Safety Performance Report 2010 Latvia

Compiled by the
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1. General Information

The transport sector encompasses the railway and road transport, marine and aviation subsectors, as well as passenger and transit transport. It is necessary for Latvia to develop and maintain an efficient, safe, competitive, environmentally friendly and flexible transport system that offers extensive user service opportunities. Latvia's transport and communications policy is developed taking into consideration development trends in the region, EU policy on the given areas and the activity of other international organisations. The development of a harmonised railway sector pursuant to EU standards requires the creation of a transparent legal and economic environment that would provide for an efficient and rational use of resources. An analysis of the situation in the transport sector leads to the conclusion that the two main problem areas include infrastructure upgrades and traffic safety; these need to be addressed to ensure the viability of the transport system. Accessible and quality passenger and freight transport services will meet the demand for mobility. Solutions to the problems in Latvia's transport are largely part of the European Union policy on transport, the key areas of which are traffic safety improvements, the development of public transport, preserving the importance of railway transport and fostering the development of environment-friendly transport.

The State Railway Technical Inspectorate performs state management functions in the monitoring and supervision of the technical operation of railways in order to ensure that the requirements of the applicable regulatory enactments be observed and implemented, thereby attaining efficient and quality maintenance of rail transport. Quality transport infrastructure and safe traffic with clear operational and certification requirements are a major contributor to the improvement of traffic safety.

The goal of the State Railway Technical Inspectorate as the authority responsible for railway safety is to ensure that there are uniform and safe railway operation requirements on all entrepreneurs and enterprises working in rail transport, as well as uniform certification principles.

1.1. Contents of the Report

The State Railway Technical Inspectorate has compiled information on railway safety performance in the country based on an analysis of results. The Inspectorate has evaluated the objectives and the results attained. The report looks into changes to legislation that have an effect on the railway transport processes, and offers an assessment of railway operations. The report analyses railway safety, as well as problems and the results attained in bettering railway sector procedures.

The Report also informs about the work done and the results achieved by the State Railway Technical Inspectorate in 2010. The aim of the Report is to present information on the work of the Inspectorate, the performance of the functions provided for in the law and to note problems ascertained in the reporting period. The Report assesses the tasks and functions of the Inspectorate, and analyses the results attained. The Report additionally prioritises new tasks and goals for the Inspectorate. The Inspectorate's work is aimed at enforcing the monitoring process within the national railway network, as well as certification procedures and the analysis of safety levels and safety problems.

2010 saw active efforts to develop uniform draft regulatory enactments for railway processes. During the reporting period, active information and opinion exchange was ensured with railway undertakings and organisations so as to arrive at a common understanding of the criteria and opportunities for safety upgrades. The specific features of and technical differences within the Latvian railway network require extra attention from all the sides involved in the railway sector.

The Report reflects railway safety and monitoring-related efforts of railway undertakings. Regular safety performance monitoring and control measures have been incorporated into undertakings' internal traffic safety monitoring systems. Railway specialists are provided regular training and their skills are examined regularly, technical devices and equipment are inspected and examined on a regular basis, etc. The public railway infrastructure manager pays great attention to measures aimed at reducing the number of accidents involving injuries. Every year, several safety campaigns are organised to inform society about various aspects of railway safety and the importance of safety requirements in the prevention of accidents.

An analysis of all processes shows that safety measures are being taken to reduce safety threats to the environment, society and workers.

1.2. Summary in English

The State Railway Technical Inspectorate has summarised information on the development of railway safety and has performed an analysis on the results achieved. The objective of this Report is to reflect the development of railway safety in Latvia, as well as to indicate problems that were detected during the reporting year. The priorities and tasks have been assessed. Prescribed tasks and achieved results are assessed. The amendments of legislations that make an impact on safety have been included in the Report. The Report shows the railway network tendencies, problems, decisions taken and results. The Latvian rail network asks for additional consideration from all involved parties because of technical distinctions on rail subsystems. The Report also shows performed actions and the results of the State Railway Technical Inspectorate in 2010. The performance of the functions of the Inspectorate is outlined. The Report also shows changes in national legislation. The Inspectorate took active work on preparing common regulations for railway processes. An exchange of information and opinions with all involved parties was provided.

The State Railway Technical Inspectorate monitored the implementation of the safety recommendations while two serious accidents were investigated by the Transport Accident and Incident Investigation Bureau in previous years. The railway infrastructure manager, railway undertakings and other companies of the railway sector that were involved in the accidents notified the State Railway Technical Inspectorate on performed or planned measures in relation to the safety recommendations.

In order to ensure the evaluation, monitoring and improvement of railway safety, the State Railway Technical Inspectorate ensures the registration of railway traffic accidents. The Inspectorate conducted inspections and investigative activities, which were necessary for the correct registration of railway traffic accidents in the preceding year as the new investigation rules went into force. An increase of accidents was noticed in the last year. Tendencies show that, in spite of safety measures taken on the part of the infrastructure manager, accidents with persons and suicides on railway lines are increasing. The increase of the failure of the human factor failure and ignorance of safety requirements persists. Many persons did not take into account the risks when crossing the crosswalk in front of moving trains.

The supervision results from all parties are included in this Report. It concludes that the safety during the reporting year is maintained and developed according to prescribed priorities and financial resources. Measures have been taken to decrease harm to the environment, society and employees.

2. Railway Sector in Latvia

2.1. Railway Infrastructure and Undertakings

Altogether, 397 privately owned railway sections with a total length of 670.1 km and 358 public railway sections with a total length of 3,324.98 km were registered with the State Register as of 31 December 2010. The total length of railways registered in Latvia is 3,995.08 km. In comparison with 2009, the total length of railways has not decreased substantially.

Indices	**2008**	**2009**	**2010**
Total expanded length of railways, km	4,730.90	3,996.00	3,995.08
Public railways, km, including	3,727.50	3,315.52	3,324.98
Mainlines, km, of which	*2,600.40*	*2,241.10*	*2,237.00*
Double and more track railways, km	*302.80*	*305.40*	*319.50*
Electrified railways, km	*647.90*	*647.90*	*647.90*
Privately owned railways, km	1,003.40	680.47	670.10
Length of public mainline routes, km	2,263.30	1,850.8	1,896.90
Length of electrified railway routes, km	257.40	257.40	257.40

80 % of the registered railways are operated by State Joint Stock Company a/s Latvijas dzelzceļš, which is the largest manager of public railway infrastructure.

882.745 km of public railway infrastructure feature ALSN (continuous automatic train signalling system), which constitutes 47.69 % of the total length of mainlines and 22 % of the total length of railways. 19.08 % of railways in Latvia are electrified.

In 2010 there were five undertakings in Latvia, which, in accordance with the existing safety regulations, had the right to provide railway transport services using the public railway infrastructure:

2.1. Freight and passenger transport

2.1.1. Limited Liability Company SIA LDZ Cargo – inland and international freight transport, shunting operations, international passenger transport

2.2. Freight transport

2.2.1. Joint Stock Company a/s Baltijas Ekspresis – inland freight transport, shunting operations

2.2.2. Joint Stock Company a/s BALTIJAS TRANZĪTA SERVISS – inland freight transport, shunting operations

2.3. Passenger transport

2.3.1. Limited Liability Company SIA Gulbenes-Alūksnes bānītis (narrow gauge railway) – inland transport

2.3.2. Joint Stock Company a/s Pasažieru vilciens – inland transport

Cargo transport services constitute a major part of railway services in Latvia. The highest volume of transport service is provided by SIA LDZ Cargo (approximately 76.70 % of cargo transport services). The remaining services are provided by a/s BALTIJAS TRANZĪTA SERVISS and a/s Baltijas Ekspresis. In 2010, cargo turnover remained unchanged from 2009 only for a/s Baltijas ekspresis, whereas the other undertakings registered smaller volumes of transport services. The total reduction in comparison with 2009 was 8.3 %. On a more positive note, the market share of the private cargo transport undertakings increased, although not very much – from 21.77 % to 23.3 %.

The highest volume of passenger transport services in Latvia is provided by a/s Pasažieru vilciens (90 % of the total volume of service), which provides inland passenger transport services. In 2010, SIA LDZ Cargo provided international passenger transport services. The volume of passenger transport services in 2010 decreased by 5 %, whereas in 2009, a 25 % fall was recorded.

2.2. State Control

2.2.1. Monitoring and Co-operation Structure

The Ministry of Transport is the main government body responsible for the transport and communications sector; it develops regulatory framework and policy planning documents for the sector, enforces the implementation of its policies via public administration institutions responsible to the Ministry and enterprises in which the Ministry is a shareholder. The Railway Department of the Ministry of Transport is responsible for the development and enforcement of railway policy. One of the tasks of the Department is the harmonisation of laws with the requirements of the Community's legislation.

State governance in the field of railway transport is exercised by the State Railway Technical Inspectorate, the State Railway Administration and the Transport Accident and Incident Investigation Bureau.

The Transport Accident and Incident Investigation Bureau is responsible for investigating serious accidents involving trains and shunting services that affect traffic safety, taking into account the gravity of the consequences thereof.

The State Railway Administration is responsible for issuing licences to freight transport undertakings, adjudicating conflicts among undertakings and infrastructure managers, shaping the strategy of environmental policy, and risk assessment. The State Railway Administration is responsible for the maintenance of registers of State-owned infrastructure and rolling stock.

The subordination structure has remained unchanged since 2007.

2.2.2. State Railway Technical Inspectorate

The State Railway Technical Inspectorate monitors and supervises the technical operation of railways. The State Railway Technical Inspectorate is responsible to the Ministry of Transport, which supervises the work of the Inspectorate. The Inspectorate was established on 1 July 1999, with a view to perform the functions of State control in the field of monitoring and supervision of the technical operation of railways. The work of the Inspectorate is governed by the Cabinet of Ministers Regulation No 14 of 4 January 2005, "Regulations Regarding the State Railway Technical Inspectorate". The State Railway Technical Inspectorate is headed by its Director.

The task of the State Railway Technical Inspectorate is to enforce the railway safety requirements contained in Latvian regulatory enactments, whilst at the same time working to harmonise these requirements with the European Union requirements.

The aim of the operations of the State Railway Technical Inspectorate is to perform the functions of State control in the field of monitoring and supervision of the technical operation of railways so as to ensure that the regulative enactments for the said areas are observed and implemented, thereby achieving efficient and quality maintenance of railway transport. Quality transport infrastructure and safe traffic with clear operational and certification requirements contribute towards traffic safety.

