of the consultation and its impact on the development of the SMS. <p>Provide references to, or copies of, supporting documentary evidence of this consultation.</p>
12. Safety Management Plan	<p>Attach a copy of the Safety Management Plan (SMP). This may be in hard copy or electronic form, but in either case list the appropriate references in the space provided.</p> <p>Note that the Rail Safety Regulator may require all or selected elements of the safety management system to be submitted. Rail Safety Regulators will provide information on local requirements during the initial discussion prior to preparation and lodgement of the application.</p>
12.1 Safeworking systems	Describe the safe working systems to be used by the applicant. References may be provided to sources of additional detail where necessary.
12.2 Health and Fitness Requirements	Provide details of the applicant's Drug and Alcohol Programme and Fatigue Management Programme.
13. Key contacts	<p>If different from the Application Key Contact Representative provided at section 3, provide contact details for:</p> <ul style="list-style-type: none"> ▪ the person responsible for ongoing accreditation matters (the Accreditation Key Contact Representative); ▪ the person responsible for ongoing safety



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	management system/compliance issues (The Safety Management System Key Contact Representative).
14. Safety Performance Reporting	<p>Accredited rail transport operators are required to submit to the regulator an annual safety performance report within 6 months of the end of a nominated reporting period, usually a calendar year.</p> <p>Indicate whether the applicant wishes to enter into an agreement with the regulator for another reporting period and complete details of the preferred start and end dates. State the reasons for choosing this period.</p>
15. Applicant declarations	<p>If the applicant for accreditation is not an individual, the application must be signed by:</p> <ul style="list-style-type: none"> • the directors, if a company applicant; • each partner, if a partnership applicant; and • the governing body if an unincorporated association or body applicant. <p>Each signatory must make a declaration that:</p> <ul style="list-style-type: none"> • the application is true and correct • that he or she is not a person who is disqualified under the <i>Corporations Act 2001</i> from managing corporations. <p>Further guidance in relation to declarations is provided by the <i>National Rail Safety Guideline for Accreditation of Rail Transport Operators</i>.</p> <p>Special requirements for signature apply to a body corporate that is applying for accreditation. If the applicant is a company registered under the <i>Corporations Act 2001</i>, then the application must be signed in accordance with s127 of that Act. This means it must be signed by:</p> <ul style="list-style-type: none"> • two directors of the company; • a director and a company secretary of the company; or • where the company has a sole director who is also the company secretary, that director. <p>In any other case, the application must be signed by each director, or each member of the committee of management of the body corporate. For example, this will apply to incorporated associations and to bodies deemed by statute</p>



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	to be bodies corporate. If the applicant is an unincorporated association or body, the application must be signed by its governing body, namely, each member of the committee of management of the association or body. If the applicant is a partnership, the application must be signed by each partner. If the applicant is an individual, the application must be signed by the individual.
16. Supplementary Declarations	This section provides additional space for the use of applicants whose structure requires that additional persons make a declaration and sign the application form.
17. Approvals	This section is for office use only and should not be completed by the applicant.