



**RAIL SAFETY**  
**Regulatory operating model**



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**NZ Transport Agency**

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## PURPOSE

The NZ Transport Agency has primary regulatory responsibility for rail safety in New Zealand. As the rail safety regulator the Transport Agency has a critical regulatory role in providing independent assurance to stakeholders and the public, of the effective management of rail safety risks by rail participants.

The safe operation of rail transport services across New Zealand is achieved through regulation of the rail industry in accordance with the Railways Act 2005 (the act). Basic regulatory functions undertaken by the regulator primarily relate to issuing licenses and undertaking a range of compliance functions to assess the safety approach and performance of rail licence holders, and taking action to ensure compliance and safety.

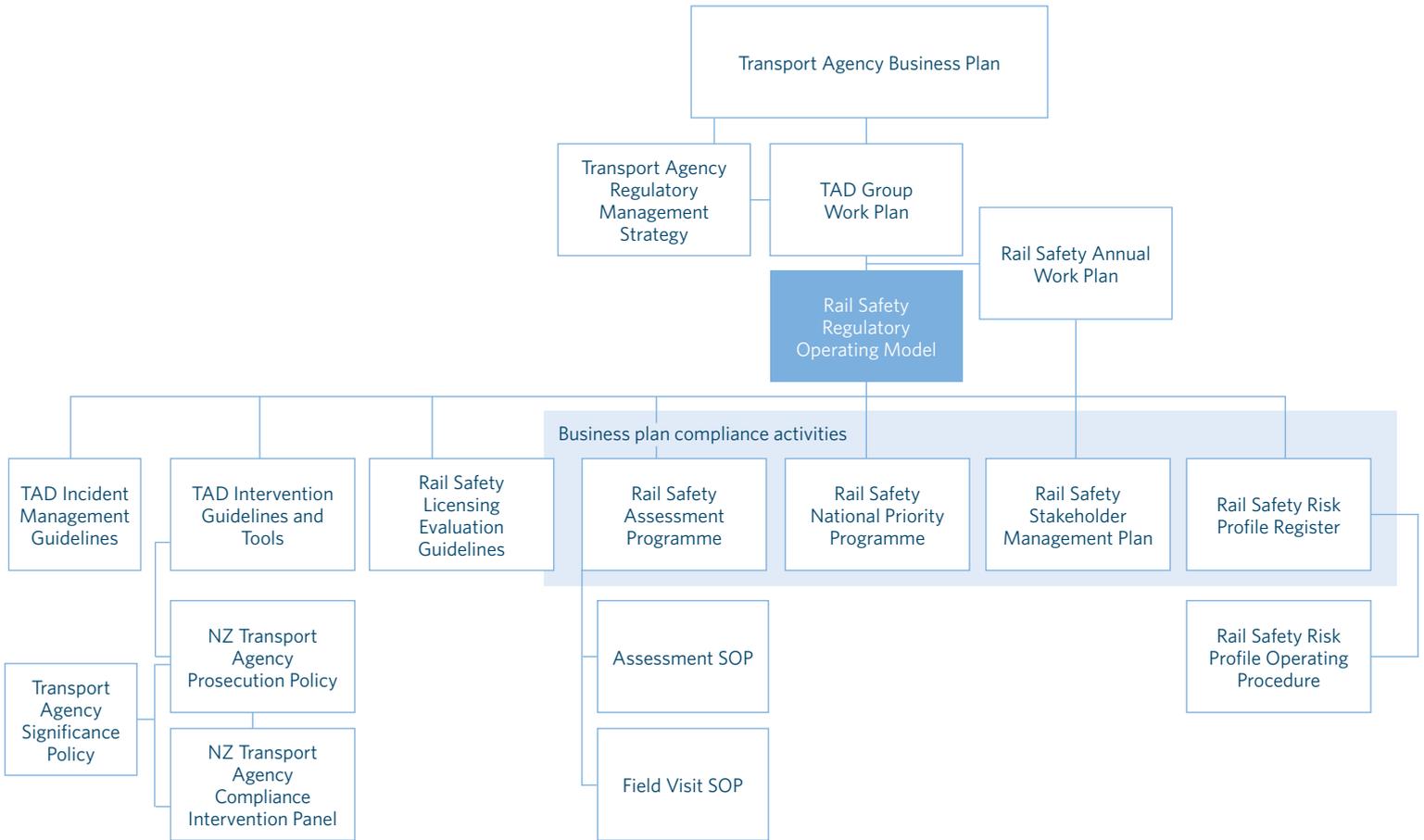
The purpose of the Rail Safety Regulatory Operating Model is to:

- identify the regulatory principles and approach the Transport Agency has adopted to regulate safety in the rail transport industry
- show how the compliance monitoring and enforcement measures set out in this model will be applied to all rail participants
- ensure a consistent approach to compliance monitoring and enforcement measures nationally
- be transparent about the application of interventions to achieve compliance.



# SCOPE

The following diagram illustrates the links between this regulatory operating model and other Rail Safety and Transport Agency documents.



TAD = Transport Access Delivery

## LEGISLATIVE APPROACH

The purpose of the Railways Act 2005 (the act) is to ensure the safe operation of rail transport services across New Zealand. The intent of the act is that the industry develops, implements, administers and continuously improves its own codes of practice and standards, and safety risk management policies and procedures.

The Transport Agency, as the rail regulator, has the responsibility to provide assurance that the rail industry maintains compliance with the act, and to intervene when a specific risk is not being addressed acceptably. Interventions are used to address significant compliance issues that present an immediate risk, or implement consistent approaches for managing common risks. Interventions can involve remedial actions and setting conditions on individual license holders through to imposing sanctions such as suspension, prohibition, or revocation of license.

