

Regulation concerning requirements for railway enterprises on the national (Norwegian) rail network (the Safety Regulation). (This translation is for information purposes only).

Laid down by the Norwegian Railway Inspectorate on 19 December 2005 pursuant to Act No 100 of 11 June 1993 relating to the establishment and operation of railways, including tramways, underground railways and suburban railways, etc. (the Railways Act) sections 4, 5 and 6, cf. Regulation No 1490 of 16 December 2005 relating to licensing, safety certification and access to the national rail network, and to safety authorisation to operate railway infrastructure (the Licensing Regulation) section 1-3. Cf. the EEA Agreement Annex XIII No 37 to the (Directive 91/440/EEC amended by Directive 2001/12/EC and Directive 2004/51/EC), No 42a (Directive 95/18/EC amended by Directive 2001/13/EC), No 41a (Directive 95/19/EC) and No 42e (Directive 2004/49/EC). Amended by Regulation No 709 of 27 June 2006 and No 1523 of 20 December 2006.

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Part I General provisions

Chapter 1 Introductory provisions

Section 1-1 *Scope*

These regulations apply to railway undertakings on the national rail network.

However, these regulations do not apply if otherwise provided for by Regulation No 411 of 10 April 2006 concerning the capacity for interoperability on the conventional rail network (the Interoperability Regulation).

0 Amended by Regulation No 709 of 27 June 2006.

Section 1-2 *Definitions*

For the purpose of these regulations:

- a) *railway enterprise* means a business which operates freight and passenger train services, infrastructure and/or traffic control services,
- b) *infrastructure manager* means any body or undertaking that is responsible in particular for establishing and maintaining the railway infrastructure, or parts thereof, as defined in Article 3 of Directive 91/449/EEC, which may also include the management of infrastructure control and safety systems. The functions of the infrastructure manager on a network or part of a network may be allocated to different bodies or undertakings,
- c) *railway undertaking* means any public or private undertaking, the principal business of which is the transport of goods and/or passengers by rail with a requirement that the undertaking must ensure traction; this also includes companies which provide traction only,
- d) *infrastructure* means tracks, superstructures and substructures, track power supply systems, contact wire systems, signalling systems and telecommunication systems,
- e) *rolling stock* means vehicles, with or without traction, for use on railways or similar guideway systems,
- f) *train* means a traction vehicle with or without coupled railway vehicles which has been given a specific number and which is to be operated from a fixed place of departure to a fixed place of arrival,
- g) *automatic train control (ATC)* means that part of the signalling system which monitors the speed of the train and applies the train's brakes if the permitted speed is exceeded. Automatic train control may be full (F-ATC) or partial (D-ATC). Partial control functions are limited to train approaching stop signal, speed at passing the first switch point on an access track, and any temporary speed reductions coded into balises installed for this purpose,
- h) *railway accident* means an undesirable and unintended sudden incident or a particular series of such incidents which has harmful consequences, including incidents resulting in fatalities or serious injuries, considerable damage to rolling stock, railway infrastructure or property other than the railway, and all other similar accidents,
- i) *serious railway incident* means an undesirable incident which in slightly different circumstances could have caused a railway accident,
- j) *railway incident* means any incident other than a railway accident, which is associated with railway operations and has an impact on safety,
- k) *barrier* means technical, operational, organisational or other planned and implemented actions intended to break an identified series of undesirable incidents,
- l) *acceptance criteria* means a set of criteria based on standards, experience, theoretical knowledge, etc. which is used as the basis for decisions regarding acceptable risk.

Part II General requirements for railway enterprises

Chapter 2 Overall safety requirements

Section 2-1 *Safe operation*

Railway operations shall be carried out with due regard to safety to prevent railway accidents, serious railway incidents and railway incidents as far as reasonably practicable.

Railway operations must be planned, organised and carried out to ensure continuous improvement of safety.

** Translator's comment: The Norwegian word 'jernbaneverksomhet' covers 'railway undertaking' and 'infrastructure manager'. The term 'railway enterprise' has been used in the translation of this Safety Regulation in order to distinguish it from a 'railway undertaking'.*

Note that the term 'jernbaneverksomhet' also covers both 'railway operation' as defined in the Norwegian Railways Act and 'railway enterprise' as defined in this Safety Regulation. Consistency with the Act is therefore not possible in the translation.

