

**FOR USE FOR APPLICATIONS FOR THE FINANCIAL YEAR BETWEEN
01 April 2022 AND 31 March 2023 ONLY**

SAFETY PERMIT APPLICATION GUIDE

2022/23



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LIST OF ABBREVIATIONS

ACT:	National Railway Safety Regulator Act No 16 of 2002 (as amended).
ASIP:	Annual Safety Improvement Plan
NIMS:	National Information Monitoring System.
SANS:	South African National Standard
SIP:	Safety Improvement Plan
SMS:	Safety Management System
SMSR:	Safety Management System Report
SPCAM:	Safety Permit Conformity Assessment Methodology.

LIST OF DEFINITIONS

Annual Tonnes:	means the total sum of the mass of dangerous or general goods loaded onto a train by a train operator in the preceding financial year and transported along the portion of a rail network for which the train operator has a permit to traverse.
Applicant:	means a person who applies for a safety permit in terms of these Regulations and includes an existing Operator that either applies for a renewal or a different category or type of a safety permit.
Asset Register	means a list of assets owned by an operator submitted with either the safety permit application or ASIP submission. It contains pertinent details about each physical asset to track their value, remaining life, maintenance history and physical location.
Commuter:	means a person who travels some distance to work on a regular basis.
Dangerous Goods:	means the commodities, substances and goods that are capable of posing a significant risk to health and safety of persons or damage to property or the environment that are listed in appropriate standard specification of the South African Bureau of Standards as identified by the Minister by notice in the Gazette.

Determination:	The Determination of a Safety Management System (SMS) and Safety Management System Report (SMSR) (2018) which makes it mandatory for railway operators to document, implement and maintain their SMS and SMS Report.
Gauge	the width between the two rails forming the railway line. Cape gauge is 1067mm wide, Standard gauge is 1435mm wide while Narrow gauge is 610mm wide
General Freight:	means goods such as cement, coal, maize, lime, wood, containerized cargo, motor vehicles and other commodities not classified as “dangerous goods”.
Gross Tonnes:	means the total weight of transported freight and tonnage of the transporting vehicle inclusive of motive power (<i>i.e. Gross Tonnes = (Number of wagon/coach movements x Weight per coach/wagon) + (Number of any other rail-bound maintenance vehicle movements x Weight per vehicle) + (Number of Locomotive movements x Weight per Locomotive).</i>)
Human Factors:	means factors which include the perceptual, physical and mental capabilities of people and the interaction of individuals with their job and working environments, the influence of equipment and system design on human performance and the organisational characteristics that influence safety-related behavior at work.
Minister:	means the Minister of Transport.
Network:	means a system of railway infrastructure elements comprising track, civil infrastructure, train control and signaling systems and where applicable electric traction infrastructure which constitutes running lines, and any part of the following on which those elements are situated: a) railway yard, b) marshalling yard, c) sidings and private sidings, d) freight terminals, e) depots, f) stations, or g) any other matter that may be prescribed.
Network Operator:	means the person or persons who have the ultimate accountability for one or more of the following: a) the safety of a network or part thereof including the proper design, construction, maintenance, and integrity of the network, b) ensuring compliance of rolling stock with the applicable standards of the network, or c) for the authorising and directing of the safe movement of rolling stock on the network.
Operator:	means a network operator, train operator or station operator or a combination of two or three of them.

Passengers:	means people transported by a train between two points (i.e. a station of boarding and of disembarkation) except for a train operator's personnel excluding commuters
Railway:	means a guided system designed for the movement of rolling stock that has the capability of transporting passengers, freight, or both on a track and includes land, network, rolling stock, plant, machinery, goods and other immovable property of every description or kind used or set aside for use in connection with or for the purpose of a railway operation.
Railway Occurrence:	means a railway accident or railway incident prescribed as such, which could include criminal activities.
Railway Operation:	means the activities performed by a network operator, train operator or station operator, or a combination of two or three of them.
Regulator / RSR:	means the Railway Safety Regulator established in terms of Section 4 of The Act.
Rolling Stock:	means a vehicle or vehicles that can operate on a railway, irrespective of its/their capability of independent motion.
Safety:	means the lack of railway occurrences, fatalities, injuries or damage within railway operations.
Safety Permit:	means a permit contemplated in Chapter 4 of The Act.
Safety Targets:	Safety targets set for identified Key Performance Indicators (both leading and lagging indicators) which will inform the operator of the level of safety performance.
SMS:	"means a formal framework for integrating safety into day-to-day railway operations and includes safety goals and performance targets, risk assessment, responsibilities and authorities, rules and procedures, monitoring and evaluation processes and any matter as prescribed".
SMSR:	"a written submission made by the applicant, in support of a safety permit application that describes the applicant's safety management system (SMS) and may include any other matters prescribed".
Station:	means a facility for passengers to enter or leave a train, including a railway passenger terminal and passenger halt and may include facilities for passenger modal transfer and commercial activities forming part of the station and also includes any other place that may be prescribed, but excludes that part of the railway network running through the station.

Station Operator:	means a person in control of a station, and the management of a station.
Train Operator:	means a person or persons who have the ultimate accountability for- a) the safe movement of rolling stock on a network, b) safety and integrity of rolling stock, and c) safety of freight or persons being conveyed.
Tourists:	means passengers transported aboard railway operator's passenger and /or commuter rolling stock between two points (i.e. a station of boarding and of disembarkation) for recreational/leisure purposes, with the exception of a train operator's personnel and commuter passengers.
Running Lines:	means main lines between stations and/or branch lines. It excludes private sidings.



CHAPTER 1: GENERAL GUIDANCE

TO BE READ BY ALL APPLICANTS, PRIOR TO APPLYING FOR A SAFETY PERMIT, AND OR SUBMISSION OF THE ASIP.

1.1. INTRODUCTION

1.1.1 Section 23 (3) (a) of the Act stipulates that an application for a safety permit must be made in the format determined by the Regulator. Section 28 stipulates that the Regulator must determine (a) the form and content of a safety management system that is required for the different categories and types of a safety permit; (b) the form, content and manner of submission of a safety management system report; and (c) the circumstances under which the Regulator may require the holder of a safety permit to revise or amend a safety management system or safety management systems report.

1.1.2 The Act defines safety management system report as a “written submission made by the applicant, in support of a safety permit application that describes the applicant’s safety management system and may include any other matters prescribed”.

1.1.3 The Determination of a Safety Management System (SMS) and Safety Management System Reports (SMSR) serves as an instruction to railway operators to document, implement and maintain their SMS and SMSR in a prescribed format.

1.1.4 Railway operators should therefore document their policies and procedures in a manner that allows:

- Assessment prior to the issuance of the safety permit, and
- Supervision post award of the safety permit.

1.2. LEGAL FRAMEWORK GUIDING RAILWAY SAFETY

Operators should obtain copies of the following documents as they form the legal framework guiding railway safety in South Africa. These documents are referred to in all permit applications and should be addressed in the safety management systems designed and implemented by operators.

- National Railway Safety Regulator Act (Act 16 of 2002, as amended) obtainable from the Government and the RSR website.
- The Determination of a Safety Management System (SMS) and Safety Management System Report (SMSR) as published and distributed by the RSR.
- National Railway Safety Permit Regulation, 2015.

1.3. HOW TO USE THIS GUIDE

The guide has been structured in different chapters. Chapter 1 provides general guidance on the safety permit application process including the Legal Framework on which it is based. Chapter 2 provides guidance on aspects of operator's railway operation and details. Chapter 3 is an introduction of the safety management system based on the **Determination of Safety Management Systems (SMS) and Safety Management System Reports (SMSR)**. Applicants will not be able to complete the application form unless they are in possession of **the latest version of the Determination published by the Regulator**. Chapter 4, 5, 6 and 7 present the application forms for Group A, B and C Safety Permit, Temporary Safety Permit, Construction Train Safety Permit and Test and Commissioning Safety Permit. Chapter 8 presents the requirements for annual submissions for years after the issue of a Safety Permit for existing permit holders. Chapter 9 presents the annual asset register submission.

All rail operators are required to have a fully implemented safety management system, adequate and comprehensive enough to ensure all their specific rail-related activities are planned and executed in a structured and transparent manner. In order to obtain a safety permit, all operators are required to demonstrate the existence of such a system.

The purpose of this guide is to provide all applicants with clarity on what will be required for the safety permit, and to facilitate collection of the required information which will enable the application to be completed.

Applicants are expected to **APPLY THREE (3) CALENDAR MONTHS PRIOR TO EXPIRY OF THE SAFETY PERMIT OR COMMENCEMENT OF RAILWAY OPERATIONS OR ANY PART THEREOF**. The applicant shall ensure that the most recent versions of all documents are uploaded as mandated by the Determination of the SMS and SMSR. A non-refundable application fee and safety permit fee are payable by the Operator on receipt of an invoice generated by the Regulator.

Annual safety improvement plans (ASIPs) must be submitted for assessment on a yearly basis three (3) calendar months before the anniversary of the 3 year or 5-year permits. Annual safety permit fees are still applicable for all 3-year, or 5-year permits.

NB! According to the Act, safety permits are not transferable. Should a legal entity in possession of a valid safety permit be taken over by new owners/operators or be re-registered (new registration number), the new company needs to apply for a permit. This is a material change and the RSR must be informed timeously in writing before the changes are implemented. Normal application and safety permit fees will apply, as would be the case when any new safety permit is issued.

In an instance where a safety permit application or ASIP submission made by an applicant is deemed to be unsuccessful by the RSR, the RSR shall, in writing, inform the applicant of the reasons why the application was unsuccessful. The RSR may request the applicant to make a new submission, at the applicant's expense, and/or to supply additional information as determined by the Regulator. The Regulator may also instruct the applicant for an independent review of the information by a person/entity acceptable by the RSR Board, at the applicant's expense,

NB: In the event of an application not being approved by the RSR, the new submission made by the applicant shall be liable for an administration fee, not less than the originally paid application fee.

DISCLAIMER

The Railway Safety Regulator (RSR) accepts no responsibility for misinterpretation of the information submitted by a railway safety permit applicant. Should an inconsistency be found, the Regulator's legal interpretation of the submitted information shall prevail. The RSR would, however, appreciate any inconsistencies being brought to its attention to enable the matter to be rectified.



1.4. CATEGORIES OF OPERATORS

Railway Safety Permits may be issued to one of the following operator categories:

- Network operator
- Train operator
- Station operator, or
- Any combination of two or three of them.

1.4.1 Network Operator:

1.4.1.1 Track maintenance may be undertaken by a contractor, but the ultimate accountability still lies with the Network Operator. Should an incident occur, and the maintenance service provider is at fault, the Regulator will still hold the network operator liable, not the service provider. Operators are reminded of the critical element of the Safety Management System which provides for the “USE OF CONTRACTORS AND CONTROL OF SUPPLIERS”.

1.4.1.2 The Network Operator needs to ensure that any rolling stock coming on to its network complies with the standards of its network, for example the axle loading or maximum train length.

1.4.1.3 Authorising and directing of the safe movement of rolling stock is usually the responsibility of the Network Operator, who determines the conditions for rolling stock allowed to move on his network, be it a siding, a yard or on the mainline, as the case may be. Opening the gate of a private siding to allow a Train Operator to place wagons on the siding is in effect authorising and directing the movement of rolling stock.

It should be noted that more than one party may be accountable for a), b) or c), **as defined in the definition of network operator**, on the same network. In such cases each party will need to apply as an operator.

1.4.2 Train Operator:

The functions of a Train Operator are fundamentally different from those of a Network Operator in that the functions may not be split – one person is accountable for all three train operation activities.

1.4.2.1 Accountability for the safe movement of rolling stock means ensuring that it is driven or moved by whatever means (including a pinch bar, winch, tractor, or locomotive) within the prescribed speed limits and within the limits for which the train movement is authorised by the network operator.

1.4.2.2 Safety and integrity of rolling stock means that it is used for the purpose that it was designed for and that the components of rolling stock that make up a train or consist, work as a safe and unified system.

1.4.2.3 Safety of freight or persons means that the train operator needs to ensure freight is loaded safely and secured within the prescribed loading profile and is unable to destabilise the train during movement. Safety of persons means that the train operator needs to manage and ensure the safety and security of all passengers / commuters on board during train movement.

1.4.3 Station Operator:

It is important to note that only one person is in control and manages a station, although it may be used by more than one train operator. This is particularly important for crowd management and the management of emergencies including fire.

The station operator must declare the boundaries of his responsibility and demonstrate in his SMS how the interfaces with the local authorities and other modes are managed.

Written agreements clearly stipulating the mutual responsibilities of a station operator and any other train operators making use of the station need to be developed. This is of particular importance when rail activities involve the transportation of people.

1.5. STATUS OF RAIL ACTIVITIES

Operators are required to apply for all active sidings and dormant sidings that are maintained. The application should clearly indicate the status of each siding applied for as either “dormant” or “active”.

1.5.1 An **active** siding is a siding that is used regularly, be it daily, weekly, monthly or even seasonally during any given year.

1.5.2 A **dormant** siding is a siding which is not normally in use, but which is maintained in an operational condition and may be re-activated by notifying the RSR, having first had its service worthiness confirmed by a suitably qualified and experienced person. Such a siding **MUST** have been included in the operator’s Safety Management System (SMS) and Safety Management System Report (SMSR) and included in the operator’s Safety Permit. The operator should inform the RSR in writing at least 1 month prior to the intended re-use of the siding to allow an inspection to take place should the RSR deem it necessary.

A **spiked** siding is a siding which is not in use and which is not necessarily maintained in an operational condition. All such sidings must be spiked by the relevant Network Operator, and certification of such spiking shall be provided to the RSR. Re-activation of such a siding requires amendment of the operator's SMS and SMSR, and endorsement of the Safety Permit. **The RSR requires 40 days written notice prior to the re-activation of such a siding.** The following must be submitted with the notice:

- Certification by a suitably qualified and experienced person (competent in the relevant discipline) that the siding is safe and fit for the purpose for which it is intended to be used,
- A recent risk assessment relevant to the re-activation of the siding,
- Amendments to the SMSR and payment of a non-refundable application fee on receipt of an invoice generated by the Regulator.

1.6. REQUIREMENTS FOR GROUPS A, B AND C SAFETY PERMITS

“Group A” Safety Permits are issued ONLY to operators meeting **one or more of** the following criteria:

- All operators involved with the movement of **commuters**,
- All operators involved with the movement of dangerous goods exceeding 50 000 net tonnes per annum,
- All operators involved with the movement of general freight exceeding 500 000 net tonnes per annum,
- Railway manufacturing and maintenance companies involved with the movement of locomotives, empty wagons/coaches and any other rail-bound maintenance vehicles exceeding 500 000 gross tonnes per annum.

“Group B” Safety Permits are issued ONLY to operators meeting **one or more of** the following criteria:

- All operators involved with the movement of **tourists**
- All operators involved with the movement of dangerous goods less than or equal to 50 000 net tonnes per annum.
- All operators involved with the movement of general freight from 200 000 to 500 000 net tonnes per annum.
- Railway manufacturing and maintenance companies involved with the movement of locomotives/empty wagons/coaches and any other rail-bound maintenance vehicles between 200 000 to 500 000 gross tonnes per annum.

“Group C” Safety Permits are issued ONLY to operators meeting **one or more of** the following criteria:

- All operators involved with the movement of general freight less than 200 000 net tonnes per annum.

- Railway manufacturing and maintenance companies involved with the movement of locomotives/empty wagons/coaches and any other rail-bound maintenance vehicles less than 200 000 gross tonnes per annum.

TAKE NOTE:

Municipalities and ports owning rail networks but not directly involved in the dispatch or receipt of traffic by rail (they simply allow other operators to traverse their network) need to provide the total list of commodities and annual rail volumes per commodity for all traffic traversing their network. Transnet Freight Rail's local customer representatives can be of assistance in obtaining such information. These tonnages will then determine if they are Group A, B or C operators as per the criteria above.

1.7. TYPES OF SAFETY PERMITS

There are different types of Safety Permits required for different applications, as listed and briefly described below:

1.7.1 Temporary Safety Permit

Temporary Safety Permits (TSP) are short term permits issued to active railway operators only for operations not yet covered by an existing permit as an interim arrangement pending the application and issuing of a Group A, B or C Safety Permit. The TSP application form is provided in Chapter 5. Immediately after having been issued with a TSP, operators should proceed with the preparation and submission of the safety permit application for the appropriate permit Group required.

TSP may be issued to an existing operator where the RSR is not convinced or satisfied with the safety arrangements of the operator.

1.7.2 Construction Train Safety Permit

Construction Train Safety Permits (CTSP) are issued to organisations which are not in possession of a Safety Permit, but who are accountable and responsible for the operation of construction trains, which include material and ballast trains, for the construction of new railway infrastructure. The requirements to be met for the issuing of a CTSP are described in Chapter 6.

1.7.3 Test and Commissioning Safety Permit

Test and Commissioning Safety Permits (TCSP) are issued to organisations which are not in possession of a Safety Permit, but who are accountable and responsible for the operation of trains in order to test and commission new or upgraded rolling stock and new or upgraded railway infrastructure elements, including the impact thereof on existing rolling stock and infrastructure elements. The requirements to be met for the issuing of a TCSP are described in Chapter 7.

1.7.4 Safety Permit for Groups A, B AND C (for normal operations)

Different Groups of Safety Permits are issued to different types of operators, depending on the nature, size and unique characteristics of their rail operations. The requirements to be met for the issuing of these permits are described in Chapter 4.

