



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **PSPRAIL502A Assess and administer accreditation and registration applications**

**Revision Number: 2**

## **PSPRAIL502A Assess and administer accreditation and registration applications**

### **Modification History**

PSPRAIL502A Release 2: Layout adjusted. No changes to content.

PSPRAIL502A Release 1: Primary release.

### **Unit Descriptor**

This unit covers the assessment and administration of applications for accreditation of rail transport operators, exemptions, variations to accreditation, notifications of change and registration of private sidings.

No licensing, legislative, regulatory or certification requirements apply to this unit at the time of publication.

### **Application of the Unit**

In the workplace, staff members must be able to identify and apply legislative, regulatory and procedural requirements relating to accreditation of rail transport operators and registration of private sidings. They must be able to assess the competency and capacity of rail transport operators to manage risks and explain the requirements of accreditation, exemptions, variations, notifications of change and registration. Staff members also assist applicants to determine if accreditation or variations are required or if they are eligible for exemptions prior to application. They need to provide clear information to applicants to help reduce delays due to incomplete or inadequate applications.

### **Licensing/Regulatory Information**

Not applicable.

### **Pre-Requisites**

Not applicable.

### **Employability Skills Information**

This unit contains employability skills.

## Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.

Performance criteria describe the required performance needed to demonstrate achievement of the element. Where ***bold italicised*** text is used, further information is detailed in the range statement. Assessment of performance is to be consistent with the evidence guide.

## Elements and Performance Criteria

| ELEMENT                                                                           | PERFORMANCE CRITERIA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|-----------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Explain accreditation and registration requirements                            | <p>1.1 Current and comprehensive information is accessed to clarify legislative, regulatory and procedural requirements for <b>accreditation</b> of rail transport operators, exemptions, <b>variations to accreditation</b>, <b>notifications of change</b> and <b>registration of private sidings</b>.</p> <p>1.2 <b>Information relating to accreditation</b>, accreditation processes and registration requirements is provided in accordance with legislation, policies and procedures/guidelines.</p> <p>1.3 Information relating to possible <b>exemptions</b> is provided in accordance with legislation, policies and procedures/guidelines.</p> <p>1.4 Information relating to notification of change requirements is provided in accordance with legislation, policies and procedures/guidelines.</p>                                                                                                                                                                   |
| 2. Receive, assess and determine applications, and review notifications of change | <p>2.1 <b>Application requirements</b> are identified and confirmed for accreditation, exemptions, variations to accreditation, notifications of change or registration of private sidings.</p> <p>2.2 <b>Key criteria for granting accreditation</b>, variations to accreditation and issuing notices, and steps for assessment of applications are identified and confirmed, including requirements for liaison with other regulators.</p> <p>2.3 Applications and <b>supporting documents</b> are checked for adequacy and completeness in accordance with <b>accreditation</b> or <b>registration requirements</b>, details are verified, and further information is obtained as necessary.</p> <p>2.4 Applications are recorded and assessed in accordance with legislative timeframes and procedures/guidelines.</p> <p>2.5 Evidence supporting the assessment and decision is clearly documented in accordance with legislative requirements and procedures/guidelines.</p> |
| 3. Issue notices                                                                  | <p>3.1 Accreditation notices and <b>schedules</b> are prepared and issued in accordance with legislation, policies and <b>business rules</b>.</p> <p>3.2 <b>Reasons</b> for decisions to impose <b>conditions</b> on or restrictions to accreditation are provided in accordance with legislation, policies and procedures/guidelines, along with information on applicants' rights for independent review of the decisions.</p> <p>3.3 Frequency of <b>reviews and reports</b> for the operator is identified and included in accordance with legislative and policy requirements.</p> <p>3.4 Notices of registration are issued in accordance with legislative and policy requirements.</p> <p>3.5 Annual fees and their due date are specified in accordance</p>                                                                                                                                                                                                                |

**ELEMENT****PERFORMANCE CRITERIA**

with regulatory requirements.

## Required Skills and Knowledge

This section describes the essential skills and knowledge and their level, required for this unit.

**Required skills:**

Look for evidence that confirms skills in:

- analysing and assessing complex and formal documents, such as legislation and supporting materials and applying them to the assessment of applications
- researching information related to accreditation or registration requirements
- planning and organising work
- analysing applications and supporting evidence against relevant criteria and using initiative to identify and request additional information if required
- communicating with others, involving the explanation of complex information relating to regulatory requirements
- documenting decisions, writing submissions and recommendations, and preparing notices
- numeracy to confirm accuracy of numerical information
- self-management to work ethically and in accordance with legislation
- using technology to conduct research, make enquiries, review available data, access legislative requirements and record outcomes
- responding to diversity, including gender and disability
- applying environmental and occupational health and safety procedures to administrative work and when dealing with applicants

**Required knowledge:**

Look for evidence that confirms knowledge and understanding of:

- legislative, regulatory and procedural requirements for accreditation, exemptions, variations, notifications of change and registration of private sidings
- circumstances under which some or all accreditation requirements may be waived
- safety management systems and rail safety management plans
- confidentiality requirements

## Evidence Guide

The Evidence Guide specifies the evidence required to demonstrate achievement in the unit of competency as a whole. It must be read in conjunction with the unit descriptor, performance criteria, The range statement and the Assessment Guidelines for the Public Sector Training Package.