The act supports a principles based approach to regulatory management which enables the Transport Agency to provide oversight at an outcomes level rather than prescribing rules on what rail operators must do and how they must do it. This allows industry innovation in processes and technology to evolve to proactively mitigate safety issues as they emerge.

Responsibility for safe rail operations is firmly placed in the hands of the rail industry; this is where the greatest knowledge of operations and appropriate safety practice sits. The safety case is the overarching tool to achieve this and therefore a foundation of the rail regulatory framework.

The act also empowers those that own, and provide access to, rail infrastructure to protect the rail corridor and take urgent action, if necessary, to address safety risks.

## THE RAIL REGULATORY FRAMEWORK

In order to promote rail safety, a chain of safety accountability was established in the act, this is maintained by:

- setting out the obligations of rail participants to ensure safety
- authorising the making of rules
- stipulating critical elements of approved rail safety systems to be operated by rail licence holders.

The key powers conferred on the Transport Agency under the act are:

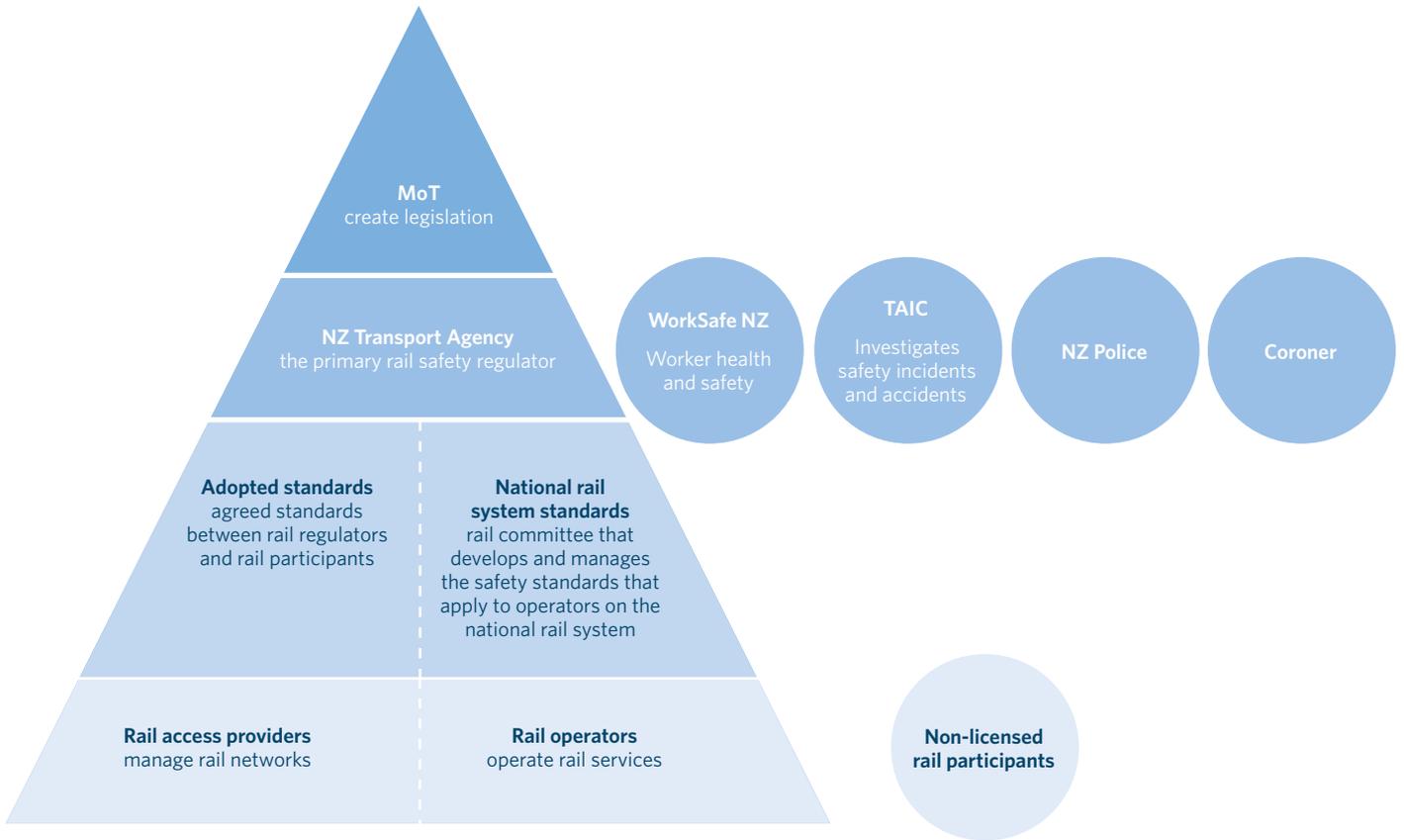
- Grant a licence.
- Approve, replace or vary a safety case.
- Add conditions to a licence.
- To assess, inspect and sanction rail participants.
- Require a rail participant to undergo an ordinary or special safety assessment.
- Impose temporary or permanent conditions.
- Suspend and prohibit operations, or revoke the licence.
- To take punitive actions such as prosecution.

The act also encourages a proactive approach to identifying and managing critical safety issues by ensuring:

- key rail participants are licensed by the Transport Agency
- essential safety data is collected
- rail licence holders demonstrate they are effectively managing safety risks, via their specific safety cases and recognised industry developed standards
- the Transport Agency has powers to assess, inspect and sanction rail participants.