Chapter 3 **Safety policy and safety objectives**

Section 3-1 *Safety policy*

The railway enterprise shall have a safety policy adopted by the organisation's chief executive and distributed to all personnel.

Section 3-2 *Safety targets*

The railway enterprise shall have appropriate qualitative and quantitative targets for maintaining and improving safety. The targets must be designed to enable comparison between results and targets.

The railway enterprise shall have a set of plans which set out how to attain the agreed safety targets.

Section 3-3 *Barriers*

The railway enterprise shall have barriers that reduce the probability of faults and escalation of danger and accident situations. The barriers must restrict the potential scope of damage and inconvenience. If a number of different barriers are required, these must be sufficiently independent of each other.

Operations must be planned, organised and implemented with a view to ensuring that no single fault will ever lead to loss of human life or serious personal injury.

The established barriers and their functions must be known throughout the organisation.

Chapter 4 **Safety management and safety management systems**

Section 4-1 *Safety management*

The railway enterprise shall manage the safety of its activities.

Section 4-2 *Safety management system*

The railway enterprise shall have a safety management system.

Section 4-3 *Requirements for the safety management system*

The safety management system must be adapted to the enterprise and the enterprise's activities and must cover all aspects of its operations, including the use of contractors. Furthermore, due consideration shall be given to any risk that might arise from the activities of other railway enterprises and third parties.

The railway enterprise shall have internal rules to ensure safe operation and fulfil the requirements laid down in or pursuant to the Norwegian Railways Act.

An infrastructure manager's safety management system must take account of the effects of activities carried out by different railway undertakings on the rail network and include measures to enable all railway undertakings to operate in compliance with the requirements and conditions of their safety certificates.

Section 4-4 *Management reviews and internal audits of the safety management system*

The railway enterprise shall systematically conduct internal audits of the safety management system in order to assess whether it is being satisfactorily implemented and maintained, and whether it fulfils the requirements laid down in or pursuant to the Norwegian Railways Act, and the requirements of the safety management system adopted by the railway enterprise.

The railway enterprise's management shall regularly review the safety management system to ensure that it is appropriate, adequate and effective.

Section 4-5 *Documentation*

The safety management system must be documented and the documentation must be available and known to all personnel who need such access within the organisation.

The railway enterprise shall have internal rules for management and control of documents that form part of the safety management system. The documentation must be traceable.

Chapter 5 **Acceptance criteria and risk analyses**

Section 5-1 *Acceptance criteria*

The railway enterprise shall have acceptance criteria for all matters relating to safety, assessed on the basis of probability and consequences. The assessments used as basis of designing the criteria, must be clearly indicated.

Section 5-2 *Risk analyses*

The railway enterprise shall plan and conduct all risk analyses that are necessary to ensure safe and proper operation. Risk analyses must be planned and conducted in a systematic and coordinated manner throughout the whole lifecycle of the enterprise.

The purpose of each analysis must be made clear, as well as the premises and limitations on which it is based.

Section 5-3 *Following up risk analyses*

The railway enterprise shall systematically follow up the premises, limitations and results of the risk analyses.

Section 5-4 *Updating risk analyses*

The railway enterprise shall update the risk analyses whenever there are changes to the premises or limitations that, individually or in aggregate, will affect the analysis results and whenever any other new knowledge that may affect the results becomes available.

The railway enterprise shall keep a complete list of the risk analyses that have been conducted. It must be ensured that there is consistency between analyses that complement each other or are mutually dependent.

Chapter 6 **Organisation and competence**

Section 6-1 *Clear division of responsibility*

The railway enterprise shall be organised in a way which clearly indicates the responsibility and authority of all personnel.

A description of management and responsibility relating to safety must be available at all times.

A member of the railway enterprise's management board shall be responsible for following up the safety management system.

Section 6-2 *Facilitating a safe working environment*

The railway enterprise shall ensure that the working environment facilitates mastery of tasks of relevance to safety.

Section 6-3 *Competence*

The railway enterprise shall have access to the competence that is necessary to ensure safe and proper operation.

Personnel who carry out tasks of relevance to safety must be appropriately qualified for these tasks.

