



transport

Department:
Transport
REPUBLIC OF SOUTH AFRICA

NPTR
PROCEDURE MANUAL
AND
BUSINESS FLOW PROCESS FOR
DEPARTMENT OF TRANSPORT

SECOND DRAFT

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1. INTRODUCTION

The National Department of Transport appointed **Vela VKE** Consulting Engineers (Pty) Ltd in May 2009 to develop standardised procedures for implementation of the operating licence system for the National Public Transport Regulator (NPTR). As a part of the study, **Vela VKE** is to draft a Procedure Manual and business flow process for the Department to assist it in implementing the National Land Transport Act and the various draft regulations. This report is a first submission to the Department to fulfil the element of the study relating to the procedures. It is hoped that through interacting with the Client and working through highlighted issues set out in the Procedures etc. that consensus can be reached on various issues and in agreed Procedures Manual can be finalised.

2. LAYOUT OF REPORT

This is a report that is being drafted to incorporate various elements of the study methodology and approach. Below is an explanation of the various elements of the flows, manual and application forms which are contained in the Appendices of this report. The intention is that officials of the Department of Transport who are involved in the NPTR will take this report and use the Appendices of this report in carrying out their functions for the Regulator. The documents referred to have been drawn up in a user friendly manner and sometimes been simplified in a way to ensure that no step is missed out. The intention is not to make the process too obvious but rather to ensure that an official has sufficient explanation and guidelines to carry out the role allocated to him or her.

2.1 Business process flows

This part of the report comprises a pictorial explanation of the step by step fulfilment of every application to be dealt with by the NPTR. It is set out in a business flow process system which indicates by a positive or negative answer to a statement as to where and which step the officials should proceed to next. A colour coded process has been used in order to categorise the different elements of the flows.

2.2 Procedure Manual

A procedure manual has been drawn up to set out a written explanation in simple layman's English about each step which should be followed by an official. The attention is that this

manual is not exhaustive but assists an official to carry out his function as he reads and fulfils each step as it is explained.

2.3 Application Forms

A series of application forms have been drafted which will be used to allow various applicants to provide the necessary information for an official to deal with the issuing of operating licences, transfer of licences, renewal of licences etc. These forms will be issued as official forms of the NPTR and will be distributed to the applicants who wish to have a operating licence issued by the Regulator.