The functions of the State Railway Technical Inspectorate are as follows:

2.2.2.1. To monitor observance of regulatory enactments in the field of railway operation and safety, as well as of other regulatory enactments;

2.2.2.2. To monitor the implementation of civil defence measures (including preventive and response measures and mitigation of consequences) in railway operation;

2.2.2.3. To investigate railway accidents and maintain a register thereof;

2.2.2.4. To control activities related to the mitigation of rolling stock accidents;

2.2.2.5. To assess railway infrastructure projects and to take decisions regarding these projects; to issue construction permits; and to control the observance of provisions of law and other regulatory enactments in the construction sector on the part of entities involved in railway infrastructure construction;
2.2.2.6. To issue safety certificates to undertakings in accordance with regulatory enactments;
2.2.2.7. To issue safety permits in accordance with the specified procedure;
2.2.2.8. To issue professional competence certificates in the regulated sphere in accordance with regulatory enactments;
2.2.2.9. To exchange information about the principles and practice of the Inspectorate's work and decisions with the relevant authorities of the other European Union Member States;
2.2.2.10. To issue means of traction driver's (machine operator's) licences;
2.2.2.11. To maintain a register of traction driver's (machine operator's) licences;
2.2.2.12. To take decisions on acceptance of rolling stock for operation.

In 2010, several new regulatory enactments and amendments to regulatory enactments were endorsed, as a result of which the State Railway Technical Inspectorate was assigned new responsibilities and several of its supervision functions and responsibilities were altered:

2.2.2.13. Amendments to the Railway Law of 13.05.2010, Section 33, Articles 3, 10 and 11 – investigation and maintenance of a register of railway traffic accidents (specified function); issue of traction vehicle driver's (machine operator's) licences (new function); maintenance of a register of traction driver's (machine operator's) licences (new function);

2.2.2.14. Amendments to the Railway Law of 17.06.2010, Section 33, Article 12 – taking decisions on the acceptance of rolling stock for operation (new function);

2.2.2.15. Cabinet of Ministers Regulation No 999 of 26.10.2010, **"Procedures for the Classification, Investigation and Recording of Railway Traffic Accidents",** Article 57 – preparation and publication of the safety report (new responsibility);

2.2.2.16. Cabinet of Ministers Regulation No 1210 of 28.12.2010, **"Regulations Regarding the Interoperability of Trans-European Rail System",** Sub-Article 2.11, Articles 48 and 78 – the authority which takes decisions regarding the placing in service of a subsystem in the trans-European rail system, as well as performs market supervision so that only the interoperability constituents complying with this Regulation are used (specified function); performance of the market surveillance of interoperability constituents (specified function); examination of the documentation of the technical order of the construction, renewal or upgrading project of the subsystem and, taking into account the conditions for the implementation of the requirements specified in the relevant technical specification for interoperability, taking a decision regarding conditions for acceptance of the subsystem for operation (specified function);

2.2.2.17. Cabinet of Ministers Regulation No 873 of 14.09.2010, **"Regulation Regarding Obtaining a Means of Traction Driver's (Machine-operator's) Qualification and Licence to Drive a Means of Traction",** Article 2 – issue, suspension, revocation and re-issue of the licences (new function);

2.2.2.18. Cabinet of Ministers Regulation No 1211 of 28.12.2011, **"Regulation Regarding Rolling Stock Construction, Modernisation, Maintenance, Conformity Assessment and Acceptance for Operation",** Articles 12, 13, 16, 34, 46 – acceptance for operation of newly-built, offered on the market for the first time or modernised rolling stock type (new function), acceptance for operation of new or modernised rolling stock units conforming with a given rolling stock type (new function), publication of the binding regulatory enactments, standards, norms and specifications regarding the interoperability of trans-European rail systems on the website (new function), publication

of the information on rolling stock types accepted for operation on the Internet website (www.vdzti.gov.lv) (new function).

By adopting the requirements of the European Union regulatory enactments, the number of functions delegated to the State Railway Technical Inspectorate has increased.

As of 31 December 2010, there were 19 permanent jobs at the Inspectorate. The State Railway Technical Inspectorate in 2010 carried out internal structural changes without altering the number of staff positions. The structural changes were necessary in order to ensure that that all the functions of the Inspectorate be performed, given the additional requirements on Community railway policy provided for in the European Union regulatory enactments on the railway sector (requirements of Directive 2004/49/EC, Article 16, requirements of Directive 2008/68/EC, Directive 2008/57/EC, Subparagraph v of Article 2, Directive 2007/59/EC, Subparagraph a of Article 3 and Article 19). During the reporting year, principal functions were redistributed among the existing staff positions and the performance of responsibilities was revised at the State Railway Technical Inspectorate, and changes were made to the description of staff positions and job responsibilities.

During the reporting year, the Inspectorate employed 19 persons, of whom nine persons performed supervisory functions, six persons were involved in the certification work, three worked on the railway policy pursuance matters and one was responsible for the implementation of support functions.

The structure of the State Railway Technical inspectorate (Appendix 3) in the reporting year:

4.1.1. **The Traffic Safety Unit** is responsible for State monitoring and control of railway operations. The unit is also responsible for investigating railway accidents caused by railway undertakings. Each inspector of the unit is responsible for the monitoring of traffic safety and presenting reports on a given railway sector.

4.1.2. **The Analysis and Certification Unit** is responsible for State monitoring and control in the field of safety certification and for certification of railway specialists. The unit is also responsible for supervising the implementation of regulatory enactments for the internal monitoring systems of railway undertakings. The certificates are issued in conclusion of the certification processes. The unit is also responsible for preparing regulatory documents in the railway field and co-ordinates the transposition of EU requirements into national law. Each employee of the unit is responsible for a specific area of certification or policy.

4.1.3. **The Finance and Project Management Unit** is responsible for the efficient and transparent assessment of railway infrastructure projects, issuing of construction permits, the planning and use of State budget funds, and for accounting. The unit is responsible for the registration, processing and assessment of construction projects.

4.1.4. **Control and Registration Unit** is responsible for the registration and administration of railway accidents, as well as control on the national level and analysis of the trends established. The unit is responsible for the preparation of reports. Additionally, the unit supervises personnel management and other internal processes within the Inspectorate and the development thereof, is responsible for the organisation of administrative work within the Inspectorate.

The Inspectorate is headed by its Director. The Director is appointed by the Minister for Transport upon approval of the candidate by the Cabinet of Ministers.

2.3. Main Trends in Safety Performance

An analysis of transport volumes in 2010 according to transport modes shows that, during the reporting year, transport volumes reduced in cargo as well as in passenger transport. The trend of decreasing transport volumes was observed in the first half-year, but in the second half-year transport

volumes stabilised. Compared to 2009, the overall decrease was around 8 %. Total freight turnover in 2010 was 17,178 million tonnes-km, while total freight turnover in 2009 was 18,725 million tonnes-km. Passenger turnover also decreased, by around 5 %, from 756 million passenger-km in 2009 to 741 million passenger-km in 2010.

Main trends in traffic safety:

2.3.1. Certification

2.3.1.1. The first stage of **full introduction of a system for authorisation of safety systems** was completed in 2010. In the reporting year, the Inspectorate issued 160 safety permits. Altogether, 270 safety permits were issued by the Inspectorate during the first stage. The number of applications for railway infrastructure management increased in 2010. The total number of safety permits issued in the reporting year increased more than fourfold because a five-year transition period during which – as provided for in the Cabinet of Ministers Regulation No 616 of 23 August 2005, "Procedure of Issuing, Revocation and Suspension of Safety Permits" – railway infrastructure managers had to receive safety permits, concluded in 2010.

During the reporting period, the Inspectorate also worked on the development of new regulations for the introduction of requirements provided for in Directive 2008/110/EC of the European Parliament and of the Council of 16 December 2008 amending Directive 2004/49/EC on safety on the Community's railways. The State Railway Technical Inspectorate incorporated into the draft regulations the criteria and the procedure of issuing, suspension and revocation of safety permits. On 18 January 2011, the Cabinet of Ministers endorsed Regulation No 57, "Regulations on the Criteria and the Procedure of Issuing, Suspension and Revocation of Safety Permits".

2.3.1.2. A **harmonised system of safety certification** was introduced in 2008.

The work on improving the system of safety certification continues yet. In 2010, no applications were received for Part A or Part B Certificates. Seven safety certificates were issued in 2009, and eight safety certificates were issued in 2008.

2.3.1.3. Certification of means of traction drivers, assistant drivers and instructors

The legal provisions of Directive 2007/59/EC of the European Parliament and of the Council of 23 October 2007 on the certification of train drivers operating locomotives and trains on the railway system in the Community provide for the establishment of national regulations in a given Member State. The work on new certification procedures in accord with the requirements of the Directive commenced in 2009. In the reporting year, the Inspectorate drew up draft regulations regarding the obtaining of a means of traction driver's (machine operator's) qualification and licence to drive a means of traction. The work on the regulations was completed in 2010, and on 14 September 2010, the Cabinet of Ministers endorsed Regulation No 873, "Regulation Regarding Obtaining a Means of Traction Driver's (Machine-operator's) Qualification and Licence to Drive a Means of Traction".

In 2010, the State Railway Technical Inspectorate issued 480 means of traction vehicle driver, traction vehicle assistant driver, and driver instructor's certificates. In 2009, 505 railway traction vehicle driver, traction vehicle assistant driver, and driver instructor's certificates were issued, whereas in 2008, 548 means of traction vehicle drivers, assistant drivers, and driver instructors were certified. The largest number of qualification examinations was held for diesel-powered train drivers, assistant drivers, and driving instructors – these amounted to 69 % of the total number of qualification certificates issued.

2.3.1.4. Supervision of the construction process

In 2010, more construction projects were approved and more construction permits were issued than planned. The increase was due to the implementation of infrastructure development projects financed by the EU structural funds. The Inspectorate was submitted railway development projects that dealt with infrastructure development and improving train traffic safety in the East-West railway corridor.

These included railway track reconstruction, the modernisation of automatic train traffic management systems and the modernisation of a braking shoe overheat alarm system.

2.3.2. Control of railway operation and safety requirements

2.3.2.1. Safety management system audits have been done at all railway undertakings, and this is confirmed by documents received from the railway undertakings.

2.3.2.2. The State Railway Technical Inspectorate conducted 108 inspections in 2010 while monitoring 95 railway facilities.

2.3.2.3. Railway transport undertakings and public railway infrastructure managers conducted more than 11,000 audits and inspections in the internal safety systems of undertakings (quality of repairs, technical condition of tracks, quality of work of locomotive teams, technical condition of rolling stock, etc.). The decrease in the quantity of audits and inspections was due to the decreasing transport volumes and the introduction of IT control systems.

2.3.2.4. All operating railway crossings (613) were inspected. The State Railway Technical Inspectorate's senior inspectors participated in the work of 125 railway crossing inspection commissions in 2010. The number of the inspected railway crossings slightly decreased in the reporting year, taking into consideration that the work of several commissions was organised in parallel in various railway sections, as well as a reduction in the number of railway crossings. Railway crossing data were also audited during the reporting year.

2.3.2.5. A new, updated version of the regulations on railway technical operations was adopted in 2010 (Cabinet of Ministers Regulation No 724 of 03.08.2010, "Railway Technical Operations Regulations)".

2.3.2.6. In 2010, the State Railway Technical Inspectorate registered 14 safety consultants (advisers). In 2009, the Inspectorate issued 29 safety consultant (adviser) certificates. In 2010, the Inspectorate received 147 reports covering operations in 2009 from safety consultants responsible for dangerous goods transport. The dangerous goods transport volumes increased 2 % in 2009. The total transport of dangerous goods in 2009 amounted to 23,739.9 thousand tonnes, while in 2008, the total transport of dangerous goods stood at 22,680 thousand tonnes.