Section 6-4 *Competence requirements for personnel*

The railway enterprise shall have competence requirements for all personnel who will carry out tasks of relevance to safety.

The railway enterprise shall have training programmes designed to ensure the competence of personnel.

Section 6-5 *Competence of contractor's personnel*

The railway enterprise shall ensure that contractors have introduced competence requirements for all personnel who will carry out tasks of relevance to safety. Furthermore, the railway enterprise shall verify that contractors have systems in place to ensure that personnel who carry out the abovementioned tasks are appropriately qualified for these tasks.

Chapter 7 *Emergency preparedness*

Section 7-1 *Emergency preparedness*

The railway enterprise shall have emergency preparedness for emergency situations. The emergency preparedness must be based on the results of analyses and be described in dedicated emergency plans.

The emergency plans must be coordinated with the relevant public authorities.

Railway undertakings must coordinate their own emergency plans with the emergency plan of the infrastructure manager for the relevant part of the railway network.

Section 7-2 *Emergency drills*

The railway enterprise shall regularly organise drills to verify that the emergency response is fit for purpose.

Insofar as it is necessary, railway enterprises shall coordinate their drills.

Chapter 8 *Internal reporting and follow-up etc*

Section 8-1 *Internal reporting and registration of railway accidents, etc.*

The railway enterprise shall ensure internal reporting and registration of railway accidents, serious railway incidents and railway incidents.

Section 8-2 *Internal follow-up of railway accidents, etc.*

The railway enterprise shall investigate and analyse railway accidents, serious railway incidents and railway incidents to ensure that necessary actions are implemented. The actions must be followed up and their effects evaluated. When required, necessary compensatory actions must be implemented until the necessary actions are implemented.

Section 8-3 *Internal follow-up of nonconformities*

The railway enterprise shall register and follow up any nonconformity with internal rules of importance to the fulfilment of requirements laid down in or pursuant to the Norwegian Railways Act. The importance to safety of each nonconformity must be assessed, in isolation and in relation to other nonconformities.

The railway enterprise shall clarify causes and implement corrective actions in order to limit damage and inconvenience and prevent recurrence of the nonconformity. The actions must be followed up and their effects evaluated. When required, necessary compensatory actions must be implemented until the nonconformity is rectified.

Chapter 9 *Annual reporting to the Norwegian Railway Inspectorate*

Section 9-1 *Annual safety reports*

Railway enterprises shall submit an annual report on safety indicators to the Norwegian Railway Inspectorate. The Norwegian Railway Inspectorate decides the form and deadline for such reporting.

Each year the railway enterprise shall submit to the Norwegian Railway Inspectorate before 30 June an annual safety report concerning the preceding calendar year. The safety report shall contain:

- a) information on how the organisation's safety targets are met and the results of safety plans,
- b) the drawing up of national safety indicators and joint safety indicators as established by Directive 2004/49/EC (the Railway Safety Directive), if relevant,
- c) the results of internal safety audits,
- d) observations on deficiencies and malfunctions of railway operations that might be relevant to the Norwegian Railway Inspectorate.

Part III Distinct requirements for infrastructure managers and railway undertakings

Chapter 10 Requirements for infrastructure managers

Section 10-1 *General requirements for infrastructure managers*

The infrastructure manager shall ensure that the design and condition of the infrastructure ensures safe operations at all times. Access must only be granted to rolling stock that is compatible with the infrastructure.

The infrastructure manager shall operate and maintain the infrastructure in accordance with national and international standards.

Procedures for operation and maintenance of the infrastructure must be based on the premises and limitations associated with the infrastructure design.

Section 10-2 *The fixed block principle*

The infrastructure manager shall design and operate the infrastructure, and exercise traffic control to ensure that trains cannot enter a section or track on which there is other rolling stock (the fixed block principle).

Section 10-3 *Signalling principles*

The infrastructure manager shall have a set of principles relating to permitted signalling equipment and its placement, required distances between signals and safety zones, as well as guidelines for track diagrams and interlocking tables or interlocking lists.

All principles are subject to approval by the Norwegian Railway Inspectorate.

Section 10-4 *Inspection and maintenance of infrastructure*

The infrastructure manager shall supervise the infrastructure. The infrastructure manager shall have minimum safety limits for systems, parts and components.

