

# **NSA Annual Report 2011 Norway**

## Table of content:

A.1. Scope of the report.....	3
A.2. Executive Summary of the report .....	3
B. Introductory Section .....	4
B.1. Introduction to the report.....	4
B.2. Railway Structure Information.....	4
B.3. Summary - General Trend Analysis.....	4
C. Organisation.....	5
C.1. Introduction to the organisation .....	5
C.2. Organisational Flow.....	6
D. The development of railway safety.....	6
D.1. Initiatives to maintain/improve safety performances .....	6
D.2. Detailed data trend analysis .....	7
D.2.1 CSI data.....	7
D.2.2 Analysis of national incidents – The Norwegian NSA database.....	8
D.3 Results of safety recommendations .....	9
E. Important changes in legislation, regulations and administrative provisions .....	9
F. The development of safety certification and authorisation.....	10
F.1. National legislation – starting dates – availability .....	10
F.2. Numerical data .....	10
F.3. Procedural aspects.....	10
F.3.1. Safety Certificates Part A .....	10
F.3.3. Safety Authorisations .....	12
G. Supervision of Railway Undertakings and Infrastructure Managers.....	13
H. Reporting on the application of the CSM on risk evaluation and assessment.....	14
I. Alternative measures through derogations regarding ECM certification scheme (applicable from 2013).....	14
J. NSA Conclusions on the reporting year 2011 - Priorities .....	14
K. Sources of information .....	15
L. Annexes.....	16
ANNEX A: Railway Structure Information .....	16
A.1 Network map.....	16
A.2 List of Railway Undertakings and Infrastructure Managers .....	17
A.2.1. Infrastructure Managers .....	17
A.2.2 Railway Undertakings .....	17
ANNEX B: Organisation charts of the National Safety Authority .....	20
B.1. Internal Organisation.....	20
B.2. Relationship with other National Bodies.....	20
ANNEX C: CSIs data – definitions applied.....	21
ANNEX D: Important changes in legislation, regulations and administrative provisions.....	21
ANNEX E: The development of safety certification and authorisation – numerical data.....	24

## **A.1. Scope of the report**

The Norwegian Railway Authority (NSA Norway) is the practical control and supervisory authority for rail traffic, including tramways, underground and suburban railways in Norway. The scope of this report covers the main national railway network. Tramways and underground are not included in the scope of this report.

The NSA is responsible for ensuring that the railway industry meet the conditions and requirements laid down in railway legislation. The NSA is also responsible for drawing up regulations, awarding licences for rail activity and approving rolling stock and infrastructure.

## **A.2. Executive Summary of the report**

A general trend shows improved safety reporting. This will give the railway undertakings (RUs) and infrastructure managers (IMs) a better basis for their Safety management activities if used correctly.

35 accidents were reported in 2011, 15 more than 2010. The number of accidents has increased because of RUs and IMs have increased their reports on demolition of overhead contact lines which have caused disruptions to traffic for 6 hours or more. The accidents included five fatalities and five persons were seriously injured. Two significant accidents occurred in 2011: A passenger train ran into a landslide area and derailed on the Røros line and a passenger train was captured in the tunnel<sup>1</sup> and the train caught fire at Hallingskeid.

The Norwegian NSA received 15 995 reports of incidents and accidents from the infrastructure manager and railway undertakings on the national rail network during 2011, which is an increase of about 6 729 reported incidents and accidents compared with 2010.

7 audits, 6 inspections, 1 document review and 6 meetings with the top management of RUs and IM were carried out in 2011. A number of non-compliances were revealed through the audits. One RU did not manage to correct the non-compliances, the result was that the RU was not granted renewal of its safety certificate.

The Norwegian NSA has through the supervision activities focused on the obligation and importance of safety reporting, this has given significant results.

Active promotion of safety will continue through thematic seminars and the NSA annual safety conference.

---

<sup>1</sup> The tunnel is built to prevent snow and rock falling on the tracks. The tunnel is built with steel and wood and placed outside the mountain.

## **B. Introductory Section**

### ***B.1. Introduction to the report***

This report is written by the Norwegian NSA, and contains information related to safety of the railway industry and results for parameters within railway safety for the year 2011.

The report is produced in accordance with the guidance from the European Railway Agency (ERA) and meet the requirements for reporting of safety related parameters and indicators in the Railway Safety Directive (RSD), which are also implemented in Norwegian law. The main purpose of the report is to provide data for the ERAs annual safety report.

On a cautionary note it is necessary to mention that there is uncertainty about the assessment of economic consequences of delays and accidents, as the accessible data is deemed unreliable.

### ***B.2. Railway Structure Information***

See Annex A

### ***B.3. Summary - General Trend Analysis***

A general trend shows improved safety reporting. This will give the railway undertakings (RUs) and infrastructure managers (IMs) a better basis for their Safety management activities if used correctly.

The number of reported common safety indicators (CSI) serious accidents has increased in 2011, mainly caused by improved reporting routines. (RUs and infrastructure managers have increased the number of their reports on demolition of overhead contact lines which have caused disruptions to traffic for 6 hours or more.) However the number of fatalities has been reduced from 8 to 5.

Two significant accidents occurred in 2011:

- A passenger train ran into a landslide area and derailed on the Røros line. 10 persons were injured, included the train driver and head conductor.
- A passenger train was captured in the tunnel and the train caught fire at Hallingskeid. All passengers were evacuated, and there were no personal injuries or fatalities. There were large material damages, the train was totally wrecked and the entire infrastructure in the tunnel was damaged.

The Norwegian NSA has through the supervision activities focused on the obligation and importance of safety reporting, this has given significant results.

Extreme weather conditions have resulted in both accidents and incidents related to land- and mudslides and objects on the tracks, which have led to increased focus and attention on this subject in the industry.

## **C. Organisation**

### ***C.1. Introduction to the organisation***

The Norwegian Railway Authority was established 1 October 1996, and is an independent agency under the authority of Norwegian Ministry of Transport and Communications.

