

# SAFETY PERFORMANCE REPORT LATVIA 2011



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## 1. General Information

The transport sector encompasses 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 provides for the efficient and rational use of resources. In order to achieve the harmonious development of the transport sector, the economies of the eastern countries, co-operation with which is largely performed via the eastern regions of the European Union – including Latvia – must also be taken into consideration, and improving the quality of transport infrastructure in Latvia may contribute to this co-operation. It is important for Latvia to make use of the advantages offered by its geographical location<sup>1</sup>.

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 sector 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 task of the State Railway Technical Inspectorate is to enforce the railway safety requirements contained in the Latvian regulatory enactments, whilst simultaneously working to harmonise these requirements with European Union requirements. The aim of the State Railway Technical Inspectorate is to perform the functions of State control in the field of the 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 the efficient and quality maintenance of railway transport. The State Railway Technical Inspectorate has to ensure that there are uniform and safe railway operation requirements for all entrepreneurs and enterprises working in rail transport, via:

- 1.1. uniform principles of certification for entrepreneurs working in rail transport;
- 1.2. uniform principles of certification for railway specialists;
- 1.3. uniform requirements on the assessment of railway facility construction projects;
- 1.4. uniform requirements on the acceptance of rolling stock for putting into service;
- 1.5. uniform requirements on the putting into service of railway structural subsystems;
- 1.6. uniform requirements on the technical operation of railways;
- 1.7. uniform requirements on the organisation of investigations of railway traffic accidents.

The State Railway Technical Inspectorate monitors safety systems at railway companies. The public railway infrastructure manager and private railway infrastructure managers are supervised. Also supervised are railway undertakings as well as companies involved in the building, repair, and maintenance of rolling stock and infrastructure.

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<sup>1</sup> TRANSPORT DEVELOPMENT GUIDELINES 2013 – 2020

## 1.1. Contents of the Report

The objective of the Report is to present information on railway traffic safety enforcement in 2011 and the results attained. The State Railway Technical Inspectorate has compiled information on railway safety performance in the country based on an analysis of the 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 gives an assessment of railway operations. 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. The Report analyses trends in the railway network, problems, and the results attained in bettering railway sector procedures.

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. During the reporting year, the proportion of fatalities decreased to less than 40% (1.6 seriously injured persons for each fatality). In 2011, more attention was paid to the analysis of risks and hazards posed by unauthorised persons. All accidents and accident precursors were analysed, and personnel training was organised for action in emergency situations. In order to reduce the risk of potential accidents on railways, fences were built at railway stations, and railway platforms' dangerous areas were marked off with yellow lines (designation of dangerous areas).

The Report also informs about the work done and the results achieved by the State Railway Technical Inspectorate in 2011. During the reporting year, 121 railway undertakings were inspected as per the functions provided in the Railway Law. Eighty-five safety permits were issued to undertakings operating in the railway industry. As part of railway specialist certification procedures, 179 traction vehicle drivers, 89 assistant drivers and 36 driver instructors were certified in 2011, as well as 22 safety consultants responsible for the transport of dangerous goods and 175 railway specialists – members of railway companies' specialist certification committees. Thirty cases of railway safety violations and one serious railway accident were investigated. Three new types of rolling stock were issued operating permits, and 296 rolling stock units and 101 railway infrastructure facilities were accepted into service. One draft design and 66 construction projects were also authorised, 61 construction permits were issued and validity of 111 construction permits was prolonged.

## 1.2. English Summary

The aim of this report is to reflect results in the field of railway traffic safety achieved in 2011. The State Railway Technical Inspectorate has summarized information on the development of railway safety and has performed an analysis of achieved results. Prescribed tasks and achieved results were assessed. This report shows amendments in legal acts that have an impact on railway operational processes. Performance assessment is given. The main activities of the Inspectorate are the supervision of the national railway network, certification processes and the analysis of safety level and the current situation. The report reflects the railway network's trends, problems and achievements in the development of processes in the railway sector.

The public railway infrastructure manager shall pay particular attention to the measures to be taken to reduce the number of accidents involving people. Several specialised campaigns have been arranged annually to inform the public about railway safety aspects, and to emphasize the importance of safety requirements to be observed as preventive measures.

The number of serious accidents has declined by 19% compared to 2010. In general, the number of accidents is declining year by year, and since 2004 the number of serious accidents has dropped by 50%. The number of accidents during train movements leading to personal injuries has also declined. In 2011 the number of deaths in accidents significantly reduced and comprised less than 40% of all accidents (1.6 serious injuries relatively to one death). In this review period more attention had been given to ascertain the risks and hazards posed by unauthorised persons. All accidents and their causes were carefully analysed, and staff training for emergency events was performed. In order to reduce possible accident risks, railway station facilities were fenced and dangerous areas of passenger platforms were marked with yellow separating lines (designations of dangerous areas).

This report also covers the activities performed by the State Railway Technical Inspectorate and the results achieved in 2011. Within the scope of its functions as determined by the Railway Law, the Inspectorate has examined 121 railway undertakings. Eighty five safety certificates have been issued to enterprises that perform their activities in the railway sector. In 2011 within the framework of certification procedure 179 train drivers, 89 train driver assistants and 36 train driver instructors, as well as 22 safety consultants on dangerous goods deliveries and 175 railway sector experts – commission members for attestation specialists of railway undertakings - were certified. Thirty railway traffic safety violence cases and one serious accident were investigated. Operation permits were issued to three new rolling stock types, in addition 296 rolling stock units and 101 railway infrastructure facilities were put into operation. One draft design and 66 project designs were reviewed and accepted, 61 building permissions were issued, and 111 building permissions were prolonged.