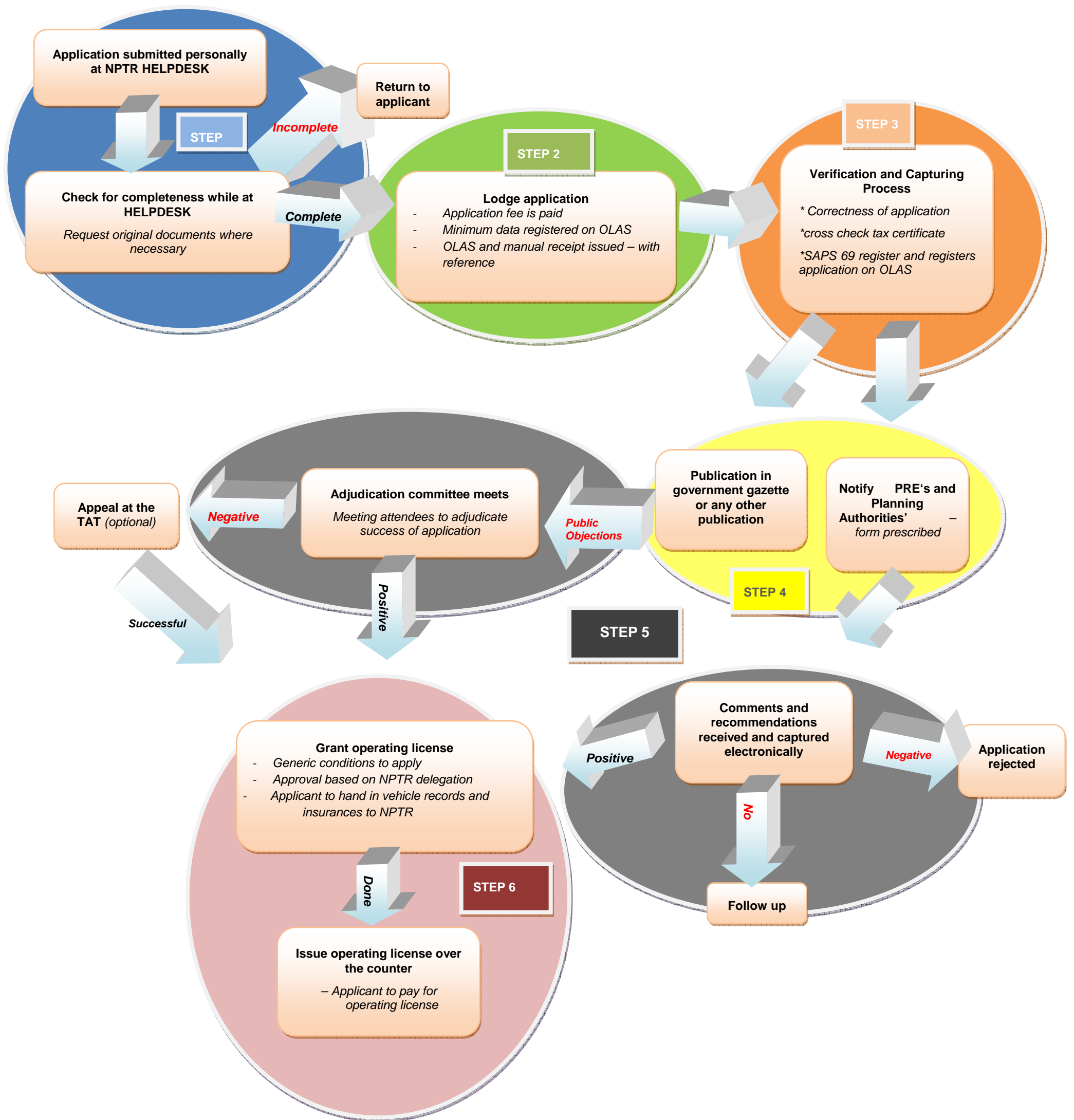
3. CONCLUSION

This report constitutes one of a number of outputs that will be produced in the course of this study, other elements included in this study include training manuals, a roll out plan and a monitoring oversight framework.