The NSA's activities are financed by the national budget. As of 31 December 2011 the NSA employs 40 staff. A Director General oversees the daily management of the NSA.

The Director General is appointed by the King following a recommendation by the Minister of Transport and Communications. The NSA is divided into four departments: Administration, Legal, Safety Management and Supervision, and Technology and Operations. Each of the four departments is led by a Director of Department. The regulatory body unit is placed under Legal department and report to Director of Legal department. The different department have been awarded responsibility for the following tasks:

#### Administration:

- Accounting
- HR
- Management system
- IT
- Archives
- Information management
- Administration of contracts
- Office operations
- National databases

#### Legal:

- Development of regulations
- Licences and approvals
- Legal advice
- Handling of complaints and exceptions
- Regulatory body

#### Safety Management and Supervision

- Safety certificates
- Safety management and risk analyses
- Co-ordination of international collaboration
- Evaluation and follow-up of recommendations from the Norwegian Accident Investigation Board
- Incidents
- Statistics

- Safety authorisation of infrastructure managers
- Audits and inspections

#### Technology and Operations

- Approval of rolling stock
- Approval of infrastructure
- Approval of operating procedures
- Handling of exceptions from regulations regarding signals and train operation
- Technical standardisation

The NSA's Leader Group and Crisis Management Group are comprised of The Director General and the Department Directors.

### **C.2. Organisational Flow**

See Annex B.

## **D. The development of railway safety**

### ***D.1. Initiatives to maintain/improve safety performances***

To achieve an efficient supervisory regime, the Norwegian NSA use a risk based approach. In the planning of the supervisory activities, experience from accident and incident reporting and experience related to other processes are used actively to prioritise our focus on the activities representing the highest risks.

Based on the above, attention will be focused on the following:

- Active involvement from top management in safety (including management reviews)
- Active use of risk analysis (and knowledge of CSM RA)
- Follow up on reauthorisation of the major infrastructure manager
- Risk related to track conditions on the National network and handling of risk related to extreme weather conditions

These focus areas are included in the Norwegian NSA Supervision Plan for 2012.

The Norwegian NSA aims at showing that the RU's and IM's are responsible for safety on the network, and that they by using their Safety Management Systems shall make the necessary actions to prevent accidents and incidents. It is only in a very few cases that use of sanctions by the Authority have been necessary to ensure that proper actions have been taken.

The Norwegian NSA follows up all recommendations in reports from the National Investigation Body to ensure that the RUs and IMs implement adequate measures. Status reports on the recommendations are presented to the Ministry of Transport and Communications every 6 months.

"Morning seminars" are used as a tool to give guidance to the sector. These are informal meetings where guidance to specific topics are given. Typical subjects are new legislation or topics that through the supervision processes have been identified as difficult. This initiative has been a success and will be followed up in 2012.

To promote safety an annual safety conference is held by the Norwegian NSA. In 2011 the focus was set on Risk Management.

## D.2. Detailed data trend analysis

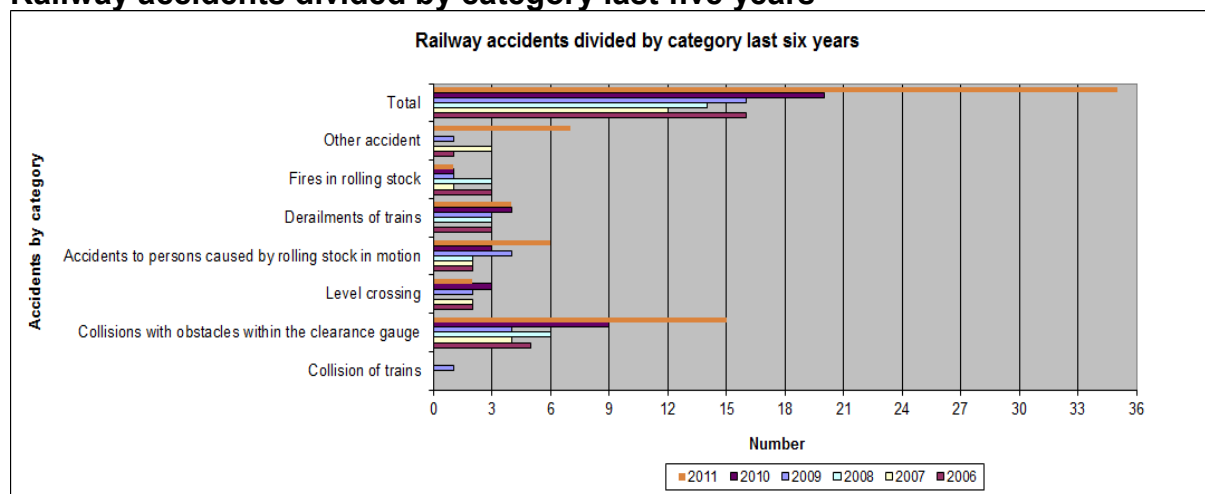
### D.2.1 CSI data

Registration of common safety indicators (CSI) according to the RSD started in 2007 with 2006 as reference.

Summary of safety indicators	2007	2008	2009	2010	2011
Number of significant accidents	12	14	16	20	35
Number of fatalities	2	1	3	8	5
Number of serious injury to person	8	1	3	4	5
Number of precursors to accidents	136 <sup>2</sup>	132 <sup>3</sup>	193 <sup>4</sup>	253 <sup>5</sup>	134
Cost of all accidents in NOK (estimated)	34 mill	31 mill	31 mill	31 mill	33 mill

Costs due to accidents are directly reported costs, reported by the actors on the national rail network and does not include costs related to personal injury or loss of life.

### Railway accidents divided by category last five years



35 accidents were reported in 2011, 15 more than 2010. The number of accidents has increased because of RUs and IMs have increased their reports on demolition of overhead contact lines which have caused disruptions to traffic for 6 hours or more.