The infrastructure manager shall maintain the infrastructure. Such maintenance must ensure that no systems, parts or components deteriorate to the extent that it can lead to functional failure. Among other things, maximum safety related wear tolerances must be specified for parts exposed to wear, and maintenance and replacement intervals must be specified for all safety critical components. The railway enterprise shall keep a record of all maintenance work carried out.

Section 10-5 *Technical documentation*

The infrastructure manager shall keep updated technical documentation for all systems, parts and components. The documentation must be able to verify that systems, parts and components conform with the national and international standards on which the engineering and building of the infrastructure was based. The documentation must describe all premises and limitations related to the design of the infrastructure.

Section 10-6 *Infrastructure register*

The infrastructure manager shall keep a register of systems, parts and components that constitutes the infrastructure. The register shall identify systems, parts and components by specifying location.

Section 10-7 *Train operations in connection with infrastructure operation*

The provisions of this regulation for railway undertakings apply correspondingly to train operations in connection with servicing the infrastructure.

Section 10-8 *Requirements for timetabling*

The infrastructure manager's timetabling shall be carried out with due regard to safety of traffic operation. Consideration must be given to all safety-related matters, including the location of trainmeetings, track occupancy at stations, and turn-around times.

Section 10-9 *Traffic control*

All traffic on the infrastructure must be monitored and controlled (traffic control). Traffic control must be carried out with due regard to safety. The traffic control system must i.a. ensure that the direction of travel, position and sequence of every train is known at all times.

Traffic control services must be provided from a traffic control centre. The traffic control centre must have the appropriate traffic control equipment, including equipment for communicating with on-board staff.

Traffic control communication must be safely stored for use in connection with any subsequent investigations of railway accidents, serious railway incidents and railway incidents.

The traffic control enterprise shall have rules for the shunting of rolling stock. Such provisions are subject to approval by the Norwegian Railway Inspectorate.

Section 10-10 *Emergency communication*

All infrastructure must be covered by a system for emergency communication to ensure that contact between the driver and the traffic control centre can be quickly established by either party at all times.

Section 10-11 *Recording*

On remote control sections all main signal aspects must be continually logged and stored for a minimum of seven days. The same applies to all distant signal aspects in new signalling systems.

Chapter 11 **Requirements for railway undertakings**

Section 11-1 *General requirements for railway undertakings*

The railway undertaking shall carry out traffic operation with due regard to safety, including that the rolling stock is safe working condition at all times.

The railway undertaking shall operate and maintain its rolling stock in accordance to national and international standards.

Procedures for maintenance and operation of the rolling stock must be based on the premises and limitations related to the design of the rolling stock.

Section 11-2 *Inspection and maintenance of rolling stock*

The railway undertaking shall carry out inspections of the rolling stock. The railway undertaking shall have minimum safety limits for systems, parts and components.

The railway undertaking shall maintain the rolling stock. Such maintenance must ensure that no systems, parts or components deteriorate to the extent that it can lead to functional failure. Among other things, maximum wear tolerances must be specified for parts exposed to wear, and maintenance and replacement intervals must be specified for all safety critical components. The railway undertaking shall keep a record of all maintenance work carried out.

Section 11-3 *Technical documentation*

The railway undertaking shall keep updated technical documentation for all systems, parts and components. The documentation must be able to verify that systems, parts and components conform with the national and international standards on which the engineering and building of the rolling stock were based. The documentation must describe all premises and limitations related to the design of the rolling stock.

Section 11-4 *Rolling stock register*

The railway undertaking shall keep a register of all rolling stock employed by the undertaking. The register shall identify rolling stock individually.

Section 11-5 *Emergency communication*

The rolling stock must be fitted with mounted equipment compatible with the infrastructure's emergency communication system in order to ensure that contact between the driver and the traffic control centre can be quickly established by either party at all times.

Section 11-6 *Supplementary provisions for train operation*

The railway undertaking shall draw up supplementary rules for train operation as necessary. The provisions must be in line with rules applying to relevant infrastructure and should, as a minimum, include:

- a) rules for train composition, brake forces, axle loads, load profiles, metre weights, permitted speeds, etc.,
- b) rules for securing goods.