### **Critical aspects for assessment and evidence required to demonstrate competency in this unit**

In addition to integrated demonstration of the elements and their related performance criteria, look for evidence that confirms:

- the knowledge requirements of this unit
- the skill requirements of this unit
- application of employability skills as they relate to this unit
- assessing and administering accreditation in a range of 3 or more contexts or occasions over time.

### **Context of and specific resources for assessment**

Valid assessment of this unit requires:

- a workplace environment or one that closely resembles normal work practice and replicates the range of conditions likely to be encountered when assessing and administering accreditation and registration applications, including coping with difficulties, irregularities and breakdowns in routine

Resources essential for assessment include:

- legislation and standards relating to the accreditation of railway operators and registration of private sidings
- national templates and business rules for accreditation
- organisational procedures/guidelines and protocols relating to the administration of accreditation applications
- scenarios and/or case studies to capture the range of situations likely to be encountered when assessing and administering applications
- access to relevant systems

### **Method of assessment**

Assessment methods suitable for valid and reliable assessment of this unit of competency must use authenticated evidence from the workplace and/or training courses and may include, but are not limited to, a combination of 2 or more of:

- demonstration
- observation
- simulation or role plays
- case studies/scenarios
- workplace projects
- portfolios
- authenticated evidence from the workplace and/or training courses

The assessment environment should not disadvantage the candidate

and where the person has a disability the principle of reasonable adjustment should be applied during assessment.

Assessment methods should reflect but not exceed workplace demands, such as literacy demands and the needs of particular groups, such as:

- people with disabilities
- people from culturally and linguistically diverse backgrounds
- Aboriginal and Torres Strait Islander people
- women
- young people
- older people
- people in rural and remote locations

Suggested units that may be co-assessed with this unit to increase the efficiency and realism of the assessment process include:

- PSPETHC501B Promote the values and ethos of public service
- PSPGOV512A Use complex workplace communication strategies
- PSPLEGN501B Promote compliance with legislation in the public sector
- PSPPOL502A Advise on organisation policy
- PUAPOL010A Perform administrative duties
- PUAPOL013A Create, maintain and enhance productive working relationships.

### **Guidance information for assessment**

For consistency of assessment:

- evidence must be gathered over time in a range of contexts to ensure the person can achieve the unit outcome and apply the competency in different situations or environments

Assessing employability skills:

- employability skills are integral to effective performance in the workplace and are broadly consistent across industry sectors
- the way these skills are applied varies between occupations and qualifications due to the different work functions and contexts
- employability skills embedded in this unit of competency should be assessed holistically with other relevant units that make up the skills set or qualification, and in the context of the job role

In practice, assessing and administering accreditation and registration applications overlaps with other generalist or specialist work activities, such as acting ethically, using complex communication strategies, advising on organisation policy, performing administrative duties, and maintaining productive working relationships. Co-assessment with units of competency

addressing these other activities could be considered

## Range Statement

The range statement provides information about the context in which the unit of competency is carried out. The variables cater for differences between States and Territories and the Commonwealth, and between organisations and workplaces. They allow for different work requirements, work practices and knowledge. The range statement also provides a focus for assessment. It relates to the unit as a whole. Text in *italics* in the Performance criteria is explained here.

- Accreditation:**
- ensures that railway operators have the competency, capacity and systems to safely manage their railway operations and is based on the underlying principle of hazard identification and adequate risk management
  - is usually granted for an unlimited period of time, however time limits on accreditation may be imposed in some circumstances
- Variations to accreditation** apply when:
- accredited railway operators propose to implement changes to the scope and nature of their railway operations, not covered by their current accreditation
- Notification of change** must occur for:
- decisions to design or construct rolling stock or new railway tracks (as soon as is reasonably practicable [ASAIRP])
  - introducing a new type of rolling stock into service (28 days prior)
  - making changes to a safety critical element of rolling stock (28 days prior)
  - introducing a new type of rail infrastructure into service (28 days prior)
  - changes to design standards for rail infrastructure or rolling stock (28 days prior)
  - deciding to adopt new design standards for rail infrastructure or rolling stock (28 days prior)
  - changes to the frequency or procedures for inspection or maintenance of rail infrastructure or rolling stock (28 days prior)
  - changes to any safeworking system rule or procedure (28 days prior)
  - decision to introduce a new safeworking system rule or procedure (ASAIRP)
  - replacing the nominated contact person for regulator queries (ASAIRP)
- Registration of private sidings:**
- is a simpler process than accreditation
  - is required for private sidings that are connected to or have access to the tracks of an accredited rail transport operator
  - includes an interface agreement with the accredited operator of the railway to which their siding connects
- Private sidings:**
- are sidings managed, owned or controlled by one party which are connected to, or have access to, rail infrastructure managed

by another party

- do not include marshalling yards, crossing loops, or passenger or freight terminals
- do not include a siding, or a siding of a class, prescribed by the regulations not to be a private siding
- are exempt from accreditation, but may have conditions imposed on their registration