1.8. OPERATOR REGISTRATION ON NATIONAL INFORMATION MONITORING SYSTEM (NIMS)

Applicants are expected to apply for Safety Permits through the National Information Monitoring System (NIMS). In order to access NIMS, an applicant must first register in order to be issued with a NIMS username and password. To register the applicant must go to <http://nims.rsr.org.za>, select “**Operator sign up**” and provide all the required information, then save and submit the information. The registration will be received by the RSR, assessed and if all is in order, the registration will be approved. The system will then issue the applicant’s username and password by email directly to the registered Nominated Manager.

The applicant is also notified by email should the registration NOT be successful.



CHAPTER 2: GUIDANCE ON SUBMISSION OF GROUP A, B AND C SAFETY PERMIT – APPLICANT’S RAILWAY OPERATIONS AND DETAILS ON NIMS

This chapter provides guidance on aspects of the Group A, B and C safety permit application that include the applicant’s Railway Operations and Organisational Details, **to be submitted on NIMS or otherwise as prescribed by the RSR**. Refer to ANNEXURE A for the detailed format of submission.

2.1. OBJECTIONS TO RAILWAY SAFETY PERMIT BEING ISSUED

Operators need to inform the Regulator should they be aware – at the time of submitting a safety permit application or any time thereafter – of any other party objecting to them being issued with a safety permit. The mere existence of an objection does not imply that a safety permit will not be issued (or impacted on if already issued), but it will allow the Regulator to consider the objection. Objections by any interested or affected party should be reflected in the application.

2.2. DETAILS OF APPLICANT

Most of the questions are self-explanatory.

NB: Changes in the organisational details should be communicated to the RSR Head Office.

2.3. NOMINATED MANAGER

Every operator is obliged to appoint, in writing, a member of senior management as a Nominated Manager.

- Operators need to develop a procedure to ensure continuity in that position and to prevent any period during which there is no appointed Nominated Manager in place. This procedure must be submitted as part of the application.
- Operators are further obliged to inform the Regulator in writing prior to any change of the appointed person or provide the contact details of any new appointee.
- The Nominated Manager, irrespective of other responsibilities, shall ensure that the requirements of the Act, regulatory instruments, the SANS 3000 series of standards and other applicable standards are implemented, maintained and are auditable. The Nominated Manager is responsible for ensuring that the safety management system is in place and implemented, and that relevant persons at all levels of the organisation are aware of their responsibilities regarding railway safety.
- The Nominated Manager must be appointed in writing by the CEO, specifically in terms of his/her responsibilities according to the Determination of the SMS and SMSR. A copy of the Nominated Manager’s letter of appointment must be attached to all safety permit applications.

Please note: An appointment letter in terms of the Occupational Health and Safety Act or Mine Health and Safety Act is not acceptable.

2.4. REVENUE GENERATED FROM RAIL ACTIVITIES

Some operators offer various rail services to other parties and generate revenue in the process, such as the transportation by rail of people and/or goods. Operators need to indicate if they do offer such services, and if so, what the total income derived from the transportation of goods and passengers was for the last completed financial year.

NB: Only the most recently audited financial information shall be submitted.

2.5. ANNUAL VOLUMES OF PEOPLE AND GOODS TRANSPORTED

Operators need to indicate their involvement or not in the receipt / dispatch / transportation of commuters, other passengers, dangerous goods and general freight, as well as the annual numbers/volumes of each.

2.5.1 **Commuters** are defined as people transported to and from work daily. Indicate if you offer such rail service and if so, provide the total annual number of commuters transported.

2.5.2 **Tourists** are defined as people transported, excluding commuters. If tourists are transported by rail, indicate the annual total number of passengers.

2.5.3 **Dangerous goods** are commodities, substances and goods that are capable of posing a significant risk to health and safety of persons or damage to property or the environment that are listed in the appropriate standard specifications of the South African Bureau of Standards (SABS) as identified by the Minister by notice in the Gazette.

NB: fuel and other dangerous liquids should be converted to tonnes for purposes of the submission and if it is provided in litres, operators will pay a much higher permit fee as it will be interpreted as tonnes.

2.5.4 Provide the annual commuter/tourist, dangerous goods and or general freight kilometres travelled within the operator's siding or area of operation. This is arrived at by calculating distance covered with each of these loaded commodities/ commuters/tourists in a year.

2.5.5 **General freight** is goods such as cement, coal, maize, lime, wood or any other goods not classified as dangerous goods. Indicate each of such commodity transported as well as the annual tonnage for each commodity.

2.6. DESCRIPTION OF NETWORK OPERATIONS

Distinction is made between the operations on “running lines” and “sidings”. The definitions for each are provided below. Some operators may operate only on one of these types of network, while others may be active on both.

2.6.1 Running lines are defined as main lines or branch lines between stations. It excludes private sidings.

Should operators be either a network or train operator on a running line they need to complete Sub-Element 6.1 (on NIMS) onwards in the application form. If running lines are not operated on, proceed to Sub-Element 6.2 (on NIMS).

Sub-element 6.1 (on NIMS) requires the following:

- Information is needed on which running lines are involved, the length in kilometre of active, dormant and spiked running lines. (Refer 1.5.)
- The gauge of a network.
- The most recent network diagram for the running lines operated on must be submitted.

2.6.2 Sidings are defined as private sidings, yards, municipal networks, ports and any rail activity in an enclosed area. This excludes main lines and branch lines.

As was explained above under running lines, information on the status, length and gauge of each siding applied for needs to be provided.

NB: The most recent official siding diagram from the network operator must be submitted.

Refer to the guidance provided above regarding running lines, as the same information needs to be provided for sidings. Note the detail should be provided for EACH siding to be covered on the permit.

2.7. DESCRIPTION OF TRAIN OPERATIONS

The questions are self-explanatory.

2.8. DESCRIPTION OF STATION OPERATIONS

*Please note that station operators will be required to **submit station diagrams** as part of the application. In addition, **interface agreements** between the station operator and utilizing the station will need to be submitted.*

The next chapter provides guidance on the elements of the safety management system.



CHAPTER 3: GUIDANCE ON THE SAFETY MANAGEMENT SYSTEM (SMS) SUBMISSION

Operators shall deliver proof of the existence of an implemented SMS by submitting the most recently signed and controlled version of each of the policies and procedures and evidence referred to in the application form. The guidance provided below is not intended to replace or override SANS 3000 series of standards, but rather to **augment and complement** the requirements. Refer to **ANNEXURE A** for detailed format of submission.

3.1. REQUIREMENTS ON THE STRUCTURE OF THE SMS AND SMS REPORT

3.1.1 The SMS must be documented in all relevant parts and shall describe the distribution of responsibilities within the organisation of the railway operator. It shall show how control by the management on different levels is secured, how staff and their representatives on all levels are involved and how continuous improvement of the safety management system is ensured.

3.1.2 The SMS and SMS Report must be in a form as prescribed in the *Determination of the Safety Management System (SMS) and Safety Management System Report (SMSR)*. It must:

- be evidenced in writing,
- provide a comprehensive and integrated management system for all aspects of control measures adopted in accordance with the legislation,
- be set out and expressed in a way that its contents are readily accessible and comprehensible to persons who use it,
- be prepared in accordance with this permit guide and the Determination,
- contain the matters and information required by the standards, regulations and this guide,
- be kept and maintained in accordance with the SANS 3000 series of standards and this guideline, and
- state the persons responsible for the development of all or parts, of the SMS.

3.1.3 To guide the documentation of a successful SMS Report, the operator's attention is drawn to the Safety Permit Conformity Assessment Methodology (SPCAM) (Annexure A), and in particular the requirement for an accurate systems description. The importance of the operator's system description is key to the adjudication of the adequacy of the SMS. The systems description provides key information to both the Regulator and the Operator with respect to the adequacy of the SMS.

3.1.3.1 The following information shall be documented and provided in an SMS Report:

- The name, physical and postal address, and company registration number, including the name, physical and postal addresses and contact details of the Nominated Manager (as per the NIMS requirements as outlined in Chapter 2)
- A systems description of the operator which must provide the Regulator with a holistic business overview of the following:
- A statement of strategic intent, nature of the business (freight, passenger, heritage, etc.), vision and mission statement, business philosophy, envisaged market growth, including new works during the period of issuance of the new Safety Permit
- Organogram, number of employees, geographical areas of business,
- Annual volume of passengers and tonnage transported number of yards, sidings, number and types of rolling stock and locomotives
- Description of train operations (including signal and telecommunication systems in use), depot operations and station operations
- Maintenance strategy: broad maintenance strategy; person in charge for delivery of maintenance arrangements (maintenance organogram); shared maintenance responsibility, management of contractors, introduction of new technology, asset configuration process.
- A summary of the key aspects of the elements and sub elements of the operator's SMS to demonstrate compliance with the SMS Determination
- A list of the applicable titles and dates of relevant safety-related legislation,
- A list of all the applicable SMS Standards
- A list of all the applicable SMS procedures
- A list of all the safety critical and safety related positions
- A list of the training courses required for each employee who does safety related work
- A list of interface agreements with other operators with whom the applicant interfaces
- Safety Improvement Plan
- Additional information according to the type of railway operation

3.1.4 Permit Amendments

3.1.4.1 Additional Information by the **Network operator** - The Network operator shall supply the following information:

- a) A description of the network, with the following suitable diagrams attached:
 1. A diagram of the infrastructure (e.g. track gauge, bridges and tunnels, servitudes and wayleaves (where applicable), train control systems and related telecommunication methods, and electric traction infrastructure; and
 2. A diagram of the geographical areas of operation, including
 - i. The train service border areas
 - ii. The network borders
 - iii. The sections of lines with route kilometres and single-track kilometres
 - iv. The location and type of level crossings (vehicle crossings and pedestrian crossings), and
 - v. The total number of private sidings, and the number (s) of sidings in use
- b) Operational descriptions, for example train control systems (such as colour-light signalling; radio-based train control systems); and
- c) Operational parameters per route,
 1. Maximum allowable speed
 2. Maximum axle loading
 3. Maximum train length, in metres, including the motive power,
 4. Route restrictions other than normal operational parameters (for example, the loading profiles, motive requirements, or infrastructure limitations when specialized freight such as abnormal loads or dangerous goods are to be conveyed),
 5. Capacity utilization of each route,
 6. Motive power (steam, electric, diesel, other),
 7. List of maintenance depots and maintenance equipment in use;
 8. List of power supply substations, and
 9. Other (specify)

3.1.4.2 Additional Information by the **Train Operator** - The train operator shall supply the following information:

- a) information about the rolling stock, i.e.
 1. The motive power, whether
 - i. Electric (type and number of locomotives),

- ii. Diesel (type and number of locomotives),
 - iii. Steam (type and number of locomotives),
 - iv. Others (specify)
 2. Wagons (type and number)
 3. Passenger coaches (type and number)
 4. Information on the maintenance depots and maintenance facilities;
 5. Other (specify)
- b) The routes of the network used by the train operator and the frequency and nature of the operation;
- c) The stations that will be used and the frequency of use;
- d) Dangerous goods handled, i.e.
1. Projected volumes
 2. Routes, and
 3. Classes, and
- e) Other (Specify)

3.1.4.3 Additional Information by the **Station Operator** - The station operator shall supply the following information:

- a) A list of the stations under his control, the routes, and name of the network operator responsible for each station;
- b) A list of the names of train operators and the stations they use,
- c) The capacity of stations in terms of trains and passengers,
- d) The average utilization of stations in terms of trains and passengers; and
- e) Other (Specify)

DECLARATION:

The person signing the permit application should be delegated the authority to do so and be able to deliver proof of the written delegation on request.



CHAPTER 4: SAFETY PERMIT APPLICATION FORM FOR GROUPS A, B AND C

1.	REASON FOR APPLICATION Tick the appropriate box below		
1.1	Existing Group A, B or C safety permit to be renewed	YES	NO
1.2	Temporary Safety Permit holder needing a safety permit	YES	NO
1.3	Construction Train Safety Permit holder needing a safety permit	YES	NO
1.4	Test & Commissioning Train Safety Permit holder needing a safety permit	YES	NO
1.5	New application – first time a safety permit is applied for	YES	NO
1.6	New permit needed due to company name change	YES	NO
1.7	New permit needed due to legal entity change	YES	NO
1.8	New permit needed – taking over an entity with a current safety permit	YES	NO
1.9	Current permit number		
1.10	Current permit expiry date		

2.	OBJECTIONS TO RAILWAY SAFETY PERMIT BEING ISSUED Tick the appropriate box below and if “YES” provide further detail requested.		
2.1	Are you aware of any other party objecting to your railway activities or a safety permit being issued to you?	YES	NO
2.2	Name of party objecting		
2.3	Contact details of party objecting		
2.4	Reasons provided for objection		

3.	DETAILS OF APPLICANT Provide the information requested below and tick the appropriate box where applicable.		
3.1	Legal name		
3.2	Trade name		
3.3	Company registration number		
3.4	Physical address		
3.5	Postal address		
3.6	Company telephone number		
3.7	Company fax number		
3.8	Head of the Organisation – Name		
3.8.1	Head of the Organisation – Job title		
3.8.2	Head of the Organisation – Landline phone number		
3.8.3	Head of the Organisation – Cell phone number		
3.8.4	Head of the Organisation – Fax number		
3.8.5	Head of the Organisation – E-mail address		
3.9	Nominated Manager – Name		
3.9.1	Nominated Manager – Job title		
3.9.2	Nominated Manager – Landline phone number		

3.9.3	Nominated Manager – Cell phone number		
3.9.4	Nominated Manager – Fax number		
3.9.5	Nominated Manager – E-mail address		
3.10	Business sector/industry		
3.11	Is rail the core business of the company? (Do you derive revenue by offering rail services to customers?)	YES	NO
3.11.1	If so, reflect the total income derived from the transportation of goods and/or passengers for the last completed financial year (Previous year).		

4.	CATEGORY OF RAIL OPERATIONS APPLIED FOR Tick the appropriate box/boxes below.		
4.1	Network operator	YES	NO
4.2	Train operator	YES	NO
4.3	Station operator	YES	NO

5.	ANNUAL VOLUMES OF PEOPLE AND GOODS TRANSPORTED DURING PREVIOUS YEAR Tick the appropriate box. If the answer is “yes”, submit the annual volumes in the space provided.		
5.1	Involvement in the transportation of commuters	YES	NO
5.1.1	If so, what is the annual total number of commuters transported		
5.1.2	State the total annual kilometre rail distance travelled with commuters		
5.2	Involvement in the transportation of any other passengers (including tourists, excluding commuters)	YES	NO
5.2.1	Annual total number of passengers transported		
5.2.2	Total annual kilometre rail distance travelled with passengers (including tourists), excluding commuters		
5.3	Do you dispatch/receive/transport dangerous goods by rail?	YES	NO
5.3.1	If so, provide details 5.3.1 below		
5.3.2	What is the total annual kilometre rail distance covered with dangerous goods?		
5.4	Do you dispatch/receive/transport general freight by rail?	YES	NO
5.4.1	If so, provide details in 5.4.1 below		
5.4.2	What is the total annual kilometre rail distance travelled with general freight?		
5.5	Are you a railway manufacturing/maintenance company involved only with the movement of equipment and/or empty coaches/wagons and locomotives?	YES	NO
5.5.1	If so, provide details 5.5.1 below		

5.3.1 Provide *per network/siding to be covered under this permit* a list of **dangerous goods** commodities as well as the annual net tonne rail volume per commodity. Add rows as required.

NETWORK OR SIDING LOCATION AND NUMBER	DANGEROUS GOODS COMMODITY	TOTAL ANNUAL RAIL TONNAGES MOVED IN PREVIOUS CYCLE <i>NOTE: Expressed in tons</i>
e.g. Welkom 456789	Fuel	5000 tonnes
e.g. Cape Town 123456	LPG	1000 tonnes
TOTAL DANGEROUS GOODS		6000 tones

5.4.1 Provide *per network/siding to be covered under this permit* a list of *general freight commodities* as well as the annual net tonne rail volume per commodity. Add lines as required.

NETWORK OR SIDING LOCATION AND NUMBER	GENERAL FREIGHT COMMODITY	TOTAL ANNUAL RAIL TONNAGES MOVED IN PREVIOUS CYCLE <i>NOTE: Expressed in tonnes</i>
e.g. Welkom 456789	Cement	500 000 tonnes
TOTAL GENERAL FREIGHT		500 000 tonnes

5.5.1 Rail manufacturing/maintenance annual gross tonnes calculation.

Complete the table below *for each siding to be covered under the permit*:

	ITEM (A)	NUMBER OF MOVEMENTS PER DAY (B)	MULTIPLIED BY (C)	B x C = (D)
5.5.1.1	Number of wagon/coach movements per day		80 tonnes	D1 =
5.5.1.2	Number of any other rail-bound maintenance vehicle movements per day		80 tonnes	D2 =
5.5.1.3	Number of locomotive movements per day		150 tonnes	D3 =
5.5.1.4	GROSS TONS PER DAY (Total of D1+D2+D3)			
5.5.1.5	GROSS TONS PER YEAR (Total in B4 x 350 days)			

Assumptions: 80 Tonnes is the assumed weight of Wagon/Coach/Tanker/Maintenance Vehicle; 150 Tonnes is the assumed weight of a locomotive; 350 Railway working days per annum.