2.3.3. Traffic safety

2.3.3.1. The number of serious railway accidents increased in 2010, by 39 % as compared with 2009. Nevertheless, the number of serious railway accidents did not exceed that of 2008. During the reporting year, 43 serious railway accidents were registered:

2.3.3.1.1. The proportion of persons injured in such accidents increased by 37 %;

2.3.3.1.2. The proportion of persons killed in such accidents remained unchanged from 2009 (60 % of all casualties);

2.3.3.1.3. No passengers were injured in serious railway accidents;

2.3.3.1.4. No accidents had serious socio-economic consequences in 2010. On the other hand, the number of accidents to persons caused by rolling stock in motion increased. The number of accidents involving injuries, caused by people disregarding safety requirements at pedestrian crossings, increased in 2010;

2.3.3.1.5. Hazardous product leakage was established on two occasions in 2010, which occurred due to violations of the technical procedures regarding the loading of freight. The leakage was established in lowermost outlet equipment due to a damaged hermetic locking device;

2.3.3.1.6. The number of suicides continued to increase in 2009;

2.3.3.1.7. The number of technical failures caused by errors made by railway specialists decreased slightly in 2010. A 5 % reduction was recorded;

2.3.3.1.8. The number of technical defects still remains high, which indicates that rolling stock renovation is necessary;

2.3.3.1.9. An internal traffic safety monitoring system has been developed for railway undertakings as well as infrastructure managers so as to maintain the traffic safety level and reduce the number of accidents. Regular safety measures have been incorporated into undertakings' internal traffic safety monitoring systems, for instance, railway specialists are provided regular training and their skills are examined regularly, technical devices and equipment are inspected and examined on a regular basis, etc.

2.3.4. Control of compliance of new and refurbished railway infrastructure facilities, equipment, machinery, and rolling stock when accepting for operation

2.3.4.1. In 2010, 30 new or reconstructed railway infrastructure facilities were accepted for operation. The renovation of 56 km of railway track was completed in 2010, whereas in 2009, 75 km of railway track was renovated, and 89 km in 2008. 19 railway crossings were repaired and modernised. Modernisation of rolling stock braking shoe overheat alarm system was completed in 2010. New stations were constructed and new equipment installed that make it possible to determine overheated braking shoes and motionless wheel pairs in a moving train with a much greater precision and regardless of train movement direction, thereby reducing rolling stock derailment risk.

2.3.4.2. During the reporting year, accepted for operation were 79 newly built traction vehicles or traction vehicles that had been repaired or modernised. Compared to 2009, the acceptance of traction vehicles for operation decreased. The decrease was due to the reducing transport volumes.

3. Activities and Development of Railway Safety Performance

3.1. Activities in Railway Safety Performance

Pursuant to the basic principles, undertakings as well as the public railway infrastructure manager constantly monitor railway safety to keep abreast of development trends, to timely detect negative changes and promptly take safety measures to improve the situation. Statistical data on traffic safety is regularly registered, compiled and compared. The necessary safety measures are determined through quality investigation of accidents and the causes thereof, as well as analysis of general trends in traffic safety. Several safety measures were developed, based on the results of inspections and audits, as well as on the State Railway Technical Inspectorate's recommendation. Measures taken by the infrastructure manager are primarily targeted at upgrading the technical equipment of the infrastructure and reducing the effect of human error on traffic safety, as well as reducing the number of accidents involving injuries. The undertakings' efforts are mostly targeted at train crews' actions in emergency situations and at upgrading the monitoring process.

The following measures were taken in 2010 with a view to improving traffic safety:

3.1.1. Reconstruction of railway tracks of 52.785 km altogether, overhaul of B-type tracks of 27.942 km altogether, replacement of 58 track switches, repairs to eight engineering and technical facilities, repairs to and modernisation of 19 level crossings;

3.1.2. In co-operation with Belorussian Railways, the second stage of railway track construction in the Indra-Bigosova section near the border was completed in 2010;

3.1.3. work on the modernisation of the overheating brake shoe alarm system was completed, making it possible to determine overheated braking shoes and motionless wheel pairs in a moving train with a much greater precision and regardless of train movement direction;

3.1.4. In 2010, nine railway stations (Līvbērze, Slampe, Kūkas, Mežāre, Atašiene, Stirniene, Viļāni, Varakļāni, Sakstagals) were provided with centralised microprocessors, whereas the adjacent railway sections were equipped with automated interlocking systems and automatic locomotive signalling devices. Therefore, train traffic safety has improved, railway line capacity has been increased and train delays reduced in these railway sections.

3.1.5. The emphasis in the personal safety area is being placed on acquainting society with the risks potentially posed by railway. Safety posters with easy-to-understand visual information have been put up at railway stations.

3.1.6. In order to improve pedestrian safety and reduce the risk of potential accidents at railway tracks (safer and more comfortable crossing of railway lines):

3.1.6.1. Fences were built at railway stations and parks, the total length of the fencing is approximately 9000 m;

3.1.6.2. Pedestrian crossings were reconstructed at nine railway stations for the ease of use by people with physical disabilities;

3.1.6.3. At eight railway stations, railway platforms' dangerous areas, where most accidents were registered as well as the highest passengers flows, were marked off with yellow lines;

3.1.6.4. At several railway stations, platforms were renovated and several worn-out parts thereof were replaced; safety barriers were set up;

3.1.6.5. At three railway stations, pedestrian crossings were built, signs were put up and pedestrian chicanes were installed;

3.1.6.6. At several railway stations, additional warning signs were put up in the dangerous areas: "Crossing Tracks Prohibited!", "No Crossing!", "No Trespassing!", "Beware of Train!".

3.1.7. The existing electric trains and diesel trains in operation have been equipped with a telemechanical driver alertness system to reduce the risk of accident;

3.1.8. With the aim to improve the control of locomotives and of the actions of train crews during the operation of a train, the railway undertaking in 2009 and 2010 equipped diesel locomotives (2M62, 2M62U, 2TE10U and M62) with the TRASSA-2 system for monitoring diesel generator operating parameters, which makes it possible to monitor a given locomotive's work on-line via GPRS data transmission.

Railway undertakings and rolling stock owners are regularly informed about black spots where accidents to persons caused by rolling stock in motion are registered the most often. Locomotive drivers applied the emergency brake in 98 instances altogether in 2010, thereby preventing accidents to persons caused by rolling stock in motion, including 11 instances of a person lying between railway tracks, and 6 instances of children playing on railway lines. Accidents to persons caused by rolling stock in motion have a significant impact on traffic safety in the State.

In order to improve passenger awareness and prevent accidents to persons caused by rolling stock in motion, one of the passenger transport undertakings, a/s Pasažieru vilciens, commenced a new project in 2010, which envisages setting up information displays at 14 major railway stations. In 2010, such displays were set up at three railway stations; the project is to be completed in 2011.

The rate of locomotive faults still remains high in Latvia. The main reasons for the increase in the number of traffic safety violations include failure to observe the rolling stock repairs technology, insufficient know-how of those who do the repairs and insufficient control of their work, the wear of means of traction.

In 2010, several training courses were also organised on the handling of hazardous freights, taking into account that a large number of hazardous freights is transported via Latvia and due to the increasing number of hazardous product leakages.

Table 3.1.1.

Implemented Safety Measures	**Accidents Triggering Safety Measures**			**Implementation Period**
	Date of Accident	**Location**	**Description of Accident**	
Installation of heating units in electric trains	February	Terminus stations	Moisture collectors froze up in train cars due to excessive snow and low temperatures	February, March
Regular control of the condition of railway tracks	08.10.2010	Riga Station service yard	Shunter derailment	01.11.2010
Erection of warning signs	03.02.2010 10.08.2010	Railway section Šķirotava – Salaspils	Accident to person caused by rolling stock in motion	15.05.2010 30.09.2010

Table 3.1.2.

Safety Measures Implemented to Prevent Accidents

Implemented Safety Measures	Description of Causes
Several requests prepared for the police to provide extra measures in railway territories Risk assessment carried out for several railway sections Instructing drivers (operators) of means of traction to use horn when approaching areas with people	Accidents to persons caused by rolling stock in motion, which result in serious injuries, still account for a majority of serious accidents in Latvia
Giving repeated instructions to railway workers for reducing risks; workers' actions when in dangerous areas	Increasing number of instances when emergency brake had to be applied due to railway workers' presence in dangerous areas, performing their duties and failing to take notice of train movement, thereby putting their lives to risk
Additional instructions for train crews about actions in the case of hazardous product leaks	Increasing number of hazardous product leaks due to severe temperature fluctuations
New procedure of technical training for train crews developed. Training with the help of computer programs "Safety of Technical Processes for Train Assembly Specialists and Assistants During Shunting Operations" and "Automated Rolling Stock Brakes"	Increasing number of railway safety violations due to insufficient skills of train crews in non-standard situations
Reducing train movement speeds Increased monitoring of technical conditions of railway tracks	Deformed railway tracks due to adverse weather conditions (heat, frost)

3.2. Assessment of Railway Accidents

The State Railway Technical Inspectorate collates statistical data on an annual basis on accidents pursuant to a specific structure. The collated data present a certain level of safety in a given Member State. The level of safety is a relative variable that may be used for the assessment of safety in a given time period. The safety assessment was performed based on accident statistics for the 2004-2009 period. The assessment of Latvia concluded that Latvia conformed to the set safety level in all the risk categories – the safety system in Latvia is being properly maintained and monitored.

The registration and analysis of accidents shows that the number of serious accidents increased in 2010. The increase on 2009 is 39 %. Nevertheless, the number of railway accidents did not exceed the level of 2008. During the reporting year, 43 serious railway accidents were registered. The proportion of injured persons increased by 37 %. The proportion of fatalities remained at the 2009 level (60 % of casualties). The number of accidents with injuries increased in 2010 regardless of the safety systems being in place and of the placement of warning signs, but the increase was anticipated. This proves that informing society about the consequences of being too close to railway tracks and failing to observe safety requirements must continue.

The number of accidents due to the wear of rolling stock also increased in the reporting year. Such violations have a serious impact on train movement. Occasionally, trains cannot leave railway stations for long periods of time.

Number of Railway Accidents	**2007**	**2008**	**2009**	**2010**
Accidents that involved injuries	44	56	27	37
Accidents that did not involve injuries	8	5	2	5
Total number of accidents	**52**	**61**	**30**	**43**

The analysis shows that the number of accidents tends to increase in even years and decrease in odd years. No explanation to this trend can be found, not even after consultations with investigation experts. The analysis is being continued in consultations with investigation experts.

After an assessment of possible threats in four railway sections in 2010 that might be caused by railway infrastructure, the risk level was determined, as were the main factors contributing to the risks, and recommendations were prepared for reducing the risk level. In order to reduce risks posed by transport of hazardous freights, work on preventive safety measures continued, especially for railway stations where highly hazardous substances are handled. Although the number of unauthorised persons on railway premises has decreased significantly, most such instances are due to these individuals' failure to observe safety requirements. The number of accidents to persons caused by rolling stock in motion in areas that have been fenced off has reduced notably. The risk of accidents at level crossings also remains heightened, especially in winter conditions when the breaking distance for cars, due to icy roads, increases, which car drivers occasionally fail to take into consideration.