Such rules are subject to approval by the Norwegian Railway Inspectorate.

0 Amended by Regulation No 1523 of 20 December 2006.

Part IV Infrastructure and rolling stock

Chapter 12 Requirements for infrastructure

Section 12-1 *General requirements pertaining to infrastructure*

The infrastructure must be designed with due regard to safe operation. The track, superstructures and substructures, the track power supply, contact wire systems, signalling systems and telecommunication systems must be harmonised.

The infrastructure must be projected, built and tested in accordance with national and international standards. Standards and any deviations from standards are subject to acceptance by the Norwegian Railway Inspectorate.

The building of new and considerably modified infrastructure must comply with the EN 50126 (1999) process standard.

Section 12-2 *Route alignments, etc.*

Tracks, substructures, superstructures and track geometry must be designed and maintained to minimise the probability of derailment. Safety-related limit values for track defects, including warping, buckling, cant and alignment defects, must be established with reference to the rolling stock that can be permitted to use the section and its permitted speeds.

For tracks in areas prone to landslides or avalanches and areas with unstable ground conditions, measures must be implemented with due regard to safe operations.

Sidings for parking of rolling stock must be appropriately safeguarded to ensure that rolling stock cannot enter tracks on which trains are operating.

Section 12-3 *Platforms, etc.*

Platforms and their access routes must be designed and equipped, including fitted with signs and markings, with due regard to safe access to platforms, waiting on platforms and boarding and leaving trains.

The width of platforms must be adjusted to the number of passengers and the speed of passing trains.

The length of platforms must be adjusted to the length and equipment of passenger trains authorised to stop for passengers to board and leave the train. The height and width of gaps between the train and the platform must be kept to a minimum. The platform and the platform equipment must be designed to ensure that the train driver, working with on-board staff if necessary, has a clear view of the length of the train as passengers board and leave the train.

New platforms must not be placed on curves with a radius of less than 2 000 metres.

Access for people with hearing, visual and mobility impairments must be facilitated.

Section 12-4 *Tunnels and bridges, etc.*

Tunnels and bridges must be designed and fitted out to facilitate evacuation and self-evacuation in the event of a fire or other accident. Evacuation of people with hearing, visual and mobility impairments must be facilitated. Efficient rescue operations by the rescue services must also be facilitated.

Walkways on bridges must be shielded by railings. Walkways must be free of obstacles overhead and to the sides in order to facilitate safe evacuation.

Tunnels must never contain flammable materials. The materials used should emit as little smoke and toxic fire gases as possible in the event of a fire.

Section 12-5 *Level crossings*

Level crossings must enable road users to cross the railway track safely.

Level crossings on public roads must be secured. Level crossings are not permitted on double-track sections and sections with train speed limits in excess of 160 km/h. The speed limit on unsecured and unguarded level crossings must be adjusted according to sight lines/visibility in order to ensure that the time margins are adequate for road users to cross the track.

No new level crossings will be built.

Section 12-6 *Signalling systems*

Signalling systems must be designed to revert to safe settings in response to a fault. The system's safety functions must be automatic and work independently of the system operator.

Signals must be positioned to clearly indicate the tracks to which they refer, and the signal aspect must be visible to the driver well before the passing of the signal.

New railway lines must have remote traffic control. Remotely controlled sections must have automatic train control (ATC).

Full automatic train control (F-ATC) is required when automatic train control (ATC) is fitted on a track and in connection with the alteration of railway lines having partial automatic train control (D-ATC).

In connection with the installation or alteration of interlocking systems, it must be ensured that the type of system enables interoperability on the railway network.

Section 12-7 *Communication systems*

Railway lines with remote traffic control must be equipped with a communication system (train radio) for use in train operation.

Section 12-8 *Authorisation to put infrastructure in use*

Before new infrastructure can be put into use, the Norwegian Railway Inspectorate must grant authorisation for its use. If modifications are made to the infrastructure at a later date, the Norwegian Railway Inspectorate will consider whether the nature of the modifications is such that new authorisation is required for the infrastructure or modifications to be put into use.

Section 12-9 *Notification of plans to build new or modify existing infrastructure*

The Norwegian Railway Inspectorate must be notified of plans to build new or to modify existing infrastructure as early as possible.