6.	DESCRIPTION OF NETWORK OPERATIONS		
	<i>Tick the appropriate box. If the answer is "yes", submit answers in the space provided.</i>		
6.1	Do you operate, manage and/or maintain RUNNING LINES (main lines between stations and/or branch lines <i>excluding</i> private sidings)?	YES	NO PROCEED TO 6.2
6.1.1	Total length in kilometre of active running line/network e.g. Rovos Rail Capital Park to Centurion = 25km; TFR national network 15 000km		
6.1.2	Total length in kilometre of dormant running line/network (accessible but not currently in use)		
6.1.3	Total length in kilometre of spiked running line/network (not accessible for use)		
6.1.4	Is the running line gauge width a Cape Gauge (1067mm)?	YES	NO
6.1.4.1	Indicate the total length of Cape Gauge running lines in kilometre		
6.1.5	Is the running line gauge width Standard Gauge (1435mm)?	YES	NO
6.1.5.1	Indicate the total length of Standard Gauge running lines in kilometre		

6.1.6	Is the running line gauge width Narrow Gauge (610mm)?	YES	NO
6.1.6.1	Indicate the total length of Narrow-Gauge running lines in kilometre		
6.1.7	Submission of network diagram. Re-applicants using the system need to ensure the diagrams reflect the most recent version of the network, or to submit the latest version. First time applicants must submit the network diagram for all running lines operated		
6.1.8	Who is responsible for maintaining the network?		
6.1.9	Are there level crossings on the running lines/network?	YES	NO
6.1.9.1	If so, how many level crossings are located on public roads		
6.1.9.2	How many level crossings are located on private roads?		

6.1.10 List all other parties that are allowed access to the network, as well as the nature of their activities on the network, including train operators, station operators, maintenance contractors.

OTHER (THIRD) PARTIES ALLOWED ACCESS TO THE NETWORK	NATURE OF ACTIVITIES ON THE NETWORK

6.2	Do you operate, manage and/or maintain SIDINGS (Private sidings, yards, municipalities, ports and any rail activity in an enclosed area - excluding main and branch lines)?	YES	NO
6.2.1	State the total length of active sidings in kilometre		
6.2.2	State the total length of dormant sidings (accessible but not currently in use) in kilometres		
6.2.3	State the total length of spiked sidings (not accessible for use) in kilometre		
6.2.4	Is the siding gauge width Cape Gauge (1067mm)?	YES	NO
6.2.4.1	Indicate the total length of Cape Gauge sidings in kilometre		
6.2.5	Is the siding gauge width Standard Gauge (1435mm)?	YES	NO
6.2.5.1	Indicate the total length of Standard Gauge sidings in kilometre		
6.2.6	Is the siding gauge width Narrow Gauge (610mm)?	YES	NO
6.2.6.1	Indicate the total length of Narrow-Gauge sidings in kilometre		

6.2.7 List all the sidings to be covered on this permit. Add rows as needed.

SIDING NUMBER	PHYSICAL STREET ADDRESS	NAME AND CONTACT DETAILS OF PERSON RESPONSIBLE FOR RAILWAY SAFETY AT THE SIDING

6.2.8 List all other parties allowed access to **each** siding, as well as the nature of their activities on the siding, including train operators, station operators, maintenance contractors. Add rows as needed

SIDING NUMBER	PARTIES ALLOWED ACCESS TO THE NETWORK	NATURE OF ACTIVITIES ON THE NETWORK

Complete this section for each siding to be covered on the permit			
6.2.9	Submission of siding diagrams: Re-applicants using the system must ensure the diagram is the most recent official version of the siding		
6.2.10	Are there level crossings on the sidings?	YES	NO
6.2.10.1	How many level crossings are located on public roads		
6.2.10.2	How many level crossings are located on private roads		
6.2.11	Who operates the network to which the siding is connected?		
6.2.12	Party responsible to place order for block loads/wagons to transport commodities		
6.2.13	Party responsible for train control		
6.2.14	Party responsible for allowing trains access to the siding		
6.2.15	Party responsible for placing trains in the siding		
6.2.16	Are trains/wagons moved (using any form of traction) after they are placed in the siding?	YES	NO
6.2.16.1	If YES, party responsible for the safe movement of trains/wagons after it is placed in the siding		
6.2.17	Party responsible for collecting the block loads/wagons from the siding afterwards		

7.	DESCRIPTION OF TRAIN OPERATIONS
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7.1 Indicate the means of traction used for train services to be covered on the permit (This includes locomotives, tractors, winches, pinch bars, etc.)

DESCRIPTION	MODEL	NUMBER OF UNITS IN USE	AVERAGE AGE

7.2 List the rolling stock used for train services to be covered on the permit

DESCRIPTION	MODEL	NUMBER OF UNITS IN USE	AVERAGE AGE

7.3 List the running lines/sidings on which train services are offered

DESCRIPTION	NETWORK OPERATOR	PARTY RESPONSIBLE FOR TRAIN CONTROL ON THE RUNNING LINE/SIDING	FREQUENCY OF TRAIN SERVICES OFFERED

7.4 List the stations utilised during train services offered

STATION NAME	STATION OPERATOR	NETWORK OPERATOR	FREQUENCY OF TRAIN SERVICES OFFERED TO THESE STATIONS

7.5	Are any of the rolling stock (coaches/wagons) you move converted for use other than what they were intended for i.e. original design (e.g. trolley converted for passenger transport; coaches converted to carry higher number of passengers).?	YES	NO
7.5.1	If so, submit technical details of the conversion.		
7.5.2	Motivate why the conversion is safe and suitable for use		

8.	DESCRIPTION OF STATION OPERATIONS
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8.1 List all the stations to be covered on the permit

STATION NAME	PHYSICAL STREET ADDRESS	STATION OPERATOR	NETWORK OPERATOR OF LINE ON WHICH STATION IS LOCATED	YEAR LAST UPGRADED

Complete for each station to be covered on the permit	
8.2	All operators: Submit a station diagram for each station to be covered on this permit. It should clearly indicate the station, buildings, platforms, tracks as well as total station precinct.
8.3	List the train operators allowed to utilise the station
8.4	All operators: Submit a signed agreement between the station operator and any other party using the station in which the respective responsibilities of both parties are clearly stated.
8.5	Provide the name and contact details of the person responsible for railway safety at this station

9. Safety Management System (SMS)

Submission shall be made for all SMS elements as per the Safety Permit Conformity Assessment Methodology (SPCAM). Refer to Annexure A.



CHAPTER 5: TEMPORARY SAFETY PERMIT APPLICATION FORM

REFER TO THE GUIDANCE PROVIDED IN CHAPTERS 1 & 2 WHILE COMPLETING THE APPLICATION.

1.	REASON FOR APPLICATION Tick the appropriate box below		
1.1	Currently active operator – first time a temporary safety permit is applied for?	YES	NO
1.2	If so, are you applying because you have taken over an entity in possession of a current safety permit?	YES	NO
1.3	Current holder of either a Group A, B or C safety permit guided by the RSR to apply for a temporary safety permit?	YES	NO
1.4	Current permit number		
1.5	Current permit expiry date		

2.	OBJECTIONS TO RAILWAY SAFETY PERMIT BEING ISSUED Tick the appropriate box below and if “YES” provide further detail requested.		
2.1	Are you aware of any other party objecting to your railway activities or a safety permit being issued to you?	YES	NO
2.2	Name of party objecting		
2.3	Contact details of party objecting		
2.4	Reasons provided for objection		

3.	DETAILS OF APPLICANT Provide the information requested below and tick the appropriate box where applicable.		
3.1	Legal name		
3.2	Trade name		
3.3	Company registration number		
3.4	Physical address		
3.5	Postal address		
3.6	Company telephone number		
3.7	Company fax number		
3.8	Head of the Organisation – Name		
3.8.1	Head of the Organisation - Job title		
3.8.2	Head of the Organisation – Landline phone number		
3.8.3	Head of the Organisation – Cell phone number		
3.8.4	Head of the Organisation – Fax number		
3.8.5	Head of the Organisation - E-mail address		
3.9	Nominated Manager – Name		
3.9.1	Nominated Manager - Job title		
3.9.2	Nominated Manager – Landline phone number		
3.9.3	Nominated Manager – Cell phone number		
3.9.4	Nominated Manager – Fax number		
3.9.5	Nominated Manager - E-mail address		
3.10	Business sector/industry		

3.11	Is rail the core business of the company? (Do you derive revenue by offering rail services to customers?)	YES	NO
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4.	CATEGORY OF RAIL OPERATIONS APPLIED FOR Tick the appropriate box/boxes below.		
4.1	Network operator	YES	NO
4.2	Train operator	YES	NO
4.3	Station operator	YES	NO

5.	ANNUAL VOLUMES OF PEOPLE AND GOODS TRANSPORTED <u>DURING PREVIOUS YEAR</u> Tick the appropriate box. If the answer is "yes", submit the annual volumes in the space provided.		
5.1	Involvement in the transportation of commuters (commuters are people transported to and from work daily)	YES	NO
5.1.1	If so, what is the annual total number of commuters transported		
5.1.2	State the total annual kilometre rail distance travelled with commuters		
5.2	Involvement in the transportation of any other passengers (including tourists, excluding commuters)	YES	NO
5.2.1	Annual total number of passengers transported		
5.2.2	Total annual kilometre rail distance travelled with passengers (including tourists), excluding commuters		
5.3	Do you dispatch/receive/transport dangerous goods by rail?	YES	NO
5.3.1	If so, provide details in 5.3.1 below		
5.3.2	What is the total annual kilometre rail distance covered with dangerous goods		
5.4	Do you dispatch/receive/transport general freight by rail?	YES	NO
5.4.1	If so, provide details in 5.4.1 below		
5.4.2	What is the total annual kilometre rail distance travelled with general freight?		
5.5	Are you a railway manufacturing/maintenance company involved only with the movement of equipment and/or empty coaches/wagons and locomotives?	YES	NO
5.5.1	If so, provide details in 5.5.1 below		

5.3.1 Provide *per network/siding to be covered under this permit* a list of **dangerous goods** commodities as well as the annual net tonne rail volume per commodity. Add rows as required.

NETWORK OR SIDING LOCATION AND NUMBER	DANGEROUS GOODS COMMODITY	TOTAL ANNUAL RAIL TONNAGES MOVED IN PREVIOUS CYCLE <i>NOTE: Expressed in tons</i>
e.g. Welkom 456789	Fuel	5000 tonnes
e.g. Cape Town 123456	LPG	1000 tonnes
TOTAL DANGEROUS GOODS		6000 tonnes

5.4.1 Provide *per network/siding to be covered under this permit* a list of **general freight commodities** as well as the annual net tonne rail volume per commodity. Add lines as required.

NETWORK OR SIDING LOCATION AND NUMBER	GENERAL FREIGHT COMMODITY	TOTAL ANNUAL RAIL TONNAGES MOVED IN PREVIOUS CYCLE <i>NOTE: Expressed in tons</i>
e.g. Welkom 456789	Cement	500 000 tonnes
TOTAL GENERAL FREIGHT		500 000 tonnes

5.5.1 Rail manufacturing/maintenance annual gross tonnes calculation.

Complete the table below *for each siding to be covered under the permit*:

	ITEM (A)	NUMBER OF MOVEMENTS PER DAY (B)	MULTIPLIED BY (C)	B x C = (D)
5.5.1.1	Number of wagon/coach movements per day		80 tonnes	D1 =
5.5.1.2	Number of any other rail-bound maintenance vehicle movements per day		80 tonnes	D2 =
5.5.1.3	Number of locomotive movements per day		150 tonnes	D3 =
5.5.1.4	GROSS TONNES PER DAY (Total of D1+D2+D3)			
5.5.1.5	GROSS TONNES PER YEAR (Total in B4 x 350 days)			

Assumptions: 80 Tonnes is the assumed weight of Wagon/Coach/Tanker/Maintenance Vehicle;

150 Tonnes is the assumed weight of a locomotive; 350 Railway working days per annum.

6.	DESCRIPTION OF NETWORK OPERATIONS <i>Tick the appropriate box. If the answer is "yes", submit answers in the space provided.</i>		
6.1	Do you operate, manage and/or maintain RUNNING LINES (main lines between stations and/or branch lines <i>excluding</i> private sidings)?	YES	NO PROCEED TO 6.2
6.1.1	Total length in kilometre of active running line/network e.g. Rovos Rail Capital Park to Centurion = 25km; TFR national network 15 000km		
6.1.2	Total length in kilometre of dormant running line/network (accessible but not currently in use)		
6.1.3	Total length in kilometre of spiked running line/network (not accessible for use)		
6.1.4	Is the running line gauge width a Cape Gauge (1067mm)?	YES	NO
6.1.4.1	Indicate the total length of Cape Gauge running lines in kilometre		
6.1.5	Is the running line gauge width Standard Gauge (1435mm)?	YES	NO
6.1.5.1	Indicate the total length of Standard Gauge running lines in kilometre		
6.1.6	Is the running line gauge width Narrow Gauge (610mm)?	YES	NO
6.1.6.1	Indicate the total length of Narrow-Gauge running lines in kilometre		
6.1.7	Submission of network diagram.		

	Re-applicants using the system need to ensure the diagrams reflect the most recent version of the network, or to submit the latest version. First time applicants must submit the network diagram for all running lines operated		
6.1.8	Who is responsible for maintaining the network?		
6.1.9	Are there level crossings on the running lines/network?	YES	NO
6.1.9.1	If so, how many level crossings are located on public roads		
6.1.9.2	How many level crossings are located on private roads?		

6.1.10 List all other parties that are allowed access to the network, as well as the nature of their activities on the network, including train operators, station operators, maintenance contractors.

OTHER (THIRD) PARTIES ALLOWED ACCESS TO THE NETWORK	NATURE OF ACTIVITIES ON THE NETWORK

6.2	Do you operate, manage and/or maintain SIDINGS (Private sidings, yards, municipalities, ports and any rail activity in an enclosed area - excluding main and branch lines)?	YES	NO
6.2.1	State the total length of active sidings in kilometre		
6.2.2	State the total length of dormant sidings (accessible but not currently in use) in kilometre		
6.2.3	State the total length of spiked sidings (not accessible for use) in kilometre		
6.2.4	Is the siding gauge width Cape Gauge (1067mm)?	YES	NO
6.2.4.1	Indicate the total length of Cape Gauge sidings in kilometre		
6.2.5	Is the siding gauge width Standard Gauge (1435mm)?	YES	NO
6.2.5.1	Indicate the total length of Standard Gauge sidings in kilometre		
6.2.6	Is the siding gauge width Narrow Gauge (610mm)?	YES	NO
6.2.6.1	Indicate the total length of Narrow-Gauge sidings in kilometre		

6 List all the sidings to be covered on this permit. Add lines as needed.

SIDING NUMBER	PHYSICAL STREET ADDRESS	NAME AND CONTACT DETAILS OF PERSON RESPONSIBLE FOR RAILWAY SAFETY AT THE SIDING

Complete this section for each siding to be covered on the permit			
6.1	Submission of siding diagrams: Re-applicants using the system must ensure the diagram is the most recent official version of the siding		
6.2	Are there level crossings on the sidings?	YES	NO
6.2.1	How many level crossings are located on public roads?		
6.2.2	How many level crossings are located on private roads?		
6.2.3	Who operates the network to which the siding is connected?		

6.2.4	Party responsible to place order for block loads/wagons to transport commodities		
6.2.5	Party responsible for train control		
6.2.6	Party responsible for allowing trains access to the siding		
6.2.7	Party responsible for placing trains in the siding		
6.2.8	Are trains/wagons moved (using any form of traction) after they are placed in the siding?	YES	NO
6.2.8.1	If YES, party responsible for the safe movement of trains/wagons after it is placed in the siding		
6.2.9	Party responsible for collecting the block loads/wagons from the siding afterwards		

7. Indicate the means of traction used for train services to be covered on the permit (This includes locomotives, tractors, winches, pinch bars, etc.)

DESCRIPTION	MODEL	NUMBER OF UNITS IN USE	AVERAGE AGE

8. List the running lines/sidings on which train services are offered

DESCRIPTION	NETWORK OPERATOR	PARTY RESPONSIBLE FOR TRAIN CONTROL ON THE RUNNING LINE/SIDING	FREQUENCY OF TRAIN SERVICES OFFERED

9. List all the stations to be covered on the permit

STATION NAME	PHYSICAL STREET ADDRESS	STATION OPERATOR	NETWORK OPERATOR OF LINE ON WHICH STATION IS LOCATED	YEAR LAST UPGRADED

10. Safety Management System (SMS)

CONFIRM THAT THE FOLLOWING ELEMENTS HAVE BEEN ADDRESSED BY SUBMITTING THE MOST RECENT DOCUMENT

A-1: A list of interface agreements with other operators with whom the applicant interfaces

ELEMENT 8.1: LEADERSHIP	
REF	SUB-ELEMENT

8.1.2	Safety Policy
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ELEMENT 8.2: RISK MANAGEMENT	
REF	SUB-ELEMENT
8.2.1	Control of risk associated with the activities of the operator

ELEMENT 9.1: STRUCTURES	
REF	SUB-ELEMENT
9.1.1	Distribution of authorities and responsibilities.
9.1.3	Organisational Structure

DECLARATION:

I, the undersigned, am duly authorized to sign this permit application.

Appropriate Signature

Name and designation in print:

Date



CHAPTER 6: CONSTRUCTION TRAIN SAFETY PERMIT APPLICATION FORM

REFER TO THE GUIDANCE PROVIDED IN CHAPTERS 1 & 2 WHILE COMPLETING THE APPLICATION.