Two cases of hazardous freight leak were registered in 2010 due to violations of the technical procedures regarding the loading of freight. The leakage was established in the lowermost outlet equipment due to a damaged hermetic locking device. Analysis of data on emergency situations involving hazardous freights shows that, in comparison with last year, the number of accidents with train cars loaded in Latvia has increased. Yet the largest part of accidents involved train cars loaded in Belarus and Russia.

Number of Railway Accidents	2007	2008	2009	2010
Train collisions	**0**	**1**	**1**	**1**
Accidents involving injuries	0	1	0	0
Derailments	**0**	**0**	**0**	**0**
Accidents involving injuries	0	0	0	0
Accidents on level crossings	**9**	**10**	**8**	**10**
Accidents involving injuries	7	10	8	10
Accidents to persons caused by rolling stock in motion	**37**	**45**	**19**	**27**
Accidents involving injuries	37	45	19	27
Other serious accidents	**6**	**5**	**2**	**5**
Accidents involving injuries	0	0	0	0
Hazardous freight leaks	0	0	0	2

In 2010, the number of accidents to persons caused by rolling stock in motion increased, as did the number of accidents on level crossings. Most such accidents were registered on unmanned crossings, when car drivers failed to observe road traffic safety requirements or pedestrians failed to observe safety requirements due to human factor. In 2010, one collision on level crossing was registered that was due to a railway specialist's fault.

The reason for the increase of the number of accidents was failure to observe safety requirements, for instance, pedestrians wearing headphones when crossing railway lines at pedestrian crossings or level crossings, or people being precariously close to rolling stock in motion (standing or lying on/near platforms or railway lines), including in the separation area. The use of various music players can make it impossible for the user to hear warning signals. Some of the accidents were caused by people walking along railway tracks or crossing railway lines in places where crossing tracks is prohibited, as well as by intoxicated persons on railway tracks.

Number of Casualties	2007	2008	2009	2010
Physical injuries	**17**	**31**	**12**	**15**
%	38	52	40	40
Killed	**28**	**29**	**17**	**22**
%	62	48	60	60
Total	**45**	**60**	**29**	**37**

Just as in 2009, the proportion of fatalities was at 60 % in 2010. Most of the accidents were accidents to persons caused by rolling stock in motion. The majority of such accidents were fatal. In 2010, the number of people who sustained injuries as a result of failure to observe safety requirements when crossing railway lines at pedestrian crossings (attempts to cross in front of a speeding train) increased. Injuries were suffered by pedestrians, cyclists, car drivers and car passengers.

The proportion of men injured in railway accidents increased by 18 % in 2010 from 2009. In 2009, the proportion of women injured in railway accidents had increased just as much. In 2010, the proportion of men injured in railway accidents was at 78 %, in 2009 – at 60 %. In 2008, 78 % of people injured in railway accidents were men – the same as in the reporting year, whereas in 2007, men made up 81 % of people injured in railway accidents. In some of these cases, both men and women were under the influence of alcohol. However, the proportion of intoxicated people who were injured in railway accidents continued to decrease in 2010.

The analysis of data regarding casualties suggests that every year, most of the injured are in the "active age" bracket (20–55 years old). In 2010, most of the people who suffered injuries in railway accidents were 20-30 years old – 30 % of the total number of casualties. Additionally, it must be noted

that the number of injured people aged over 65 also increased, constituting 30 % of the total number of casualties. In 2009, most people injured in railway accidents were 30 to 40 years old. Children and young people are also injured in accidents every year. In 2010, three accidents were registered involving children under 12. In one case, three children attempted to run across a railway line in front of an electric train that had just left the railway station. One of the children was run over by the train, but, thanks to the rescue service's equipment, the victim was freed from underneath the train.

In 2010, no train passengers or railway undertaking workers sustained injuries in railway accidents. However, the number of instances increased in 2010 when emergency brake had to be applied due to railway workers' presence in dangerous areas in violation of safety requirements.

In 2010, most accidents involving injuries were registered in August and September (40 % of the total number of accidents), whereas in 2009, most accidents involving injuries occurred during winter months. In 2008, on the other hand, the proportions of accidents involving injuries were roughly the same in winter, spring, summer and autumn. In 2007, more than 70 % of accidents involving injuries were registered in summer. These data show that the distribution of the number of accidents involving injuries over the period of one year changes every year.

The highest number of accidents to persons by rolling stock in motion occurs in the agglomeration area of Riga, especially on the Riga–Aizkraukle and Riga–Tukums lines. In 2010, the number of people injured in railway accidents increased on the Riga–Saulkrasti line. In the reporting period, a decrease in such accidents was observed on the Riga–Tukums line. Most accidents occurred from 6 p.m. to midnight.

The number of suicides on railway also increased in 2010 to 13 suicides altogether. Experts believe that this percentage could continue to increase. 10 suicides on the railway were registered in 2009, compared to nine in 2008. It is mostly young people who attempt to commit suicide on the railway, and men make up the majority of such cases – 77 % in 2010. In the reporting year, most of the suicide attempts were fatal. Depression and the complicated socio-economic situation are the main causes, as well as alcohol abuse.

3.3. Implementation of Safety Recommendations

In December 2009, the Transport Accident and Incident Investigation Bureau prepared a final report on the causes of the collision of freight train No 2445 (locomotive 2TE10M-3453 and 59 loaded vehicles) and the last vehicle of train No 1703 (locomotive 2TE10M-3422 and 61 loaded vehicles). On the basis of the results of the investigation, the Transport Accident and Incident Investigation Bureau prepared four recommendations:

3.3.1. Infrastructure manager – State Joint Stock Company a/s Latvijas dzelzceļš – was instructed to consider the possibility to provide mainline (1520 mm) railway infrastructure with automatic cab signalling field (coded track circuit system) devices.

3.3.2. Transport undertakings – to consider equipping mainline (1520 mm) freight and passenger train locomotives with locomotive driver alertness control devices that would not only request confirmation of driver alertness on a regular basis and stop the train if it runs the red light, but also:

3.3.2.1. Constantly monitor the driver's alertness;

3.3.2.2. Stop the train if the train does not slow down timely as it approaches a red light.

3.3.3. SIA LDZ Cargo and other transport undertakings – to audit their internal traffic safety monitoring systems with a view to improve the efficiency of such systems, paying particular attention to

the enforcement of regulations on communications between locomotive driver and his/her assistants and the control thereof.

3.3.4. Infrastructure manager – State Joint Stock Company a/s Latvijas dzelzceļš – to revise the procedure how station duty officers timely inform locomotive drivers by radio about train stoppages at a traffic control signal, unscheduled stoppages and other non-standard situations, and amend Latvijas dzelzceļš Freight Transport Department Director's decree No DK-3/46 of 4 February 2002, "On Mutual Control and Information Exchange between Locomotive Drivers, Station Duty Officers and Train Dispatchers".

All the recommendations were implemented in 2010. Safety management systems were audited. Some of the undertakings equipped the existing trains in operation with a telemechanical driver alertness system and, with the aim to improve the control of locomotives and of the actions of train crews during the operation of a train, diesel locomotives were equipped with the TRASSA-2 system for monitoring diesel generator operating parameters, which makes it possible to monitor a given locomotive's work on-line via GPRS data transmission.

In August 2010, the Transport Accident and Incident Investigation Bureau presented the final report on an accident that occurred on **16 December 2009 on the Indra– State border railway section**. The accident occurred on the public railway infrastructure: a train collided with an overdimensioned breakdown crane of a business firm involved in building a new railway line; as a result of the collision, the locomotive, the breakdown crane and seven tank cars were severely damaged. Three empty tank cars ran off the tracks and overturned. It has to be noted that the tank cars belonged to a third country undertaking. The main railway line as well as the line under construction also sustained damage in the accident. The Transport Accident and Incident Investigation issued four recommendations:

3.3.5. The business firm SIA Transceltnieks must examine whether its internal system for traffic safety monitoring is efficient and whether the procedures therein ensure that the relevant safety requirements are being observed, and make sure that they are, in order to guarantee the safety of the operations of the firm, monitor implementation of work assigned to the workers of the firm, perform internal audits and document the findings thereof, as well as organise technical training or qualification courses for its workers on a regular basis.

3.3.6. The infrastructure manager –State Joint Stock Company a/s Latvijas dzelzceļš – must introduce the necessary requirements (criteria) on railway maintenance and construction applications, which are necessary so as to ensure that the applications for technical breaks conform to safety requirements.

3.3.7. The infrastructure manager –State Joint Stock Company a/s Latvijas dzelzceļš – must provide in its internal regulations that the infrastructure manager's station master has a duty to inform the infrastructure manager's track supervisor about the commencement of works by third parties at the station or on railway tracks in between stations.

3.3.8. The infrastructure manager – the State Joint Stock Company a/s Latvijas dzelzceļš – and the chief contractor – SIA LDZ infrastruktūra – must provide in the railway maintenance and construction contracts that the infrastructure manager and chief contractor have to supervise how subcontractors observe train traffic safety requirements during railway maintenance and construction works.

Business firm SIA Transceltnieks has carried out an examination of the efficiency of the internal system for traffic safety monitoring. In 2010, a new company was established that took over the firm's entire rolling stock and personnel. On 27 November 2010, SIA Transmehanizācija was issued a safety permit confirming that the company could provide safe shunting services. The infrastructure manager introduced the necessary requirements on railway maintenance and construction applications with the Instruction on the Procedures Regarding the Issuing, Use and Cancellation of Technical Breaks (Slots), which was endorsed on 25.10.2010 by decree No D-538 issued by the chairman of the board at the

State Joint Stock Company a/s Latvijas dzelzceļš. The instruction took effect on 1 November 2010. On 10.11.2010, the President of State Joint Stock Company a/s Latvijas dzelzceļš issued decree No D-3/572, On the Notification Procedure Before Commencement of Public Infrastructure Works, which provides for the authorisation of such works if they are to be performed by a business firm, as well as for a procedure of informing the authorised representative of State Joint Stock Company a/s Latvijas dzelzceļš (track supervisor, shunting crew foreman, electrician and suchlike) before the commencement of the works. On 27.09.2010, a member of State Joint Stock Company a/s Latvijas dzelzceļš board issued decree No VL-3/483, On Control of Technical Processes, which provides that contracts which State Joint Stock Company a/s Latvijas dzelzceļš concludes with commercial firms for the performance of technical processes provided for in Section 3, Part 5 of the Railway Law (the construction, repairs and technical maintenance of the railway infrastructure technical equipment), as well as contracts that the said firms conclude with subcontractors must be supplemented with provisions stipulating the contracting authority's obligation to control implementation of train traffic safety requirements as provided for in the regulatory enactments.