The Transport Agency rail safety regulator also partners with Worksafe, the health and safety regulator for all work places, and the Transport Accident Investigation Commission (TAIC) which has a statutory role in determining the cause of significant transport accidents other than those occurring on the road.

# RAIL SAFETY REGULATORY STRUCTURE



## SAFE AND COMPLIANT REGULATED COMMUNITY

The primary duties of rail participants are covered by sections 7 and 11 of the Railways Act 2005. The act requires rail participants to:

- ensure, so far as is reasonably practicable, that none of the rail activities it is responsible for causes, or is likely to cause, death or serious injury to others (section 7)
- comply with licence conditions, safety cases and safety systems (section 11) and recognised industry developed standards.

It is unlikely full compliance with the act will be achieved if one or more of the following general conditions is not met:

1. The rail participant must be aware of their regulatory responsibilities.
2. The rail participant must be willing to comply.
3. The rail participant must be able to comply.

It is the Transport Agency's objective to make it easy to comply whilst providing consequences for those who choose not to comply.

Compliant behaviour is influenced by:

**Incentives:** The rail participant understands why we make the decisions we do and that there may be a cost for individual safety improvements however overall there are profitability and productivity opportunities for a compliant and safe operation. These may include a more efficient, productive operation and workforce, an enhanced reputation for a positive and safe customer experience, and recognition from peers for best practice.

**Fairness and trust:** Regulated participants will be more likely to comply if they view the Rail Safety Regulator (and related regulatory agencies) and the compliance regime it administers as fair, reliable and trusted.

**Opportunity:** This includes both the opportunity to be compliant (enhanced by, for example, simple rules) and the opportunity to be non-compliant (for example, opportunities for evasion).

**Economic factors:** Safety investment decisions by rail participants may be influenced by economic factors, not only general economic conditions but also factors specific to the rail industry or specific participant.

**Deterrence:** This is the perceived risk of non-compliance being detected (for example through assessments) and subsequently being subjected to sanctions. This is most effective if the implications of being found non-compliant are high and there is a reasonable likelihood of detection.

## TRANSPORT AGENCY APPROACH

Managing risk is central to a rail safety regulatory functions. The rail safety regulator's service is focused on achieving best possible outcomes by leveraging regulatory resource in the most efficient and effective way to effect desired safety behaviours.

We have a clear vision, operational plan and operational policies that are linked to the Transport Agency regulatory management strategy.

## RAIL SAFETY REGULATOR VISION

### *Safe rail to keep New Zealand moving*

We will achieve our vision through:

- building meaningful relationships with all rail industry stakeholders
- creating a shared vision with industry and supporting them towards self-regulation
- finding new and innovative ways to deliver
- communicating openly and honestly, and being straightforward in our approach
- continuously aspiring to be a centre of regulatory excellence.

Alongside the guiding principles set out below we emphasise the importance of a customer centric view of all we do and how we deliver our services. We recognise that how we regulate is as important as what we regulate so the rail regulatory function is founded on the following behaviours linked to the Transport Agency's DNA.

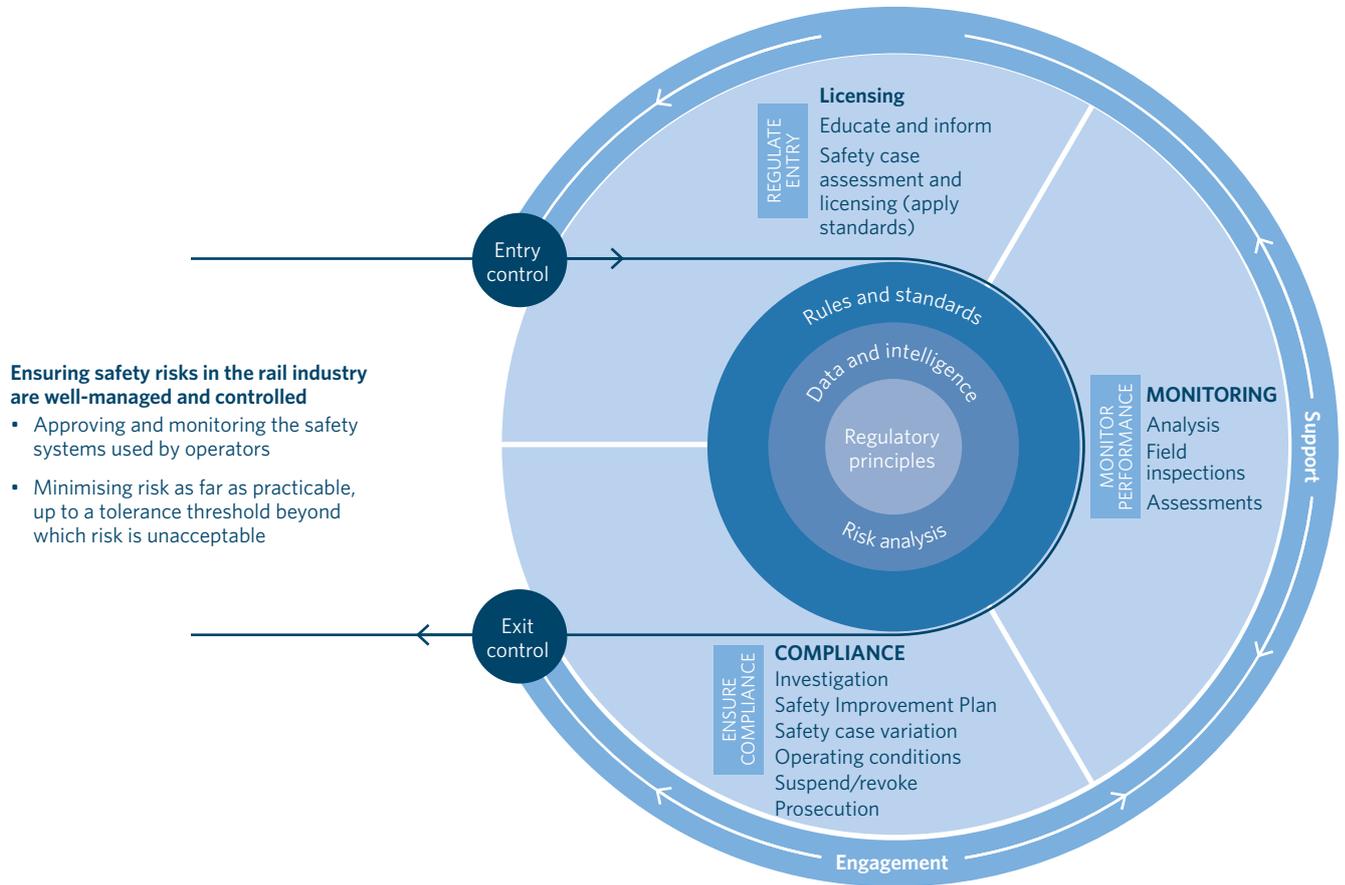
- Strong trust based relationships between the rail regulator and the rail industry that build a mutual understanding and appreciation of the desires and constraints of all parties.
- Communication that is timely, clear and concise with no surprises, that is understandable by all, and facilitates meaningful engagement and understanding.
- Regulation in balance, that is neither hard nor soft, but seeks to utilise the full spectrum of regulatory tools specific to context and the desired outcome.