The analysis of annual volume of deliveries by transport type shows an increase in deliveries by 24.9% in 2011. Total freight turnover in the review period is 21 462 million tonne-kilometres in comparison with 17 178.4 million in 2010. But in 2010, passenger transport declined by an average of 5 % (from 749 mio. passenger km in 2010 to 741 mio. in 2011). At the same time, the introduction of new lines has facilitated increased international passenger services. In 2011 there was increase in tourism transport services.

In the scope of the rail track modernization plan, an automatic locomotive signalling of continuous operation (ALSN) system has been introduced in several sections, with a total length of 341.455 km. Thereby in total 1224.2 km of main track lines are now equipped with the ALSN system. Modernization has facilitated train transport safety and carrying capacity, and reduced train delays. In 2011 the following projects were realised: rail track of 35 km reconstructed; 13 level crossings were repaired and eight level crossings were renovated, communication registration system was improved thus reducing accident risks; in order to reduce accident risks with casualties in darkness lighting systems were improved and contact networks reorganised.

### **1.3. Trends in 2011**

#### **1.3.1. General Trends**

An analysis of transport volumes in 2011 according to transport modes shows that freight transport volumes increased 24.9% in 2011.<sup>2</sup> Total freight turnover in 2011 was 21,462 million tonne-kilometres, compared to 17,178.4 million in 2010. Passenger turnover continued to decrease in 2011 (by around 5%) from 749 million passenger-kilometres in 2010 to 741 million in 2011. On the other hand, international passenger transport volume increased due to the opening of new lines. Tourism development also contributed to passenger transport in 2011.

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<sup>2</sup> Public 2011 Report of the State Railway Administration

The number of serious railway accidents reduced in 2011 by 19% compared with 2010. The number of accidents has been decreasing since 2004. Compared to 2004, the number of serious accidents has fallen by 50%. The number of accidents to persons caused by rolling stock in motion has also reduced. The collated data enable the analysis of changes in the number of accidents on a year-on-year basis, as well as over the period of one year. In terms of the reporting period data per train kilometres, the number of accidents reduced 27% in 2011. The number of suicides registered in 2011 also reduced.

The total length of railways in operation with ALSN, installed following railway modernisation, has increased by 341.455 km to 1,224.2 km. Railway modernisation has improved train traffic safety, increased railway line capacity, and reduced train delays. The renovation of 35 km of railway track was completed in 2011, 13 railway crossings were repaired and eight modernised, the communication recording system and lighting system was modernised, and the overhead system was upgraded to prevent accidents involving injuries in the dark.

In 2011, a new system was implemented for accepting rolling stock into service, pursuant to Directive 2008/57/EC of the European Parliament and of the Council of 17 June 2008 on the interoperability of the rail system within the Community. For the Latvian railway system, maintaining interoperability with third countries also plays an important role in these processes. Altogether, three new types of rolling stock were issued operating permits and 296 rolling stock units were accepted for putting into service in 2011.

During the reporting year, the certification of traction vehicle drivers (train drivers) in the railway system of Latvia was completed pursuant to the national requirements, and the certification of traction vehicle drivers (train drivers) - pursuant to 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 - commenced on 1 November by issuing Community model licences to train drivers. At the same time, the system of certification of traction vehicle drivers (train drivers) assistants and traction vehicle driver instructors, which has been successfully applied in Latvia since 2005, continues to operate.

During the reporting year, authorisation processes were also upgraded by the adoption of 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. A new procedure of the criteria for issuing, suspension and revocation of safety certificates was developed.

### 1.3.2. Trends in the State Railway Technical Inspectorate's Operations

The goal of **implementation of the system for the mutual recognition of the interoperability of railway constituents and subsystems** is to reflect the technical differences of the 1,520 mm track gauge, and to ensure control over the implementation of the relevant requirements in accepting new infrastructure facilities and rolling stock into service. In 2011, work commenced on the inclusion of the technical parameters of the 1,520 mm track gauge into Infrastructure Technical Specifications for Interoperability (TSI), Energy TSI and Locomotive and Passenger Rolling Stock TSI during the audit thereof. Amendments were also proposed to the 28.12.2010 Cabinet of Ministers Regulation No 1210, "[Regulations Regarding the Interoperability of Trans-European Rail System](#)" and Regulation No 1211 "[Regulations on the Construction, Upgrading, Renewal, Conformity Assessment and Acceptance for Putting into Service of Rolling Stock](#)". In addition to the process of drafting regulatory enactments, in 2011 Inspectorate officers accepted 101 new or reconstructed railway infrastructure facilities, three types of rolling stock and 296 rolling stock units for putting into service.

**General safety methods, objectives and indices in the railway transport sector were implemented in 2010**, but work on bettering the system continues. Amendments to the Cabinet of Ministers

Regulation No 168 of 10.03.2008, "[Regulations Regarding the Procedures and Criteria for Issuing, Suspending and Revoking Part A and Part B of a Safety Certificate](#)" were drawn up, supplementing the requirements on conformity assessment and general safety indices. During the reporting year, the Inspectorate investigated one serious railway accident and 30 violations of railway traffic safety provisions, as well as the registration of accidents and the required supervisory measures.

**A harmonised safety certification system** was introduced in 2008. The State Railway Technical Inspectorate issued one Part A safety certificate and six Part B safety certificates in 2011.

The first stage of the **full introduction of a system for the authorisation of safety systems** was completed in 2010. A total of 270 safety permits were issued by the Inspectorate during the first stage. On 18 January 2011, the Cabinet of Ministers endorsed Regulation No 57, "[Regulations Regarding the Criteria and Procedure for the Issuance, Suspension of Operation and Revocation of a Safety Permit](#)", which includes requirements provided in the EU acquis necessary for the assessment of applicants' conformity with the relevant requirements for obtaining a railway safety permit. During the reporting year, the Inspectorate issued 85 safety permits to infrastructure managers, shunting service companies, rolling stock repair and maintenance companies, as well as infrastructure maintenance companies. Nine safety permits were suspended and four were revoked in 2011.