1.	REASON FOR APPLICATION Tick the appropriate box below		
1.1	Never operated before – construction rail facilities to be operated in future?	YES	NO
1.2	Current holder of either a Group A, B or C permit guided by the RSR to apply for a temporary safety permit?	YES	NO
1.3	Current holder of either a Group A, B or C permit planning to run construction trains?	YES	NO
1.4	Current permit number		
1.5	Current permit expiry date		

2.	OBJECTIONS TO RAILWAY SAFETY PERMIT BEING ISSUED Tick the appropriate box below and if “YES” provide further detail requested.		
2.1	Are you aware of any other party objecting to your railway activities or a safety permit being issued to you?	YES	NO
2.2	Name of party objecting		
2.3	Contact details of party objecting		
2.4	Reasons provided for objection		

3.	DETAILS OF APPLICANT Provide the information requested below and tick the appropriate box where applicable.		
3.1	Legal name		
3.2	Trade name		
3.3	Company registration number		
3.4	Physical address		
3.5	Postal address		
3.6	Company telephone number		
3.7	Company fax number		
3.8	Head of the Organisation – Name		
3.8.1	Head of the Organisation - Job title		
3.8.2	Head of the Organisation – Landline phone number		
3.8.3	Head of the Organisation – Cell phone number		
3.8.4	Head of the Organisation – Fax number		
3.8.5	Head of the Organisation - E-mail address		
3.9	Nominated Manager – Name		
3.9.1	Nominated Manager - Job title		
3.9.2	Nominated Manager – Landline phone number		
3.9.3	Nominated Manager – Cell phone number		
3.9.4	Nominated Manager – Fax number		
3.9.5	Nominated Manager - E-mail address		
3.10	Business sector/industry		

3.11	Is rail the core business of the company? (Do you derive revenue by offering rail services to customers?)	YES	NO
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4.	CATEGORY OF RAIL OPERATIONS APPLIED FOR Tick the appropriate box/boxes below.		
4.1	Network operator	YES	NO
4.2	Train operator	YES	NO
4.3	Station operator	YES	NO

5. SUBMISSION REQUIREMENTS

- 5.1 Provide a detailed project description (including location) and submit technical drawings for the rail related elements of the project.
- 5.2 Provide a description of the rolling stock to be used
- 5.3 Provide details of the means of traction to be employed
- 5.4 Provide a schedule and description of the planned operation of construction and material trains, including heavy on-track equipment and inspection trolleys. Start and end dates for the running of trains must be provided.
- 5.5 Indicate if the running of construction trains will impact on the normal operations of any other rail operator, including the operator initiating the project. If so, provide details and explain how the resultant risks will be managed.

6. SAFETY MANAGEMENT SYSTEMS (SMS)

CONFIRM THAT THE FOLLOWING ELEMENTS HAVE BEEN ADDRESSED BY SUBMITTING THE MOST RECENT DOCUMENT

ELEMENT 8.1: LEADERSHIP	
REF	SUB-ELEMENT
8.1.1	Safety Policy

ELEMENT 8.2: RISK MANAGEMENT	
REF	SUB-ELEMENT

8.2.1	Control of risk associated with the activities of the operator (Submit a comprehensive Risk Register).
8.2.2	Risks arising from the activities of other parties (To be included in the Risk Register).
8.2.3	Procedures and methods for carrying out risk evaluation and implementing risk control measures (Risk assessment methodology).
8.2.4	Compliance with legislation, rules and standards (List all applicable legislation, rules and standards inclusive of signed declaration of compliance).

DECLARATION:

I, the undersigned, am duly authorized to sign this permit application.

Appropriate Signature

Date

Name and designation in print:



CHAPTER 7: TEST AND COMMISSIONING TRAIN SAFETY PERMIT APPLICATION FORM

REFER TO THE GUIDANCE PROVIDED IN CHAPTERS 1 & 2 WHILE COMPLETING THE APPLICATION.

1.	REASON FOR APPLICATION Tick the appropriate box below		
1.1	Current holder of Construction Train safety permit now needing a Test & Commissioning Permit?	YES	NO
1.3	Never operated before – test and commissioning new rail facilities to be operated in future?	YES	NO
1.3	Current holder of either a Group A, B or C permit planning to run, test and commission trains?	YES	NO
1.4	Current permit number		
1.5	Current permit expiry date		

2.	OBJECTIONS TO RAILWAY SAFETY PERMIT BEING ISSUED Tick the appropriate box below and if “YES” provide further detail requested.		
2.1	Are you aware of any other party objecting to your railway activities or a safety permit being issued to you?	YES	NO
2.2	Name of party objecting		
2.3	Contact details of party objecting		
2.4	Reasons provided for objection		

3.	DETAILS OF APPLICANT Provide the information requested below and tick the appropriate box where applicable.		
3.1	Legal name		
3.2	Trade name		
3.3	Company registration number		
3.4	Physical address		
3.5	Postal address		
3.6	Company telephone number		
3.7	Company fax number		
3.8	Head of the Organisation – Name		
3.8.1	Head of the Organisation – Job title		
3.8.2	Head of the Organisation – Landline phone number		
3.8.3	Head of the Organisation – Cell phone number		
3.8.4	Head of the Organisation – Fax number		
3.8.5	Head of the Organisation – E-mail address		
3.9	Nominated Manager – Name		
3.9.1	Nominated Manager – Job title		
3.9.2	Nominated Manager – Landline phone number		
3.9.3	Nominated Manager – Cell phone number		
3.9.4	Nominated Manager – Fax number		
3.9.5	Nominated Manager – E-mail address		

4.	CATEGORY OF RAIL OPERATIONS APPLIED FOR Tick the appropriate box/boxes below.		
4.1	Network operator	YES	NO
4.2	Train operator	YES	NO
4.3	Station operator	YES	NO

5. PROJECT SUBMISSION REQUIREMENTS

- 5.1 Provide a detailed project description (including location) and submit technical drawings for the rail related elements of the project.
- 5.2 Submit written certification that the components and elements to be tested and commissioned have been constructed/manufactured in accordance with the design specifications. **(NB: Attach such proof to the submission.)**
 - 5.3 Provide a description of the rolling stock to be used.
 - 5.4 Provide details of the means of traction to be employed.
 - 5.5 Provide a detailed test and commissioning schedule including start and completion dates.
- 5.6 Indicate if the running of construction trains will impact on the normal operations of any other rail operator, including the operator initiating the project. If so, provide details and explain how the resultant risks will be managed.

6. SAFETY MANAGEMENT SYSTEMS (SMS)

CONFIRM THAT THE FOLLOWING ELEMENTS HAVE BEEN ADDRESSED BY SUBMITTING THE MOST RECENT DOCUMENT

ELEMENT 8.1: LEADERSHIP	
REF	SUB-ELEMENT
8.1.1	Safety Policy

ELEMENT 8.2: RISK MANAGEMENT	
REF	SUB-ELEMENT
8.2.1	Control of risk associated with the activities of the operator (Submit a comprehensive Risk Register).
8.2.2	Risks arising from the activities of other parties (To be included in the Risk Register).
8.2.3	Procedures and methods for carrying out risk evaluation and implementing risk control measures (Risk assessment methodology).

8.2.4	Compliance with legislation, rules and standards (List all applicable legislation, rules and standards inclusive of signed declaration of compliance).
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DECLARATION:

I, the undersigned, am duly authorized to sign this safety permit application.

Appropriate Signature

Date

Name and designation in print:



CHAPTER 8: ANNUAL SAFETY IMPROVEMENT PLAN FOR GROUPS A, B AND C

The Operator is expected to declare any material changes to their operations as this will determine any change in grouping, hence, the need to complete pages Items 1 to 8 annually.

1.	REASON FOR APPLICATION Tick the appropriate box below		
1.1	Existing Group A or B or C safety permit	YES	NO
1.2	Current permit number		
1.3	Current permit expiry date		

2.	OBJECTIONS TO RAILWAY SAFETY PERMIT BEING ISSUED Tick the appropriate box below and if "YES" provide further detail requested.		
2.1	Are you aware of any other party objecting to your railway activities or a safety permit being issued to you?	YES	NO
2.2	Name of party objecting		
2.3	Contact details of party objecting		
2.4	Reasons provided for objection		

3.	DETAILS OF APPLICANT Provide the information requested below and tick the appropriate box where applicable.		
3.1	Legal name		
3.2	Trade name		
3.3	Company registration number		
3.4	Physical address		
3.5	Postal address		
3.6	Company telephone number		
3.7	Company fax number		
3.8	Head of the Organisation – Name		
3.8.1	Head of the Organisation – Job title		
3.8.2	Head of the Organisation – Landline phone number		
3.8.3	Head of the Organisation – Cell phone number		
3.8.4	Head of the Organisation – Fax number		
3.8.5	Head of the Organisation – E-mail address		
3.9	Nominated Manager – Name		
3.9.1	Nominated Manager – Job title		
3.9.2	Nominated Manager – Landline phone number		
3.9.3	Nominated Manager – Cell phone number		
3.9.4	Nominated Manager – Fax number		
3.9.5	Nominated Manager – E-mail address		
3.10	Business sector/industry		

3.11	Is rail the core business of the company? (Do you derive revenue by offering rail services to customers?)	YES	NO
3.11.1	If so, reflect the total income derived from the transportation of goods and/or passengers for the last completed financial year (Previous year).		

4.	CATEGORY OF RAIL OPERATIONS APPLIED FOR Tick the appropriate box/boxes below.		
4.1	Network operator	YES	NO
4.2	Train operator	YES	NO
4.3	Station operator	YES	NO

5.	ANNUAL VOLUMES OF PEOPLE AND GOODS TRANSPORTED DURING PREVIOUS YEAR Tick the appropriate box. If the answer is "yes", submit the annual volumes in the space provided.		
5.1	Involvement in the transportation of commuters	YES	NO
5.1.1	If so, what is the annual total number of commuters transported		
5.1.2	State the total annual kilometre rail distance travelled with commuters		
5.2	Involvement in the transportation of any other passengers (including tourists, excluding commuters)	YES	NO
5.2.1	Annual total number of passengers transported		
5.2.2	Total annual kilometre rail distance travelled with passengers (including tourists), excluding commuters		
5.3	Do you dispatch/receive/transport dangerous goods by rail?	YES	NO
5.3.1	If so, provide details in 5.3.1 below		
5.3.2	What is the total annual kilometre rail distance covered with dangerous goods?		
5.4	Do you dispatch/receive/transport general freight by rail?	YES	NO
5.4.1	If so, provide details in 5.4.1 below		
5.4.2	What is the total annual kilometre rail distance travelled with general freight?		
5.5	Are you a railway manufacturing/maintenance company involved only with the movement of equipment and/or empty coaches/wagons and locomotives?	YES	NO
5.5.1	If so, provide details in 5.5.1 below		

5.3.1 Provide *per network/siding to be covered under this permit* a list of **dangerous goods** commodities as well as the annual net tonne rail volume per commodity. Add rows as required.

NETWORK OR SIDING LOCATION AND NUMBER	DANGEROUS GOODS COMMODITY	TOTAL ANNUAL RAIL TONNAGES MOVED IN PREVIOUS CYCLE NOTE: Expressed in tonnes
e.g. Welkom 456789	Fuel	5000 tonnes
e.g. Cape Town 123456	LPG	1000 tonnes
TOTAL DANGEROUS GOODS		6000 tonnes

5.4.1 Provide *per network/siding to be covered under this permit* a list of *general freight commodities* as well as the annual net tonne rail volume per commodity. Add lines as required.

NETWORK OR SIDING LOCATION AND NUMBER	GENERAL FREIGHT COMMODITY	TOTAL ANNUAL RAIL TONNAGES MOVED IN PREVIOUS CYCLE <i>NOTE: Expressed in tonnes</i>
e.g. Welkom 456789	Cement	500 000 tonnes
TOTAL GENERAL FREIGHT		500 000 tonnes

5.5.1 Rail manufacturing/maintenance annual gross tonnes calculation.

Complete the table below *for each siding to be covered under the permit*:

	ITEM (A)	NUMBER OF MOVEMENTS PER DAY (B)	MULTIPLIED BY (C)	B x C = (D)
5.5.1.1	Number of wagon/coach movements per day		80 tonnes	D1 =
5.5.1.2	Number of any other rail-bound maintenance vehicle movements per day		80 tonnes	D2 =
5.5.1.3	Number of locomotive movements per day		150 tonnes	D3 =
5.5.1.4	GROSS TONNES PER DAY (Total of D1+D2+D3)			
5.5.1.5	GROSS TONNES PER YEAR (Total in B4 x 350 days)			

Assumptions: 80 Tonnes is the assumed weight of Wagon/Coach/Tanker/Maintenance Vehicle; 150 Tonnes is the assumed weight of a locomotive; 350 Railway working days per annum.

6.	DESCRIPTION OF NETWORK OPERATIONS	Tick the appropriate box. If the answer is "yes", submit answers in the space provided.	
6.1	Do you operate, manage and/or maintain RUNNING LINES (main lines between stations and/or branch lines <i>excluding</i> private sidings)?	YES	NO PROCEED TO 6.2
6.1.1	Total length in kilometre of active running line/network e.g. Rovos Rail Capital Park to Centurion = 25km; TFR national network 15 000km		
6.1.2	Total length in kilometre of dormant running line/network (accessible but not currently in use)		
6.1.3	Total length in kilometre of spiked running line/network (not accessible for use)		
6.1.4	Is the running line gauge width a Cape Gauge (1067mm)?	YES	NO
6.1.4.1	Indicate the total length of Cape Gauge running lines in kilometre		
6.1.5	Is the running line gauge width Standard Gauge (1435mm)?	YES	NO
6.1.5.1	Indicate the total length of Standard Gauge running lines in kilometre		

6.1.6	Is the running line gauge width Narrow Gauge (610mm)?	YES	NO
6.1.6.1	Indicate the total length of Narrow-Gauge running lines in kilometre		
6.1.7	Submission of network diagram. Re-applicants using the system need to ensure the diagrams reflect the most recent version of the network, or to submit the latest version. First time applicants must submit the network diagram for all running lines operated		
6.1.8	Who is responsible for maintaining the network?		
6.1.9	Are there level crossings on the running lines/network?	YES	NO
6.1.9.1	If so, how many level crossings are located on public roads		
6.1.9.2	How many level crossings are located on private roads?		

6.1.10 List all other parties that are allowed access to the network, as well as the nature of their activities on the network, including train operators, station operators, maintenance contractors.

OTHER (THIRD) PARTIES ALLOWED ACCESS TO THE NETWORK	NATURE OF ACTIVITIES ON THE NETWORK

6.2	Do you operate, manage and/or maintain SIDINGS (Private sidings, yards, municipalities, ports and any rail activity in an enclosed area - excluding main and branch lines)?	YES	NO
6.2.1	State the total length of active sidings in kilometre		
6.2.2	State the total length of dormant sidings (accessible but not currently in use) in kilometres		
6.2.3	State the total length of spiked sidings (not accessible for use) in kilometre		
6.2.4	Is the siding gauge width Cape Gauge (1067mm)?	YES	NO
6.2.4.1	Indicate the total length of Cape Gauge sidings in kilometre		
6.2.5	Is the siding gauge width Standard Gauge (1435mm)?	YES	NO
6.2.5.1	Indicate the total length of Standard Gauge sidings in kilometre		
6.2.6	Is the siding gauge width Narrow Gauge (610mm)?	YES	NO
6.2.6.1	Indicate the total length of Narrow-Gauge sidings in kilometre		

6.2.7 List all the sidings to be covered on this permit. Add rows as needed.

SIDING NUMBER	PHYSICAL STREET ADDRESS	NAME AND CONTACT DETAILS OF PERSON RESPONSIBLE FOR RAILWAY SAFETY AT THE SIDING

6.2.8 List all other parties allowed access to **each** siding, as well as the nature of their activities on the siding, including train operators, station operators, maintenance contractors. Add rows as needed

SIDING NUMBER	PARTIES ALLOWED ACCESS TO THE NETWORK	NATURE OF ACTIVITIES ON THE NETWORK

Complete this section for each siding to be covered on the permit			
6.2.9	Submission of siding diagrams: Re-applicants using the system must ensure the diagram is the most recent official version of the siding		
6.2.10	Are there level crossings on the sidings?	YES	NO
6.2.10.1	How many level crossings are located on public roads		
6.2.10.2	How many level crossings are located on private roads		
6.2.11	Who operates the network to which the siding is connected?		
6.2.12	Party responsible to place order for block loads/wagons to transport commodities		
6.2.13	Party responsible for train control		
6.2.14	Party responsible for allowing trains access to the siding		
6.2.15	Party responsible for placing trains in the siding		
6.2.16	Are trains/wagons moved (using any form of traction) after they are placed in the siding?	YES	NO
6.2.16.1	If YES, party responsible for the safe movement of trains/wagons after it is placed in the siding		
6.2.17	Party responsible for collecting the block loads/wagons from the siding afterwards		

7.	DESCRIPTION OF TRAIN OPERATIONS
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7.1 Indicate the means of traction used for train services to be covered on the permit (This includes locomotives, tractors, winches, pinch bars, etc.)

DESCRIPTION	MODEL	NUMBER OF UNITS IN USE	AVERAGE AGE

7.2 List the rolling stock used for train services to be covered on the permit

DESCRIPTION	MODEL	NUMBER OF UNITS IN USE	AVERAGE AGE

7.3 List the running lines/sidings on which train services are offered

DESCRIPTION	NETWORK OPERATOR	PARTY RESPONSIBLE FOR TRAIN CONTROL ON THE RUNNING LINE/SIDING	FREQUENCY OF TRAIN SERVICES OFFERED

7.4 List the stations utilised during train services offered

STATION NAME	STATION OPERATOR	NETWORK OPERATOR	FREQUENCY OF TRAIN SERVICES OFFERED TO THESE STATIONS

7.5	Are any of the rolling stock (coaches/wagons) you move converted for use other than what they were intended for i.e. original design (e.g. trolley converted for passenger transport; coaches converted to carry higher number of passengers).?	YES	NO
7.5.1	If so, submit technical details of the conversion.		
7.5.2	Motivate why the conversion is safe and suitable for use		

8.	DESCRIPTION OF STATION OPERATIONS
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8.1 List all the stations to be covered on the permit

STATION NAME	PHYSICAL STREET ADDRESS	STATION OPERATOR	NETWORK OPERATOR OF LINE ON WHICH STATION IS LOCATED	YEAR LAST UPGRADED

Complete for each station to be covered on the permit	
8.2	All operators: Submit a station diagram for each station to be covered on this permit. It should clearly indicate the station, buildings, platforms, tracks as well as total station precinct.
8.3	List the train operators allowed to utilise the station
8.4	All operators: Submit a signed agreement between the station operator and any other party using the station in which the respective responsibilities of both parties are clearly stated.
8.5	Provide the name and contact details of the person responsible for railway safety at this station

9. Annual Safety Improvement Plan (ASIP)

Annual safety improvement plans (ASIPs) must be submitted for assessment on a yearly basis three (3) calendar months before the anniversary of the 3 year or 5 year permits respectively. Refer to Annexure C.