## REGULATORY MANAGEMENT GUIDING PRINCIPLES

Our operational decision-making and compliance activities are guided by the Transport Agency regulatory management principles.

PRINCIPLE	DESCRIPTION
Outcomes focused and driven	<p>We have clear objectives designed to achieve well defined outcomes.</p> <p>We recognise that different strategies are required for different risks and compliance attitudes. We consider the motivations, incentives, priorities and capabilities of rail participants in each situation to ensure we select the right tool to achieve the required rail safety outcomes.</p> <p>We work with rail participants, partners and other stakeholders to address drivers of systemic risk.</p>
Proportionate and tailored responses	<p>Our regulatory interventions are proportionate to the presenting risk, harm and attitude to compliance.</p> <p>There is an empirical foundation to our regulatory judgements.</p> <p>We minimise administrative burden from our regulatory requirements.</p>
Certainty	<p>Rail participants know their legal obligations.</p> <p>Rail participants know what to expect from us.</p> <p>All rail participants understand their roles, responsibilities and legal obligations.</p> <p>Our decision making criteria are clear, applied consistently, fairly and in an even-handed manner.</p>
Flexibility	<p>We are able to adapt our regulatory approach to the attitudes and needs of different rail participants.</p> <p>Participants have scope to adopt cost-effective and innovative approaches to meeting their legal obligations.</p> <p>Non-regulatory measures, including self-regulation, are used wherever possible.</p>
Durability	<p>We are guided by legislation, public good, and our understanding of risk, harm and benefits from actions.</p> <p>We are responsive to changing circumstances or new information on system performance.</p> <p>Regulatory environment analysis and performance monitoring determine whether regulatory objectives are being met and whether adjustments are required to address technological and market change and evolving societal expectations.</p>
Transparency & accountability	<p>Our implementation and enforcement of the Railways Act 2005 is transparent.</p> <p>We can justify our decisions, we understand the impact our decisions have on rail participants and the wider community.</p> <p>Our accountability arrangements are well understood.</p>
Capable regulators	<p>We provide independent assurance to the public and wider stakeholders of the effective management of rail safety risks.</p> <p>We have the capability and capacity to administer an efficient and effective regulatory system.</p>

## RAIL SAFETY REGULATOR ACTIVITIES



Regulatory activities are undertaken for the purpose of:

- assuring public safety - the Transport Agency, as the independent regulator, acts in the public interest by assessing the safety performance of rail participants, identifying risk of harm, and proactively addressing these risk with the rail industry
- ensuring rail participants comply with relevant legislation, rules, regulations and standards and take responsibility for a high level of safety management and, where appropriate, holding operators to account for their safety performance
- encouraging continuous improvement for all rail participants to implement safety risk management practices that exceed the minimum requirements of the act.

## REGULATE ENTRY

### LICENSING

To ensure safety, rail participants must be licensed before they can carry out rail activities<sup>1</sup>. As the rail regulator, the Transport Agency manages the entry and exit of rail licence holders via a licensing system. The licensing function is supported by an assessment of participants' safety cases, which is described below.

Licence holder performance is monitored through ordinary and/or special safety assessments and self-reporting by licence holders. To address unacceptable safety risks to individuals (such as death or serious injury) the Transport Agency can apply sanctions such as suspending, revoking or imposing temporary or permanent conditions on a licence<sup>2</sup>.

### SAFETY CASES

All rail participants who apply for a licence must submit a safety case proposal to the Transport Agency for approval and once licensed, adhere to it when carrying out their rail activities. Any change in a rail participant's safety case must be approved by the Transport Agency.