**Railway traction vehicle driver, driver's assistant and driver's instructor certification systems** are organised pursuant to the Cabinet of Ministers Regulation No 236 of 28 March 2006, "[Regulations on Qualification Requirements and Certification Procedure for Traction Vehicle Driver's \(Train Driver's\) Instructor, Traction Vehicle Driver \(Train Driver\), Traction Vehicle Driver's \(Train Driver's\) Assistant](#)" (provides requirements on the certification of traction vehicle drivers' instructors and assistants), and the Cabinet of Ministers Regulation No 873 of 14 September 2010, "[Regulations Regarding Obtaining a Traction Vehicle Driver's \(Train Driver's\) Qualification and Licence to Drive a Traction Vehicle](#)" (provides requirements on the certification of traction vehicle drivers). A new process of certification of traction vehicle drivers (train drivers) commenced on 1 November 2011. The certification procedure stipulates that a natural person has the right to drive a traction vehicle within the EC railway system if the person has obtained a traction vehicle driver's (train driver's) licence and a harmonised complementary certificate. Traction vehicle driver's licences are issued by the State Railway Technical Inspectorate, whereas harmonised complementary certificates are issued by the traction vehicle driver's (train driver's) employer – a company whose operations in the railway sector require a safety certificate or safety permit. During a transition period that will continue to 1 November 2017, Community-model traction vehicle driver's (train driver's) licences as well as traction vehicle driver's (train driver's) professional qualification certificates issued before the new certification procedure will both be valid in Latvia. In 2011, 20 applicants successfully passed the tests and obtained the Community-model traction vehicle driver's (train driver's) licence. 284 traction vehicle driver's, driver's assistant and instructor certificates were also issued in 2011.

## 2. Railway Sector in Latvia

### 2.1. Railway Infrastructure and Undertakings

Altogether, 401 privately owned railway sections with a total length of 674.5 km and 358 public railway sections with a total length of 3,323.2 km were registered with the State Register as of 31 December 2011. The total length of railways registered in Latvia is 3,997.7 km. No noteworthy changes in the total length of railways were observed in 2011.

Indices	2009	2010	2011
Total expanded length of railways, km	3,996.00	3,995.08	3,997.7
Public railways, km, including	3,315.52	3,324.98	3,323.2
<i>Mainlines, km, of which</i>	<i>2,241.10</i>	<i>2,237.00</i>	<i>2,238.9</i>
<i>Double and more track railways, km</i>	<i>305.40</i>	<i>319.50</i>	<i>316.2</i>
<i>Electrified railways, km</i>	<i>647.90</i>	<i>647.90</i>	<i>647.90</i>
Privately owned railways, km	680.47	670.10	674.5
Length of public mainline routes, km	1,850.8	1,896.90	1,864.7
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 the public railway infrastructure.

1,224.2 km of public railway infrastructure feature the continuous automatic train signalling system (ALSN). Compared to 2010, the total length of railway infrastructure featuring the signalling system has increased to 66% of the total length of mainlines and 31% of the total length of railways. 19% of railways in Latvia are electrified.

In 2011 there were five undertakings in Latvia, which, in accordance with the current 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 77.12% of cargo transport volume). The remaining services are provided by a/s BALTIJAS TRANZĪTA SERVISS and a/s Baltijas Ekspresis. In 2011, cargo turnover increased significantly from 2010, the total increase was 24.9%.

The highest volume of passenger transport services in Latvia is provided by a/s Pasažieru vilciens (90% of the total volume), which provides inland passenger transport services. In 2010, SIA LDZ Cargo provided international passenger transport services. The volume of passenger transport services has been reducing by 5-10% annually since 2007. However, the volume of international passenger transport increased in 2011, as did local tourism transport volumes.



## **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, and 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. The State Railway Technical Inspectorate is engaged in active co-operation with the Ministry. In 2011, several draft amendments were submitted to the Ministry with the aim of improving the transport of dangerous goods and safety certification procedures, verification of subsystems, and rolling stock conformity assessment and acceptance for putting into service. The Inspectorate has also participated in the linguistic analysis of several laws and regulations.

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 (hereinafter – 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 Investigation Bureau informs the State Railway Technical Inspectorate about the process of investigation. Following the investigation, the Investigation Bureau submits the final report to the State Railway Technical Inspectorate. In order to prevent the causes and circumstances of a serious railway accident or a significant accident, as well as to guarantee railway traffic safety, the Investigation Bureau formulates safety recommendations based on conclusions drawn during investigations. The State Railway Technical Inspectorate monitors the implementation of safety recommendations. The State Railway Technical Inspectorate also evaluates whether it is necessary to widen the circle of final implementers of safety recommendations and, if necessary, also sends safety recommendations to other companies in the railway sector. The Inspectorate informs the Investigation Bureau about the implementation of safety recommendations.

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 Inspectorate's co-operation with the Administration is implemented within the framework of registers of infrastructure and rolling stock. The Inspectorate uses the registers for the enforcement of supervision. The State Railway Technical Inspectorate informs the State Railway Administration about prohibitions on the operation of rolling stock and about rolling stock operation permits.

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 main functions of the State Railway Technical Inspectorate are provided in Section 33 of the Railway Law as follows:

- 2.2.2.1. To monitor the 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 the 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 other European Union Member States;
- 2.2.2.10. To issue traction vehicle driver’s (train driver’s) licences;
- 2.2.2.11. To maintain a register of traction vehicle driver’s (train driver’s) licences;
- 2.2.2.12. To take decisions on the acceptance of rolling stock for putting into service.