<sup>2</sup> The number includes SPAD for shunting rolling stocks

<sup>3</sup> The number includes SPAD for shunting rolling stocks

<sup>4</sup> The number includes SPAD for shunting rolling stocks

<sup>5</sup> The number includes SPAD for shunting rolling stocks.

Five serious injuries and five fatalities were reported, one more serious injury and three less fatalities than in 2010. One of the accidents was on level crossing. Four fatalities occurred in connection with collisions between trains and person.

Most train accidents are placed in the category of “collisions with obstacles within the clearance gauge”. During 2011 there was no “collision of trains”.

Two significant accidents occurred in 2011:

- A passenger train ran into a landslide area and derailed on the Røros line. 10 persons were injured, included the train driver and head conductor.
- A passenger train was captured in the tunnel<sup>6</sup> and the train caught fire at Hallingskeid. All passengers were evacuated, and there were no personal injuries or fatalities. There were large material damages, the train was totally wrecked and the entire infrastructure in the tunnel was damaged.

### **D.2.2 Analysis of national incidents – The Norwegian NSA database**

This section of the report deals with the incidents reported to the NSA. The use of the term “accident” in this report is used in accordance with the CSI definition.

National legislation in Norway requires reporting of major and minor incidents and accidents to NSA Norway and the Accident Investigation Board Norway within 72 hours after the incident occurred. All minor incidents affecting railway safety shall be reported to NSA Norway within 8 days.

The Norwegian NSA receive the reports electronically via the form on our website and via the import feature of our IT reporting system “Synergy”, which is used by NSA Norway and other relevant actors in Norway.

The Norwegian NSA received 15 995 reports of incidents and accidents from the infrastructure manager and railway undertakings on the national rail network during 2011, which is an increase of about 6 729 reported incidents and accidents compared with 2010. It has been a steady increase in reporting over the past five years from the actors on the national railway network. The RUs have increased their reports on technical failures on rolling stock and on infrastructure.

96% of incidents and accident reported in 2011, were classified as “minor incidents”.

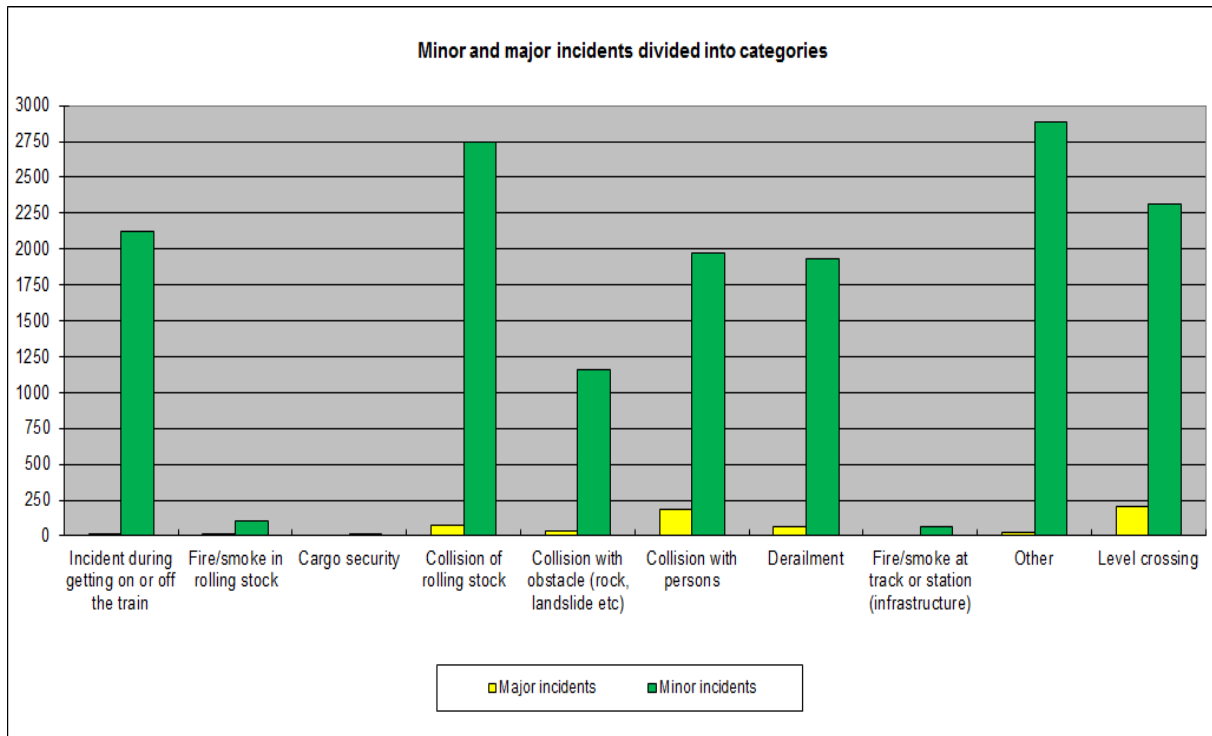
3,8% of incidents and accidents reported were classified as “major incidents”.

“Significant accidents” account for 0.2% of the reported “incidents” and “accidents”.

---

<sup>6</sup> The tunnel is built to prevent snow and rock falling on the tracks. The tunnel is built with steel and wood and placed outside the mountain.





Most of these “incidents” were near-misses. For example the category “collision of rolling stock”, consist mainly of signals changing from red to green light caused by technical error and which constituted no immediate danger of collision. Other “incidents are mainly caused by passengers and third parties, or are “incidents” which do not fit into any of the other categories.

Long-term trends show an increase of knowledge in the areas of

- Conditions that affect the safety of infrastructure such as rainfall, snow, climatic variations etc
- Human errors that affect the safety such as working on and near tracks
- Failures on the rolling stocks

The above-mentioned knowledge has been taken into account when audits have been planned for coming year.