The contents of a safety case are specified in section 30 of the act. Each licence holder must have a safety case that explains the system it will use to:

- ensure it properly identifies, assesses and controls the safety risks of its operations
- consult and/or communicate safety risks with its rail personnel, representatives of rail personnel and any rail participants it may interact with
- continuously review and improve how it manages risk
- provide assurance to the Transport Agency that it is compliant with its safety case.

## MONITORING PERFORMANCE

### FIELD INSPECTIONS

Field inspections are a form of an informal assessment regime and are a key education and persuasion activity carried out by the rail safety regulator (refer to the field inspections standard operating procedure).

The purpose of field inspections may include:

- Ensuring ongoing compliance with the act.
- Encouraging open communication between the Transport Agency and rail participants.
- Engaging with participants to promote continuous improvement in rail safety.
- Educating/updating participants on key activities.
- Assisting participants to resolve issues that have been raised from safety assessments or other means (such as internal rail participants' audits).

### SAFETY ASSESSMENTS

Rail participants are regularly required by the Transport Agency to undergo a formal review of all, or part, of their safety and risk management systems such as a safety case. This includes supporting systems, programmes and workplace practices.

1. Section 15 of the act

2. Section 23 and 24 of the act

The process for carrying out reviews is either through ordinary or special safety assessments<sup>3</sup>. These assessments are carried out by appointed safety assessors who have defined powers and responsibilities under the act<sup>4</sup>.

Ordinary safety assessments are conducted as a scheduled activity as a part of the rail safety assessment programme. The assessment is required to provide assurance that the rail participant complies with the requirements of the act, rules and regulations, licence conditions, safety cases and safety systems (where applicable).

### SPECIAL SAFETY ASSESSMENT

A special safety assessment is initiated when the Transport Agency has, on reasonable grounds, determined that the participant's rail activities could cause the death of, or serious injury to, individuals or significant damage to property. It may be:

- as a result of information received about safety concerns regarding a rail participant
- the targeting of specific areas of risk – identified through incidents or trends
- in response to a notifiable occurrence (accident or incident) concerning a rail participant.

### RISK MONITORING AND INTELLIGENCE

Understanding risk across the sector is fundamental to operating as a risk-based regulator. A comprehensive risk and intelligence-led approach ensures the integration of other functions. This allows information, gained from all our activities, to direct our resources and interventions. It allows us to track trends and patterns to proactively identify areas of critical risk, investigate, and take action to ensure risk of harm is mitigated so far as is reasonably practicable.

Further, it can also provide some evidence of the effect our regulatory work is having on the overall safety of the rail sector.

### NATIONAL PRIORITIES (CRITICAL RISK) PROGRAMME

A function of the rail safety regulator is to ensure risks to the safety of rail operations are addressed to avoid preventable accidents. While it is ultimately the responsibility of rail participants to identify and manage their own risks, a key strength of the rail safety regulator's role is having oversight over the entire industry and connections with other agencies regulating safety in related industries. Without this context, individual participants may not be in a position to fully appreciate risks they face in their operations.

The national priorities programme utilises this unique perspective and authority of the Rail Safety regulator to identify and target the priority safety issues for the whole of the rail sector rather than for a particular rail participant. A comprehensive risk and intelligence-led approach allows information, gained from all our activities, to direct our resources and interventions. The purpose is to be proactive in identifying risk or precursors to risk and act to mitigate against these.

The collective capability of the industry and other agencies is used to drive systematic change and build the effectiveness of risk mitigation strategies. Ultimately this leads to risks being managed as business-as-usual by rail participants.

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3. Section 37 of the act

4. Section 46 of the act

## INVESTIGATIONS

A function of the rail safety regulator is to identify and ensure that the safety issues that have caused a specific incident or series of incidents to occur are resolved. In the first instance the investigation purpose is to address the harm, or potential for harm, then hold the rail participant to account using the appropriate intervention tool.

Statutory investigations require in-depth, independent examination of events to identify failures that must be addressed to prevent reoccurrences. Similar risks for other licence participants are identified, and prosecutions can be necessary to ensure accountability and deter future negligence.

An investigation may be initiated through a range of circumstances, including the following:

- An adverse finding from either an ordinary or special safety assessment.
- A notifiable occurrence (accident or incident) concerning a rail participant.
- The targeting of specific areas of risk – identified through incidents or trends.
- From intelligence data.

In selecting what safety incidents, complaints or information to investigate the Rail Safety team will take account of the following factors:

- The seriousness of any actual or potential breach of the act or safety case.
- The severity and scale of any actual or potential harm.
- The past compliance history of the rail participant.
- Whether the actual or potential harm relates to a priority on the national priorities programme.
- The wider relevance of the event, including whether the matter is in the interest of public good.