Two updated responsibilities regarding the supervision of the transport of dangerous goods by rail were delegated to the State Railway Technical Inspectorate in 2011 by two Cabinet of Ministers Regulations: Cabinet of Ministers Regulation No 464 of 21.06.2011, “[Procedures for the Planning, Implementation and Supervision of Protective Measures Regarding the Movement of Dangerous Goods with High Risk Potential](#)”, Article 7 (supervision of the movement of particularly dangerous goods and of the regulatory documents (**updated responsibility**)), and Cabinet of Ministers Regulation No 541 of 05.07.2011, “[Procedures for the Control of the Movement of Dangerous Goods](#)”, Article 2 (control of the movement of dangerous goods in carriage by rail (**updated responsibility**)).

As of 31 December 2011, there were 19 permanent jobs at the Inspectorate. The State Railway Technical Inspectorate in 2011 carried out internal structural changes due to the increased number of functions delegated to the Inspectorate. The workload of the Inspectorate was analysed, and the decision was taken to restructure the jobs and responsibilities without altering the number of staff positions and units. The structural changes were necessary in order to ensure that that all functions of the Inspectorate could be performed, given the additional requirements of the Community railway policy provided for in the European Union regulatory enactments on the railway sector.

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

The structure of the State Railway Technical Inspectorate in the reporting year:

**2.2.2.13. The Traffic Safety Unit** is responsible for the State monitoring and control of railway technical 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.

**2.2.2.14. The Analysis and Certification Unit** is responsible for State monitoring and control in the field of safety certification and the 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 as the 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.

**2.2.2.15. The Finance and Project Management Unit** is responsible for the efficient and transparent assessment of railway infrastructure projects, the 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.

**2.2.2.16. The Control and Registration Unit** is responsible for the registration and administration of data, as well as control at the national level, and the analysis of established trends. 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, and 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 the approval of the candidate by the Cabinet of Ministers.

### 3. Railway Safety Performance Analysis

#### 3.1. Current Situation Analysis and Measures Taken to Improve Traffic Safety

One of the functions of the State Railway Technical Inspectorate is to verify the due observation of railway operation requirements by railway operation parties (infrastructure managers, undertaking, structural unit responsible for rolling stock maintenance, etc.). At the same time, railway operation parties, pursuant to the provisions of safety management and internal monitoring systems, develop inspection schedules in accordance with the relevant timetables. Violations that are established during inspections are documented, and employees in charge of traffic safety are offered recommendations regarding the elimination of shortcomings and the improvement of the overall traffic safety situation. The Inspectorate also performs traffic safety analysis pursuant to the main principles, and offers recommendations for the improvement of the traffic safety situation. The Inspectorate evaluates all train operation parties' ability to observe all the safety requirements, so the given enterprise would be able to operate in a given area or network.

During the inspection of several railway stations and stops in 2011, it was established that passenger facilities were not available at all places where passenger trains stop. The Inspectorate notified the infrastructure manager of the findings. Failure to observe dispatcher communication rules was also established at railway stations, which in the past had been the cause of railway technical operation violations.

The rate of locomotive faults still remains high in Latvia. The main reasons for the increased number of traffic safety violations include a failure to observe rolling stock repair technology at train car inspection facilities, insufficient know-how of those doing the repairs and insufficient control of their work, and the wear of traction vehicles.

The number of accidents involving leaks from dangerous goods tank cars increased in 2011. This was due to the improper preparation of tank cars during the loading of dangerous goods, in violation of the technical requirements on loading and unloading (insufficiently tightened airtight internal valves). Weather

conditions, when ice plugs occur due to changeable weather, is another reason for the increasing number of accidents. However, the proportion of accidents per train-kilometres has increased only marginally.

Table 3.1. Safety Measures Implemented to Reduce Safety Risks

Description of Causes	Measures Implemented
Private railway infrastructure managers do not observe safety requirements (failure to receive safety permit confirming the manager's ability to operate within safety requirements)	Prohibition of operations
Failure to report information about the movement of dangerous goods, thereby posing a threat to society, health, property and environment	Prohibition of operations
Increased number of leaks from dangerous goods tank cars (from third countries) due to the improper preparation of tank cars (insufficiently tightened airtight internal valves)	Increased control over the tank car loading process

The implemented measures indicated in Table 3.1 are the State Railway Technical Inspectorate's decisions aimed at improving railway traffic safety; participants in railway operations were notified about these measures.

Although the number of accidents is reducing, some accidents called for measures to be implemented in order to reduce risks and upgrade the technical equipment of the infrastructure, reduce the effect of human error on traffic safety, as well as reduce the number of accidents involving injuries. The measures indicated in Table 3.2 were implemented by the State Railway Technical Inspectorate, the undertakings, and the infrastructure manager.

Table 3.2. Implemented Safety Measures That Were Triggered by an Accident

Date, Place of Accident	Description of Accident	Implemented Measures
06.08.2011, Ludza Station, main rail track	Derailment of three freight train cars due to loss of track bed stability (insufficient crushed stone ballast) and insufficient speed limit.	1. Compilation of data on track sections with longitudinal wooden sleepers. 2. Alterations to track design, with particular attention paid to track curves with a radius of 2000m and less.
05.09.2011, Sarkandaugava, 7th km, 8th milepost from the platform	A freight train had to apply the emergency brake in order to avoid hitting a boy, who nevertheless sustained an injury.	Safety classes to be organised in schools in the vicinity of the railway station to inform schoolchildren about safety precautions when near railroad tracks.
03.12.2011, Sabile-Kandava, 84th km, 1st milepost, manned level crossing	A truck broke off a boom barrier at a level crossing, 84th km, 1st milepost of the track. The signaller attempted to move the piece off the track, but the train rode over one end of the barrier, and the signaller sustained a serious injury.	1. Organisation of extraordinary technical training for level crossing signallers regarding the organisation of signallers' work and their actions should an obstacle to train traffic be ascertained, as well as regarding occupational safety measures. 2. Turning to the Road Traffic Safety Directorate with a request that the speed limit be reduced to 70 km/h near the level crossing at the 96th km of the A 10 Rīga - Ventspils Highway.