### ***D.3 Results of safety recommendations***

To be produced and distributed by Norwegian NIB.

## **E. Important changes in legislation, regulations and administrative provisions**

There has been some legal changes in 2011 due to implementation of EU legislation, see Annex D for detail.

## **F. The development of safety certification and authorisation**

### ***F.1. National legislation – starting dates – availability***

1.1. Starting date for issuing safety certificates in Norway was through regulation 16 December 2005 nr. 1490 on licensing, safety certification and access to the national railway network, and on safety authorisation to operate railway infrastructure (lisenforskriften) which came into force 1 January 2006.

1.2. National rules on safety on railways and other relevant law are accessible for all on the NSAs web page: [www.sjt.no](http://www.sjt.no). RUs and the IM have access to information about requirement for documentation related to applications etc. on this web page.

- Relevant law can also be found on the Norwegian legal databases web page: [www.lovdata.no](http://www.lovdata.no)

### ***F.2. Numerical data***

See Annex E.

### ***F.3. Procedural aspects***

#### **F.3.1. Safety Certificates Part A**

##### **3.1.1. Reasons for updating/amending Part A Certificates (e.g. variation in type of service, extent of traffic, size of company, etc.)**

No updates/amendments in 2011, only 5 renewals awarded Norwegian RU's.

##### **3.1.2. Main reasons for cases when the issuing time for Part A Certificates (restricted to these mentioned in Annex E and after having received all necessary information), exceeded the 4 months foreseen in Article 12(1) of the RSD /1/**

N/A 2011.

##### **3.1.3. Overview of the requests from other NSA to verify/access information relating the Part A Safety Certificate of a RU that has been certified in your country, but applies for a Part B certificate in the other MS**

Some dialogue around one freight company in 2011.

##### **3.1.4. Summary of issues with the mutual acceptance of the Community wide valid Part A Safety Certificate**

Only 2 supervisions performed on RUs from neighbouring country. Different non-conformities in the two RUs. No specific issues regarding mutual acceptance in 2011.

##### **3.1.5. NSA charging fee for issuing a Part A Safety Certificate**

No fee charged.

##### **3.1.6. Summary of the issues with using the harmonised formats for Part A Safety Certificates, specifically in relation to the categories for type and extent of service**

No issues with using the harmonised formats.

### **3.1.7. Summary of the common issues/difficulties for the NSA in application procedures for Part A Safety Certificates.**

No issues/difficulties in the procedures regarding Part A Safety Certificates.

### **3.1.8. Summary of the issues mentioned by RUs when applying for a Part A Safety Certificate**

Regarding the 5 renewed Part A Safety Certificates only minor issues regarding the harmonised application format, since the last page of the format lists mandatory documents to be sent in case of applying for a completely new Part A. The list is not completely relevant in case of renewal. For this reason we have given written information to the RU's on the application process, needed documentation and application deadline.

### **3.1.9. Feedback procedure (e.g. questionnaire) that allows RUs to express their opinion on issuing procedures/practices or to file complaints**

The Norwegian NSA have established a feedback procedure for the RU`s through conducting user surveys every other year from the year 2011. The survey gives the respondents the possibility to express their opinions on processing times as well as opinions on our communication and services in general. We have also established a feedback option through sending out questionnaires for participants on our different meetings and conferences held for the RU`s.

According to Norwegian legislation it is possible to file a complaint if the applicant object to a decision reached by the Norwegian NSA.

## **F.3.2. Safety Certificates Part B**

### **3.2.1. Reasons for updating/amending Part B Safety Certificates (e.g. variation in type of service, extent of traffic, lines to be operated, type of rolling stock, category of staff, etc.)**

A total of two part B certificates were amended in 2011 and all were goods operators. One part B certificate was updated with more specific lines to be operated, and one was amended due to changed part A certificate in neighbouring country.

### **3.2.2. Main reasons for cases when the issuing time for Part B Safety Certificates (restricted to these mentioned in Annex E and after having received all necessary information), exceeded the 4 months foreseen in Article 12(1) of the RSD /1/**

N/A 2011.

### **3.2.3. NSA charging fee for issuing a Part B Safety Certificate**

No fee charged.

### **3.2.4. Summary of the issues with using the harmonised formats for Part B Safety Certificates, specifically in relation to the categories for type and extent of service**

As foreseen last year we have had difficulties regarding the validity period, which has to be synchronized between countries. Although we gave information to an RU from neighbouring country regarding procedure and deadline to application of renewal of a B safety certificate the RU' did not apply in time. The RU was busy with the application process to the homeland NSA and on-going supervision. When we

contacted the company again shortly before the part B would expire, the RU explained that they thought they should await the homelands renewal of the part A safety certificate before applying also for a renewal in Norway. This led to some panic shortly before the summer holiday with both the RU and the Norwegian NSA.

### **3.2.5. Summary of the common issues/difficulties for the NSA in application procedures for Part B Safety Certificates.**

None.

### **3.2.6. Summary of the issues mentioned by RUs when applying for a Part B Safety Certificate**

In general we saw some confusion regarding Norwegian requirements and legislation. The confusion is often caused by the foreign RU not reading Norwegian legislation and/or that the implementation of European rules are not done at exactly the same time in neighbouring countries e.g. driver licenses.

### **3.2.7 Feedback procedure (e.g. questionnaire) that allows RUs to express their opinion on issuing procedures/practices or to file complaints**

The Norwegian Railway Authority have established a feedback procedure for the RUs through conducting user surveys every other year from the year 2011. The survey gives the respondents the possibility to express their opinions on processing times as well as opinions on our communication and services in general. The Norwegian Railway Authority have also established a feedback option through sending out questionnaires for participants on our different meetings and conferences held for the RUs.

According to Norwegian legislation it is possible to file a complaint if the RU object to a decision made by the Norwegian NSA.