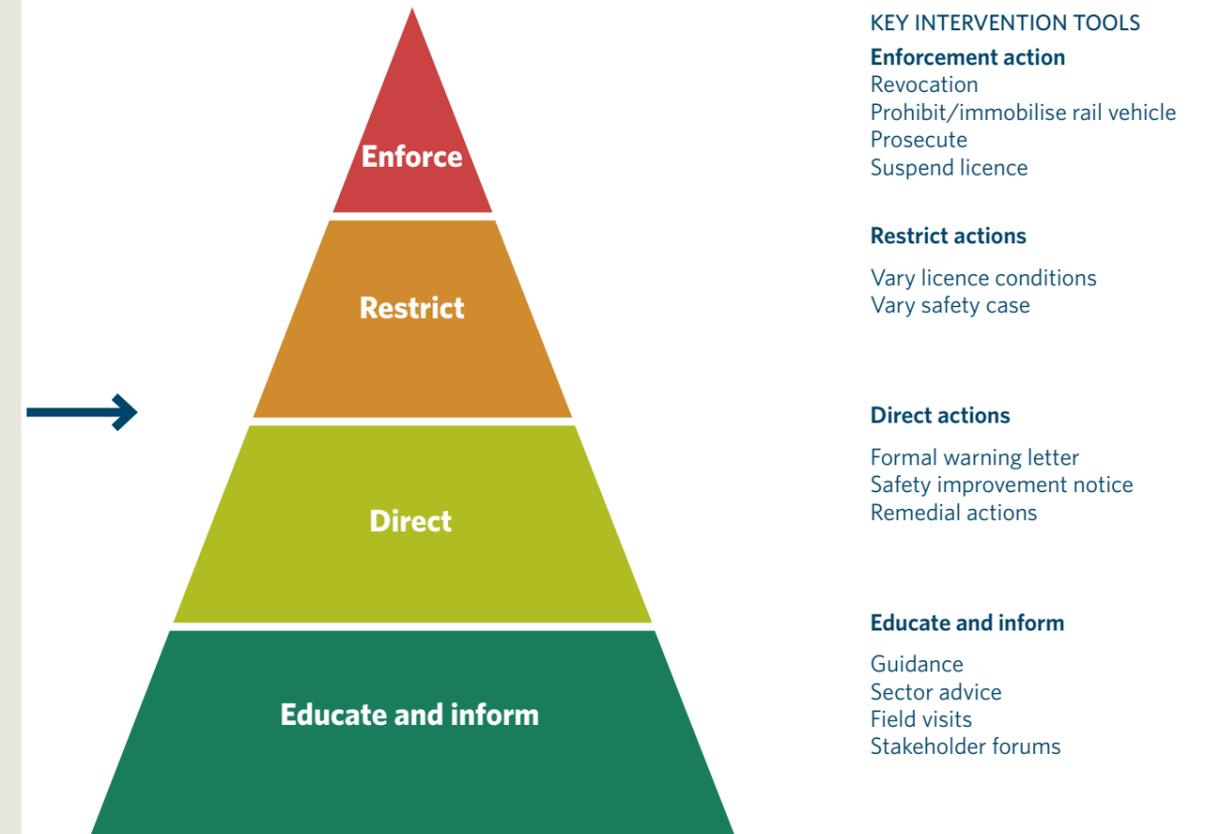
Investigations are undertaken in order to determine:

- Compliance with the act or safety case.
- Whether action has been taken or needs to be taken to address the non-compliance/harm.
- The appropriate level of intervention for the non-compliance.
- Whether there are any lessons to be learnt for future guidance and advice.

Depending on the nature of the incident investigations may be performed alongside, or in cooperation with other agencies, in particular the Transport Accident Investigation Commission, the Coroner, Police and/or Worksafe who may be investigating the same incident as the rail safety regulator. Where possible we will seek to coordinate investigations to minimise the impact and uncertainty on affected parties and ensure optimal usage of our resources.

**RAIL SAFETY INTERVENTION DECISION GUIDE**

PUBLIC INTEREST				
EXTENT OF HARM includes potential harm and actions that create serious risks	SERIOUSNESS OF THE CONDUCT in this context means behaviours, intent and capability of the operator	ATTITUDE TO COMPLIANCE generally, the intervention response will be informed by the attitude to comply	CAPABILITY TO COMPLY the ability to comply through resources, training, knowledge and processes	
<b>Widespread or significant</b>	<b>Very serious offending</b>	<b>Active non-compliance</b>	<b>Limited capability to comply</b>	<b>Extensive</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Potential harm is significant, imminent or affects the sector as a whole</li> <li><input type="checkbox"/> The harm is serious, is restricted in scale, not likely to impact the sector as a whole</li> <li><input type="checkbox"/> The harm can be easily remedied through education, guidance and adherence to industry standards and regulations</li> <li><input type="checkbox"/> The impact of the non-compliance is minimal with very little harm to people and the wider public</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> There is a very serious departure from expected lawful behaviour</li> <li><input type="checkbox"/> The behaviour is of a recidivist nature or sector wide</li> <li><input type="checkbox"/> The behaviour is deliberate</li> <li><input type="checkbox"/> There are a number of mitigating/extenuating circumstances that led to the non-compliance occurring</li> <li><input type="checkbox"/> The conduct is accidental or the result of unintentional non-compliance</li> <li><input type="checkbox"/> It is first time behaviour that is unlikely to be repeated</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Actively and intentionally non-compliant</li> <li><input type="checkbox"/> Unwilling to comply</li> <li><input type="checkbox"/> Reluctant to comply</li> <li><input type="checkbox"/> Willing to comply but are not aware of the compliance requirements and/or not able to comply</li> <li><input type="checkbox"/> Willing and able to comply - proactive</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Serious lack of management commitment to processes, training and knowledge of regulatory requirements and processes</li> <li><input type="checkbox"/> A poor level of management commitment to processes, lack of experience and capability demonstrated</li> <li><input type="checkbox"/> Adequate level of commitment to processes, training and knowledge of regulatory requirements</li> <li><input type="checkbox"/> A high level of commitment to processes, training and knowledge of regulatory requirements</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Action is necessary to deter others from similar conduct</li> <li><input type="checkbox"/> Action is necessary to clarify a grey area of law</li> <li><input type="checkbox"/> A decision not to act would undermine confidence in the rail transport system</li> <li><input type="checkbox"/> The non-compliance matter is quite historical</li> </ul>
<b>Minimal or none</b>	<b>Minor or accidental</b>	<b>Willing to comply</b>	<b>Strong capability to comply</b>	<b>Limited</b>
<b>INCIDENT AND RISK</b>		<b>REGULATED PARTY</b>		