Although the number of accidents involving children and young people has reduced in recent years, alarmingly few parents (only 48%, according to an SKDS survey carried out in autumn 2010) talk with their children about the dangers of being near railways, i.e. that trains will always be stronger. Taking this into consideration, as well as the fact that children and young people spend much time on the Internet, which sometimes helps them learn new valuable information, State Joint Stock Company *a/s Latvijas dzelzceļš* organised a campaign at the *draugiem.lv* social network in the summer of 2011 and ahead of a new school year, urging children and young people to learn new information or refresh their knowledge about safety near railways. The traditional safety classes in schools and for preschool children also continued in 2011<sup>3</sup>.

### 3.2. Analysis of Railway Accidents

The number of serious railway accidents decreased in 2011 by 19% compared with 2010. It is noteworthy that the number of serious accidents tends to rise in even years and fall in odd years. The number of accidents has been decreasing since 2004. Compared to 2004, the number of serious accidents has fallen by 50. The number of accidents to persons caused by rolling stock in motion has also reduced.

<b>Railway Accident Statistics</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Accidents that involved injuries	56	27	37	33
Accidents that did not involve injuries	5	2	5	2
Total number of accidents	<b>61</b>	<b>30</b>	<b>43</b>	<b>35</b>

Thirty five serious accidents were registered during the reporting year. The proportion of injured persons was 95% of all cases. The proportion of fatalities decreased to 38% of the total number of casualties in 2011. The proportion of fatalities decreased by 22% from 2009 and 2010, when the proportion of fatalities was 60% of casualties. Most were accidents to persons caused by rolling stock in motion as a result of a failure to observe safety requirements when crossing railway lines. Such accidents represent approximately 60-70% of the total number of accidents.

Two cases of hazardous freight leakage were registered in 2011, in the same as 2010, due to violations of technical procedures regarding the loading of freight and due to violations of technical operation requirements. According to the classification of dangerous goods, the accidents recorded in 2010 are to be classified as accidents with Class 3 dangerous goods.

<b>Railway Accident Statistics</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<b>Train collisions</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>0</b>
Accidents involving injuries	1	0	0	0
Physical injuries	0	0	0	0
Killed	2	0	0	0
<b>Derailments</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
Accidents involving injuries	0	0	0	0
Physical injuries	0	0	0	0
Killed	0	0	0	0
<b>Accidents on level crossings</b>	<b>10</b>	<b>8</b>	<b>10</b>	<b>8</b>
Accidents involving injuries	10	8	10	7

<sup>3</sup> State Joint Stock Company *a/s Latvijas dzelzceļš* SAFETY PERFORMANCE REPORT 2011

Physical injuries	7	6	5	6
Killed	6	4	5	2
<b>Accidents to persons caused by rolling stock in motion</b>	<b>45</b>	<b>19</b>	<b>27</b>	<b>26</b>
Accidents involving injuries	45	19	27	26
Physical injuries	24	6	10	15
Killed	21	13	17	11
<b>Other serious accidents</b>	<b>5</b>	<b>2</b>	<b>5</b>	<b>0</b>
Accidents involving injuries	0	0	0	0
Physical injuries	0	0	0	0
Killed	0	0	0	0
Hazardous freight leaks	0	0	2	2

Accidents to persons caused by rolling stock in motion still account for the majority of accidents recorded in Latvia. In 2011, the proportion was 74%, up from 66% in 2010 and 63% in 2009. It has to be added, that accidents to persons caused by rolling stock in motion and accidents at level crossings also represent the majority of the total number of accidents in Europe (approximately 67%). In Latvia, these two types of accidents account for about 90% altogether. The number of accidents at level crossings fluctuates by 10-20% annually. Most such accidents are registered at unmanned (automatic) crossings (70% of cases) when car drivers fail to observe road traffic safety requirements or pedestrians fail to observe safety requirements due to the human factor. Level crossing collisions with cars, a motorcycle (two people injured) and a truck (logging truck) were registered in 2011. Pedestrians, cyclists, car drivers and passengers sustained injuries in level crossing accidents. One accident at a manned level crossing was also registered in 2011: a minibus knocked down one of the boom barriers, and the approaching train rode over one end of the barrier, sending it flying and hitting a railway worker who suffered serious injuries. Compared to 2010, the number of fatalities at level crossings has fallen 25%. Collisions with motor vehicles account for the majority of accidents at level crossings. In 2011, most level crossing collisions involved passenger cars: 45% of the total number of accidents at level crossings. Compared to 2010, the number of level crossing collisions involving trucks increased by 28% in 2011.

As the number of accidents reduced, so did the total number of casualties. Only one accident was registered in 2011 where two persons were injured – a train collision with a motorcycle at a level crossing. The number of fatalities fell significantly during the reporting year, which now constitutes less than 40% (1.6 seriously injured persons for each fatality). After 2004, the proportion of fatalities was 50% to 65%, but in 2011 there was a considerable reduction in the proportion of fatalities. In 2011, more attention was paid to the analysis of risks and hazards posed by unauthorised persons. All accidents and accident precursors were analysed, and personnel training was organised for emergency situations. In order to reduce the risk of potential accidents on railways, fences were built at railway stations and railway platforms' dangerous areas were marked off with yellow lines (designation of dangerous areas).