## **F.3.3. Safety Authorisations**

### **3.3.1. Reasons for updating/amending Safety Authorisations**

None awarded 2011.

### **3.3.2. Main reasons for cases when the issuing time for Safety Authorisations (restricted to those mentioned in Annex E and after having received all necessary information), exceed the 4 months foreseen in Article 12(1) of the RSD /1/**

N/A.

### **3.3.3. Summary of the regularly problems/difficulties in application procedures for Safety Authorisations**

The one application received in 2011 was from on renewal of Safety Authorisation from the one IM handling the entire Norwegian national railway net. The application procedure has been discussed with the IM to prevent surprises in the process.

### **3.3.4. Summary of the issues mentioned by IMs when applying for a Safety Authorisation**

The extent of planned supervision activities prior to issuing the renewed safety authorisation came to some surprise when presented in December 2011.

### 3.3.5. Feedback procedure (e.g questionnaire) that allows IMs to express their opinion on issuing procedures/ practices or to file complaints

The Norwegian Railway Authority have established a feedback procedure for the RU's through conducting user surveys every other year from the year 2011. The survey gives the respondents the possibility to express their opinions on processing times as well as opinions on our communication and services in general. The Norwegian Railway Authority have also established a feedback option through sending out questionnaires for participants on our different meetings and conferences held for the RU's.

According to Norwegian legislation it is possible to file a complaint if the applicant object to a decision reached by the Norwegian NSA.

### 3.3.6. NSA charging fee for issuing a Safety Authorisation

No fee charged.

## G. Supervision of Railway Undertakings and Infrastructure Managers

7 audits, 6 inspections, 1 document review as well as 6 meetings with the top management of RUs and IM were carried out in 2011.

A number of non-compliances were revealed through the audits. One RU did not manage to correct the non-compliances, the result was that the RU was not granted renewal of its safety certificate.

Submission of IM and RUs annual safety reports in accordance with Article 9(4) Safety Directive by the legal deadline. See chapter K.

Inspections		Issued Safety Certificates Part A	Issued Safety Certificates Part B	Issued Safety Authorisations	Other Activities (Document review)
Number of inspections of RUs/IMs for 2011	Planned	2	2	1	1
	Unplanned	-	-	-	-
	Carried out	2	2	2	1

Audits		Issued Safety Certificates Part A	Issued Safety Certificates Part B	Issued Safety Authorisations	Other Activities (Meetings with top management of RUs/IM)
Number of audits	Planned	5	-	3	6

RUs/IMs for 2011	Unplanned	-	-	1	-
	Carried out	3	-	4	6

**Summary of the relevant corrective measures/actions (amendment, revocation, suspension, important warning, etc.) related to safety aspects following these audits/inspections:**

In general orders to correct non-compliances were followed up by correspondence and/or spot checks.

4 of these audits/inspections were of the infrastructure manager as a part of the process of renewing its safety authorisation. Severe non-compliances were revealed. The follow up of the non-compliances has been difficult, e.g.: time limits have been exceeded and fees were granted.

**Complaints from IM('s) concerning RU('s) related to conditions in their Part A/Part B Certificate:**

None.

**Complaints from RU('s) concerning IM('s) related to conditions in their authorisation:**

None.

**H. Reporting on the application of the CSM on risk evaluation and assessment**

No reporting in 2011.

As a result of this CSM RA have been included as a specific focus area in our supervision plan for 2012. Information activities will also be carried out.

**I. Alternative measures through derogations regarding ECM certification scheme (applicable from 2013)**

No reporting in 2011.

**J. NSA Conclusions on the reporting year 2011 - Priorities**

The results for 2011 are reflected in chapter B3. These results have been used as input when planning activities for 2012.

Planning of supervision is based on a risk based priority.

Specific focus areas:

- Active involvement from top management in safety (including management reviews)
- Active use of risk analysis (and knowledge of CSM RA)

- Follow up on reauthorisation of the major infrastructure manager
- Risk related to track conditions on the National network and handling of risk related to extreme weather conditions.

Active promotion of safety will continue through thematic seminars and the NSA annual safety conference.

## K. Sources of information

Annual reports 2011 from:

<b>RUs</b>	<b>Issue date</b>
CargoNet AS	4 May 2012
Flytoget AS	28 June 2012
Green Cargo AB	28 June 2012
Hector Rail AB	17 July 2012
Malmtrafikk AS	22 June 2012
NSB Gjøvikbanen AS	28 June 2012
NSB AS	7 August 2012
Peterson Rail AB <sup>7</sup>	-
Tågåkeriet i Bergslagen AB	11 July 2012
Railcare Tåg AB	29 June 2012
Cargolink AS	2 July 2012
SJ AB	11 June 2012
TX Logistik AB	20 June 2012

<b>IM:</b>	
Jernbaneverket	29 June 2012

The NSA database includes data from the police.

<sup>7</sup> Peterson Rail AB has gone out of business 11 May 2012





## A.2 List of Railway Undertakings and Infrastructure Managers

### A.2.1. Infrastructure Managers

Name	Address	Website/Network Statement Link	Safety Authorisation (Number/Date)	Start date commercial activity	Total Track Length/Gauge	Electrified Track Length/Voltages	Total Double/Simple Track Length	Total Track Length HSL	ATP equipment used	Number of LC	Number of main (lights) signals
Jernbaneverket (the Norwegian National Rail Administration)	Postboks 4350, 2308 Hamar, Norway	www.jbv.no/english/		December 1. 1996	Track length 4043 km/ Gauge 1435 mm	Electrified track 2509 km/ Voltage 15 000	Double 214 km/ Simple 3829 Km	66 km	90 % DATC, 10% FATC	3254	