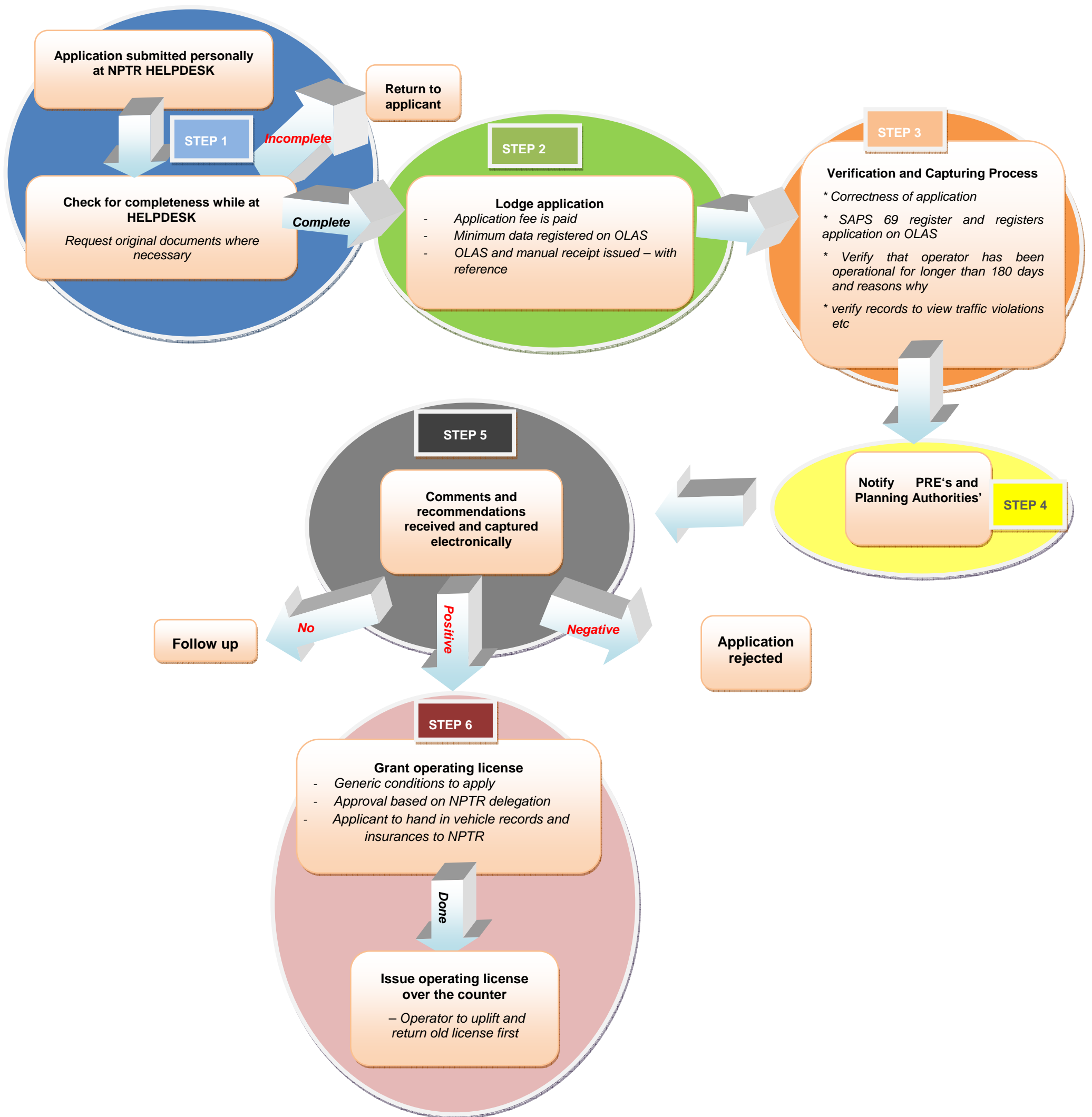
ANNEXURE A

BUSINESS FLOW PROCESSES

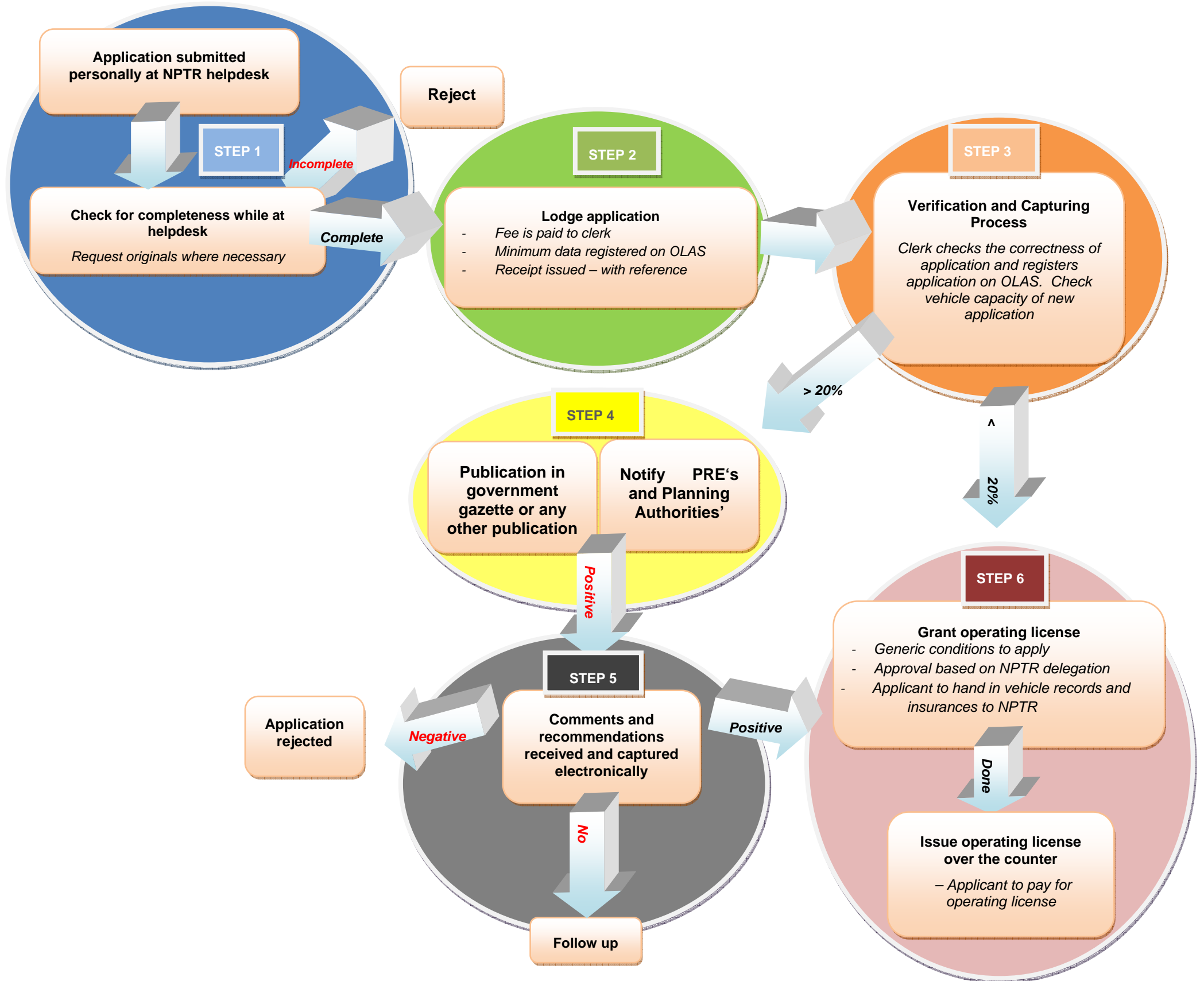
APPLICATION PROCESS FLOW FOR INTER PROVINCIAL SERVICES (new and transfer applications)



APPLICATION PROCESS FLOW FOR INTER PROVINCIAL SERVICES (renewal)



APPLICATION PROCESS FLOW FOR INTER PROVINCIAL SERVICES (amendments and temporary replacement of vehicles)



ANNEXURE B PROCEDURE MANUAL

STEP 1		STEP 2		STEP 3		STEP 4		STEP 5		STEP 5	
<i>Helpdesk</i>	<i>Time frame</i>	<i>Lodge application</i>	<i>Time frame</i>	<i>Capturing and Verification</i>	<i>Time frame</i>	<i>Publication and Notification</i>	<i>Time frame</i>	<i>Commenting and adjudicating</i>	<i>Time frame</i>	<i>Granting and Issuing</i>	<i>Time frame</i>
1. Submit application		1. Fee is paid		1. Check for correctness		1. Publication in government gazette and other publication		1. Objections received		1. Granting and issuing of operating license if comments are positive	
2. Check for completeness		2. Minimum data captured		2. Check tax clearance; SAPS 69 etc		2. Notify PRE's and planning authorities		2. PRE's comments received : if positive go to step 6; if no response follow up; if negative, terminate application			
		3. Issue Receipt		3. Register application on OLAS				3. Adjudication committee meets if there are objections			

APPLICATION PROCESS: INTER PROVINCIAL

Application form to be completed manually or electronically (Application form is attach - **Annexure A**).