<b>Number of Casualties in Railway Accidents</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Physical injuries	31	12	15	21
%	52	40	40	62
Killed	29	17	22	13
%	48	60	60	38
Total	60	29	37	34

The proportion of men injured in railway accidents increased by 18% in 2010 from 2009, and continued to increase during the reporting year, rising by over 10%. Women were injured in just 14% of accidents in 2011, most injured women were aged 55 to 75. This suggests that the injured had failed to heed the danger when crossing railway tracks. In 2011, the proportion of injured persons was 86%, up from 78% in 2010 and 60% in 2009. It is also noteworthy that men were under the influence of alcohol in 50% of all cases. This is 15% more than in 2010 – one of the steepest increases since 2004. Alcohol abuse indicates social problems. The number of accidents due to pedestrians failing to observe safety requirements when crossing railway tracks has also increased. Many of these cases were due to the use of headphones and listening to mobile music. A new campaign commenced in 2011 urging people not to use headphones in the vicinity of railways.

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 2011, most people who suffered injuries in railway accidents were 20 - 40 years old – 40% of the total number of casualties. In 2010, most people injured in railway accidents were 20 - 30 years old, whereas in 2009, most people injured in railway accidents were 30 - 40 years old. Children and young people are also injured in accidents every year. In both 2011 and 2010 three accidents were registered involving children under 12.

<b>Breakdown of Casualties Per Accident Type</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Unauthorised persons in high-risk areas	<b>30</b>	<b>9</b>	<b>20</b>	<b>21</b>
Fatalities	15	8	13	8
Physical injuries	15	1	7	13
Level crossing users	<b>13</b>	<b>6</b>	<b>10</b>	<b>8</b>
Fatalities	6	2	5	2
Physical injuries	7	4	5	6
Other persons	<b>11</b>	<b>8</b>	<b>7</b>	<b>5</b>
Fatalities	6	5	4	3
Physical injuries	5	3	3	2
Passengers	<b>2</b>	<b>3</b>	<b>0</b>	<b>0</b>
Fatalities	0	1	0	0
Physical injuries	2	2	0	0
Workers from railway undertakings	<b>4</b>	<b>3</b>	<b>0</b>	<b>1</b>
Fatalities	2	1	0	0
Physical injuries	2	2	0	1

The largest proportion of injured persons is in the group of unauthorised persons in high-risk areas. The smallest proportion is made up of injured passengers and railway workers – not more than 5% of the total number of casualties.

During the reporting year, most accidents involving injuries were registered in September and December (41% of the total number of casualties). In 2010, the largest numbers of casualties were recorded in August and September (40%), whereas in 2009 most accidents involving injuries occurred during the winter months. The data shows that the largest numbers of casualties are registered in September each year. This may be attributable to the beginning of the new school year and the end of the holiday season.

The highest number of accidents to persons by rolling stock in motion occurs in the agglomeration area of Riga, especially on the Riga – Aizkraukle line (40% of the total number of accidents). This is due to

the fact that the traffic on the line is the heaviest. Many accidents on level crossings are also registered on the Riga – Aizkraukle line. A large number of accidents involving injuries were recorded on the Riga – Tukums line in 2011 (with the largest number of accidents being registered in the Tornākals – Zaslauks section). The number of such accidents tends to increase during the summer months, when train traffic between Riga and Jūrmala intensifies. In 2010, the number of people injured in railway accidents increased on the Riga – Saulkrasti line, but no such increase was observed in 2011. Seventy-five percent of accidents involved passenger trains. Most accidents, 43.59 % of the total, occurred between 6 p.m. to midnight.

The number of suicides on railways decreased in 2011, but the proportion of suicides on railways in the total number of accidents remained unchanged from 2010. In 2010, the number of suicides on railways increased to 13, whereas 10 suicides were registered in 2011. Experts predicted that the percentage of suicides on railways would increase in 2011, but a steep decrease in the number of such accidents was registered in the second half of the reporting year. Ten suicides on the railway were registered in 2009, compared to nine in 2008. It is mostly young people and men in the majority of such cases – more than 70%. Unbalanced persons who have received treatment in hospitals or social care centres account for 40% of suicide attempts. Alcohol is also a common factor in suicides on railways.

Analysis of technical violations shows that the number of damaged traction vehicles and rolling stock continues to increase, which is delaying train traffic significantly. The main reasons for damaged traction vehicles include a failure to observe the applicable repair technologies by the maintenance crews, and the wear of the traction vehicle fleet. Renovation of the locomotive fleet is being considered. Renovation of the train car fleet – tank cars, flatcars and others – commenced in 2010.

Due to considerable temperature fluctuations in the winter and summer periods, the number of track damages has increased since 2008. In some cases, damage was caused by a failure to adhere to the correct welding technology. In 2011, the number of geometric defects of rail tracks (buckling) increased, and was the cause of a train derailment in one instance.

### 3.3. Implementation of Safety Recommendations

The State Railway Technical Inspectorate received no recommendations from the Transport Accident and Incident Investigation Bureau in 2011.

## 4. Changes in Legislation

During the reporting year, the State Railway Technical Inspectorate drafted several amendments to the Cabinet of Ministers regulations with the aim of improving railway procedures. Amendments were submitted regarding the improvement of the transport of dangerous goods and safety certification procedures, verification of subsystems, as well as rolling stock conformity assessment and acceptance for placing in service. The work on upgrading technical operation requirements is continuing.