**Information relating to accreditation** may include:

- purpose of accreditation
- legislative authority for accreditation
- eligibility for accreditation
- application requirements
- exemptions for some or all accreditation requirements
- variations to accreditation
- criteria for assessment
- application fees for accreditation, if applicable
- conditions attached to existing accreditation
- right of review/appeal against accreditation decisions

**Exemptions** may be granted:

- for some or all accreditation requirements (Note: this is not an exemption from the need to be accredited)
- in accordance with legislation

**Application requirements** include:

- name and contact details of the applicant
- scope and nature of railway operations
- safety management plan for railway operations
- whether an applicant is accredited or has applied for accreditation in another state or territory
- description of operational assets and safeworking systems
- evidence of the right to manage the infrastructure and/or rolling stock
- evidence of consultation during development of the safety management system
- details of contractors
- endorsement by the applicant's governing body
- application fee

**Key criteria for granting accreditation** include evidence:

- that the applicant is a rail infrastructure manager or rolling stock operator in relation to the railway operations for which accreditation is sought
- of competency and capacity to manage risks to safety and implement the proposed safety management system
- of financial capacity or public risk insurance arrangements to meet reasonable potential accident liabilities
- of meeting the consultation requirements of the legislation in relation to the safety management system
- of satisfying legislative requirement

**Supporting documents** may include:

- description of the scope and nature of railway operations, including all elements of railway infrastructure and rolling stock
- description of the safety management system, or rail safety management plan and evidence of consultation during development
- details of operational assets and safeworking systems

- evidence of current or previous accreditation
- evidence of accreditation in another state or territory
- endorsement by the applicant's governing body
- evidence of effective management and control of relevant railway infrastructure or rolling stock movements
- details of contractors who will carry out railway operations on behalf of the applicant
- evidence of financial capacity and/or liability insurance arrangements
- details of safety interface agreements

|                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Accreditation requirements</b> include:      | <ul style="list-style-type: none"><li>• safety management system or rail safety management plan that effectively controls the risks associated with carrying out railway operations</li><li>• competency and capacity to implement and comply with the safety management system or rail safety management plan</li><li>• payment of applicable accreditation fees</li></ul>                                                                                                                                                                       |
| <b>Registration requirements</b> include:       | <ul style="list-style-type: none"><li>• systems and procedures to ensure safety</li><li>• maintaining a risk register and keeping it up-to-date</li><li>• documented procedures for maintenance of rail infrastructure</li><li>• compliance with any conditions imposed by the regulator</li><li>• interface agreements and coordination plans for interfaces with accredited railways</li><li>• maintaining a register of interface coordination plans</li><li>• payment of applicable registration fees</li></ul>                               |
| <b>Schedules</b> include:                       | <ul style="list-style-type: none"><li>• railway operations - rail infrastructure (Schedule 1)</li><li>• railway operations - rolling stock (Schedule 2)</li></ul>                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Business rules</b> may include:              | <ul style="list-style-type: none"><li>• National Business Rules for Uniform Administration of Accreditation</li><li>• national templates for accreditation notices</li><li>• use of specified terms to describe railway operations</li></ul>                                                                                                                                                                                                                                                                                                      |
| <b>Reasons</b> may include that conditions are: | <ul style="list-style-type: none"><li>• prescribed by legislation</li><li>• imposed to indicate the limits of competency and capacity demonstrated by the accredited person at a local jurisdictional level</li><li>• imposed because the programs of work required are judged to be material to the competency and capacity required for the management of risks to safety associated with the subject railway operations</li><li>• imposed to indicate the permissions sought by applicant</li></ul>                                            |
| <b>Conditions</b> may relate to:                | <ul style="list-style-type: none"><li>• intensity of railway operations</li><li>• time of operation - daylight, night time or between specific hours</li><li>• type of infrastructure being managed, e.g. whether track is electrified</li><li>• type of traction to be used in relation to rolling stock</li><li>• services or aspects of services, or specific railway operations to be undertaken</li><li>• performance of specific safety management initiatives or projects by specified deadlines</li><li>• changes to operations</li></ul> |
| <b>Reviews and reports</b> include:             | <ul style="list-style-type: none"><li>• safety management system reviews conducted annually, or more or less frequently, as determined by the regulator</li><li>• regular safety performance reports</li></ul>                                                                                                                                                                                                                                                                                                                                    |

## **Unit Sector(s)**

Not applicable.

## **Competency field**

Rail Safety Regulation.