As a minimum, such notification must include:

- a) the name of a contact person,
- b) the planned schedule for the project,
- c) a description of the new or modified infrastructure (system description),
- d) a plan of project safety tasks (safety plan),
- e) a list of standards to be applied, and
- f) a risk analysis.

Section 12-10 *Application for authorisation to put infrastructure in use*

As a minimum, applications for authorisation to put infrastructure in use must include:

- a) a description of the completed infrastructure,
- b) a list of verifications,
- c) a report showing how the safety plan is implemented (safety report),
- d) an updated list of standards applied, with a list of deviations from standards and the safety assessments on which the infrastructure manager has based its acceptance of such deviations,
- e) a list of completed risk analyses, with a total overview of the premises for and recommendations following the risk analyses and a description of how the premises and recommendations have been followed up, and
- f) a plan showing how any remaining risk factors will be followed up during operation (safety follow-up plan).

If an assessor or other independent parties have been involved, the application must also include a list of such parties, their reports and any follow-up measures.

The Norwegian Railway Inspectorate may demand that an assessor be used and that the Norwegian Railway Inspectorate be allowed direct contact with this person. The assessor is subject to approval by the Norwegian Railway Inspectorate. The Norwegian Railway Inspectorate may also demand that independent parties be used for other types of activity, including verifications and investigations.

Chapter 13 ***Requirements for rolling stock***

Section 13-1 *General requirements for rolling stock*

The technical design and operational condition of rolling stock must ensure safe and proper operation.

Rolling stock must be planned, designed, built, tested and modified in accordance with national and international

standards. Standards and any deviations from standards are subject to acceptance by the Norwegian Railway Inspectorate.

All acquisitions of new rolling stock, or major upgrades of existing stock, must comply with the EN 50126 (1999) process standard.

Rolling stock must be designed to deal with the operational and climatic conditions to which it is exposed during operation.

Rolling stock must have identity plates in addition to the appropriate technical and service plates.

Section 13-2 *Compatibility with the infrastructure*

Rolling stock must be compatible with the infrastructure on which it will be used, including infrastructure gauges, superstructures and substructures, contact wire systems, signalling systems and telecommunication systems.

Rolling stock intended for use on sections with automatic train control (ATC) must have appropriate ATC equipment. Rolling stock intended for use on sections equipped for train radio must have train radio equipment.

Section 13-3 *Brakes*

All rolling stock must have brakes. The brakes must be able to stop the train in all conditions within the max. braking distance as defined by the infrastructure manager for the section on which the stock will be running. Brake systems must be designed to revert to a safe state in response to faults.

Rolling stock must be fitted with parking brakes or other equipment to ensure safe parking.

Passenger stock must be fitted with an emergency brake activator that can be activated from any carriage. On new rolling stock the driver should be able to delay activation of the emergency brake.

Traction vehicles must be fitted with a driver vigilance control system which applies the brakes if the driver should fall asleep or lose consciousness.

Section 13-4 *Door, windows and fixtures*

The doors, windows and fixtures of rolling stock must be designed to ensure the safety of passengers and personnel.

Remote-controlled doors must be locked when the train is moving and the driver must be able to check that the doors are locked from the driver's cabin. There must also be a door opening device, a door jam protector and an isolation device for each individual door.

Section 13-5 *Materials and fire safety*

Rolling stock must not contain any easily ignitable materials. The materials used should emit as little smoke and toxic fumes as possible in the event of a fire.

Section 13-6 *Evacuation*

Rolling stock must be designed to facilitate evacuation and self-evacuation in case of fire or other accident. Access for people with hearing, visual and mobility impairments must be facilitated. Efficient rescue operations by the rescue services must also be facilitated.

Rolling stock must have emergency lighting.

Emergency exits and escape routes must be located, designed and marked to facilitate safe evacuation.

Rolling stock must be fitted with on-board emergency equipment suitable for the service in which it is used. Emergency equipment must be labelled and its location marked.

Section 13-7 *Technical recording system*

All traction vehicles must be fitted with a technical recording system for, as a minimum, recording speed.

All messages from the automatic train control system must be stored for use in connection with any subsequent investigations of railway accidents, serious railway incidents and railway incidents.