In 2011, the following regulatory enactments were endorsed regarding railway operation:

**4.1.** Cabinet of Ministers Regulation No 57 of 18.01.2011, [“Regulations Regarding the Criteria and Procedure for the Issuance, Suspension of Operation and Revocation of a Safety Permit”](#);

**4.2.** Cabinet of Ministers Regulation No 338 of 03.05.2011, [“Amendments to the Cabinet of Ministers Regulation of 17 June 2009, “Regulations on Conformity Assessment of Tank Cars and Containers for the Transport of Dangerous Goods by Rail”](#)”;

**4.3.** Cabinet of Ministers Regulation No 446 of 14.06.2011, [“Amendments 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”;

**4.4.** Cabinet of Ministers Regulation No 464 of 21.06.2011, “Procedures for Planning, Implementation and Supervision of Protective Measures Regarding the Movement of Dangerous Goods with High Risk Potential”;

**4.5.** Cabinet of Ministers Regulation No 541 of 05.07.2011, “Procedures for Control of the Movement of Dangerous Goods”;

**4.6.** Cabinet of Ministers Regulation No 729 of 27.09.2011, “Amendments to the Cabinet of Ministers Regulation No 500 of 28 June 2011, “Regulations on Transportable Pressure Equipment”;

**4.7.** Cabinet of Ministers Regulation No 805 of 19.10.2011, “Amendments to the Cabinet of Ministers Regulation No 1210 of 28 December 2010, “Regulations Regarding the Interoperability of Trans-European Rail Systems”;

**4.8.** Cabinet of Ministers Regulation No 806 of 19.10.2011, “Amendments to the Cabinet of Ministers Regulation No 1211 of 28 December 2010, “Regulations on the Construction, Upgrading, Renewal, Conformity Assessment and Acceptance for Placing in Service of the Rolling Stock””.

Further analysis is provided in Appendix 4.

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

All regulations and orders of the Cabinet of Ministers are binding on 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 the shunting service.

Regulatory documents that are also binding on railway undertakings and in which State Joint Stock Company a/s Latvijas dzelzceļš, as the manager of the railway infrastructure, regulates the use of railway infrastructure are issued in accordance with Section 5, Article 2<sup>1</sup> of the Railway Law. Binding directions issued by the manager of the public railway infrastructure that are binding on railway undertakings are updated and summarised in the Network Review published on the manager’s website at [www.ldz.lv](http://www.ldz.lv). The information is also available on the Inspectorate’s website.

In 2011 the public railway infrastructure manager issued 19 new and three amended regulatory documents (published at [www.ldz.lv](http://www.ldz.lv)), which are binding on railway undertakings, including instructions for the location, installation and operation of equipment for the automatic control of the technical condition of rolling stock in a moving train, the monitoring of the technical condition of rolling stock in a moving train, instructions for the organisation of work on the liquidation of the consequences of an accident on public railway infrastructure, the requirements on the location, installation and operation of equipment for the automatic control of the technical condition of rolling stock in a moving train, the monitoring of the technical condition of rolling stock in a train operated on public railway tracks, as well as a procedure for the registration of defects in traction vehicles’ automatic locomotive signalling devices and locomotive driver alertness control devices, and decrees on the procedure for issuing harmonised complementary certificates and on actions to be taken if damaged wheel pairs are ascertained during train operation.

## 5. Safety Certificates and Permits

The State Railway Technical Inspectorate issues Part A and Part B railway safety certificates and safety permits, which is part of the supervisory procedures for the operation of safety certificates. The certification process is free of charge. The Analysis and Certification Unit is responsible for the assessment of the systems.

All information on the certification process is available at the Inspectorate's website [www.vdzt.gov.lv](http://www.vdzt.gov.lv), section Certification/Safety Certification or Certification/Safety Permits. The information is also available in the English language: <http://www.vdzt.gov.lv/index.php?setlang=en>.

### 5.1. Issue of 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 includes risk assessment and risk control management, competence and safety management. On 14.06.2011, the Cabinet of Ministers endorsed Regulation No 446, "[Amendments 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"](#)".

There are five undertakings in Latvia, which, in accordance with the current 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 TRANŽĪTA SERVISS, SIA Gulbenes–Alūksnes bānītis (narrow gauge railway) and a/s Pasažieru vilciens.

	2008	2009	2010	2011
Issued safety certificates Part A	5	2	-	1
Passenger and freight transport	-	1	-	-
Passenger transport	2	-	-	1
Freight transport	3	1	-	-
Issued safety certificates Part B	3	5	-	6
Passenger and freight transport	-	1	-	2
Passenger transport	2	1	-	2
Freight transport	1	3	-	2
<b>Total</b>	<b>8</b>	<b>7</b>	<b>0</b>	<b>7</b>

In 2011, the State Railway Technical Inspectorate received one application for the renewal of safety certificate Part A (from SIA Gulbenes–Alūksnes bānītis (narrow gauge railway)) and seven applications for the receipt, renewal or correction/amendment of safety certificate Part B.

Safety certificate Part A was renewed due to the end of the term of validity thereof. The term of validity of safety certificate Part A issued during the reporting year is five years.

Six safety certificates Part B were issued in 2011, and the review of one application is continuing in 2012. All applications were reviewed by the State Railway Technical Inspectorate, which took the decision to issue the certificates. The applications were received from:

- 5.1.1. SIA LDZ Cargo (two applications) for the correction/amendment of safety certificate Part B;
- 5.1.2. SIA Gulbenes - Alūksnes bānītis for the renewal of safety certificate Part B;
- 5.1.3. a/s Pasažieru vilciens for the correction/amendment of safety certificate Part B;

- 5.1.4. a/s BALTIJAS TRANZĪTA SERVISS (two applications) for the renewal of safety certificate Part B and correction/amendment of safety certificate Part B;
- 5.1.5. Lithuanian Railways for the receipt of safety certificate Part B (review of the application is continuing in 2012) to provide railway transport services in the territory of Latvia.

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", if a railway undertaking alters the list of its rolling stock types or the list of railway specialists it employs, safety certificate Part B must be altered. Renewed safety certificates Part B were issued due to the end of the term of validity thereof.