# ENSURE COMPLIANCE

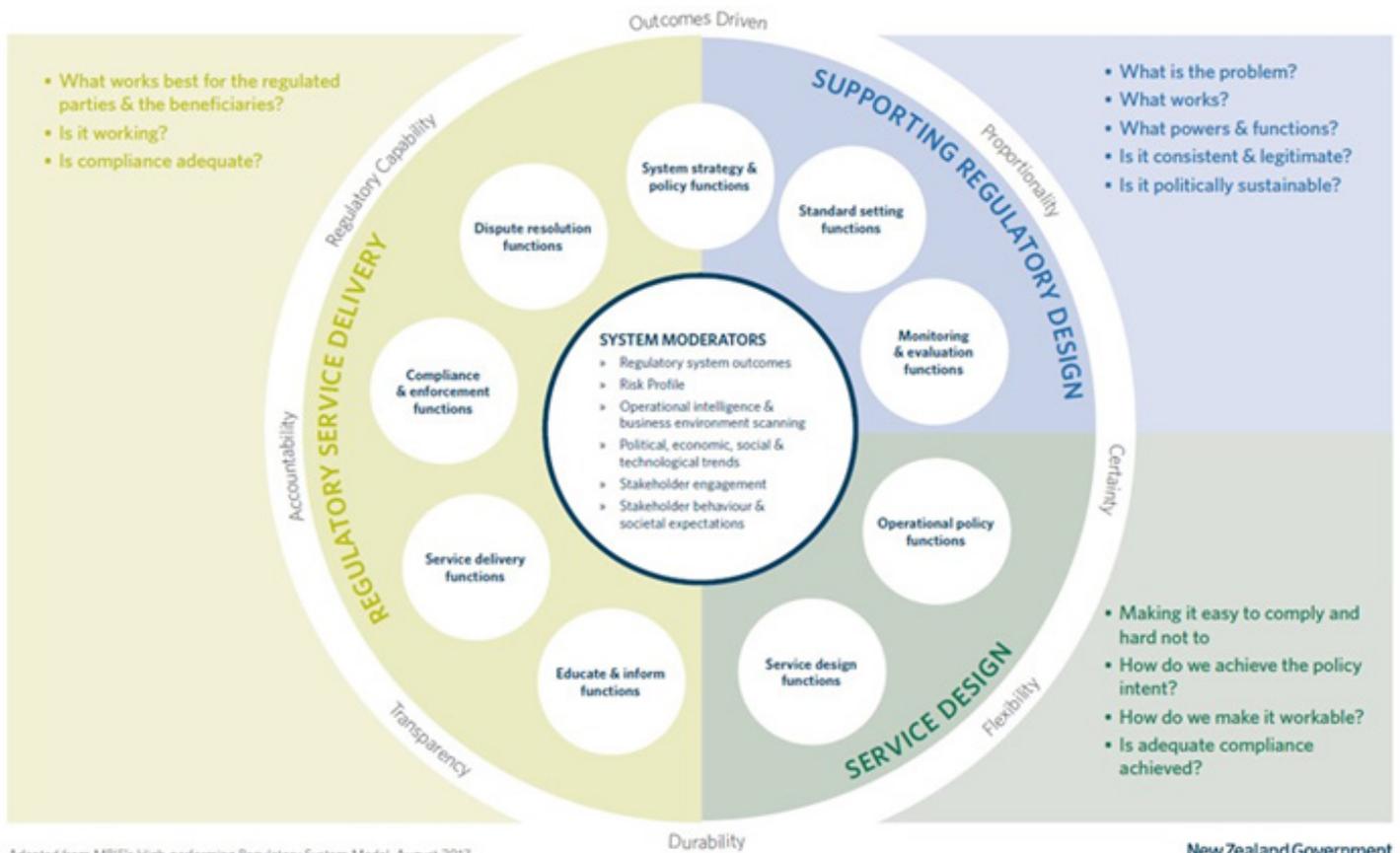
## COMPLIANCE INTERVENTION

Compliance means meeting or exceeding the requirements of the regulatory framework that is designed to ensure high levels of safety on the rail transport system. A risk-based, proportionate compliance strategy recognises that most people and organisations are willing to voluntarily comply with their regulatory obligations, or can be encouraged to do so. However, barriers such as a lack of awareness, understanding or capability may prevent some rail participants from operating in a safe and responsible manner.

The Transport Agency carries out its regulatory activities in a manner which is outcomes driven, proportionate, certain, flexible, durable, transparent and accountable. Our compliance activities are responsive to rail participant’s attitude to compliance and compliance capability.

Compliance intervention forms part of our overall regulatory management framework to ensure that:

- the overall regulatory system is well informed and supported
- customer service makes compliance easy
- non-compliance is minimised by making best use of a full range of tools.



Adapted from MBI's High-performing Regulatory System Model, August 2017

## INTERVENTION TOOLS

### EDUCATION AND PERSUASION

The rail safety regulator will identify, recognise and promote best practice safety initiatives and performance to influence the broader rail sector. Education and advice is provided for rail participants and stakeholders to assist the industry to improve the safety of all rail network operations.

Information, education, encouragement and assistance will:

- provide clarity and certainty for the rail transport sector about their legal obligations and the outcomes the act is seeking
- enable lower compliance costs for the rail sector through meeting their obligations proactively
- create open and responsive relationships between the Transport Agency and the rail transport sector, based on trust and a mutual desire to achieve safety outcomes
- increase public confidence in the Transport Agency, and greater appreciation of its objectives and public responsibilities.