4. Changes in Legislation

In 2010, several regulatory enactments and amendments to regulatory enactments were endorsed, as a result of which the State Railway Technical Inspectorate was assigned new functions and had some of its monitoring functions expanded (see Section 2.2.2.). In the reporting year, two draft regulatory enactments were drawn up to introduce the requirements provided for in Directive 2008/57/EC of the European Parliament and of the Council on the interoperability of the rail system within the Community, and new requirements were approved on the acceptance of rolling stock for operation. A new draft regulation on the investigation of railway accidents was prepared in 2010, also in order to introduce the requirements of the Commission Directive 2009/149/EC, amending Directive 2004/49/EC of the European Parliament and of the Council as regards Common Safety Indicators and common methods to calculate accident costs.

Work on improvements to the harmonised system of safety certification within the Community continues still by the development of joint certification processes. The European Commission's regulatory enactments on joint safety methods for determination of applicants' suitability for receiving railway safety certificates are applicable to the safety certification processes. In 2010, work commenced on the development of new regulations for the introduction of requirements provided for in Directive 2008/110/EC of the European Parliament and of the Council of 16 December 2008 amending Directive 2004/49/EC on safety on the Community's railways. The State Railway Technical Inspectorate incorporated into the draft regulations the criteria and the procedure of issuing, suspension and revocation of safety permits. The regulations were endorsed by the Cabinet of Ministers on 18 January 2011.

The legal provisions of Directive 2007/59/EC of the European Parliament and of the Council of 23 October 2007 on the certification of train drivers operating locomotives and trains on the railway system in the Community provide for the establishment of national regulations in a given Member State. In the reporting year, the Inspectorate drew up draft regulations regarding the obtaining of a means of traction driver's (machine operator's) qualification and licence to drive a means of traction.

In 2010, the following regulatory enactments or amendments to regulatory enactments were endorsed regarding railway safety and operation:

4.1. Bill Amending the Railway Law of 13.05.2010 – Section 33 – functions of the Inspectorate, Section 35.[1] – criteria for issuing safety permits, Section 37.[1] – means of traction driver (machine operator);

4.2. Bill Amending the Railway Law of 17.06.2010 – Section 33 – functions of the Inspectorate, Section 36.[1] – rolling stock and operation thereof, Section 43 – application of railway interoperability technical specifications;

4.3. Bill Amending the Railway Law of 23.09.2010 – Section 40 – procedure for classification, investigation and registration of railway accidents;

4.4. Law on the Handling of Hazardous Freights of 14.10.2010;

4.5. Cabinet of Ministers Regulation No 724 of 03.08.2010, "Railway Technical Operations Regulations";

4.6. Cabinet of Ministers Regulation No 873 of 14.09.2010, "Regulation Regarding Obtaining a Means of Traction Driver's (Machine-operator's) Qualification and Licence to Drive a Means of Traction";

4.7. Cabinet of Ministers Regulation No 874 of 14.09.2010 amending the Cabinet of Ministers Regulation No 219 of 10 March 2009, "Procedures for Performance of Mandatory Health Examinations";

4.8. Cabinet of Ministers Regulation No 999 of 26.10.2010, "Procedures for the Classification, Investigation and Recording of Railway Traffic Accidents";

4.9. Cabinet of Ministers Regulation No 1210 of 28.12.2010, "Regulations Regarding the Interoperability of Trans-European Rail System";

4.10. Cabinet of Ministers Regulation No 1211 of 28.12.2010, "Regulation Regarding Rolling Stock Construction, Modernisation, Maintenance, Conformity Assessment and Acceptance for Operation".

The bills and regulations endorsed by the government were printed in the government's official journal *Latvijas Vēstnesis* (www.vestnesis.lv). All the regulatory enactments on railway are available at the website www.likumi.lv, as well as at the Internet website of the State Railway Technical Inspectorate http://www.vdzti.gov.lv/index.php?id=322&sa=322. This information is also available in English at http://www.vdzti.gov.lv/index.php?id=354&sa=354.

All regulations and orders of the Cabinet of Ministers are binding for railway undertakings and infrastructure managers. The same also refers to railway companies involved in the building, repair, and maintenance of rolling stock and technical infrastructure equipment, as well as in shunting service.

Regulatory documents that are also binding on railway undertakings and with which State Joint Stock Company a/s Latvijas dzelzceļš, as the manager of railway infrastructure, regulates the use of railway infrastructure and that refer to the organising and control of traffic of trains and other rolling stock on railways, control of infrastructure and management of safety systems, or otherwise refer to the safe operation of the railway infrastructure are issued in accordance with Section 5, Article 2.[1] of the Railway Law. Binding directions issued by the manager of the public railway infrastructure that are binding on railway undertakings were updated in 2010 and summarised in the Network review published on the manager's website at www.ldz.lv and the Inspectorate's website http://www.vdzti.gov.lv/index.php?id=374&sa=322,329,373,374.

In 2010 the public railway infrastructure manager issued six new and two amended regulatory documents (published at www.ldz.lv.), which are binding on railway undertakings:

4.11. Decree on mutual control procedure between means of traction drivers, station masters and train dispatchers (29.03.2010, No VL-3/123);

4.12. Decree on the performance of commercial activity within the railway infrastructure of State Joint Stock Company a/s Latvijas dzelzceļš (15.04.2010, No D-3/186);

4.13. Decree on the endorsement of Instruction on the Procedures Regarding the Issuing of Technical Breaks (Slots) (25.10.2010, No D-3/538);

4.14. Decree on the endorsement of Instruction on the Assembly, Repair and Maintenance of Means of Traction Rolling Stock Wheelsets (01.09.2010, No D-3/450).

Several amendments were made in 2010 regarding:

4.15. Organisation of transport of extra large and extra heavy freight and the procedure of such freight transport authorisation;
4.16. The procedure of despatching locomotives, motor car rolling stock, railway cranes, and specialised rolling stock on State Joint Stock Company a/s Latvijas dzelzceļš' public use railway infrastructure;
4.17. Actions to be taken in emergency situations regarding hazardous freights;
4.18. Regulations regarding operation of ALSN.

5. Safety Certificates and Permits

The State Railway Technical Inspectorate issues railway safety certificates Part A and Part B, the Inspectorate also issues safety permits. The certification process is free of charge. The results in this area have exceeded the planned figures. The increase is thanks to the conclusion of the first transition period for safety authorisation of companies working in the railway sector.

All information on the certification process is available at the Inspectorate's website www.vdzti.gov.lv, section Certification/Safety Certification or Certification/Safety Permits. The information is also available in the English language: http://www.vdzti.gov.lv/index.php?top=336&id=336.

5.1. Issue of Railway Transport Safety Certificates

Pursuant to the Cabinet of Ministers Regulation No 168 of 10 March 2008, "Regulations regarding the Procedures and Criteria for Issuing, Suspending and Revoking Part A and Part B of a Safety Certificate", each railway undertaking must develop and maintain a safety management system that must include risk assessment and risk control management, competence and safety management.

There are five undertakings in Latvia, which, in accordance with the existing safety regulations, have the right to provide railway (freight, passenger) transport services using the public railway infrastructure: SIA LDZ Cargo, a/s Baltijas Ekspresis, a/s BALTIJAS TRANZĪTA SERVISS, SIA Gulbenes–Alūksnes bānītis (narrow gauge railway) and a/s Pasažieru vilciens.

	2008	**2009**	**2010**
Issued safety certificates Part A	**5**	**2**	**-**
Passenger and freight transport	-	1	-
Passenger transport	2	-	-
Freight transport	3	1	-
Issued safety certificates Part B	**3**	**5**	**-**
Passenger and freight transport	-	1	-
Passenger transport	2	1	-
Freight transport	1	3	-
Total	**8**	**7**	**0**

In 2010, the State Railway Technical Inspectorate received no applications for safety certificate Part A and Part B or specification/alteration thereof.

Information on safety certificates Part B issued by the State Railway Technical Inspectorate may be found at the Inspectorate's website www.vdzti.gov.lv, section Certification/Safety Certification.

5.2. Issue of Safety Permits

The commercial undertaking certification process is set out in the Cabinet of Ministers Regulation No 616 of 23 August 2005, "Procedure of Issuing, Revocation and Suspension of Safety Permits". The certification process only concerns railway infrastructure managers and entities that run specific technological processes for undertakings or railway infrastructure manager, except

undertakings that have received the safety certificate. The aim of the safety permit is to recognise a given commercial undertaking in respect of safety, and the permit guarantees that the undertaking provides safe services in the given field of railway operations. The first stage of full introduction of the safety authorisation system was completed in 2010. In the reporting year, 160 safety permits were issued. Altogether, the Inspectorate has issued 270 safety permits from 2005 to 2010.

Pursuant to the EU regulatory enactments, safety permits include the authorisation of infrastructure managers, entities responsible for technical maintenance, rolling stock construction companies, shunting service companies.

During the reporting period, safety permits were issued for rolling stock construction and repairs, construction, repair and technical maintenance of railway infrastructure technical equipment, railway infrastructure management, and shunting operations.

	2007	**2008**	**2009**	**2010**
Commercial activity of the undertaking				
Rolling stock construction, repairs or technical maintenance	9	4	5	8
Construction, repairs and technical maintenance of railway infrastructure technical equipment	3	32	33	43
Shunting operations	2	11	6	4
Railway infrastructure management	1	14	10	113
Total	**12**	**47**	**43**	**160**

Several types of commercial activity can be provided in a safety permit.

More applications were received in 2010 for railway infrastructure management because a five-year transition period during which – as provided for in Article 24 of the Cabinet of Ministers Regulation No 616 of 23 August 2005, "Procedure of Issuing, Revocation and Suspension of Safety Permits" – railway infrastructure managers had to receive safety permits for their commercial activity, concluded in 2010.

The commercial undertaking is granted the permit if the undertaking's internal transport safety monitoring system guarantees that the undertaking's work in a given field of railway operations will comply with safety requirements. In 2010, applications for safety permits were received regarding:

5.2.1. Cabinet of Ministers Regulation No 616 of 23 August 2005, "Procedure of Issuing, Revocation and Suspension of Safety Permits", where a transition period is provided in Section 24 stipulating when a commercial undertaking must receive a safety permit;

5.2.2. Commencement of commercial activity in the railway sector, which requires a safety permit;

5.2.3. Significant alterations in the work process – new technological processes or services;

5.2.4. Change of registered office;

5.2.5. Expiry of previous safety permit's validity.

All the applications for safety permits were examined. During the examination of applications for safety permits, additional information and explanation were requested from the commercial undertakings regarding:

5.2.6. Incomplete documents submitted;

5.2.7. Imprecise information on technological processes;

5.2.8. Imprecise information on railway specialists;

5.2.9 Imprecise information provided on organisational structure and responsibility levels at the undertaking.

In 2010, 11 safety permits were corrected because of expanded operations of the given commercial undertakings, seven permits – because of change of legal address, one permit – because of the expiry of the previous safety permit's validity. In 2010, one safety permit was suspended because the commercial undertaking was performing a technological process that had not been reflected in the undertaking's internal transport safety monitoring system; after the undertaking presented additional documentation for safety permit, the undertaking was issued a new (corrected) safety permit.