### A.2.2 Railway Undertakings

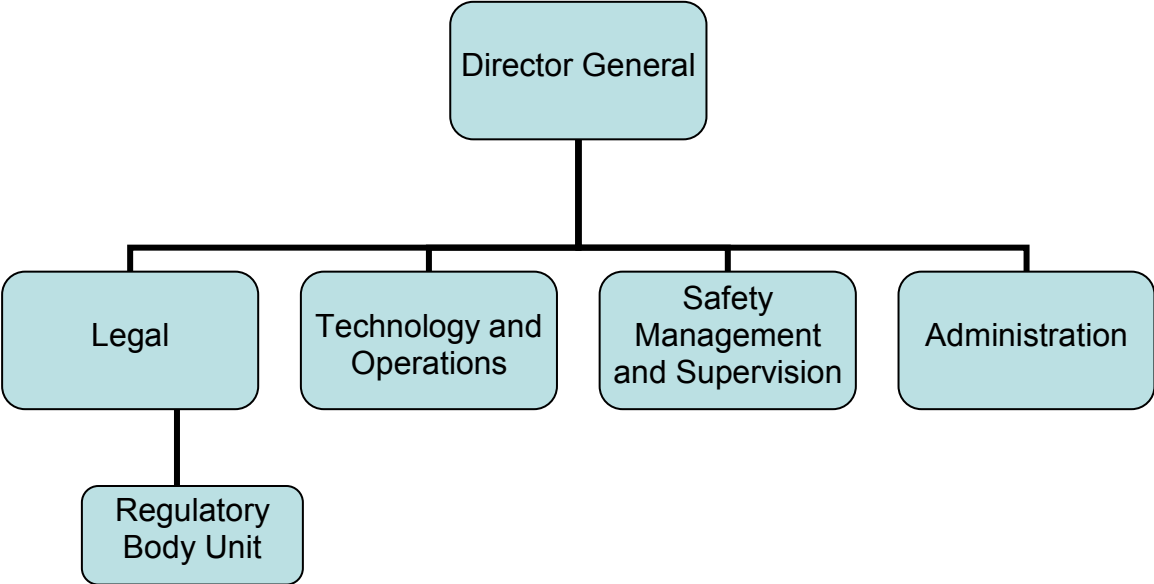
Name	Address	Website	Safety Certificate 2001/14/EC (Number/Date)	Safety Certificate A-B 2004/49/EC (Number/Date)	Start date commercial activity	Traffic Type (Freight, etc...)	Number of Locomotives	Number of Railcars/Multiple Units	Number of Coaches/Wagons	Number of train drivers/safety crew	Volume of passenger transport	Volume of freight transport
Flytoget AS	Postboks 19 Sentrum, 0101 OSLO, Norway	www.flytoget.no	-	NO1120110002 NO1220110003 09/03/2011		Passenger						
NSB Gjøvikbanen AS	NSB Gjøvikbanen AS Prinsens gate 7-9 0048 OSLO, Norway	www.nsb.no	-	NO1120110001 NO1220110001. 06/01/2011		Passenger						
Malmtrafikk AS	Malmtrafikk AS Postboks 314 8501 NARVIK, Norway	NA	-	NO1120110005 NO1220110008 11/04/2011		Freight						
CargoNet AS	0048 OSLO, Norway	www.cargonet.no	-	NO1120110004 NO1220110007 08/01/2011		Freight						

Name	Address	Website	Safety Certificate 2001/14/EC (Number/Date)	Safety Certificate A-B 2004/49/EC (Number/Date)	Start date commercial activity	Traffic Type (Freight, etc...)	Number of Locomotives	Number of Railcars/Multiple Unit-sets	Number of Coaches/Wagons	Number of train drivers/safety crew	Volume of passenger transport	Volume of freight transport
NSB AS	NSB AS Prinsens gate 7-9 0048 OSLO, Norway	www.nsb.no	-	NO1120110003 NO1220110006 04/04/2011		Passenger						
Jernbanemuseet (JBV)	Norsk Jernbanemuseum Postboks 491 2304 Hamar, Norway	www.norsk-jernbanemuseum.no	-	NO1120090007 /30.06.2009  NO1220090009 /30.06.2009		Passenger						
Cargolink AS	Cargolink AS Svend Haugsgate 33, NO-3013 Drammen, Norway	www.cargolink.no	-	NO1120090008 /17.07.2009  NO1220090011 /17.07.2009		Freight						
AS Valdresbanen	Expired 23.03.2012.					Historical						
Hector Rail AB	Hector Rail AB Svärdvägen 13 SE-182 33 DANDERYD SWEDEN	www.hectorrail.com	-	NO1220110004 28/03/2011		Freight						
Peterson Rail AB	411 37 Göteborg, Sweden	www.peterson.no	-	NO1220080004 / 02.07.2008		Freight						
SJ AB		www.sj.se	-	NO1220080005 /30.05.2009								
Green Cargo AB	Green Cargo AB, Box 39, SE-171 11 SOLNA, SWEDEN	www.greencargo.com	-	NO1220110009 15/04/2011		Freight						
Railcare Tåg AB	Box 34 SE-932 21 SKELLEFTEHAMN Sweden	www.railcare.se	-	NO1220110005 28/03/2011		Freight						

