# rail operator epl12208 assurance

EPL 12208 is publicly available at [www.epa.nsw.gov.au/prpoeoapp](http://www.epa.nsw.gov.au/prpoeoapp).

A separate Part 2 of this form must be completed for each potential non-compliance (PNC) identified in Part 1.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Rail Operator** | | **Assurance Period** | | | | | |
| name | | 1 Jul to 30 Sep yyyy | 1 Oct to 31 Dec yyyy | | | 1 Jan to 31 Mar yyyy | 1 Apr to 30 Jun yyyy |
| **List of pollution incidents** *insert rows or attach an equivalent report/spreadsheet* | | | | | |  | |
| Incident date | | Location | | | | Sydney Trains RMC notification date | |
| dd/mm/yy | | suburb | | | | dd/mm/yy | |
| **List of pollution complaints** *insert rows or attach an equivalent report/spreadsheet* | | | | | |  | |
| Complaint date | Reference | Location | Issue | | | Date actions completed | Date record provided |
| dd/mm/yy | Satisfy | suburb |  | | | dd/mm/yy or pending | dd/mm/yy or pending |
| **Part 1: Assessment** | | | **Assessment**1 | | | **Controls and comments** | |
| **Did the Rail Operator:** | | | **Yes** | **No** | **N/A** |  | |
| 1. immediately notify each pollution incident to RMC? | | |  | PNC |  |  | |
| 1. provide EMS-11-FM-0139 *Rail Operator Pollution Incident Record* (or equivalent) to [EPL12208](mailto:EPL12208@transport.nsw.gov.au) within five calendar days of the incident? | | |  | PNC |  |  | |
| 1. provide a record of the action taken (or reasons for no action) for each pollution complaint received? | | |  | PNC |  |  | |
| 1. identify any further PNCs during pollution complaint investigations? | | | PNC |  |  |  | |
| 1. carry out activities in a competent manner? | | |  | PNC |  |  | |
| 1. handle materials & waste in a competent manner? | | |  | PNC |  |  | |
| 1. operate plant & equipment in a proper & efficient manner? | | |  | PNC |  |  | |
| 1. maintain plant & equipment in a proper & efficient condition? | | |  | PNC |  |  | |
| 1. manage activities to minimise dust & prevent dust going offsite? | | |  | PNC |  |  | |
| 1. comply with the prohibition of pollution of waters? | | |  | PNC |  |  | |
| 1. operate any “substantially modified” locomotive (or diesel multiple unit)? | | | PNC |  |  |  | |
| 1. test any new class/type of locomotive (or DMU)? | | | PNC |  |  |  | |
| 1. operate any class/type of locomotive (or DMU) not listed in Condition E2.1? | | | PNC |  |  |  | |
| 1. include an angle of attack (AoA) action report for the quarter? | | |  | PNC |  |  | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Assurance summary & declaration** | | | |  | |
| **The number of potential non-compliances identified is:**  [number]; OR  Zero; all EPL 12208 conditions and ADG7.3 requirements were complied with. | | | | | |
| **Part 2: Assessment** *copy rows or attach an equivalent report/spreadsheet for each PNC identified in Part 1* | | | | | |
| **EPL 12208 Condition**: | | | **Date(s) of potential non-compliance**: | | |
| **Location of potential non-compliance**: | | | **Registration numbers of plant involved**: | | |
| **Summary of potential non-compliance**: | | | **Cause of potential non-compliance**: | | |
| **Action taken to date**: *insert rows as required* | | | **Further action proposed**: *insert rows as required* | | |
| To mitigate adverse effects of PNC | Date taken | | To mitigate adverse effects of PNC | | Due date |
|  |  | |  | |  |
|  |  | |  | |  |
| To prevent a recurrence of the PNC | Date taken | | To prevent a recurrence of the PNC | | Due date |
|  |  | |  | |  |
|  |  | |  | |  |
| **Assurance declaration** | | | |  | |
| **It is an offence to supply information in an Annual Return that is false or misleading in a material respect.**  **THERE IS A MAXIMUM PENALTY OF $250,000 FOR A CORPORATION OR $120,000 FOR AN INDIVIDUAL.** | | | | | |
| **I certify that I have the authority to sign on behalf of the Rail Operator and that the EPL 12208 assurance provided covers all Rail Operations on the Network during the assurance period and “is correct and is not false or misleading in a material respect”.** | | | | | |
| **Name** | | **Signature** | | **Date** | |
|  | |  | |  | |
| **Email to** [**EPL12208@transport.nsw.gov.au**](mailto:EPL12208@transport.nsw.gov.au) **with any additional PNC reports attached as required.**  **DUE BY 20TH OCTOBER, 20TH JANUARY, 20TH APRIL, 20TH JULY.** | | | | | |

Notes

1. Mark appropriate response. If it is not a PNC, please remove “PNC”
2. ADG7.3 - Australian Code for the Transport of Dangerous Goods by Road & Rail (Edition 7.3, August 2014)