The European Commission's regulatory enactments on joint safety methods for determination of applicants' suitability for receiving railway safety permits are applicable to the safety certification processes. Therefore in the reporting year, the Inspectorate was working on the development of new regulations for the introduction of requirements provided for in Directive 2008/110/EC of the European Parliament and of the Council of 16 December 2008 amending Directive 2004/49/EC on safety on the Community's railways. The State Railway Technical Inspectorate incorporated into the draft regulations the criteria and the procedure of issuing, suspension and revocation of safety permits. On 18 January 2011, the Cabinet of Ministers endorsed Regulation No 57, "Regulations on the Criteria and the Procedure of Issuing, Suspension and Revocation of Safety Permits".

6. Risk Assessment

Railway undertakings, infrastructure managers and maintenance and construction companies adhere to the European Commission (EC) Regulation No 352/2009 (24 April 2009) **on the adoption of a common safety method on risk evaluation and assessment** as referred to in Article 6(3)(a) of Directive 2004/49/EC of the European Parliament and of the Council, which from 19 July 2010 applies to all significant technical changes affecting vehicles and to all significant changes concerning structural subsystems, where required by Article 15(1) of Directive 2008/57/EC or by a TSI. All the authorisation processes provide for assessment of substantial changes of the basic requirements.

In 2010, such substantial changes were not established in any of the systems.

7. Results of Monitoring

7.1. Inspections Conducted by the State Railway Technical Inspectorate

The State Railway Technical Inspectorate conducted 108 inspections in 2010 while monitoring 95 railway facilities.

Number of Inspections	2007	2008	2009	2010
Planned quantity	110	110	100	110
Inspections conducted, including:	120	181	107	108
Planned inspections (%)	75	80	86	89
Unscheduled inspections (%)	25	20	14	11

According to the planned quantitative results of the State Railway Technical Inspectorate, the number of inspections conducted in 2010 was at 98 % of the planned quantity. The decrease in the number of inspections is due to the Inspectorate's activity in preparation of draft regulatory enactments. The State Railway Technical Inspectorate submitted eleven draft regulatory enactments to the Ministry of Transport regarding railway traffic safety and interoperability matters.

The proportion of planned inspections has been increasing for several years when compared to the proportion of unscheduled inspections, which suggests that undertakings are interested in bringing order to the control systems. The regulatory enactments are drawn up according to safety trends, and therefore facilitate bringing order to the railway sector. A number of unscheduled inspections were also conducted in 2010, especially regarding rolling stock operation. The number of unscheduled inspections in the reporting year made up 11 % of the total number of inspections. In 2009, most unscheduled inspections had also looked into rolling stock operation issues due to inadequate technical maintenance processes.

In 2010, six inspections were conducted at public railway infrastructure facilities, three inspections were conducted at railway construction sites, seven inspections examined operations of transport undertakings, 16 inspections at undertakings involved in rolling stock repairs and 76 inspections dealt with private railway infrastructure facilities or commercial undertakings that load/unload hazardous freights.

In 2010, repeat inspections were conducted at thirteen commercial undertakings. Compared to 2009, the number of repeat inspections has decreased. The repeat inspections were conducted in order to enforce control over elimination of identified shortcomings, which had significant impact on traffic safety and operation. In 2009, 20 commercial undertakings were inspected on several occasions, compared to 22 such undertakings in 2008. The number of repeat inspections at commercial undertakings tends to decrease, as the Inspectorate maintains regular monitoring of commercial undertakings.

Inspected Facilities Broken Down by Type of Undertaking	**2007**	**2008**	**2009**	**2010**
Transport undertakings	5	6	5	5
Undertakings involved in rolling stock repairs	6	12	17	15
Loading, unloading of hazardous freights	20	27	11	17
Construction sites	0	0	0	3
Infrastructure maintenance and shunting services	59	95	63	55
Total number of inspections	**90**	**140**	**96**	**95**

The greatest attention was paid to the examination of railway infrastructure condition and shunting services, taking into account that there are more than 200 private infrastructure owners in Latvia. In 2010, the number of inspections increased at undertakings that load/unload hazardous freights. During the reporting year, inspections of braking shoe condition, safety monitoring systems were conducted, and monitoring of construction sites was enforced.

Inspections Conducted	**2007**	**2008**	**2009**	**2010**
Complex inspections	21	30	28	23
Inspections of technical condition of rolling stock	27	42	13	27
Inspections of technical condition of railway tracks	17	55	45	14
Inspections regarding hazardous freight transport	37	27	11	17
Other inspections	18	27	10	27
Total number of inspections	**120**	**181**	**107**	**108**

Each year, the State Railway Technical Inspectorate conducts complex inspections that are planned within the framework of the reference year, as well as specific inspections. During the specific inspections, technical condition of the rolling stock, infrastructure, traffic organisation and handling of

hazardous freights are examined. The inspections are conducted pursuant to the requirements of the Railway Law, Carriage by Rail Law and railway technical operations.

7.2. Safety Measures Approved

When serious faults were identified during the State Railway Technical Inspectorate inspections, decisions were taken to prohibit railway operations due to poor technical condition of railway tracks, failure to obtain safety permit or due to unsatisfactory maintenance or incorrect operation of rolling stock. The number of administrative reports issued by the State Railway Technical Inspectorate also increased.

During the reporting year, administrative reports were issued over withholding information on railway accidents, railway safety or violations of operational procedures. In 2010, three administrative reports were issued. One was issued to a transport undertaking, one to an infrastructure manager and one to a construction undertaking.

Railway Safety Measures Approved as a Result of Inspections	**2007**	**2008**	**2009**	**2010**
Use of railway tracks prohibited	16	19	9	13
Operation of rolling stock prohibited	14	13	7	15
Other prohibitions (suspension of railway specialists from duty)	7	6	4	2
Issue of administrative orders for correction of irregularities	81	143	86	75
Issue of administrative report	2	0	1	3
Total	**120**	**181**	**107**	**108**

Pursuant to the Section 109, Paragraph 6 of the Latvian Administrative Violations Code – failure to provide information, which is related to railway traffic accidents or railway traffic safety, and Section 110.[2] – violation of the regulations regarding the technical operation of a railway, the State Railway Technical Inspectorate in 2010 took three decisions: on a/s Baltijas Ekspresis, SIA Kr.V and SIA SCB Semafors.

All relevant conditions were assessed in each case, and a decision was taken on imposing a fine on the wrongdoers:

7.2.1. One administrative report was issued by the State Railway Technical Inspectorate over an unreported railway accident. The State Railway Technical Inspectorate made a decision to issue a warning;

7.2.2. The other administrative report was drawn following a report about rolling stock going through a level crossing although the flashing lights were not on and the automated and reserve gates were open. After an investigation of the incident, the State Railway Technical Inspectorate made a decision to impose a fine on the undertaking, taking into consideration that the incident posed threat to pedestrian safety;

7.2.3. The third administrative report was drawn up by the State Railway Technical Inspectorate over violations of the construction procedure; the undertaking was fined.

7.3. Analysis of Undertakings and Manager's Reports

The State Railway Technical Inspectorate received all undertakings and public infrastructure manager's reports by 30 June 2010. The reports dealt with the implementation of safety measures, the structure of companies' internal monitoring system, general statistical information. Information on railway traffic accidents was also provided in appendices. It has to be noted that undertakings still find it problematic to draw up the reports, especially regarding registration of railway accidents where cost estimates have to be presented regarding damaged rolling stock, since the systems for calculation of the damages may vary significantly. Therefore, specialists have to make extra estimates, which may be very time consuming.

Additionally, taking into account that a criminal process is initiated during the investigation period, undertakings and the manager alike had problems with compilation of information and resumption of traffic. Successful arrangement of all processes will require a longer period of time.

7.3.1. Audits of Safety Management Systems

In 2010, all transport undertakings audited their safety management systems to make sure that the systems ensure safety of the undertakings' operations. All elements of the safety management systems were audited, and it was also examined whether the internal regulations provided for traffic safety processes and procedures. After reports on the audit results were received, it was concluded that:

7.3.1.1. the safety management system is efficient and guarantees safety. Documents, procedures and processes on operations confirm with the requirements of regulatory enactments, technological processes and ensure safe provision of services;

7.3.1.2. improvements are needed in the safety management system by introducing relevant processes and responsibility levels, and by ensuring that internal regulations are revised pursuant to the requirements of external regulatory enactments;

Additionally, external certification audit was performed for a transport undertaking pursuant to the requirements of the ISO 9001:2008 standard, where all processes within the undertaking were audited.

7.3.2. Monitoring Procedures

Monitoring systems at undertakings conform to the provisions of basic technical operation requirements. The internal traffic safety monitoring systems of both transport undertakings and the public infrastructure manager are supervised on a regular basis. The internal traffic safety monitoring system establishes the order of priority, the process of inspections, the process of training, instruction and personnel management, the schedule of planned measures, the drawing up and implementation of reports and documents regulating train crews' work. All the processes provide for requirements on the performance of tasks, the scope of tasks and the periodicity thereof.

One of the transport undertakings has developed an information system where planned and unscheduled repairs to locomotives are registered, wear and tear of locomotive parts, warranty coverage, locomotives' mileage and maintenance, as well as general reports of technical character, general reports of commercial character and commercial reports, freight turnover volumes, freight types and classification. With the help of this database, the undertaking can perform analysis of locomotive operations, hazardous freight and cargo transportation risks. Another transport undertaking has developed a website offering a database of norms and specifications, regulations on traffic safety, with the purpose of improving the processes.

Yet another passenger transport undertaking has introduced, in accordance with all applicable regulatory enactments, a set of risk management processes with a view to reducing risks posed to the undertaking employees, clients, the general public, property, and the environment.

The undertakings carry out internal technical inspections and audits. Plans are drawn up pursuant to periodicity provided for in the internal safety monitoring system. Violations of regulatory documents and shortcomings identified during technical audits are described in notices that are handed in to the heads of the relevant structural units. The head of the relevant structural unit organises a review of the results of technical audit; as a result, a set of measures is prepared for the elimination of irregularities identified and safety measures are developed. Specialists in charge of safety measures supervise the elimination of irregularities and implementation of safety measures.

Altogether, commercial undertakings have carried out 11,442 technical inspections and audits, which is 10 % more than stated in the planned monitoring systems. Compared to 2009, the number of inspections and audits has reduced by 26 %. In 2009, 15,564 technical inspections and audits were performed, compared to 18,375 technical inspections and audits in 2008. The reduction in the number of inspections is due to the introduction of an IT monitoring system as well as a decrease in the number of unscheduled inspections.

Commercial undertakings in 2010 approved several alterations to their internal regulations so as to improve their internal traffic safety monitoring systems:

7.3.2.1. Regarding brake check locations for trains in motion;

7.3.2.2. Regarding a training system for railway specialists;

7.3.2.3. Regarding train traffic safety improvements;

7.3.2.4. Regarding workers' actions in the event of a railway accident and organisation of the liquidation of consequences thereof;

7.3.2.5. Regarding organisation of shunting services**;**

7.3.2.6. Regarding hazardous freight transport and workers' actions in the event of a threat posed to hazardous freight and in emergency situations.