### BUILDING SECTOR CAPABILITY

Providing advice and building sector capability is appropriate in circumstances where there is a lack of awareness, knowledge or misinterpretation of compliance requirements, the non-compliance is minor and the rail participant demonstrates a willingness to comply.

Engagement may occur through a variety of methods, including informal conversations, field visits, stakeholder forums and/or a compliance advice letter.

### COMPLIANCE ADVICE LETTER

Following an assessment, investigation or field visit, a 'compliance advice letter' may be issued where it is considered that the conduct gives rise to a possible breach of the law, however, in our judgement the matter is not a priority to take further.

A compliance advice letter is a generic term for letters that are educative in nature, and are issued in response to problematic conduct that we have identified. The compliance advice letter advises of our concerns about possible non-compliance with the law, and how to avoid a potential breach in the future, however, it is not legal advice.

### FORMAL WARNING LETTER

Following an assessment, investigation or field visit, we may issue a warning letter as an alternative to a higher-level enforcement response, where we consider that:

- the evidence that has been gathered is sufficiently strong to establish a prima facie case and there has been a breach or likely breach of the law, however
- the matter can be satisfactorily resolved without a higher level enforcement response.

The letter serves to put a rail participant on notice that future breaches will result in enforcement action.

A warning letter will:

- explain the breach of the law and what court penalties could be imposed for such a breach
- explain that, in this instance, we have exercised our discretion to issue a warning rather than to take legal proceedings if the conduct is ongoing, advise the recipient that it should cease, or the recipient will be at risk of further investigation and potential legal proceedings, and
- state that in cases of continued or repeated similar conduct we may rely on in any future enforcement decision-making on the fact of having already issued a warning letter.

## REPLACE OR VARY SAFETY CASE

The Transport Agency can require a rail participant to vary or replace the safety case of a licence holder if it considers it necessary in the interests of safety. Licence holders have the ability, under the Railways Act 2005 to apply to replace or vary their safety case, however, this tool also allows the Transport Agency to require a variation or replacement if it is necessary in the interests of safety. This may be used where a licence holder is unwilling to voluntarily make changes to its safety case in circumstances where the Transport Agency believes such changes are necessary.

## REMEDIAL ACTIONS

The Transport Agency has the ability to require a licence holder to take remedial action to address issues found during a special or ordinary safety assessment. The purpose is to compel participants to take remedial steps, as opposed to relying on the licence holder to voluntarily address such matters. A remedial action may also be issued to address a common theme across a number of (lower significance) non-compliances or safety improvement recommendations.

## SAFETY IMPROVEMENT PLAN

Following a safety assessment the Transport Agency can require the licence holder to prepare a safety improvement plan in respect of required remedial action. This can only be required where the Transport Agency has reason to believe that the licence holder has not implemented the required remedial steps. Once the Transport Agency approves the plan, it must be implemented by the licence holder (including any changes that the Transport Agency may require) within the timeframes imposed.

## IMPOSE TEMPORARY LICENCE CONDITIONS

The Transport Agency has the ability to impose temporary conditions upon a rail operator's licence where there is the risk of death or serious injury to individuals or of significant damage to property.

## PROHIBIT OR IMMOBILISE RAIL VEHICLES/INFRASTRUCTURE

If the Transport Agency believes, on reasonable grounds, that the operation or use of a rail vehicle or class of rail vehicle or any railway infrastructure may endanger persons or property, and that prompt action is necessary to prevent the risk, the Transport Agency may do either of the following:

- Prohibit, or impose conditions on, the operation or use of the rail vehicle or rail vehicles of that class railway infrastructure.
- Detain or immobilise the rail vehicle or any rail vehicle of that class or railway infrastructure, if the Transport Agency considers it necessary to prevent its operation or use.

## SUSPEND LICENCE

The Transport Agency has the ability to suspend the licence of a land transport participant. The purpose of suspending a participant's licence is to temporarily stop the rail activities of a licence holder where there is the risk of death or serious injury to individuals or of significant damage to property. This tool is useful if the Transport Agency is of the view that there are serious risks which need to (and can) be addressed by the licence holder but are not serious enough to warrant revocation of the licence. When making the decision to suspend a licence the Transport Agency should carefully consider whether temporary conditions could achieve the desired effect.

## PROSECUTION

The Transport Agency has the ability to prosecute parties where there have been breaches of the act which undermine the purpose of the rail safety regime. Offences under the act include:

- Section 61- Failure to comply with safety duties in ss 7, 9, 11 or 12.
- Section 62 - Failure to hold licence as required by s 15.
- Section 63 - Failure to report accident or incident as required by s 13.
- Section 64 - Obstructing a safety assessor.
- Section 92 - Interference with the railway corridor.

The Transport Agency can also apply to the court for an order prohibiting a person from acting as a rail licence holder, director of a rail licence holder or rail personnel.

## IMPOSE PERMANENT LICENCE CONDITIONS

The Transport Agency may impose permanent licence conditions in respect of a licence by reason of a safety assessment report or where it considers necessary to avoid the risk of death of, or serious injury to individuals; or significant damage to property.

## REVOKE LICENCE

The Transport Agency may revoke a licence by reason of a safety assessment report or where it considers necessary to avoid the risk of death of, or serious injury to individuals; or significant damage to property.

The Transport Agency may also, with or without the agreement of the licence holder, revoke a licence if the rail activities for which the licence was granted is no longer being carried out by the licence holder.



If you have further queries, call us on 0800 699 000 or write to us:

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