In accordance with RSR determination of SMS and SMS Reports, the Safety Improvement Plan shall be submitted annually and shall support the Operator's safety policy, demonstrating commitment to continual safety improvement (Refer § 9.4.4). The safety performance report and safety improvement plan must be

signed by the head of the operator's organization or his/her delegated representative and communicated to all the employees. Further details on the safety improvement process (plan) are listed in § 9.4.4 of the SMS determination.

NB: An existing operator is expected to ensure that all SMS documents are valid throughout the validity period of the safety permit.



CHAPTER 9: ASSET REGISTER

Operators must submit a comprehensive rail asset register containing a detailed description of the core rail infrastructure assets for each engineering discipline namely Perway, Structures, Electrical, Signalling, Telecommunications, Rolling Stock etc. It contains information about the physical assets attributes e.g. make, model, serial number, age and capacity; location where the asset is housed; asset performance, condition and serviceability assessments; Planned short, medium and long term asset intervention activities and the history of past activities; documents and drawings of the asset.

Asset register is to be updated and submitted on an annual basis whenever an application is submitted.

NB! The asset register must be uploaded in an excel format as prescribed by the RSR on the system.

The Excel asset register document is attached separately.



ANNEXURES

ANNEXURE A: SAFETY PERMIT CONFORMITY ASSESSMENT METHODOLOGY - ESSENTIAL REQUIREMENTS FOR THE ASSESSMENT OF AN OPERATOR'S SAFETY MANAGEMENT SYSTEM AND SMS REPORT

The Operator's SMS and SMS Report shall be submitted using the Safety Permit Conformity Assessment Methodology format as tabulated below. The completion of the table below and submission of the supporting evidence should be done electronically in accordance with the naming convention defined in **Annexure B**.

NB: Submission to the RSR shall be done on the NIMS system or on an appropriate data storage device as advised by the RSR.

ESSENTIAL REQUIREMENTS FOR THE ASSESSMENT OF AN OPERATOR'S SAFETY MANAGEMENT SYSTEM AND SMS REPORT

A-1: The assessor seeks objective evidence of the existence of an Operator's Safety Management System Report (SMSR) as described in 9.4.2 and, in particular the following critical and documented information (This requirement applies equally to Group A, B and C operators):

The name, physical and postal address, and company registration number, including the name, physical and postal addresses and contact details of the Nominated Manager

A systems description of the operator which must provide the Regulator with a holistic business overview of the following:

- A statement of strategic intent, nature of the business (freight, passenger, heritage, etc.), vision and mission statement, business philosophy, envisaged market growth, including new works during the period of issuance of new Safety Permit
- Organogram, number of employees, geographical areas of business,
- Annual volume of passengers and tonnage transported, number of yards, sidings, number and types of rolling stock and locomotives
- Description of train operations (including signal and telecommunication systems in use), depot operations and station operations
- Maintenance strategy: broad maintenance strategy; person in charge for delivery of maintenance arrangements (maintenance organogram); shared maintenance responsibility, management of contractors, introduction of new technology, asset configuration process.
- A summary of the key aspects of the elements and sub elements of the operator's SMS to demonstrate compliance with the SMS Determination
- A list of the applicable titles and dates of relevant safety-related legislation,
- A list of all the applicable SMS Standards
- A list of all the applicable SMS procedures
- A list of all the safety critical and safety related positions
- A list of the training courses required for each employee who does safety related work
- A list of interface agreements with other operators with whom the applicant interfaces
- Safety Improvement Plan
- Additional information according to the type of the Operator as stipulated in the latest SMS & SMSR Determination
-

<p>A-2: The assessor seeks objective evidence of the existence of an Operator's documented and implemented Safety Management System (SMS) as described in SANS 3000 series of standards and in this guideline, and in particular compliance to the following critical and documented information:</p>			
<p>8. PROCEDURES FOR DESIGN AND IMPROVEMENT</p>			
<p>8.1 LEADERSHIP</p>			
<p>8.1.1 MANAGEMENT COMMITMENT (EXPECTED EVIDENCE) <i>This criterion applies equally except where otherwise indicated</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>Based on the results of evidence found in the list below the assessor must make an informed and objective finding on the level of management commitment</p>			
<p>a) Safety Policy and objectives</p>			
<p>b) Corporate safety targets (<i>Not applicable to Group C</i>)</p>			
<p>c) Competence management system and training (<i>Not applicable to Group C</i>)</p>			
<p>d) Provision of adequate resources (<i>Not applicable to Group C</i>)</p>			
<p>e) Risk controls</p>			
<p>f) Receiving information (monitor) (<i>Not applicable to Group C</i>)</p>			
<p>g) Review of SMS (<i>not applicable to Group B and C</i>)</p>			
<p>h) Internal auditing (<i>not applicable to Group B and C</i>)</p>			
<p>i) Board review of SMS (<i>not applicable to Group B and C</i>)</p>			
<p>j) Internal/External communication (<i>Not applicable to Group C</i>)</p>			
<p>k) Staff involvement</p>			
<p>l) Continuous safety improvement</p>			
<p>m) Management of Change (<i>Not applicable to Group C</i>)</p>			
<p>8.1.2 SAFETY POLICY (EXPECTED EVIDENCE) <i>This criterion applies equally to all groups of</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES</p>	<p>Additional Comments</p>

<i>Operators, except where otherwise indicated</i>		(ISSUES LOG)	
A document exists which describes the organisation's Safety policy and is:			
a) developed by management and staff and signed by the highest level of the organisation			
b) is appropriate to the nature and scale of the organisation's risks and contribute to all aspects of business performance as part of a demonstrable commitment to continuous improvement.			
c) Outlines the principles and core values according to which the organisation and staff operate, (Not applicable to Group B and C)			
d) pursues the development and improvement of working ethics, (Not applicable to Group B and C)			
e) enjoys the commitment and involvement of all staff, (Not applicable to Group B and C)			
f) communicated and made available to all staff, e.g. via the organisation's intranet; newsletters, (Not applicable to Group B and C)			
g) it is clearly displayed and recently updated			
h) appropriate to the type and extent of service;			
i) approved by the organisation's chief executive			
8.1.2.2 Is the policy displayed and effectively communicated and understood by employees? (Applicable to all groups of Operators)			
8.1.2.3 Is the policy guiding the establishment of goals and objectives,			

procedures and programs? (<i>Group C operator is exempted</i>)			
8.1.2.4 Is management committed to make available resources to achieve the safety objectives? (<i>Applicable to all groups of Operators</i>)			
8.1.2.5 Is the policy approved at the highest possible level? (<i>Applicable to all groups of Operators</i>)			
8.1.2.6 Is the policy periodically reviewed and revised? (<i>Applicable to all groups of Operators</i>)			
8.1.3 SAFETY CULTURE (EXPECTED EVIDENCE) <i>This criterion applies equally to Group A and B operators except where otherwise indicated. Group C is exempted from all the criteria</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
8.1.3.1 As objectively as possible determine (through interview with staff and management) whether the following key elements of a positive safety culture are present for the railway under discussion: a) Committed leadership (8.1.1) b) Informed staff (9.3) c) High levels of vigilance (8.2) (<i>Not required for Group B</i>) d) Promoting a “just culture” environment (8.3.2.3) (<i>Not required for Group B</i>) e) Promoting organizational flexibility (9.1) (<i>Not required for Group B</i>) f) Encouraging willingness to learn (8.4) (<i>Not required for Group B</i>)			
8.1.4 SAFETY TARGETS (EXPECTED EVIDENCE) Note: Also refer to 9.4.4 (Safety Improvement Plan) below. <i>This criterion applies equally to Group A and B operators.</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
8.1.4.1 The Operator has processes and procedures to derive relevant safety targets in line with the legal framework.			

8.1.4.2 The operator has processes and procedures to derive relevant safety targets consistent with type, extent and relevant risks of the Operator.			
Confirm through evidence that:			
8.1.4.2.1 The targets are credible and achievable,			
8.1.4.2.2 The targets are based on previous safety performance,			
8.1.4.2.3 Specific actions are planned and implemented, broken down to be managed at all relevant levels of the organisation (safety planning),			
8.1.4.2.4 The actions are monitored and their effectiveness is measured, (again, through routine checks arrangements, internal auditing and safety reporting), focussing not only on the safety outcome but also on the effective performance of safety management activities,			
8.1.4.2.5 Corporate targets are revised according the result of monitoring,			
8.1.4.2.6 Key performance indicators (KPI's) are in place to measure the effectiveness of the system.			
8.1.4.2.7 There are both leading (positive) and lagging (outcome) indicators in place.			
8.1.4.2.8 The performance indicators selected include indicators to measure the performance of key risk controls and safety management system elements			
8.1.5 SAFETY DECISION TAKING (EXPECTED EVIDENCE) This <i>critierion applies equally to Group A and B operators except where otherwise indicated. Group C is exempted from all the criteria</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
8.1.5.1. The Operator must demonstrate that there is transparent decision-making process for management related to possible changes that have an impact on safety. The process must be transparent and show how safety is not compromised when making management decisions. The process may include documentation of:			

<ul style="list-style-type: none"> • Identification of safety issues within the business context (examples as 'budget reduction'), • Setting of priorities, • Responsibilities at different levels, • Methods available to address problems (analysis tools), • The value of involving specialists, knowledge, skills and experience required, • Extent of consultation, • Output related actions (plans, timescale, and responsibilities for completion). 			
<p>8.1.6 MANAGEMENT CONTROL <i>Management Control is the means by which an organization's resources are directed, monitored, and measured. It aims at helping the organization to accomplish, in the specific area of safety, its specific targets or objectives. Control on all levels of the organisation, proportionately put over the appropriate delegated functions/staff allows for the identification of flaws/faults in the SMS processes and therefore the possibility to implement preventive or corrective actions</i> (EXPECTED EVIDENCE) This criterion applies equally to all groups of operators except where otherwise indicated.</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>8.1.6.1 Management Control has been adequately demonstrated by the:</p>			
<p>a) Design, implementation and monitoring of the delivery of the SMS activities, including the necessary risk assessment (8.2) and management of changes (8.4.3), (Not applicable to Group C)</p>			
<p>b) Design of the organisational structure, in order to comply with regulatory framework and all applicable rules (9.1.3), and allocation of resources, (Not applicable to Group C)</p>			
<p>c) Delegation of responsibilities, functions and tasks to the appropriate level of the organisation (9.1.1), (Not applicable to Group C)</p>			

d) Delegation of control tasks to the appropriate level of the organisation and development of a feedback loop (9.1.2), (Not applicable to Group C)			
e) Development and monitoring of a safety policy (8.1.2),			
f) Development and monitoring of safety measures and projects that allows for continuous improvement (taking into account costs) (8.1.4), (Not applicable to Group C)			
g) Promotion of continuous education and training for all level of the organisation, to foster employee attitudes, management beliefs and value system (8.1.3), (Not applicable to Group C)			
h) Usage of management tools to address safety issues (i.e.: problem solving tools and techniques) (8.3.1),			
i) Benchmarking of performance results and processes, (Not applicable to Group C)			
j) Balance between safety requirements and accessible resources (8.3.1 and 8.3.2),			
k) Improvement of managerial and technical processes (8.4), (Not applicable to Group C)			
l) Integrating the customers' and suppliers' expectations, (Not applicable to Group C)			
m) Carrying out internal audits and reviews on a continuous basis (8.3.3). (Not applicable to Group C)			

8.2. RISK MANAGEMENT

<p>8.2.1 RISK CONTROL MEASURES FOR RISKS ASSOCIATED WITH THE ACTIVITY OF THE RAILWAY OPERATOR</p> <p>Note: <i>This specific criterion provides a practical interpretation of the general risk identification requirements contained in the SANS 3000-series of standards. They require the Operator to identify the risks associated with its operations and put in place measures to control all these identified risks. It is important to remember that these criteria do not deal with managing the risks from changes (this is dealt with under Assessment Criteria 8.4.3).</i></p> <p><i>General: An operator's safety management system must therefore include systems and procedures for the following:</i></p> <ul style="list-style-type: none"> ○ <i>identification of any risks to safety in relation to railway operations in respect of which the operator is required to be accredited;</i> ○ <i>the comprehensive and systematic assessment of any identified risks;</i> ○ <i>specification of the controls (including audits, expertise, resources and staff) that are to be used by the operator to manage the identified risks to safety and to monitor safety in relation to those railway operations; and</i> ○ <i>monitoring, reviewing and revising the adequacy of controls</i> <p>(EXPECTED EVIDENCE) All the criteria apply equally to all groups of Operators</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>8.2.1.1 There are procedures put into place to identify risks associated with railway operations, including those directly arising from work activities, job design or workload and the activities of other organisations/persons</p>			
<p>8.2.1.2 There are procedures in place to develop and put into place risk control measures</p>			
<p>8.2.1.3 There are procedures in place to monitor the effectiveness of risk control</p>			

arrangements and to implement changes when required.			
8.2.1.4 There are procedures in place to recognise the need to work together with other operators, where appropriate, on issues where they have shared interfaces that are likely to affect the putting in place of adequate risk control measures.			
8.2.1.5 There are procedures for agreed documentation and communication with the relevant entities including the identification of roles and responsibilities of each participating organisation and the specifications for information exchanges			
8.2.1.6 There are procedures to monitor the effectiveness of these arrangements and to implement changes when required			
8.2.2. RISKS ARISING FROM THE ACTIVITIES OF OTHER PARTIES EXTERNAL TO THE RAILWAY SYSTEM (EXPECTED EVIDENCE) <i>All the criteria apply equally to all groups of Operators</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
8.2.2.1 There are procedures to identify potential risks from parties' external to the railway system where appropriate and reasonable.			
8.2.2.2 There are procedures to establish control measures to mitigate the risks identified under 8.2.2.1 insofar as the responsibilities of the applicant are concerned.			
8.2.2.3 There are procedures to monitor the effectiveness of the measures identified under 8.2.2. and implement changes where appropriate.			
8.2.3 Procedures and methods for carrying out risk evaluation and implementing risk control measures whenever a change of the operating conditions or new material imposes new risks on the infrastructure or on operation (EXPECTED EVIDENCE) <i>All the criteria apply equally to all groups of Operators</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments

<p>8.2.3.1 There are management procedures for changes in equipment, procedures, organisation, staffing or interfaces.</p>			
<p>8.2.3.2 There are risk assessment procedures to manage changes and to apply a standardised methodology on risk evaluation and assessment when required.</p>			
<p>8.2.3.3 The operator has procedures in place to feed the results of risk assessment into other processes within the organisation and make them visible to relevant staff.</p>			
<p>8.2.4 Compliance with legislation, rules and standards</p> <p><i>Note: Operators must identify and understand the applicable laws and all other relevant standards and prescriptive conditions and must implement a system of controls to achieve compliance. It is crucial that all safety related procedures and processes of the SMS are:</i></p> <ul style="list-style-type: none"> • <i>designed to comply with the regulatory framework and updated to take into account any variation or addition;</i> • <i>consistent with type and extent of services operated by the organisation;</i> • <i>consistent with relevant organisational changes.</i> <p><i>To ensure this, an SMS should have a process/procedure in place to promptly identify, gather and list, relevant requirements contained in standards, national safety and technical rules and internal rules/procedures for:</i></p> <ul style="list-style-type: none"> • <i>each individual category of staff,</i> • <i>each type of rolling stock,</i> • <i>safety equipment (personal protection equipment – PPE - and collective protection equipment –CPE-),</i> 	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>

<ul style="list-style-type: none"> <i>other equipment (on board, on the ground, devices used for rolling stock and track maintenance).</i> <p>(EXPECTED EVIDENCE) All the criteria apply equally to all groups of operators</p>			
<p>8.2.4.1 Confirm through evidence that: An updated register is in place identifying all applicable legislation, regulations and standards consistent with the type and extent of services operated by the Operator.</p>			
<p>8.3 MONITORING <i>A systematic monitoring should provide assurance to managers and stakeholders that all identified risks are effectively controlled and evidence that the SMS requirements are being met. It provides the basis for defining any action needed to improve or maintain the targeted level of safety.</i></p>			
<p>8.3.1 SAFETY DATA COLLECTION AND ANALYSIS</p> <p>(EXPECTED EVIDENCE) The criteria apply equally to all groups of operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>8.3.1.1 Confirm through evidence that: The operator has in place an occurrence reporting policy, procedure and a system for reporting, collating occurrences and to conduct meaningful safety data trend analysis.</p>			
<p>8.3.1.2 Confirm through evidence that: The Operator collate and analyse both leading and lagging indicators. (Not applicable to Group C)</p>			
<p>8.3.1.3 Confirm through evidence that: The Operator's collection of safety data is based on monitoring and it considers the following elements:</p> <ul style="list-style-type: none"> a) Structured reporting of accidents / incidents / near misses / dangerous occurrences; b) Inspections findings (it could be for detecting non-compliance with operational arrangements and/or concerning the state of infrastructure or equipment); c) Audit results (mainly at design and implementation process level). 			
<p>8.3.1.4 Confirm through evidence that:</p>			