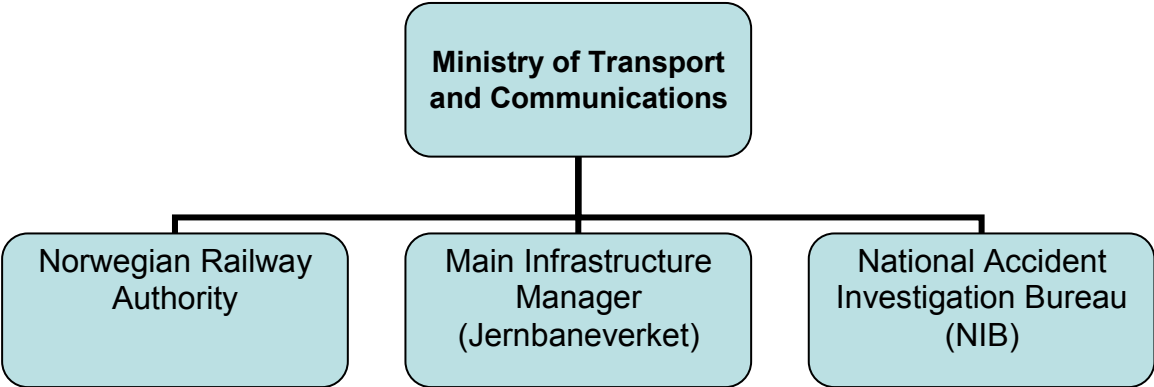
<b>Name</b>	<b>Address</b>	<b>Website</b>	<i>Safety Certificate 2001/14/EC (Number/Date)</i>	<i>Safety Certificate A-B 2004/49/EC (Number/Date)</i>	<i>Start date commercial activity</i>	<i>Traffic Type (Freight, etc...)</i>	<i>Number of Locomotives</i>	<i>Number of Railcars/Multiple Unit-sets</i>	<i>Number of Coaches/Wagons</i>	<i>Number of train drivers/safety crew</i>	<i>Volume of passenger transport</i>	<i>Volume of freight transport</i>
Tågakeriet i Bergslagen AB	Bangårdsgatan 2 SE-681 30 KRISATINEHAMN, Sweden	www.tagakeriet.se	-	NO1220100003 07/12/2010		Freight						
Tx Logistik AB	TX Logistik AB Grimsbygatan 14 211 20 Malmö Sweden	www.txlogistik.se	-	NO1220100002 09/07/2010								

**ANNEX B: Organisation charts of the National Safety Authority**

**B.1. Internal Organisation**



**B.2. Relationship with other National Bodies**



## **ANNEX C: CSIs data – definitions applied**

### **C.1. CSI data**

Electronic version sent to ERA.

### **C.2. Definitions used in the annual report**

Appendix of Annex I of the RSD /1/ as modified by Commission Directive 2009/149/EC/8.

### **C.3. Abbreviations**

CSI	Common Safety Indicator
ERA	European Railway Agency
IM	Infrastructure Manager
NSA	National Safety Authorities
RU	Railway Undertaking

## **ANNEX D: Important changes in legislation, regulations and administrative provisions**

<b>National regulations about safety on the railways</b>	<b>Legal reference or Notif-IT code</b>	<b>Date legislation comes into force</b>	<b>Reason for introduction (Additionally specify new law or amendment to existing legislation)</b>	<b>Description</b>
Regulation on the implementation of Commission Decision 2006/861/EC	Regulation 23 May 2011 no 539 on the implementation of Commission Decision 2006/861/EC of 28. July 2006 concerning the technical specification of interoperability relating to the subsystem 'rolling stock — freight wagons' of the trans-European conventional rail system	23 May 2011	New law	Implementing Commission Decision 2006/861/EC
Regulation on safety management for railway undertakings on the national railway network	Regulation 11 April 2011 no 389 on safety management of railway undertakings on the national railway network	1 July 2011	Amendment to existing legislation	Implementing directives 91/440/EEC as amended, 95/18/EC as amended and 2004/49/EC as amended
Regulation on national technical rules for railway infrastructure on the national railway network	Regulation 11 April 2011 no 388 on national technical rules for railway infrastructure on the	1 July 2011	Amendment to existing legislation	National technical rules related to railway infrastructure

	national railway network			
Regulation on the implementation of Commission Decision 2010/409/EU	Regulation 5 April 2011 no 361 on the implementation of Commission Decision 2010/409/EU on Common Safety Targets	5 April 2011	New legislation	Implementing Commission Decision of 19 July 2010 on Common Safety Targets as referred to in Article 7 of Directive 2004/49/EC of the European Parliament and of the Council
Regulation on the implementation of Commission Decision 2011/229/EU	Regulation 5 December 2011 no 1189 on the implementation of Commission Decision of 4 April 2011 concerning the technical specifications of interoperability relating to the subsystem 'rolling stock – noise' of the trans-European conventional rail system	5 December 2011	New legislation / amendment to existing legislation	Implementing Commission Decision 2011/229/EU of 4 April 2011 concerning the technical specifications of interoperability relating to the subsystem 'rolling stock – noise' of the trans-European conventional rail system
Regulation concerning the reference document for technical rules related to vehicles on the national railway network	Regulation 5 December 2011 no 1188 concerning the reference document for technical rules related to vehicles on the national railway network	5 December 2011	New legislation / amendment to existing legislation	Implementing Commission Decision 2011/155/EU of 9 March 2011 on the publication and management of the reference document referred to in Article 27(4) of Directive 2008/57/EC of the European Parliament and of the Council on the interoperability of the rail system within the Community
Regulation concerning the national vehicle register for the national railway network	Regulation 5 December 2011 no 1187 concerning the national vehicle register for the national railway	5 December 2011	New legislation / amendment to existing legislation	Implementing Commission Decision 2011/107/EU of 10 February 2011 amending

	network			Decision 2007/756/EC adopting a common specification of the national vehicle register
Regulation amending the operational rules for the national railway network	Regulation 5 December 2011 no 1186 amending the operational rules for the national railway network	1 January 2012 and 9 December 2012	Amendment to existing legislation	Minor adjustments to the operational rules
Regulation concerning the common safety method for assessing conformity with the requirements for obtaining railway safety certificates	Regulation 2 December 2011 no 1177 implementing Commission Regulation (EU) No 1158/2010 of 9 December 2010 on a common safety method for assessing conformity with the requirements for obtaining railway safety certificates	2 December 2011	New legislation	Implementing Commission Regulation (EU) No 1158/2010 of 9 December 2010 on a common safety method for assessing conformity with the requirements for obtaining railway safety certificates
Regulation concerning the common safety method for assessing conformity with the requirements for obtaining a railway safety authorisation	Commission Regulation (EU) No 1169/2010 of 10 December 2010 on a common safety method for assessing conformity with the requirements for obtaining a railway safety authorisation	2 December 2011	New legislation	Implementing Commission Regulation (EU) No 1169/2010 of 10 December 2010 on a common safety method for assessing conformity with the requirements for obtaining a railway safety authorisation
Regulation concerning the procedures for assessment of conformity, suitability for use and EC verification	Regulation 4 October 2011 no 994 concerning the procedures for assessment of conformity, suitability for use and EC verification	4 October 2011	New legislation	Implementing Commission Decision 2010/713/EU of 9 November 2010 on modules for the procedures for assessment of conformity, suitability for use and EC verification to be used in the technical