8. Observations on Hindrances and Shortcomings in Railway Operations

In order to improve traffic safety and operations of the railway system, the reports offered suggestions for infrastructure manager regarding infrastructure upgrades:

8.1. To reduce the number of accidents to persons caused by rolling stock in motion, continuing the work on pedestrian crossing modernisation (installing pedestrian chicanes) and setting up fences in densely populated areas is suggested;

8.2. It is necessary to improve access to binding instructions and regulatory enactments issued by the public railway infrastructure manager by the creation of a single register that would be accessible to the general public for the speed and convenience of use, or electronic information exchange needs to be organised.

9. Priorities

Planned measures to improve traffic safety performance:

9.1. **In Latvia**:

9.1.1. Reducing the number of accidents to persons caused by rolling stock in motion:

9.1.1.1. Continuing the erection of fences in areas with increased risk to persons;

9.1.1.2. Organisation of safety classes in schools;

9.1.1.3. Organisation of yellow warning lane system in railway stations with high passenger flows;

9.1.2. modernisation and renovation of rolling stock:

8.1.2.1. Commencement of implementation of the project Modernisation of Passenger Railway Transport System in Riga Suburbs and Renovation of Diesel Train Rolling Stock;

8.1.2.2. Modernisation of rolling stock (procurement of diesel locomotives);

9.1.3. Introduce new, and modernise the existing, warning and surveillance technologies at large facilities, in traffic management processes and at level crossings;

9.2. At the State Railway Technical Inspectorate:

9.2.1. Implementation of functions set out in the Railway Law

Quality Indicators	**2011**
Number of inspections of compliance of rolling stock and railway infrastructure with requirements of railway technical operation regulations	110
Certification and issue of safety permits to railway undertakings	45
Qualification and certification of railway specialists	300
Approval of railway construction projects	50
Issue of railway facility construction permits	50

9.2.2. Drafting regulatory enactments regarding:

9.2.2.1. Amendments to safety certification,

9.2.2.2. Amendments to regulations on railway specialists,

9.2.2.3. Amendments to regulations on certification of means of traction drivers, etc.

10. Sources of Information

10.1. Railway Law (1 April 1998).

10.2. Regulations on the State Railway Technical Inspectorate (3 January 2005).

10.3. State Railway Technical Inspectorate's operation strategy for 2007-2013 (1 January 2006).

10.4. Transport Development Guidelines 2007-2013 (endorsed in accordance with the Cabinet of Ministers decree No 518 of 12 July 2006, corrected in accordance with the Cabinet of Ministers decree No 140 of 10 March 2010)

10.5. Transport in 2010. Compilation of statistical data. (Central Statistical Bureau of Latvia, Riga, 2011).

10.6. 2010 annual report of State Joint Stock Company a/s Latvijas dzelzceļš (Riga, 2011).

10.7. Safety Performance Report of State Joint Stock Company a/s Latvijas dzelzceļš. Year 2010. (Riga, 2011).

10.8. 2010 Safety Performance Report of SIA LDZ CARGO (Riga, 2011).

10.9. Safety Performance Report of Joint Stock Company Baltijas Ekspresis. Year 2010. (Ventspils, 2011).

10.10. 2010 Safety Performance Report of SIA Gulbenes–Alūksnes bānītis (Gulbene, 2011).

10.11. 2010 Safety Performance Report of a/s Pasažieru vilciens (Riga 2011).

10.12. 2010 SAFETY PERFORMANCE REPORT OF A/S BALTIJAS TRANZĪTA SERVISS (Riga, 2011).

10.13. Main operational indicators of State Joint Stock Company a/s Latvijas dzelzceļš. Year 2010. (Riga, 2011).

10.14. 2010 annual report of the State Railway Technical Inspectorate (Riga, 2011).

10.15. 2010 annual report of the State Railway Administration (Riga, 2011).

Appendix 1

Map of Latvian Railways

Appendix 2
Public Infrastructure Manager (Situation as of 31 December 2010)

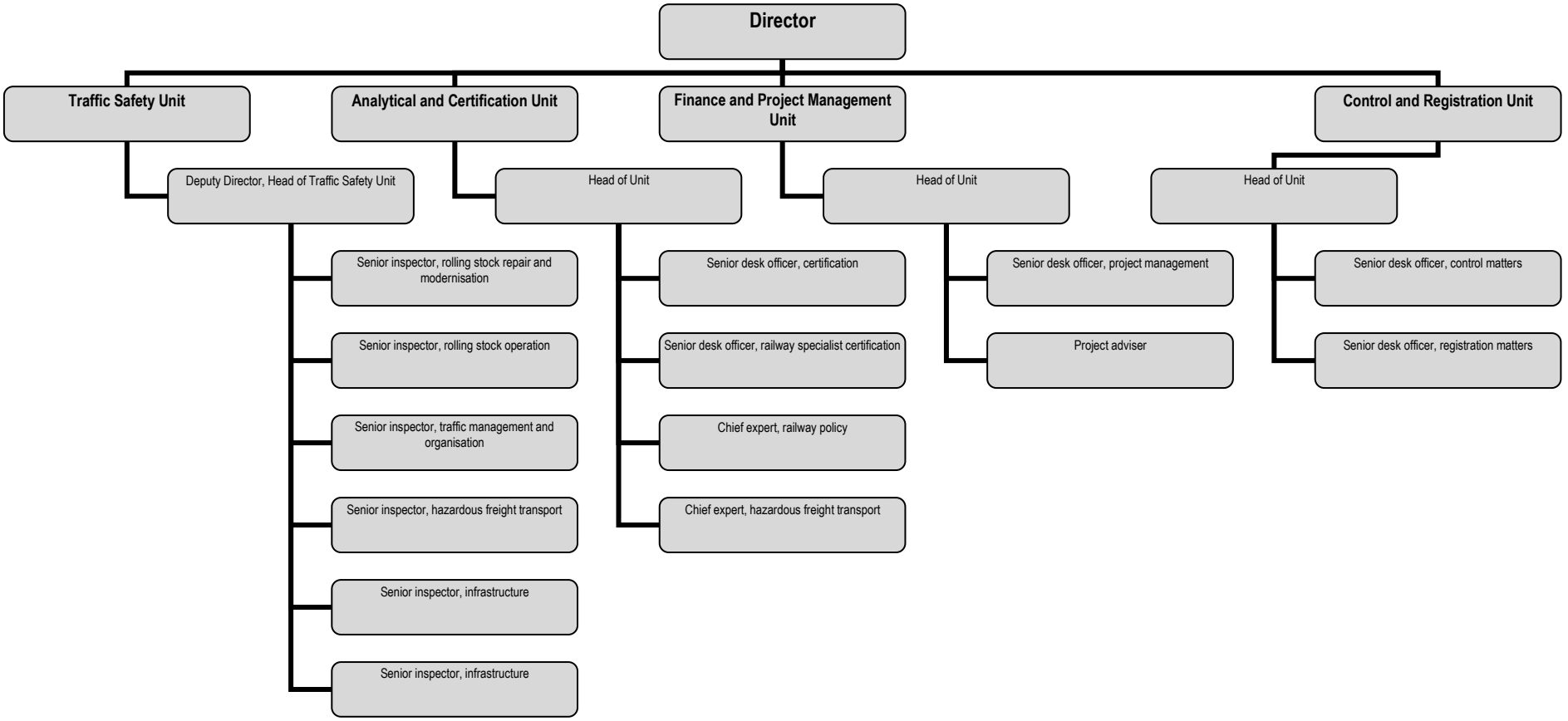
Name	**State Joint Stock Company a/s Latvijas dzelzceļš**
Website address	www.ldz.lv.
Network review	http://www.ldz.lv/texts_files/0_tikla_parskats_2010.pdf
Safety permit No and date issued	LV-45, issued 26.08.2008, valid until 25.08.2013
Company registration date	01.10.1991
Total length of railways	**2201.9 km (expanded)**
Including railways with 1,520 mm gauge width	2168.5 km
750 mm gauge width	33.4 km
Electrified lines, km	**257.4 km**
Voltage	3.3 kV
Length of railways in operation	**1896.9 km**
Length of double track railways	**319.5 km**
Length of high-speed lines	N/A
Total length of lines with ALSN installed	**882.745 km**
ALSN % of total length of railways	38.68 % of total length of railways in operation
Number of level crossings	564 (including non-operational)
Number of signal lights	4,531

Operating Railway Transport Undertakings (Situation as of 31 December 2010)

Name	a/s Baltijas ekspresis	a/s Pasažieru vilciens	a/s Baltijas Tranzīta Serviss	SIA Gulbenes-Alūksnes bānītis	SIA LDZ Cargo
Website address	www.asbe.lv	www.pv.lv		www.banitis.lv	www.ldz.lv
Safety certificate Part A	**LV1120080007**	**LV1120080003**	**LV1120080006**	**LV1120080001**	**LV1120090001**
Safety certificate Part B	**LV1220090004**	**LV1220080004**	**LV1220090003**	**LV1220080002**	**LV1220090002**
Company registration date	08.01.1998	02.11.2001	13.05.1999	20.04.2001	09.12.2005
Transport type	Freight	Passenger	Freight	Passenger	Passenger/freight
Number of locomotives	42	2	21	7	174
Number of handcars/trains	-	-	-	-	-
Number of vehicles	-	164 electric trains 74 diesel trains	-	8 passenger 5 freight	4924 rented 855
Number of means of traction drivers, including	**70**	**222**	**51**	**7**	**860**
Instructors	1	5	2	2	19
Drivers	56	146	29	5	516
Assistant drivers	13	71	20	0	335
Passenger turnover	**-**	**20,517,525**	**-**	**15,529**	**338,000**
Freight turnover, t	**2,913,097**	**-**	**9,422,997**		**49,164,000**

Appendix 3

Structure of the State Railway Technical Inspectorate



Appendix 4

Requirements	Legal Reference	Effective From	Amendments or New Regulatory Enactment	Description
Functions and Tasks				
Legislation that sets out tasks for the authority responsible for control and monitoring of technical railway operations	13.05.2010 Law **Amendments to the Railway Law** ("LV", 86 (4278), 01.06.2010)	02.06.2010	Amendments to a regulatory enactment, amendments to **Railway Law (01.11.1998)**	Section 33, Article 3 - investigation and maintenance of a register of railway traffic accidents (specified function);
				Section 33, Article 10 - issue of traction vehicle driver's (machine operator's) licences (new function);
				Section 33, Article 11 - maintenance of a register of traction driver's (machine operator's) licences (new function)
	17.06.2010 Law **Amendments to the Railway Law** ("LV", 106 (4298), 07.07.2010)	08.07.2010	Amendments to a regulatory enactment, amendments to **Railway Law (01.11.1998.)**	Section 33, Article 12 – taking decisions on the acceptance of rolling stock for operation (new function)
	14.10.2010 Law **Law on the Handling of Hazardous Freights** ("LV", 174 (4366), 03.11.2010)	01.01.2011	New regulatory enactment	Section 11 – control over movement of hazardous freights is ensured by state institutions provided for in regulatory enactments on road, rail and oceanic transport and aviation
	26.10.2010 Cabinet Regulation No 999 „ **Procedures for the Classification, Investigation and Recording of Railway Traffic Accidents** ("LV", 174 (4366), 03.11.2010)	04.11.2010	New regulatory enactment	Article 57 – preparation and publication of the safety report (new function)
	28.12.2010 Cabinet Regulation No 1210 "**Regulations Regarding the Interoperability of Trans-European Rail System**" ("LV", 2 (4400), 05.01.2011)	06.01.2011	New regulatory enactment	Sub-Article 2.11 – the authority which takes decisions regarding the placing in service of a subsystem in the trans-European rail system, as well as performs market supervision so that only the interoperability constituents complying with this Regulation are used (specified function)