<p>The Operator record railway occurrences in sufficient detail to meaningfully facilitate the development of management information and identify trends and thereby enable management interventions and corrective actions to address negative trends. (Not applicable to Group C)</p>			
<p>8.3.1.5 <i>Confirm through evidence that:</i> The scope of data analysis includes the detection of:</p> <ul style="list-style-type: none"> ➤ any deviance from expected outcomes (using lagging indicators); ➤ process anomalies (using leading indicators). <p>(Not applicable to Group C)</p>			
<p>8.3.1.6 <i>Confirm through evidence that:</i> The operator records its railway occurrences in the categories as per the latest template made available by the RSR.</p>			
<p>8.3.2 Procedures to ensure that accidents, incidents, near misses and other dangerous occurrences are reported, investigated and analysed and that necessary preventive measures are taken</p> <p>Note: Also refer to 10.2.3 (Occurrence Management)</p> <p>(EXPECTED EVIDENCE) The criteria apply equally to all groups of operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>8.3.2.1 There are procedures to ensure that accidents, incidents, near misses and other dangerous occurrences:</p> <ul style="list-style-type: none"> (a) are reported, logged, investigated and analysed; (b) are reported to the RSR as required by the Act 			
<p>8.3.2.2 The investigation procedure of the operator aims to determine the immediate, contributory and root causes of each railway occurrence and implementation of the corrective action(s) needed to prevent recurrences.</p>			
<p>8.3.2.3 The scope and level of the investigation are determined by the frequency of the railway occurrence and</p>			

the severity or consequences (or both), both actual and potential.			
8.3.2.4 Persons appointed by the operator to investigate occurrences have the necessary competence and independence, both in relation to the nature and seriousness of the occurrence, and the scope and level of the investigation.			
8.3.2.5 There are procedures to ensure that recommendations from the RSR and from industry as well as from internal investigations are evaluated and implemented if appropriate.			
8.3.2.6 Relevant reports/information from other interfacing railway operators and maintenance service providers are considered and taken into account			
8.3.2.7 There are procedures in place for relevant information relating to the investigation and causes of accidents, incidents, near misses and other dangerous occurrences to be used to learn and, where required, to adopt preventive measures.			
<p>8.3.2.8 Standardised arrangements exist for when and how investigation is carried out include:</p> <ul style="list-style-type: none"> a) procedures for internal and external accident and incident notification and reporting; b) procedures, formats and approaches (e.g., site protocol) for investigations, eventually differentiated according to the nature of the accident (e.g., environmental, employee injuries, transportation of dangerous goods); c) procedures for reporting and documenting findings, conclusions and recommendations; d) procedures for reviewing risk control measures after an accident or incident, and for ensuring implementation of recommendations and preventive or corrective actions in order to prevent recurrence e) Requirements for systems and procedures for the management of the scene of a 			

notifiable occurrence and the preservation of evidence.			
8.3.3 Processes to ensure the recurrent Internal Auditing of the SMS (EXPECTED EVIDENCE) <i>This criterion applies equally to Group A and B operators.</i> Group C: Exempted	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
8.3.3.1 Confirm through evidence that: (i) There is an internal auditing system which is independent and impartial, and which acts in a transparent way. (ii) Regular internal compliance audits are carried out to verify: a) the existence of the relevant SMS elements and sub-elements as a minimum in compliance with the SMS Determination and the SPCAM, and b) that the elements and sub-elements are understood, implemented and complied with at the appropriate levels within the organization			
8.3.3.2 <i>Confirm through evidence that:</i> There are procedures in place to identify and select suitably competent auditors.			
8.3.3.3 <i>Confirm through evidence that:</i> There is a schedule of planned internal audits, which can be revised depending on the results of previous audits and monitoring of performance.			
8.3.3.4 Confirm through evidence that procedures are in place to: (a) determine the adequacy and effectiveness of each element and sub-element of the SMS as part of an integrated process for managing and improving operational safety and security, (b) analyse and evaluate the results of the audits, (c) recommend follow-up measures, (d) follow up the effectiveness of measures, (e) document the execution of audits and the results of audits.			
8.3.3.5 <i>Confirm through evidence that:</i> There are procedures to ensure that senior levels of the management chain are aware of the results of audits and take overall responsibility for implementation of changes to the safety management system.			
8.3.3.6 <i>Confirm through evidence that:</i>			

<p>There is a document showing how audits are planned in relation to routine monitoring arrangements to ensure compliance with internal procedures and standards</p>			
<p>8.3.3.7 <i>Confirm through evidence that:</i> The safety management system includes procedures for:</p> <ul style="list-style-type: none"> a) communicating the results of audits to those people who are responsible for the oversight of the railway operations in the area audited so that they may review the audit findings and take corrective action where appropriate; b) registration and implementation of recommendations for corrective action/s identified by the audit; (see Corrective Actions) c) review of the effectiveness of the audit program 			
<p>8.3.4 Review of the SMS <i>Note: The safety management system must include systems and procedures for the review of the safety management system at specified periods</i> (EXPECTED EVIDENCE) These criteria apply equally to all groups of operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>8.3.4.1 <i>Confirm through evidence that:</i> In order to ensure the continuing suitability and effectiveness of the SMS, the operator's SMS has been reviewed at least annually.</p>			
<p>8.3.4.2 <i>Confirm through evidence that:</i> The SMS has been reviewed and the review took cognizance of the effected changes, including those resulting from:</p> <ul style="list-style-type: none"> a) changes to legislation, in particular to the relevant national safety regulator legislation and the associated regulations; b) relevant new or amended standards; c) relevant new or amended standards resulting from changes in technology, including systems, sub-systems and components; d) the introduction of new or amendments to existing technology, including systems, 			

<p>sub-systems and components, having followed requirements of 9.4.5.</p>			
<p>8.3.4.3 Confirm through evidence that in conducting the safety management system review the rail operator have ensured:</p> <ul style="list-style-type: none"> a) that the effectiveness of the safety management system is assessed (including an examination of records in relation to notifiable occurrences and breaches of the system); b) that the effectiveness of any revisions that were made as a result of the last review are assessed; c) that any recommendations or issues arising out of any audits or safety investigations that have occurred since the last review are taken into account; and that any issues arising from any prohibition or improvement notices that have been issued since the last review are taken into account; d) that any deficiencies in the system are identified; e) that methods of remedying any deficiencies are designed and assessed; f) that any opinions provided by people consulted, as to whether and how the safety management system should be improved, are assessed; g) that any other suggestions for improving the system that arise during the review are assessed; and h) if any deficiencies or practicable improvements are identified that a plan is created to remedy those deficiencies, or to effect those improvements (as the case may be). 			
<p>8.3.4.4 All of the above aspects of the safety management system review have been documented, and subsequently summarised and reported in the <i>Safety</i></p>			

<p>Improvement Plan provided to the RSR. (Refer to 9.4.4) (Group C exempted)</p>			
<p>8.4 ORGANIZATIONAL LEARNING <i>The effective safety management system should rely on a continual, structured and documented reflection upon practice through monitoring performance, analysing data and results and establishing a feedback system to continuously improve its safety performance, culture and attitude</i></p>			
<p>8.4.1 CORRECTIVE ACTION DEVELOPMENT (EXPECTED EVIDENCE) This criterion applies equally to all groups of Operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>8.4.1.1 Does the Operator's safety management system include a procedure to ensure that, so far as is reasonably practicable, corrective action is taken in response to any safety deficiencies identified following inspections, testing, audits, investigations or notifiable occurrences.</p>			
<p>8.4.1.2 In particular, does the procedure includes the following:</p> <ul style="list-style-type: none"> a) registration of any corrective actions taken <i>(which register is in use and is it updated;</i> b) the review of those corrective actions <i>(by who and when);</i> c) the implementation of corrective actions if it is determined that corrective actions are required <i>(refer to (a) above);</i> d) the assigning of responsibilities for corrective action; and, e) giving priority, when undertaking corrective action, to those matters representing the greatest safety risk. <p>(Group C Exempted from 8.4.1.2)</p>			
<p>8.4.1.3 Does the procedure for the implementation of corrective action provide a link to processes for the management of change where appropriate? (See also section 8.4.3 on Management of Change) (Group C Exempted from 8.4.1.3)</p>			
<p>8.4.2 ENSURING CONTINUOUS IMPROVEMENT Notes: <i>In assessing against these criteria, the auditor/assessor should remember that requirements for continuous improvement</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>

<p>should be built into all phases of safety management development and not just the end phase. All elements of the SMS should be subject to auditing at various phases such as their introduction, ongoing monitoring of their effectiveness or an end year review of how they functioned. The extent of monitoring and auditing will vary depending on the proximity of the SMS process to the risk it is being used to control. (Also refer to 9.4.4 Safety Plan) (EXPECTED EVIDENCE) The criteria apply equally applicable to Group A and B. Group C operators are exempted from all the criteria</p>			
<p>8.4.2.1 Confirm through evidence that: There are procedures in place to ensure, where reasonably practicable, the continuous improvement of the safety management system. These include:</p>			
<p>(a) procedures for periodic reviews of the safety management system, as found to be necessary,</p>			
<p>(b) procedures for describing arrangements to monitor and analyse relevant safety data,</p>			
<p>(c) procedures for describing how identified shortcomings are rectified,</p>			
<p>(d) procedures for describing the implementation of new safety management rules based on development and lessons learnt.</p>			
<p>(e) procedures for describing how internal audit findings are used to bring about improvement in the safety management system,</p>			
<p>8.4.2.2 Confirm through evidence that: In order to be effective and support decision-making, the operator's continuous improvement process cover and extend to all relevant phases of an organisation's SMS, e.g.:</p> <p>(a) planning of preventive/corrective actions, (b) their implementation on an adequate scale, assessment/monitoring/verification of their effectiveness, (c) enforcement, review and revision of plans and risk control arrangements</p>			

8.4.3 MANAGEMENT OF CHANGE (EXPECTED EVIDENCE) This criterion applies equally to all Groups of Operators except where otherwise indicated	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
<p>8.4.3.1 <i>Confirm through evidence that:</i> The Operator has in place a policy and procedure for the management of change? (Group C Exempted)</p>			
<p>8.4.3.2 <i>Confirm through evidence that:</i> The Operator relies on the change management process to identify changes within the organisation which may affect established safety related processes and services:</p> <p>(a) to describe the arrangements to ensure safety performance before implementing changes,</p> <p>(b) to eliminate or modify safety risk controls that are no longer needed or effective due to changes in the operational environment, (Group C Exempted)</p>			
<p>8.4.3.3 <i>Confirm through evidence that:</i> The safety management system includes procedures for ensuring that changes that may affect the safety of railway operations are identified and managed, including but not limited to procedures for ensuring, so far as is reasonably practicable that:</p> <p>a) the change is fully identified, described and documented in the context of the specific rail organisation;</p> <p>b) the changes are documented in a specific change register, the risk register or other appropriate means in the safety management system;</p> <p>c) affected parties are identified and, where practicable, consulted;</p> <p>d) the roles and responsibilities of rail safety workers and employees of the rail operator are clearly specified with respect to the change;</p>			

<ul style="list-style-type: none"> e) the risks to safety that may arise from the change are identified and assessed; f) the controls that are to be used to manage risks to safety and monitor safety are specified; g) the information in the risk register is updated with any changes to risks and control measures; h) that the proposed change conforms to legislation; i) where appropriate, the change should also be consistent with accepted codes or standards; j) the rail safety workers and employees of the rail operator are fully informed and trained to understand and deal with the proposed change; k) this may involve a review of the competence requirements for the tasks to be undertaken; l) review and assessment of the change, once implemented is undertaken to determine whether the change has been appropriately managed; m) monitoring and review of the effect of the change should be undertaken, documented and necessary corrective actions implemented, to ensure that control measures perform as intended; n) decisions are transparent and formally accepted by those responsible for decision-making within the rail operator. 			
<p>8.4.3.4 <i>Confirm through evidence that:</i> The Operator's risk management process in managing technological change encompasses all aspects of design including structures, components, systems hardware, systems software, controls, layout, and configuration.</p>			
<p>8.4.3.5 <i>Confirm through evidence that:</i> The Operator's management of change process:</p>			

<p>a) describes safety documentation requirements (such as safety validation documentation), including whether a change management plan is required;</p> <p>b) specifies whether independent safety validation assessment is required and how that is to be achieved;</p> <p>c) identifies the authority responsible for granting or refusing approval for implementation of the change (may include road authorities or other authorities outside of the RSR);</p> <p>d) and provides criteria and guidance on the extent and nature of the consultation and briefing that should be carried out for the level of safety validation being applied.</p>			
9. PROCESSES FOR IMPLEMENTATION			
<p>9.1 STRUCTURE AND RESPONSIBILITY People need to know what their role in the system is and what they're responsible for. <i>The safety management system should be based on a clear distribution of responsibilities and on adequate human and technical resources, in order to deliver safe operations</i></p>			
<p>9.1.1 DISTRIBUTION OF AUTHORITIES AND RESPONSIBILITIES (EXPECTED EVIDENCE) This criterion applies equally to all groups of operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.1.1.1 There is a description of how responsibilities are allocated for each safety- related process throughout the organisation. <i>(Group C: Only for the railway operations aspect of the business)</i></p>			
<p>9.1.1.2 There is a procedure for regular monitoring of task performance assured by the line management chain that must intervene if the tasks are not being properly performed. <i>(Group C: Only for the railway operations aspect of the business)</i></p>			
<p>9.1.1.3 There are procedures to identify and manage the impact of other management activities on the safety management system. <i>(Group C: Only for the railway operations aspect of the business)</i></p>			

<p>9.1.1.4 There are procedures to hold those with a role in the management of safety accountable for their performance. (Group C: Only for the railway operations aspect of the business)</p>			
<p>9.1.1.5 There are procedures to allocate resources to deliver the tasks under the safety management system. (Group C: Only for the railway operations aspect of the business)</p>			
<p>9.1.1.6 There is a description of how coordination of safety management system activities across the organisation is ensured, based on proven knowledge and lead responsibility at management level. (Group C: Only for the railway operations aspect of the business)</p>			
<p>9.1.1.7 There are procedures to ensure that staff with delegated responsibilities within the organisation have the authority, competence and appropriate resources to fulfil their duty. (Group C: Only for the railway operations aspect of the business)</p>			
<p>9.1.1.8 Safety-related areas of responsibility, and the distribution of responsibilities to specific functions associated with them, together with their interfaces, are clearly defined. (Group C: Only for the railway operations aspect of the business)</p>			
<p>9.1.1.9 There is a procedure to ensure that safety tasks are clearly defined and delegated to staff with appropriate competence. (Group C: Only for the railway operations aspect of the business)</p>			
<p>9.1.1.10 When assigning responsibilities, accountabilities and authorities, particular account has been taken by the Operator of the need for:</p> <p>a) the appointment of a manager in terms of Act 16 of 2002 (as amended) who, irrespective of other responsibilities, is responsible for maintaining, reviewing and reporting on the organisation's safety management system;</p>			

<p>b) The Nominated Manager has been empowered with the appropriate authority and responsibility</p> <p>c) individuals have the necessary authority to execute their responsibilities;</p> <p>d) individuals to be held accountable for the execution of their responsibilities;</p> <p>e) clear lines of accountability for personnel certifying the safety of critical infrastructure, equipment and operations;</p> <p>f) personnel who manage or carry out work relating to the safety of the railway operations, or who verify such work, to be given the necessary organisational freedom and technical authority to;</p> <ul style="list-style-type: none"> I. initiate action to prevent unsafe occurrences; II. initiate, recommend or provide solutions to railway safety issues through designated channels; III. initiate action to learn from railway safety occurrences and to prevent any recurrence; IV. verify the implementation of solutions <p><i>(Group C: Only for the railway operations aspect of the business)</i></p>			
<p>9.1.1.11 The Operator provided evidence of defined and communicated safety roles and responsibilities for customers, contractors and other parties whose activities may affect railway safety. <i>(Group C: Only for the railway operations aspect of the business)</i></p>			
<p>9.1.1.12 Management provide resources required to fulfil these responsibilities, including people, skills, technology, and funding. <i>(Group C: Only for the railway operations aspect of the business)</i></p>			
<p>9.1.2 Management Accountability</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES</p>	<p>Additional Comments</p>

(EXPECTED EVIDENCE) This criterion applies equally to all Groups of Operators		(ISSUES LOG)	
<p>9.1.2.1 Evidence has been made available that those given roles, tasks and objectives in safety management are accountable for delivery of the business safety objectives for which they are responsible.</p> <p>9.1.2.2 Evidence is available that adequate supervision is in place that compliments the provision of information, instruction and training to ensure that the safety policy is effectively implemented and developed.</p>			
9.1.3 ORGANISATIONAL STRUCTURE (EXPECTED EVIDENCE) This criterion applies to Groups A and B only. Group C is exempted	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
<p>9.1.3 Confirm through evidence that the organisational structure of the Operator is appropriate to deliver the safety policy and safety approach of the organisation, so that:</p> <p>a) Risk control fits sensibly into management structure (the design of the structure should cover all internal and external interfaces);</p> <p>b) Responsibility for and delivery of (possibly conflicting) business objectives in a safe manner are transparent and effectively deal with interfaces;</p> <p>c) Resources are effectively allocated;</p> <p>d) Safety related information reaches the highest level of the organisation, so that they can be considered when decisions are taken.</p>			
9.1.4 WORKLOAD PLANNING (EXPECTED EVIDENCE) The criteria apply equally to all groups of operators	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
<p>9.1.4.1 Confirm through evidence that the job design takes into account the following when work assigned to each staff category includes the execution of safety critical tasks:</p>			