				specifications for interoperability adopted under Directive 2008/57/EC of the European Parliament and of the Council
Regulation on the implementation of Commission Decision 2008/164/EC	Regulation 23 May 2011 no 540 implementing Commission Decision 2008/164/EC of 21 December 2007 concerning the technical specification of interoperability relating to persons with reduced mobility in the trans-European conventional and high-speed rail system	23 May 2011	New legislation	Implementing Commission Decision 2008/164/EC of 21 December 2007 concerning the technical specification of interoperability relating to persons with reduced mobility in the trans-European conventional and high-speed rail system

**ANNEX E: The development of safety certification and authorisation – numerical data**

E.1 Safety Certificates according to Directive 2004/49/EC

A.	To ensure the information on ERADIS is current in place, please supply numbers of existing certificates in ERADIS which were valid at the end of the reporting year			
B.	Please ensure that the information provided in this table is in line with the information provided in section "G. Supervision of Railway Undertakings and Infrastructure Managers "			
		Total number of certificates	Number of certificates Part A in ERADIS	
E.1.1.	Number of safety certificates Part A issued in the reporting and in previous years and remain valid at the end of year 2011	8	8	
C.	To ensure the information on ERADIS is current in place, please supply numbers of existing part B certificates in ERADIS which were valid at the end of the reporting year	Total number of certificates	Number of certificates Part B in ERADIS	



D.	Please ensure that the information provided in this table is in line with the information provided in section "G. Supervision of Railway Undertakings and Infrastructure Managers "				
E.1.2. Number of safety certificates Part B issued in the reporting and in previous years by your member state and remain valid in the year 2011	Number of certificates Part B, for which the Part A has been issued in your Member-State	8	8		
	Number of certificates Part B, for which the part A has been issued in another Member-State	7	7		

Please provide input on applications for certificates Part A received in the current reporting year for new certificates or existing certificates which need to be renewed or updated/amended			A	R	P
E.1.3. Number of new applications for Safety Certificates <b>Part A</b> submitted by Railway Undertakings in year 2011		New certificates	0	-	-
		Updated/amended certificates	0	-	-
		Renewed certificates	5	-	-

Please provide input on applications for certificates Part B received in the current reporting year for new certificates or existing certificates which need to be renewed or updated/amended			A	R	P
E.1.4. Number of new applications for Safety Certificates <b>Part B</b> submitted by Railway Undertakings in year 2011	Where the Part A has been issued in your Member-State	New certificates	0	-	-
		Updated/amended certificates	0	-	-
		renewed certificates	5	-	-
	Where the Part A has been issued in another Member-State	New certificates	1	-	-
		Updated/amended certificates	2	-	-
		Renewed certificates	2	-	-

A = Accepted application, certificate is already issued  
R = Rejected applications, no certificate was issued  
P = Case is still pending, no certificate was issued so far

To ensure the information on ERADIS is current in place, please supply numbers of certificates in ERADIS revoked at the end of the reporting year	Total number of revoked certificates in the year 2011	Number of revoked certificates in ERADIS (which were revoked in 2011)
E 1.5 Number of certificates Part A revoked in	1	

the current reporting year		
E 1.6 Number of certificates Part B revoked in the current reporting year	1	

E.1.7. List of countries where RUs applying for a Safety Certificate Part B in your Member-State have obtained their Safety Certificate Part A

Name of RU	Member-State where Safety Certificate Part A was issued
TX logistic	Sweden

E.2. Safety Authorisations according to Directive 2004/49/EC

Please ensure that the information provided in this table is in line with the information provided in section "G. Supervision of Railway Undertakings and Infrastructure Managers "	Total number of safety authorisations		
E.2.1. Number of valid Safety Authorisations issued to Infrastructure Managers in the reporting year and in previous years and remain valid at the end of the year 2011	1		

Guidance: Please provide input on applications for Safety Authorisations received in the current reporting year for new authorisations or existing authorisations which need to be renewed or updated/amended		A	R	P
E.2.2. Number of applications for Safety Authorisations submitted by Infrastructure Managers in year 2011	New authorisations	-	-	-
	Updated/amended authorisations	-	-	-
	Renewed authorisations	-	-	1

A = Accepted application, authorisation is already issued  
R = Rejected applications, no authorisation was issued  
P = Case is still pending, no authorisation was issued so far

E 2.3 Number of Safety Authorisations revoked in the current reporting year	0
---	---

E.3. Procedural aspects – Safety Certificates part A

	New	Updated /amended	Renewed

The average time after receiving of the application with the required information and the final delivery of a Safety Certificate <b>Part A</b> in year 2011 for Railway Undertakings				24 days
--	--	--	--	---------

E.4. Procedural aspects – Safety Certificates part B

		New	Updated /amended	Renewed
The average time after receiving the application with the required information and the final delivery of a Safety Certificate <b>Part B</b> in year 2011 for RUs	Where the part A has been issued in your Member-State			24 days
	Where the part B has been issued in another Member-State	22 days	22 days	32 days

E.5. Procedural aspects – Safety Authorisations

		New	Updated /amended	Renewed
The average time after receiving the application with the required information and the final delivery of a Safety Authorisation in year 2011 for IMs		-	-	- (1 renewed in 2012)