(This application process is made in terms of s.54 of the National Land Transport Act, 2009).

A. MANUAL APPLICATION PROCESS

STEP 1

STATION 1: HELP DESK: CHECK APPLICATION FORM AND DOCUMENTATION

1. The Help Desk will receive and check application form for completeness. This is to be done in the presence of the applicant or the person who physically lodges application. Help Desk personnel must check the following:
 - (a) **Section A -Type of Application.** This section is compulsory and must be completed by placing a tick in one of the applicable blocks (remember only one application per application form). If more than one block is ticked the applicant must be informed that this is not permitted and must complete a new application form. (See NLTA Section 54 (5) (a)).
 - (b) **Section B and C–** Particulars of applicant must be fully completed and it is compulsory that this section be fully completed.
 - (i) There must be a distinction between applications from legal entities (company; close corporation; etc) and applications from sole proprietors.
 - (ii) Check if the relevant documents are attached. If the documents are not certified or not attached – return application form to applicant. The documents that must be attached to the application are listed in Table 1 below. If any of the required documents are not available, the application cannot move to step 2. Application form must be returned to applicant
 - (c) **Check Section D** -This has to be filled in when the applicant is renewing, making an amendment or transferring an existing operating licence. (Application types 3).
 - (d) **Check Section E** - This section is to be filled in when the applicant wishes to transfer an operating licence. (Application type 2).
 - (e) **Check Section F** - This section is compulsory for all application types (1-4).

- (f) **Check Section G** - This section is compulsory for all application types (1-4).
- (g) **Check Section H** - This section is compulsory for all application types (1-4).
- (h) **Check Section I** - This section is applicable for applications which are contracted services.
- (i) **Check Section J** - This section is applicable for applications which are scheduled services.
- (j) **Check Section K** – This declaration is compulsory of all applications
- (k) **Section L** – For official use only

If all the relevant fields have been completed the applicant can be directed to the cashier.

Documents required to be attached

- Tick if attached

1. A certified copy of one of the following:	RSA Identity Document	
	Passport	
	Temporary RSA Identity Document	
	Foreign Identity Document	
2. Tax clearance certificate issued by SARS (Only original will be accepted)*		
3. A sworn affidavit declaring whether applicant has a previous conviction (NPTR will confirm with SAPS)		
4. Board Resolution/ Founding agreement		

Application Form to be completed determined by the type of application

	Type of application	Sections to be filled in
1	Granting of a new operating licence	Sections A,B,C,F,G,H,K
2	Transfer of an operating licence	Sections A,B,C,E,F,G,H,K
3	Amendment of an operating licence	Sections A,B,C,D,F,G,H,K
4	Renewal of an operating licence	Sections A,B,C,F,G,H,K

ONLY IF THE APPLICATION FORM IS FULLY COMPLETE AND ALL THE DOCUMENTATION IS ATTACHED, THEN APPLICANT CAN PROCEED TO STEP 2

STATION 2: CASHIER – LODGE APPLICATION

- If the application is complete (Application forms filled in correctly and all required documents provided) then the applicant lodges the application form and pay the application fee. The method of payment is either by cash, credit card, debit card, EFT (DOT to advise)
- Upon lodgment, the following information must be captured on the OLAS for a receipt to be issued (note the receipt number will serve as the reference number for the file for that application) (NOTE: Accenture needs to confirm this functionality)
 - Type of application (only one will be applicable)
 - Applicants name and identity number
 - Date received
 - Amount paid
- The applicant will be supplied with a computer generated receipt. The receipt number serves as the reference number for the application.
- Cashier completes portion on application form marked “For office use only” at bottom of page 1.
- Application then passed to next station.