<p>a) the volume of tasks to be completed is not excessive at times when a safety-critical task is being carried out;</p> <p>b) where safety-critical tasks are combined the Operator can demonstrate that there is no worsening of safety. For example:</p> <ul style="list-style-type: none"> I. there is no requirement for independence of the tasks, II. the combination is permitted by safety rules and standards, III. the combination contains no “functional” contradictions; <p>c) there are no contradictions between execution of safety-critical tasks and other objectives assigned to staff (for example: systematic conflict between safety and production, lack of resources, etc.)</p>			
<p>9.2 FITNESS FOR DUTY</p> <p><i>Fitness for duty outlines the factors that must be assessed before an individual can be declared fit to perform their duties. An organisation must ensure that all staff with a responsibility in the safety management system are fit for duty to ensure safe, effective and efficient delivery of its objectives, in all circumstances. Fitness for duty of personnel is crucial for safe railway operations since it minimizes the extent to which personnel psychological and physical conditions and the resulting performance may compromise safety. (Refer to SANS 3000-4:2011 Edition1).</i></p>			
<p>9.2.1 FITNESS FOR DUTY (EXPECTED EVIDENCE) The criteria apply equally to all groups of operators</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.2.1.1 Confirm through evidence that the operator has established, developed or adopted, documented, implemented and maintained policies, processes and procedures to manage fitness on duty including the following:</p> <ul style="list-style-type: none"> (a) Medical conditions – psychological and physical; (b) Fatigue ; (c) Substance abuse ; (d) Medication; (e) Pregnancy; 			

<p>(f) Training and development;</p> <p>(g) Employee wellness.</p>			
<p>9.3 INFORMATION <i>Organisations must define information control procedures, based on existing management systems. Safety information must be readily available for consultation and/or verification. The necessary flow(s) of internal and external information must be identified and acted upon</i></p>			
<p>9.3.1 CONFIGURATION CONTROL OF SAFETY RELATED INFORMATION (EXPECTED EVIDENCE) This criterion applies equally to all groups of operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.3.1.1 Confirm through evidence that: There are procedures to ensure that all relevant safety information is accurate, complete, consistent, easy to understand, appropriately updated and duly documented.</p>			
<p>9.3.1.2 Confirm through evidence that that there are procedures to: (a) format, generate, distribute and manage control of changes to all relevant safety documentation; (b) receive, collect and store all relevant documentation/information on paper or by other registration systems.</p>			
<p>9.3.1.3 Confirm through evidence that there is a procedure for configuration control of vital safety information.</p>			
<p>9.3.1.4 The Operator have provided evidence that ensures that key operational information is: (Only a, f and g are applicable to Group C)</p> <p>a) relevant and valid,</p> <p>b) accurate,</p> <p>c) complete,</p> <p>d) appropriately updated,</p> <p>e) controlled,</p>			

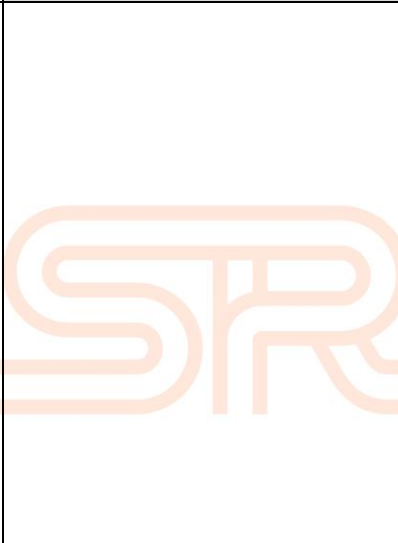
<p>f) consistent and easy to understand (incl. the language used),</p> <p>g) staff are aware of its existence before it must be applied,</p> <p>h) easily accessible to staff and where required copies are formally given to them</p>			
<p>9.3.2 CONSULTATION AND INVOLVEMENT OF STAFF AND THEIR REPRESENTATIVES Note: Also refer to: 8.1.2 Safety policy; 8.1.3 Safety Culture and 8.1.4 Target setting, (EXPECTED EVIDENCE) This criterion applies equally to all groups of operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.3.2.1 Confirm through evidence that there are procedures in place to ensure that staff and staff representatives are adequately represented and consulted in defining, proposing, reviewing and developing the safety aspects of operational procedures that may involve staff. (Not applicable to Group C)</p>			
<p>9.3.2.2 Staff involvement and consultation arrangements are documented. (Not applicable to Group C)</p>			
<p>9.3.3 INTERNAL AND EXTERNAL COMMUNICATION (EXPECTED EVIDENCE) This criterion applies equally to all groups of operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.3.3.1 Confirm through evidence that there are procedures to ensure that: (a) staff has knowledge and understanding of the safety management system and information is easily accessible; and (b) appropriate documentation on the safety management system is given to relevant safety personnel. (Not applicable to Group C)</p>			

<p>9.3.3.2 Confirm through evidence that there are procedures to ensure that:</p> <ul style="list-style-type: none"> (a) key operational information is relevant and valid; (b) staff are aware of its existence before it must be applied; (c) it is available to staff and where required copies are formally given to them. 			
<p>9.3.3.3 There are arrangements in place for the sharing of information between railway organisations.</p>			
<p>9.4 DOCUMENTATION <i>Processes and procedures describing activities, having direct and indirect effects on railway safety, are relevant parts of the SMS, both at an organisational and operational level and should be duly documented to ensure traceability.</i></p>			
<p>9.4.1 SMS DOCUMENTATION (EXPECTED EVIDENCE) <i>This criterion applies equally to all groups of operators except where otherwise indicated</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.4.1.1 Confirm through evidence that there are up-to-date and consolidated documentation (User Manual) exists describing the characteristics and elements of the safety management system.</p>			
<p>9.4.1.2 The user manual must detail and give supporting information and evidence of the different processes or company standards/rules implemented (or in the phase of implementation), cross referencing or linked to the items in this document.</p>			
<p>9.4.1.3 In addition to the manual, a set of procedures is requested. (Note: A procedure is the specified way to perform a task</p>			
<p>9.4.1.4 Confirm through evidence that the safety management system is in a form that is consistent with this guideline. It must:</p> <ul style="list-style-type: none"> a) be evidenced in writing; b) provide a comprehensive and integrated management system for all aspects of control measures adopted in accordance with the legislation; 			

<ul style="list-style-type: none"> c) be set out and expressed in a way that its contents are readily accessible and comprehensible to persons who use it; d) be prepared in accordance with this guideline; e) contain the matters and information required by the Standards and this guideline; f) be kept and maintained in accordance with the Standards and this guideline; g) and state the persons responsible for the development of all, or all parts of, the safety management system. 			
<p>9.4.2 SMS REPORT</p> <p>The SMS Report describes the Operator's organisational and procedural arrangements through which it will ensure safety of railway operations.</p> <p>The structure and content of the SMSR is defined on clause 9.4.2.3 of the Determination, and A1 of this guide</p> <p>(EXPECTED EVIDENCE) This criterion applies equally to all groups of Operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.4.2.1 Is the Operator's SMS Report prepared in accordance with the Determination and can it:</p> <ul style="list-style-type: none"> a) be evidenced in writing; b) provide for a comprehensive and integrated management system for all aspects of control measures adopted in accordance with the legislation; c) is set out and expressed in a way that its contents are readily accessible and comprehensible to persons who use it; d) contain the matters and information required by the Standards and this guideline; 			

<p>e) is kept and maintained in accordance with the Standards and this guideline; and</p> <p>f) state the persons responsible for the development of all, or all parts of, the safety management system.</p> <p>g) The structure and content must comply with the SMSR Determination (also see A1 of this guide)</p>			
<p>9.4.2.2 Does the SMSR provide for a comprehensive working document against which both the operator and the regulator can check that the accepted risk control measures and SMS have been put properly into place and continue to operate in the way in which they were intended.</p>			
<p>9.4.2.3 Is there visibility of the processes being applied to demonstrate that the operator's arrangements for ensuring safety are effective and sufficiently robust? (Not applicable to Group C)</p>			
<p>9.4.2.4 Confirm through evidence that the operator has kept the SMS Report up to date and amended it to reflect changes in operations.</p> <p>9.4.2.5 The Regulator has been informed timely of any changes made to the SMS (See 9.4.5 below)</p>			
<p>9.4.2.6 Does the SMSR provide adequate evidence and does it instil confidence that the operator has the ability, commitment, organization and resources to properly assess and effectively control the risks to assets, environment, health and safety of its customers, staff, contractors, visitors and others who may be affected by its railway operations?</p>			
<p>9.4.3 DOCUMENT MANAGEMENT (EXPECTED EVIDENCE) <i>The criteria are equally applicable to all groups of Operators</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.4.3.1 Does the safety management system have systems and procedures to control and manage all documents and information relevant to the management of risks associated with safe railway operations?</p>			

<p>9.4.3.2 Do the systems and procedures in 9.4.3.1 include:</p> <ul style="list-style-type: none"> a) the identification, creation, maintenance, management, storage and retention of records and documents; b) ensuring the validity of documents required for railway operations; and c) the communication of any changes to the document control systems and procedures, to rail safety workers and employees of the rail operator who rely on those systems and procedures to carry out their work. 			
<p>9.4.3.3 Are the following documents pertaining to the SMS considered:</p> <ul style="list-style-type: none"> a) procedures listed in this guideline and other procedures applicable at company level; b) safety plans/ reports; c) audit and monitoring results; d) documents related to implementation of corrective/preventive actions; e) any other operational document that is necessary to ensure compliance with applicable rules (rule books, route books, safety orders, etc.), including all operational information described as “configuration control of safety information”; f) applicable standards; g) any other technical document that is related to life cycle of equipment and operation and with risk analysis. 			
<p>9.4.3.4 Are safety related documents and data reviewed and approved for adequacy prior to issue and use?</p>			
<p>9.4.3.5 Does a master list or equivalent document control procedure exists identifying current revision status of documents should be established and be readily available to preclude the use of invalid or obsolete documents?</p>			

<p>9.4.3.6 The document control system and arrangements ensure that:</p> <p>a) the pertinent issues of appropriate documents are available at all locations where operations essential to the effective functioning of the safety management system are performed and</p> <p>b) invalid or obsolete documents are promptly removed from all points of issue or use, or otherwise assured against unintended use. any obsolete documents retained for legal or knowledge preservation purposes are suitably identified</p>			
<p>9.4.3.7 Are procedures in place to ensure the review, updating and approval of documents and data for applicability and validity</p>			
<p>9.4.3.8 There are procedures to ensure that all relevant safety information is accurate, complete, consistent, easy to understand, appropriately updated, and duly documented</p>			
<p>9.4.4 SAFETY IMPROVEMENT PLAN AND SAFETY PERFORMANCE REPORT</p> <p>(EXPECTED EVIDENCE) <i>These criteria apply equally to all Groups</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>9.4.4.1 The safety improvement plan (SIP) is based on(i) review of past safety performance of the operator based on occurrence data trend analyses (Safety Performance Report), (ii) information on how the organisation's corporate safety targets are met and the results of previous safety plans, (iii) the development of safety indicators (KPI's) (lagging and leading indicators), (iv) the results of risk assessments, internal safety auditing and SMS review and observations on deficiencies and malfunctions of railway operations and infrastructure management that might be relevant for the safety authority.</p> <p>The Safety Performance Report contains:</p>			

<p>a) a description and assessment of the safety performance of the operator's railway operations;</p> <p>b) comment on any deficiencies, and any irregularities, in the railway operations that may be relevant to the safety of the railway;</p> <p>c) a description of any safety initiatives in relation to the railway operations undertaken during the reporting period or proposed to be undertaken in the next reporting period; and</p> <p>d) any other information or performance indications prescribed in this Guideline and the relevant SANS 3000-1 Standard (Group C exempted)</p> <p>Confirm through evidence that the Safety Improvement Plan contains:</p> <ul style="list-style-type: none"> • Safety Performance Report • Results of the most recent risk assessment and the control strategies • results of internal safety auditing • analysis of occurrence data to identify safety trends • Results of trend analysis using historical data of railway occurrences reportable to the RSR, and also the root causes • the development of safety indicators (both leading and lagging indicators) • Observations on deficiencies and malfunctions of railway operations and infrastructure management • information on how the organisation's safety targets are met and the results of safety plans; • A list of the most critical railway safety issues to be addressed for the next year and beyond • Where appropriate, annual safety performance targets must be set for each discipline or department of the operator. These targets shall promote continual improvement- see 8.4.2 • Deviations from the original planned asset maintenance interventions. • The summary of the SMS review as required by 8.3.4 			
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<p>9.4.4.2 Confirm through evidence that:</p> <p>(i) Based on the findings of (a) and (d) above, a list of the most critical railway issues to be addressed for the next 5 years.</p> <p>(ii) A list of the annual corporate safety performance targets and associated initiatives to achieve the targets for the next 5 years.</p>			
<p>9.4.4.3 KPIs, Targets and Safety objectives set within the SIP are:</p> <p>a) relevant to the results of the Safety Performance report;</p> <p>b) Specific, Measurable, Attainable; Realistic, Time bound;</p> <p>c) Allocated to designated persons within the organisation with a role to implement the objectives</p> <p>d) Quarterly reviewed and adjusted, where so required</p> <p>e) Aimed at continuous improvement</p>			
<p>9.4.4.4 Corrective actions to achieve the set targets are monitored, measured and reported to the head of the operator's organization.</p>			
<p>9.4.5 CHANGES TO THE SMS AND RAILWAY OPERATIONS</p> <p>(EXPECTED EVIDENCE) <i>This criterion is applicable to all groups of Operators</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>Confirm through evidence that the Operator has a procedure to inform the RSR of changes (minor or material) made to the SMS and Railway Operations. Changes must be communicated 30 days before changes are planned to be implemented. Major changes will require more time for the RSR to provide approvals.</p>			
<p>10. OPERATIONAL ACTIVITIES</p> <p><i>Operational activities form the core of a company by creating, producing and delivering the products and services that customers want - taking into account primary business objectives like safety, from initial planning to conform to applicable requirement to maintenance and operation.</i></p>			

Operational activities should ensure that service is delivered in compliance with applicable rules. Typical operational processes (the list is not exhaustive) refer to:

- *Traffic planning,*
- *Traffic management in normal and degraded situation (it includes control-command system and equipment),*
- *Train preparation,*
- *Train driving in normal and degraded situation,*
- *Infrastructure (track and signalling) maintenance,*
- Rolling stock fitness for operation.*

10.1 SAFETY STANDARDS FOR ENGINEERING AND OPERATIONAL SYSTEMS


Note: Also refer to the SANS 3000 and RSR standards suite of Standards

10.1.1 SAFETY STANDARDS FOR ENGINEERING AND OPERATIONAL SYSTEMS Confirm through evidence that:	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
10.1.1.1 A documented set of engineering standards and procedures, and operational systems, safety standards and procedures, to cover the following, and, if relevant, the interface between any two or more of them has been established: <ul style="list-style-type: none"> • rail infrastructure; • rolling stock; and • Operational systems 			
10.1.1.2 procedures for the control and verification of the design of structures, rolling stock, equipment, and systems, in accordance with the engineering standards and procedures, and operational systems safety standards exist.			
10.1.1.3 systems, procedures and standards for the following in relation to rail infrastructure and rolling stock exist: <ul style="list-style-type: none"> • engineering design; • construction and installation; • implementation and commissioning; • monitoring and maintenance; • system operation; • modification; and 			

<ul style="list-style-type: none"> decommissioning or disposal 			
<p>10.1.2 PROCEDURES TO MEET EXISTING, NEW AND ALTERED TECHNICAL AND OPERATIONAL STANDARDS OR OTHER PRESCRIPTIVE CONDITIONS</p> <p>(EXPECTED EVIDENCE) This criterion applies equally to all Groups of Operators except where otherwise indicated</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>10.1.2.1. Confirm through evidence that Operator's safety management system provides for procedures for the rail operator to monitor its compliance with the standards and procedures specified in section 10.1.1 and taking actions when non-compliance is identified</p>			
<p>10.1.2.2 Confirm through evidence that procedures for the inspection and testing of safety related engineering and operational systems have been established to provide evidence of the condition of rail infrastructure or rolling stock. The procedures must fulfil the following criteria:</p> <p>a) must define the location, method, level of detail and frequency of inspection and testing.</p> <p>b) frequencies of inspection and testing consider the operational criteria, rate of deterioration, consequences of failure, frequency of occurrences and performance data [Reliability, Availability, Maintainability and Safety (RAMS)].</p> <p>c) inspection and testing are undertaken according to a set schedule and in response to defined events.</p>			
<p>Confirm through evidence that:</p> <p>10.1.2.3 arrangements for the establishment and maintenance of inspection and test records to provide evidence of the condition of rail infrastructure or rolling stock are established. These records must fulfil the requirements of section 9.4.3 on Document Management.</p>			

<p>Confirm through evidence that:</p> <p>10.1.2.4 the safety management system has procedures in place for the control, calibration and maintenance of all equipment used to inspect or test rail infrastructure or rolling stock.</p>			
<p>Confirm through evidence that:</p> <p>10.1.2.5 the safety management system has procedures in place to ensure that maintenance is carried out according to the relevant requirements</p>			
<p>10.2 OPERATIONS, MAINTENANCE AND EMERGENCY ACTIVITIES <i>Note: Refer to the SANS 3000 series of Standards</i></p>			
<p>10.2.1 USE OF CONTRACTORS AND CONTROL OF SUPPLIERS Notes: <i>The use of contracts is a generally accepted way to manage risks. However, the prime responsibility for managing contractors and checking their delivery against the set specifications originally rests with the Operator. The use of contractors or sub-contractors does not mean that the Operator delegates any of their responsibilities for ensuring that the contracted services are carried out to the standards specified before operation. The main objective of the RSR in the assessment process is to satisfy itself that the process for managing contractors exists and is described in the SMS. The checking of whether these arrangements work in practice is part of the RSR's supervision activities after the award of the Safety Permit.</i> (EXPECTED EVIDENCE) This criterion applies equally to all groups of Operators, except where otherwise indicated)</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>Confirm through evidence that:</p> <p>10.2.1.1 The Operator have processes and procedures in place for:</p> <p>a) criteria for selection and accreditation of contractors and suppliers;</p>			