Requirements	Legal Reference	Effective From	Amendments or New Regulatory Enactment	Description
Legislation that sets out tasks for the authority responsible for control and monitoring of technical railway operations	28.12.2010 Cabinet Regulation No 1210 "**Regulations Regarding the Interoperability of Trans-European Rail System**" ("LV", 2 (4400), 05.01.2011.)	06.01.2011	New regulatory enactment	Article 48 – performance of the market surveillance of interoperability constituents (specified function);
				Article 78 – examination of the documentation of the technical order of the construction, renewal or upgrading project of the subsystem and, taking into account the conditions for the implementation of the requirements specified in the relevant technical specification for interoperability, taking a decision regarding conditions for acceptance of the subsystem for operation (specified function).
	14.09.2010 Cabinet Regulation No 873 "**Regulation Regarding Obtaining a Means of Traction Driver's (Machine-operator's) Qualification and Licence to Drive a Means of Traction**" ("LV", 160 (4352), 08.10.2010)	01.11.2010	New regulatory enactment	Article 2 – issue, suspension, revocation and re-issue of the licences (new function)
	28.12.2010 Cabinet Regulation No 1211 **Regulation Regarding Rolling Stock Construction, Modernisation, Maintenance, Conformity Assessment and Acceptance for Operation** ("LV", 3 (4401), 06.01.2011)	07.01.2011	New regulatory enactment	Article 12 – acceptance for operation of newly-built, offered on the market for the first time or modernised rolling stock type (new function)
				Article 13 – acceptance for operation of new or modernised rolling stock units conforming with a given rolling stock type (new function)
				Article 16 – publication of the binding regulatory enactments, standards, norms and specifications regarding the interoperability of trans-European rail systems on the website (new function)
				Articles 34 and 46 – publication of the information on rolling stock types accepted for operation on the Internet website (www.vdzti.gov.lv) (new function)
Regulations on assessment organisations etc.	N/A	N/A	N/A	N/A

Requirements	Legal Reference	Effective From	Amendments or New Regulatory Enactment	Description
Railway Traffic Safety Regulations				
Regulations on safety targets and methods	N/A	N/A	N/A	N/A
Regulations on safety management systems and safety permits of railway transport undertakings	N/A	N/A	N/A	N/A
Regulations on safety management systems of railway transport undertakings and vehicle operators	N/A	N/A	N/A	N/A
Regulations on safety management systems of railway transport undertakings and repair undertakings	N/A	N/A	N/A	N/A
Regulations on permits for acceptance for operation and maintenance of new or overhauled rolling stock	28.12.2010 Cabinet Regulation No 1211 "**Regulation Regarding Rolling Stock Construction, Modernisation, Maintenance, Conformity Assessment and Acceptance for Operation**" ("LV", 3 (4401), 06.01.2011)	07.01.2011	New regulatory enactment	The Regulation provides for main requirements on rolling stock and a mechanism for supervision the enforcement thereof, procedure of rolling stock construction, modernisation, renovation, repairs, conformity assessment and acceptance for operation
Regulations on uniform technical operations	03.08.2010 Cabinet Regulation No 724 "**Railway Technical Operations Regulations"** ("LV", 125 (4317), 10.08.2010)	01.01.2011	New regulatory enactment	The Regulation sets out the basic requirements on railway technical operations
Regulations on requirements for personnel performing tasks critical for safety, including personnel selection criteria, health status, vocational training and certification	14.09.2010 Cabinet Regulation No 874 "**Amendments to Cabinet Regulation No 219 of 10 March 2009, Procedures for Performance of Mandatory Health Examinations**" ("LV", 150 (4342), 22.09.2010)	23.09.2010	Regulatory enactment amendments of 10.03.2009 of Cabinet Regulation No 219, "**Procedures for Performance of Mandatory Health Examinations"** ("LV", 41 (4027), 13.03.2009)	Requirements on health examinations for means of traction drivers

Requirements	Legal Reference	Effective From	Amendments or New Regulatory Enactment	Description
Regulations on requirements for personnel performing tasks critical for safety, including personnel selection criteria, health status, vocational training and certification	14.09.2010 Cabinet Regulation No 873 "**Regulations Regarding Obtaining a Means of Traction Driver's (Machine operator's) Qualification and Licence to Drive a Means of Traction**" ("LV", 160 (4352), 08.10.2010)	01.11.2010	New regulatory enactment	The Regulation sets out the procedure of obtaining a means of traction driver's (machine operator's) qualification and the conditions and procedure of obtaining and renewing the licence to drive a means of traction, conditions and procedure of obtaining, suspending, revocation and renewal of a means of traction driver's (machine operator's) certificate of competency (hereafter – certificate) and authorised additional certificate, and the procedure of maintaining the register of additional certificates and the amount of data therein
Regulations on investigation of railway accidents	14.10.2010 Law **Law on the Handling of Hazardous Freights** ("LV", 174 (4366), 03.11.2010)	01.01.2011	New regulatory enactment	Section 11 – control over movement of hazardous freights is ensured by state institutions provided for in regulatory enactments on road, rail and oceanic transport and aviation
	26.10.2010 Cabinet Regulation No 999 **Procedures for the Classification, Investigation and Recording of Railway Traffic Accidents** ("LV", 174 (4366), 03.11.2010)	04.11.2010	New regulatory enactment	This Regulation prescribes the procedures for the classification, investigation and recording of railway traffic accidents, which have occurred in the territory of the Republic of Latvia. This Regulation does not apply to the investigation of those railway traffic accidents, which have occurred in the territory of the Republic of Latvia and in which trains of a third country are involved, if the procedures for investigation are determined by international legal acts on international carriage by rail and if the international legal acts do not prescribe otherwise
Regulations on collating data on accidents	14.10.2010 Law **Law on the Handling of Hazardous Freights** ("LV", 174 (4366), 03.11.2010)	01.01.2011	New regulatory enactment	Section 11 – control over movement of hazardous freights is ensured by state institutions provided for in regulatory enactments on road, rail and oceanic transport and aviation
	26.10.2010 Cabinet Regulation No 999 "**Procedures for the Classification, Investigation and Recording of Railway Traffic Accidents"** ("LV", 174 (4366), 03.11.2010)	04.11.2010	New regulatory enactment	Articles 55, 56 and 57 – In order to ensure the evaluation, monitoring and improvement of the condition of the railway safety, the State Railway Technical Inspectorate shall ensure the registration of railway traffic accidents
Regulations on permits to accept for operation and maintain new or overhauled infrastructure facilities	N/A	N/A	N/A	N/A

Appendix 5

Development of the Certification Process (Statistical Data)

1. Safety Certificates Issued Pursuant to Directive 2004/49/EC

		New			**Corrected/Amended**			**Renewed**		
		2008	2009	2010	2008	2009	2010	2008	2009	2010
Issued safety certificates **Part A**	Undertakings registered in Latvia	**5**	**1**	0	0	**1**	0	0	0	0
	Undertakings registered in other Member States	0	0	0	0	0	0	0	0	0
Issued safety certificates **Part B**	Undertakings registered in Latvia	**3**	**5**	0	0	0	0	0	0	0
	Undertakings registered in other Member States	0	0	0	0	0	0	0	0	0

			A			**R**			**P**		
			2008	2009	2010	2008	2009	2010	2008	2009	2010
Applications for safety certificate **Part A**	Undertakings registered in Latvia	New certificates	**5**	**1**	0	0	0	0	0	0	0
		Corrected/amended certificates	0	**1**	0	0	0	0	0	0	0
		Renewed certificates	0	0	0	0	0	0	0	0	0
	Undertakings registered in other Member States	New certificates	0	0	0	0	0	0	0	0	0
		Corrected/amended certificates	0	0	0	0	0	0	0	0	0
		Renewed certificates	0	0	0	0	0	0	0	0	0
Applications for safety certificate **Part B**	Undertakings registered in Latvia	New certificates	**3**	**5**	0	0	0	0	0	0	0
		Corrected/amended certificates	0	0	0	0	0	0	0	0	0
		Renewed certificates	0	0	0	0	0	0	0	0	0
	Undertakings registered in other Member States	New certificates	0	0	0	0	0	0	0	0	0
		Corrected/amended certificates	0	0	0	0	0	0	0	0	0
		Renewed certificates	0	0	0	0	0	0	0	0	0

A = Approved applications, safety certificates have been issued
R = Rejected applications, safety certificates have not been issued
P = Application has been submitted and will be considered, but safety certificate has not been issued as yet

2. List of Countries Where Railway Transport Undertakings Applying for Safety Certificate Part B Received Safety Certificate Part A.

Latvia

3. Safety Permits Issued Pursuant to Requirements of Directive 2004/49/EC

	New			**Corrected/Amended**			**Renewed**		
	2008	2009	2010	2008	2009	2010	2008	2009	2010
Number of safety permits issued to infrastructure managers	**14**	**7**	**112**	0	**3**	**1**	0	0	0

		A			**R**			**P**		
		2008	2009	2010	2008	2009	2010	2008	2009	2010
Applications for safety permits submitted by infrastructure managers	New certificates	**14**	**7**	**112**	0	0	0	0	0	0
	Corrected/amended certificates	0	**3**	**1**	0	0	0	0	0	0
	Renewed certificates	0	0	0	0	0	0	0	0	0

A = Approved applications, safety permits have been issued
R = Rejected applications, safety certificates have not been issued
P = Application has been submitted and will be considered, but safety certificate has not yet been issued

4. Procedural Aspects of Safety Certification – Safety Certificate Part A

		New	**Corrected/Amended**	**Renewed**
Average period of time from submission of application to issue of safety certificate Part A	Undertakings registered in Latvia	**1 month**	**1 month**	**1 month**
	undertakings registered in other Member States	-	-	-

5. Procedural Aspects of Safety Certification – Safety Certificate Part B

		New	**Corrected/Amended**	**Renewed**
Average period of time from submission of application to issue of safety certificate Part B	Undertakings registered in Latvia	**1 month**	**1 month**	**1 month**
	Undertakings registered in other Member States	-	-	-

6. Procedural Aspects of Safety Permits

		New	Corrected/Amended	Renewed
Average period of time from submission of application to issue of safety permit	Undertakings registered in Latvia	**1 month**	**1 month**	**1 month**
	Undertakings registered in other Member States	-	-	-