STEP 3

Station 3: Verification and Capturing Process

- Open file for each application – file must have the reference number that coincides with the receipt number.
- Check the correctness of the application and capture the application information on OLAS
- Verify Tax Clearance Certificate with SARS
- Verify criminal record details with SAPS through the SAPS 69 register

If the above information cannot be verified by SARS or by SAPS or is incorrect, a letter explaining the reason for not considering the application (A standard letter could be system generated -Accenture to confirm functionality).

STEP 4:

- Details of application are to be published in the government gazette and/or any other publication. (Need to develop standard advert for the NPTR – with relevant info to be included) (National Land Transport Regulation 17)
- Notify Provincial Regulatory Entities and Planning Authorities of notice of advertisement– (System generated referral letter – Accenture to confirm possibility of functionality).

STEP 5: Objections received from any interested person – place item on agenda of NPTR's **Adjudication Committee**

- Send letter to applicant and objector informing them of the date and time of the hearing of Adjudication Committee.
- Adjudication committee to meet and hear evidence of application. The committee is to make a decision on the application – decide on the application – either approve/reject – must provide reasons for decision.
- Comments and recommendations received from PRE and Planning Authority – they should:
 - Confirm whether the Integrated Transport Plan (ITP) caters for new services.
 - Confirm ranking or terminal facilities are available and whether in terms of relevant bylaws the applicant has the necessary permission to use such facilities

IF NOT – application is to be refused

- If the comments of PRE and PA are negative then the application is to be refused.
- The applicant must be informed of refusal via letter including reasons for such a refusal.
- If the comments are positive i.e. there are no disputes regarding to approval of the application, then the next step will follow.

STEP 6:

Grant Operating Licence:

Inform applicant of decision by way of letter and inform the applicant of the documents that are required in order to uplift the Operating Licence

Issue operating licence over the counter:

- Applicant must produce original identity document; valid Certificate of fitness; proof of vehicle insurance as well as passenger liability insurance.
 - On certification of a vehicle, the NPTR must issue to the operator an Operator License and a token for the vehicle, and the token must be affixed to the lower, inside, left-hand corner of the windscreen of the vehicle in such a manner that the print on its face is clearly legible from the outside to a person standing in front of or to the left of the vehicle.

B. ELECTRONIC APPLICATION PROCESS (WEB BASED APPLICATION):

- The applicant will input their information into a web based application form.
 - (i) Applicants will only be allowed to progress to the next section (page) once all the fields of that specific page have been completed.
 - (ii) This guarantees that the application is completed in full before the final submission.
- Once the applicant has completed the application and submitted it he/she will be notified via email that their application has been received and will be processed.
- The applicant will be required to send certain original documents (tax certificate and an affidavit- to be received within 14 days).
- Once these original documents have been received the application will be processed.
- The applicant will send the required scanned documents via email. It is the official's responsibility to do background checks and to request for hard copy documents when the authenticity of the documents is questionable.
- The system will generated a reference/receipt number for the applicant.
- This number will be used throughout the whole application process.

*(Form of payment to be decided. DoT to advise: EFT, debit card, credit card, cash)

APPENDIX C

APPLICATION FORMS



DEPARTMENT OF TRANSPORT
National Public Transport Regulator
NATIONAL LAND TRANSPORT ACT, 2009 (ACT NO. 5 OF 2009)

APPLICATION FOR INTER-PROVINCIAL SERVICES

SECTION A (Compulsory for all application types)

TYPE OF APPLICATION

This application is for - [Only one block may be ticked]

Application type:

Compulsory sections to be completed by applicant:

1) Granting of a new operating licence

A,B,C,F,G,H

2) Transfer of an operating licence

A,B,C,E,F,G,H

3) Amendment of an operating licence for:

a) Additional authority

b) Amendment of route or area

c) Change of particulars

e) Amendment of timetables or tariffs

f) Replace existing vehicle

4) Renewal of an operating licence

A,B,C,F,G,H

FOR OFFICE USE ONLY

Fees Paid

R

Reference number

Date received

Year Month Day

SECTION B (Compulsory for application types 1-4)

PARTICULARS OF APPLICANT

Name of company, corporation or other legal entity, or surname in the case of a

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First names, if sole proprietor (not more than 3)

