

Response to SHK's recommendations in the investigation report concerning an accident to person involving a radio-controlled locomotive at the Sundsvall marshalling yard, Västernorrland county, on 20 September 2012

SHK recommendations and response from the Swedish Transport Agency:

- *“The Swedish Transport Agency is recommended to check, within the scope of its licensing and supervisory activities, how Railway Undertakings are working with continuous improvements in respect to deficiencies in safety-critical designs where deviations previously have been noted but not taken care of, for example when a component's expected life cycle is not achieved. (RJ 2014:1 R1)”*

When an application is sent to the Swedish Transport Agency for a railway undertaking licence with a safety certificate, the Swedish Transport Agency shall observe Commission Regulation (EU) No 1158/2010¹. According to the Regulation, the Swedish Transport Agency must check that there are risk management procedures for maintenance and supply of materials at the prospective railway undertaking, including procedures to identify and report risks arising from defects and construction non-conformities or malfunctions throughout the life cycle.

Based on the recommendation, the Swedish Transport Agency has updated the checklist used in the supervision of railway undertakings' licensing and systems to ensure checks are made of railway undertakings' procedures for ensuring continuous improvement, such as procedures for monitoring and analysing relevant safety data.

¹ 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

- *“The Swedish Transport Agency is recommended to encourage owners/users of locomotives of a similar type and similar uses as Z70, to ensure that safety-critical assemblies and components of these vehicles are subject to periodic examinations in order to find incipient hazardous deficiencies (RJ 2014:2 R2)”*

From the analysis made by the Swedish Accident Investigation Authority in connection with the inspection, it emerges that the wheel axles on this vehicle type are subjected to a higher load than was assumed in their design. A railway undertaking’s safety control systems, which also include the subcontractor’s operations on behalf of the railway undertaking, shall be capable of identifying such based on the signs that arise. Based on this recommendation, the checklist has been updated in accordance with recommendation RJ 2014:1.

On an EU level, there are proposals and plans to introduce common requirements for all locomotives and passenger vehicles to be maintained by certified Entities in Charge of Maintenance (ECM). Such requirements already cover freight wagons via Commission Regulation (EU) No 445/2011². The intention is to introduce the requirements via the “fourth railway package”, as far as the Swedish Transport Agency understands, in December 2016. The Swedish Transport Agency is participating in the European Railway Agency’s (ERA) work groups for certified ECM. The recommendation will be integrated into this work to the extent allowed by the work’s level of detail, in order to ensure that the maintenance of vehicles also includes the identification of as yet unknown deficiencies.

The Swedish Transport Agency carries out risk-based supervision. The Swedish Transport Agency shall enter the recommendation into its supervisory bank and plan appropriate supervisory measures based on the risks in other objects of supervision.

This matter has been decided by Birgitta Hermansson. Per Almqvist participated in the final handling of the matter.

[signature]

Birgitta Hermansson
Road and Rail Director

² Commission Regulation (EU) No 445/2011 of 10 May 2011 on a system of certification of entities in charge of maintenance for freight wagons and amending Regulation (EC) No 653/2007.