<p>b) to ensure suppliers, partners and sub-contractors satisfy the same requirements as the railway operator itself is required to meet. This is accomplished by ensuring that the corresponding contracts shall cover all the relevant requirements, including at least:</p> <ul style="list-style-type: none"> I. responsibilities and tasks relating to railway safety issues, II. the obligations related to the transfer of relevant information between both partners and III. the traceability of safety related documents; <p>c) the Operator ensure, through appropriate monitoring, that the supplies and services offered consistently meet safety requirements;</p> <p>d) the operator must ensure that its suppliers, partners and subcontractors undertake to accept the checks, inspections and audits called for by what is contained in the contracts;</p> <p>e) the Operator ensures that preventive or corrective measures are implemented after checks, inspections and audits.</p>			
<p>10.2.1.2 Responsibilities and tasks relating to railway safety issues are clearly defined, known and allocated between the contracting partners and among all other interested parties</p>			
<p>10.2.2 ASSET MANAGEMENT (EXPECTED EVIDENCE) <i>This criterion applies equally to all groups of Operators except where otherwise indicated</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>Confirm through evidence that:</p>			

<p>10.2.2.1 The Operator has in place an asset management policy. (Not applicable to Group C)</p>			
<p>10.2.2.2 The asset management policy and processes provide detail of the principles and means by which the organisation will enact the management of its assets, the configuration management requirements for its assets to ensure continuity throughout the various life stages, and the organisation's responsibilities and accountabilities associated with the management of its assets. (Not applicable to Group C)</p>			
<p>10.2.2.3 Confirm through evidence that the Operator has an effective configuration management system, as part of the safety management system for assets, which assist in tracking any changes made to the asset (both functional and physical) during its lifecycle and ensure the correct operating context is considered during design, manufacture, commissioning, operation, modification, decommissioning and disposal. (Not applicable to Group C)</p>			
<p>10.2.2.4 Confirmation that the Operator regularly submits to the RSR a comprehensive and updated rail asset register as well as maintenance data in the form and format as prescribed by the Regulator (Refer to the RSR requirements as per the NIMS Asset Management Module).</p>			
<p>10.2.3 OCCURRENCE MANAGEMENT (EXPECTED EVIDENCE) This criterion applies equally to all Groups of operators</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>10.2.3.1 Confirm through evidence the following: (a) Is there a contingency plan for railway operations that covers all identified emergency scenarios, and (b) Is the plan integrated with similar plans of other operators at the interfaces as well as with those of external emergency responders? (c) Is the plan based on risk assessment (d) Has the plan been reviewed recently or after a major accident</p>			

<p>(e) Evidence of periodically testing of the emergency plans, including joint exercises with other involved parties, in order to monitor the effectiveness and update of the emergency plans. (Not applicable to Group C)</p>			
<p>10.2.3.2 Does the plan include at a minimum provide for:</p> <ul style="list-style-type: none"> a. initial response procedures; b. call-out procedures; c. on-site management of the occurrence; d. minimization of hazards on the scene e. liaison with emergency responders; f. testing of plans g. evacuation procedures; h. initiation of investigation; i. environmental response and rehabilitation; and j. restoration of normal services 			
<p>10.2.4 Security Management (EXPECTED EVIDENCE) This criterion applies equally to all groups of Operators, except where otherwise indicated)</p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>
<p>Confirm through evidence the following:</p> <p>10.2.4.1 Does the safety management system include:</p> <ul style="list-style-type: none"> a) A security management plan that includes measures to protect people from theft, assault, sabotage, terrorism and other criminal acts of other parties and from other harm; b) Systems and procedures to ensure that safety critical railway assets are protected from theft, sabotage, vandalism and other criminal acts, c) Notifying and reporting security incidents to the RSR and other relevant authorities, and 			

<p>d) systems and procedures to ensure that the appropriate response measures of the security plan are implemented without delay if such a security incident occurs</p>			
<p>10.2.4.2 Does the security management plan include all of the following:</p> <p>a) a list of the risks arising from theft, vandalism, assault, sabotage, terrorism, and other criminal acts or other sources of harm;</p> <p>b) a description of the preventative and response measures to be used to manage those risks, including a description of the policies, procedures and equipment and other physical resources that it is proposed to use for those measures, and of the training that it is proposed to be provided;</p> <p>c) if the rail operator shares a location, such as a model interchange or a port with one or more operators, a description of the arrangements made with those other operators in relation to that location to prevent or respond to security incidents;</p> <p>d) procedures for the recording, reporting and analysis of security incidents;</p> <p>e) the allocation of security roles and responsibilities to appropriate people;</p> <p>f) provision for liaison, the sharing of information and for joint operations with emergency services and with other operators who may be affected by the implementation of the plan; and</p> <p>g) provision for the evaluation, testing and if necessary, the revision, of security measures and procedures.</p>			
<p>10.2.5 INTEROPERABILITY AND MANAGEMENT OF INTERFACES AND INTRAFACES <i>(Refer to SANS 3000 Part 2-6: Technical requirements for engineering and operational standards –Interface and intraface management, and interoperability.</i></p>	<p>VERIFICATION AND VALIDATION OF EVIDENCE</p>	<p>AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)</p>	<p>Additional Comments</p>

(EXPECTED EVIDENCE) This criterion applies equally to all groups of Operators, except where otherwise indicated)			
Confirm through evidence the following: 10.2.5.1 Existence of an updated interface register			
10.2.5.2 Does the safety management system include procedures for: a) the identification of interface risks to the safety of railway operations; b) the development and implementation of interface agreements to manage the interface risks identified; and c) monitoring the implementation and effectiveness of and compliance with interface agreements			
10.2.5.3 Does the interface agreement contain relevant diagrams, photographs, engineering standards and technical or engineering drawings attached to the agreement?			
10.2.5.4 If changes are identified through monitoring and review of risk, the agreement should be revised to reflect the changes. In addition, rail operators should ensure that the changes are reflected in their risk register and their safety management system more broadly			
10.2.6 TRANSPORTATION OF DANGEROUS GOODS Note: Refer to SANS 10405 (EXPECTED EVIDENCE) This criterion is equally applicable to groups A and B Operators only	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
Confirm through evidence the following: 10.2.6.1 Evidence that the Operator has identified, analysed and mitigated the risks associated with the handling and transportation of dangerous goods as required in SANS 10405			
10.2.6.2 Provision of specialised training in the handling and transportation of dangerous goods commensurate with the duties they perform.			

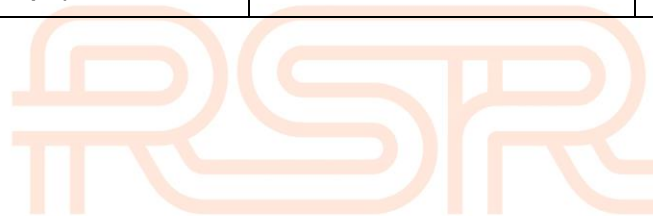
10.2.6.3 Existence of appropriate procedures and processes in place to identify dangerous goods according to established standards			
10.2.6.4 The existence of an up-dated emergency preparedness and response plan for dealing with occurrences involving dangerous goods and the minimisation of their impact			
10.2.6.5 Existence of updated procedures and processes in place for placing wagons in the prescribed consist in accordance with the compatibility requirements?			
10.2.6.6 Existence of a system for documentation and data control relating to the acceptance, handling and transportation of dangerous goods?			
10.2.6.7 Presence and adequacy of a system in place to prevent tampering or theft of dangerous goods in transit or on site or in yards.			
10.2.6.8 Are staff involved in handling of dangerous goods supplied with suitable personal protective equipment and trained in the use thereof?			
10.2.6.9 Does the Operator have processes in place for minimising environmental impact from dangerous goods related occurrences			
<p>10.2.6.10 Does the Operator comply to the following responsibilities of the train operator:</p> <ul style="list-style-type: none"> • confirmation of the suitability and service worthiness of the rolling stock or containers (or both) supplied to consignors; • confirmation of the accuracy of documentation for the dangerous goods to be conveyed; • have procedures in place for shunting and marshalling of rolling stock, including compatibility requirements; • have procedures in place for in-transit monitoring of the rolling stock, containers and integrity of the dangerous goods load; • an appropriate contingency plan; and • railway occurrence management. 			

10.3 NETWORK CO-ORDINATION ACTIVITIES			
(EXPECTED EVIDENCE) <i>This criterion applies equally to all groups of Operators</i>			
10.3.1 COMPLIANCE WITH NETWORK-SPECIFIC REQUIREMENTS FOR MANAGEMENT OF ROLLING STOCK	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
<p>Documented evidence demonstrating the existence of the following:</p> <ul style="list-style-type: none"> ➤ In the SMS documentation, the types of rolling stock to be used on the specific network and the type of operations to be conducted are clearly indicated. 			
<ul style="list-style-type: none"> ➤ The documentation outlines how the train operator complies with any operational restrictions placed on the type of rolling stock used on the network. 			
<ul style="list-style-type: none"> ➤ In the documentation, any additional maintenance requirements for the network concerned are identified and appropriate arrangements for maintenance are in place. 			
<ul style="list-style-type: none"> ➤ In the documentation, any additional requirements to manage rolling stock incidents for the network concerned are identified and appropriate arrangements are put in place 			
10.3.2 SAFE DESIGN OF THE RAILWAY INFRASTRUCTURE <i>This criterion applies equally to all groups of Operators, except where otherwise indicated</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
<p>10.3.2.1 There are procedures to ensure the safe design of the infrastructure throughout the life cycle of the infrastructure, covering design and installation.</p>			

10.3.2.2 There is procedures, which take into account technical change of the infrastructure and the management of that change.			
10.3.2.3 There are procedures which show that relevant rules covering the design of the infrastructure and any national safety methods have been identified and that the applicant can comply with them.			
10.3.3 SAFE OPERATION OF THE INFRASTRUCTURE <i>(Expected Evidence) This criterion applies equally to all groups of Operators, except where otherwise indicated)</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
10.3.3.1 There are procedures to ensure that the infrastructure is managed and operated safely, taking into account the number, type and extent of operators running services on the network including all necessary interactions depending on the complexity of the operation.			
10.3.3.2 There are procedures which show how safety is managed at the physical and/or operational borders of the infrastructure			
10.3.3.3 There are procedures which show how effective cooperation and coordination is managed, both in normal and emergency situations.			
10.3.3.4 There are procedures which show that rules covering the safe operation and management of infrastructure/vehicle			

interfaces have been identified and that the applicant can comply with them.			
10.3.4 PROVISION OF MAINTENANCE & MATERIAL <i>(This criterion applies equally to all groups of Operators, except where otherwise indicated)</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
10.3.4.1 There are procedures to ensure that maintenance of the infrastructure is undertaken safely, including clear management control and documented audit and inspection.			
10.3.4.2 There are procedures which ensure that the maintenance of the infrastructure meets the specific needs of the network.			
10.3.4.3 There are procedures which show that rules covering the supply of maintenance and material have been identified and that the applicant can comply with them.			
10.3.5 MAINTENANCE AND OPERATION OF THE TRAFFIC CONTROL AND SIGNALLING SYSTEM <i>This criterion applies equally to all groups of Operators, except where otherwise indicated)</i>	VERIFICATION AND VALIDATION OF EVIDENCE	AUDITOR'S/ ASSESSOR'S NOTES (ISSUES LOG)	Additional Comments
10.3.5.1 There are procedures to ensure that the traffic control and signalling system			

is operated and maintained so as to ensure the safe operation of the railway.			
10.3.5.2 There are procedures to comply with existing, new and altered technical and operational standards			
10.3.5.3 There are procedures which set out how safety is managed at the physical and/or operational borders of the traffic control and signalling system, including how cooperation, if necessary, is managed.			
10.3.5.4 There are procedures which show that rules covering the safe operation and maintenance of the traffic control and signalling system have been identified and that the applicant can comply with them.			
10.3.5.5 There is procedures, which take into account technical change of the infrastructure and the management of that change.			
10.3.5.6 There are procedures which show that relevant rules covering the design of the infrastructure and any national safety methods have been identified and that the applicant can comply with them. (Not applicable to a Group C)			



DECLARATION:

I, the undersigned, am duly authorized to sign this permit application. I hereby confirm that the SMS conform to the criteria as per the Safety Permit Conformity Assessment Methodology. Where it does not conform, I have submitted the required justification.

Appropriate Signature:

Date:

Name and designation in print:



ANNEXURE B: EXAMPLE OF PERMIT APPLICATION FILE NAMING CONVENTION

SPCAM Sub-Element	File Naming Format
8.3.1	8.3.1_ <u>Operator Name</u> _Safety Data Collection and Analysis Safety Policy_CCYYMMDD NB: i) CCYYMMDD = Official date that document was approved/issued ii) Do Not use special characters such as *, #, %, /, \$, @, etc as part of a document naming.



ANNEXURE C: ANNUAL SAFETY IMPROVEMENT PLAN (ASIP) SUBMISSION TEMPLATE

SAFETY IMPROVEMENT PLAN REQUIREMENTS

Please note that the content of your ASIP submission shall comply with the minimum requirements as detailed in the latest SMS and SMSR Determination published by the Regulator and the SANS 3000-1.

ANNUAL SAFETY IMPROVEMENT PLAN (ASIP)		
A-1 Annual Safety Improvement Plan (ASIP): The assessor seeks summary of below elements (9.4.4.1 to 9.4.4.5) (Upload report)		(Yes or No)
ASIP report attached?		
Nominated Manager letter		(Yes or No)
Letter attached?		
Asset Register		(Yes or No)
Register attached?		
9.4.4 SAFETY IMPROVEMENT PLAN REQUIREMENTS		
<i>The Annual Safety Improvement Plan shall include the following elements:</i>		
9.4.4.1 Risk assessments and Annual Safety Audits (EXPECTED EVIDENCE)	VERIFICATION AND VALIDATION OF EVIDENCE (Indicate Yes or No and Add comment)	ASSESSOR'S NOTES (ISSUES LOG)
a) Capture the results of the most recent (but not older than 6 months old) risk assessment undertaken and the resultant risk control strategies (section 8.2 of the SMS Determination);		
b) Capture the most recent results of internal and RSR safety auditing of the SMS (section 8.3.3 of the SMS Determination);		

9.4.4.2 Trend analysis (Five-year rolling cycle) (EXPECTED EVIDENCE)	VERIFICATION AND VALIDATION OF EVIDENCE (Indicate Yes or No and Add comment)	ASSESSOR'S COMMENTS
a) <i>Periodic analysis by the operator of occurrence data to identify safety trends and to provide feedback to the risk management process section (8.3.1 of the SMS Determination</i>		
b) <i>Results of trend analysis using historical data of railway occurrences reportable to the RSR and the root causes thereof (section 8.3.2.3 of the SMS Determination);</i>		
c) <i>Periodic review of the safety data analysis by Senior management (section 8.4 of the SMS Determination).</i>		
9.4.4.3 Safety Performance (EXPECTED EVIDENCE)	VERIFICATION AND VALIDATION OF EVIDENCE (Indicate Yes or No and Add comment)	ASSESSOR'S COMMENTS
a) <i>Capture the leading and lagging safety indicators (KPI) as far as it is relevant to the reporting organisation (section 8.3.1 of the SMS Determination);</i>		
b) <i>Identify and capture deficiencies and malfunctions of railway operations and infrastructure management that might be relevant for the Railway Safety Regulator (including the findings and recommendations arising from railway occurrences and security incident investigations);</i>		
c) <i>Provide information on how the organisation's rail safety targets are met and the results of safety plans;</i>		

<p>d) Provide the summary in the form of a separate report of the SMS review as required by section 8.3.4 of the SMS Determination.</p>		
<p>e) Submit a report detailing the progress you, as the operator, has made in addressing your safety permits special condition(s).</p>		
<p>Note: Where appropriate, annual safety performance targets must be set for each discipline or department of the operator, which are measurable, meaningful and realistically achievable whilst considering the current operational constraints.</p>		
<p>9.4.4.4 Railway Safety Related Projects or Initiatives</p> <ul style="list-style-type: none"> List of most critical railway safety issues to be addressed in the current year and the following 5 Year (rolling) period List of Rail Safety targets based on findings from paragraph 9.4.4.1, 9.4.4.2 and 9.4.4.3 above. Describe safety initiatives to address the identified critical issues. This shall include current initiatives (inclusive of corrective actions) as well as proposed initiatives for the next 5 year rolling period. Provide monitoring and reporting information of the safety initiative to the operator's organization and 	<p>VERIFICATION AND VALIDATION OF EVIDENCE (Indicate Yes or No and Add comment)</p>	<p>ASSESSOR'S COMMENTS</p>

<i>Railway Safety Regulator shall include:</i> (EXPECTED EVIDENCE)		
<i>a) List of Initiatives and accountable persons</i>		
<i>b) Safety Targets and associated KPI's</i>		
<i>c) Method of Monitoring with frequencies</i>		
<i>d) Corrective Actions for Deviations (where applicable)</i>		
9.4.4.5 Changes to the SMS and Railway Operations (EXPECTED EVIDENCE)	VERIFICATION AND VALIDATION OF EVIDENCE (Indicate Yes or No and Add comment)	ASSESSOR'S COMMENTS
Changes to the SMS and railway operations in accordance with element 8.3 of the SMS and SMSR determination shall be listed. These Changes refer to planned or expected changes for the current permit cycle.		