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Type of identification

RSA identity document		Temporary identity certificate	
Passport		Foreign identity document	
Traffic Register Number		Certificate of incorporation	
Founding statement			
Memorandum of Understanding			

*Attach a certified copy

Identity no./business registration number

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Trade name (if applicable)

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Type of business

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Postal address and code

Postal code

Street address (if different from postal address) *Domicilium citandi et executandi*

Postal code

Telephone number(s)

Code

Code

Code

Facsimile number (if any)

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E-Mail address (if any)

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Income tax registration number [Original Tax Clearance Certificate]

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SECTION C (Compulsory for application types 1-4)

PARTICULARS OF PERSON RESPONSIBLE FOR A JURISTIC PERSON

In the case of a company, close corporation or other juristic person, particulars of the person responsible to represent it must be given:

Surname	<input type="text"/>																										
First names (not more than 3)	<input type="text"/>																										
Identity number	<input type="text"/>																										
Type of identification	<input type="text"/> RSA identity document													<input type="text"/> Passport													
	<input type="text"/> Other (specify																										
Telephone number	<input type="text"/>													Code	<input type="text"/>												

SECTION D (Compulsory for application types 3)

PARTICULARS OF EXISTING OPERATING LICENCE (In the case of an application for renewal, amendment or transfer)

Operating licence number	<input type="text"/>																												
Board which issued the operating licence/permit	<input type="text"/>																												
Date of issue	<input type="text"/>			<input type="text"/>			<input type="text"/>																						
	Year			Month			Day																						

Attach a certified copy of operating licence [A permit must first be converted to an operating licence before it may be renewed, amended or transferred.]

SECTION E (Compulsory for application type 2)

PARTICULARS OF PERSON OR ENTITY TO WHICH THE OPERATING LICENCE IS TO BE TRANSFERRED (In the case of an application for transfer)

Name of company, corporation or other legal entity, or surname in the case of a sole proprietor	<input type="text"/>																										
First names, if sole proprietor (not more than 3)	<input type="text"/>																										
Type of identification	<input type="text"/> RSA identity document													<input type="text"/> Temporary identity certificate													
	<input type="text"/> Passport													<input type="text"/> Foreign identity document													
	<input type="text"/> Traffic Register Number													<input type="text"/> Certificate of incorporation													
	<input type="text"/> Founding statement																										
	<input type="text"/> Founding agreement																										
Identity no./business registration number/traffic register no	<input type="text"/>																										
Trade name (if applicable)	<input type="text"/>																										
Type of business	<input type="text"/>																										
Postal address and code	<input type="text"/>																										
																								Postal code	<input type="text"/>		

*attach certified copies

SECTION G (Compulsory for application types 1-4)

PARTICULARS OF ROUTES

Describe the FIRST route in detail

Departure point	<input type="text"/>
Destination	<input type="text"/>
Route description (State street names or road numbers and each point where passengers are picked up or set down, and, where applicable, beacons or land marks for each city, town, village or settlement: vague route descriptions will not be accepted)	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>

Describe the SECOND route in detail (Complete for application of additional service)

Departure point	<input type="text"/>
Destination	<input type="text"/>
Route description (State street names or road numbers and each point where passengers are picked up or set down, and, where applicable, beacons or land marks for each city, town, village or settlement: vague route descriptions will not be accepted)	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>

[If there are more routes, they must be described on a separate sheet of paper]

SECTION H (Compulsory for application types 1-4)

AUTHORISED RANKS AND TERMINALS

State the authorised ranks and terminals used or to be used	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>

Check List

1. A certified copy of one of the following:	RSA Identity Document	
	Passport	
	Temporary RSA Identity Document	
	Foreign Identity Document	
2. Tax clearance certificate issued by SARS (Only original will be accepted)*		
3. A sworn affidavit declaring whether applicant has a previous conviction (NPTR will confirm with SAPS)		
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