Section 13-8 *(Revoked by Regulation No 1523 of 20 December 2006.)*

Section 13-9 *Authorisation to place rolling stock into service, etc.*

Before rolling stock can be put into service on the infrastructure, authorisation must be obtained for its use, unless otherwise provided for under international agreements. If modifications are made to the rolling stock at a later date, the Norwegian Railway Inspectorate will consider whether the nature of the modifications is such that new authorisation is

required for the rolling stock or modifications to be put into service.

Section 13-10 *Notification of procurement or modifications of rolling stock*

The Norwegian Railway Inspectorate must be notified of plans for new or modified rolling stock as early as possible.

As a minimum, such notification must include:

- a) the name of a contact person,
- b) the planned schedule for the project ,
- c) a description of the new or modified rolling stock (system description),
- d) a plan of project safety tasks (safety plan),
- e) a list of standards to be applied, and
- f) a risk analysis.

Section 13-11 *Application for authorisation to place rolling stock into service*

As a minimum, the application for authorisation to place rolling stock into service must include:

- a) layout drawings and a description of the class of rolling stock,
- b) a list of all verifications,
- c) a report with details of how the safety plan is implemented (safety report),
- d) an updated list of standards applied, with a list of deviations and the safety assessments on which the undertaking has based its acceptance of such deviations,
- e) a list of completed risk analyses, with a total overview of premises and recommendations following these risk analyses and details of how the premises and recommendations have been followed up,
- f) plan demonstrating how any remaining risks will be followed up during operations (safety follow-up plan),
- g) the infrastructure manager's declaration verifying compatibility with the infrastructure (compatibility declaration) and
- h) any existing approval obtained in a different country.

If an assessor or other independent parties have been involved, the application must also include a list of such parties, their reports and any follow-up measures.

The Norwegian Railway Inspectorate may demand that an assessor be used and that the Norwegian Railway Inspectorate be allowed direct contact with this person. The assessor is subject to approval by the Norwegian Railway Inspectorate. The Norwegian Railway Inspectorate may also demand that independent parties be used for other types of activity, including verifications and investigations.

Section 13-12 *Application for authorisation to use rolling stock currently in operation*

For rolling stock currently in operation in another EEA state, but which is not fully covered by the relevant TSIs, applications for authorisation must include the following documentation:

- a) documentation to verify that authorisation to place the rolling stock into service has been granted by another EEA state, and documents that verify its operation and maintenance history as well as any technical modifications made after permission was granted,
- b) relevant technical and safety-related documentation,
- c) verification that the rolling stock's technical and operational properties are compatible with the infrastructure's power supply system, signalling system, track and infrastructure gauges, maximum permitted axle loads and other network limitations, and
- d) if applicable, application for exemption from national (Norwegian) safety rules that may be required for permission to be granted, and evidence that a permission to commence operation of the rolling stock will not entail unacceptable risks to the network.

The Norwegian Railway Inspectorate may demand that test runs be conducted on the network to check compatibility with the restrictive parameters specified in the first paragraph, c) above.

The Norwegian Railway Inspectorate shall decide on the application in accordance with these provisions quickly and no later than four months after the submission of full technical documentation, including documentation of any trial runs. The permission may include terms and conditions of operation and other limitations.

Part V Concluding provisions

Chapter 14 *Exemption, transitional provisions and entry into force*

Section 14-1 *Exemption*

The Norwegian Railway Inspectorate may in some cases grant exemption from these regulations on special reasons.

Section 14-2 *Transitional provisions*

Any changes to the safety management system of a railway enterprise which is necessitated by these regulations must be implemented no later than 6 months after these regulations have entered into force.

The infrastructure manager must fulfil the requirement laid down in section 12-5, second paragraph, first sentence, by 1 January 2008.

0 Amended by Regulation No 709 of 27 June 2006.

Section 14-3 *Entry into force*

These regulations will enter into force on 1 January 2006.

Section 14-4 *Amendments to the Requirement Regulation*

In Regulation No 1334 of 4 December 2001 relating to requirements for railways, including tramways, underground railways and suburban railways, etc. (the Legal Requirement Regulation) the following shall be substituted for section 1-1:

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