The State Railway Technical Inspectorate also has the right to suspend safety certificate Part A and/or Part B if a given carrier has violated the requirements (provided false information, the validity of safety certificate Part A and/or Part B is suspended repeatedly within a year, the safety certificate has not been utilised, the carrier has terminated operations) on the basis of which safety certificate Part A and/or Part B was issued to the carrier. Pursuant to Section 35 of the Railway Law, the suspension and revocation of safety certificate Part A and/or Part B bans the carrier from accessing public railway infrastructure. During the reporting year, the Inspectorate did not take any decisions regarding the suspension or revocation of a safety certificate.

Information on safety certificates Part B issued by the State Railway Technical Inspectorate can be found at the Inspectorate's website [www.vdzt.gov.lv](http://www.vdzt.gov.lv), section [Safety Permits/ Safety Certificates](#).

## 5.2. Issue of Safety Permits

The requirements on infrastructure managers' safety permits are laid down in the Railway Law and the Cabinet of Ministers Regulation No 57 of 18.01.2011, "[Regulations Regarding the Criteria and Procedure for the Issuance, Suspension of Operation and Revocation of a Safety Permit](#)". Section 1, Article 22 of the Railway Law stipulates that the public railway infrastructure manager must implement a safety administration system. The safety administration system of the public railway infrastructure manager has been endorsed in Section 5 and Annex 3 of the Cabinet of Ministers Regulation No 57 of 18.01.2011, "Regulations Regarding the Criteria and Procedure for the Issuance, Suspension of Operation and Revocation of a Safety Permit", thereby transposing the Railway Safety Directive's requirements on the endorsement of infrastructure managers' safety administration systems, which are issued the relevant safety permits. Pursuant to Section 35<sup>1</sup>, Part 1 of the Railway Law, such safety permits give the holder thereof the right to manage and operate public railway infrastructure. Companies primarily engaged in business activities other than railway transport, for instance railway infrastructure or rolling stock construction and maintenance, must also obtain the safety permit, which confirms the safety of their operations in the railway industry. Safety permits are issued:

- 5.2.1. For public railway infrastructure management;
- 5.2.2. For private railway infrastructure management;
- 5.2.3. For shunting operations;
- 5.2.4. For the construction, repair or technical maintenance of railway infrastructure technical equipment;
- 5.2.5. To structural units responsible for rolling stock maintenance.

The Inspectorate issued 85 safety permits in the reporting year (with specific identification numbers denoting the type of commercial activity), suspended the operation of nine safety permits and revoked four safety permits. Several types of commercial activity can be provided in a safety permit. Most applications received in 2011 were for private railway infrastructure management and the construction, repair and

technical maintenance of railway infrastructure technical equipment.

<b>Commercial activity</b>	<b>2011</b>
Public railway infrastructure management	0
Private railway infrastructure management	57
Shunting operations for train traffic between stations and shunting operations at railway stations	0
Shunting operations in private railway infrastructure	3
Construction, repair and technical maintenance of rolling stock	6
Construction, repair and technical maintenance of railway infrastructure technical equipment	28
<b>Safety permits issued</b>	<b>85</b>
<b>Safety permits revoked</b>	<b>4</b>
<b>Operation of safety permits suspended</b>	<b>9</b>

Pursuant to Article 7, Part Three, Section 33 of the Railway Law, the State Railway Technical Inspectorate is responsible for issuing, renewing and altering safety permits, as well as suspending or revoking safety permits. Given that the safety permit is an administrative act because it grants the holder thereof the right to manage and operate railway infrastructure, the safety permits are issued in accordance with the Administrative Procedure Law. The criteria for suspending or revoking a safety permit are laid down in the Cabinet of Ministers Regulation No 57 of 18.01.2011, "Regulations Regarding the Criteria and Procedure for the Issuance, Suspension of Operation and Revocation of a Safety Permit". During the reporting year, safety permits were revoked due to changes of commercial undertakings' names, changes of registered addresses, changes in commercial activity, change of infrastructure owner, or issuing of a corrected/amended safety permit. Safety permits were suspended or revoked for railway companies involved in private infrastructure management or construction, and the repair or technical maintenance of railway infrastructure technical equipment.

Information on safety certificates Part B issued by the State Railway Technical Inspectorate can be found at the Inspectorate's website [www.vdzti.gov.lv](http://www.vdzti.gov.lv), section [Safety Permits/ Safety Certificates](#).

## 6. Supervision of Railway Undertakings

The State Railway Technical Inspectorate's supervisory activity is implemented via:

- 6.1. Inspections of railway undertakings;
- 6.2. Inspections of facilities;
- 6.3. Examination of railway specialists' knowledge;
- 6.4. Conformity assessment of infrastructure facilities or rolling stock.

The State Railway Technical Inspectorate conducted 121 inspections in 2011 (including audits and physical inspections on-site (hereinafter – inspections)) while monitoring 101 railway facilities. The State Railway Technical inspectorate supervises the safety system at railway undertakings. The public railway infrastructure manager and also private infrastructure managers are supervised. Also supervised are railway undertakings and companies involved in the construction, repair or maintenance of rolling stock or infrastructure. According to the State Railway Technical Inspectorate's annual operation strategy, the number of inspections conducted in 2011 was at 110% of the planned quantity. The Traffic Safety Unit performs the inspectorate's supervisory function, whereas the Control and Registration Unit is responsible for the administration and registration of data.

Pursuant to Section 33, Part Four, Article 1 of the Railway Law, the State Railway Technical Inspectorate, within its area of authority, has the right to verify the observance of the Railway Technical

Operations Regulations (Safety Regulations) regardless of the ownership of the facilities to be inspected. Pursuant to Article 10.1 of the Statutes of the State Railway Technical Inspectorate (Cabinet of Ministers Regulation No 14 of 04.01.2005), the Inspectorate's officers on duty have the right, without prior notice or special permits, to make free of charge and otherwise unhampered visits to and inspections of railway facilities (facilities being built) and rolling stock, regardless of the ownership and type of facilities or the rolling stock.

The State Railway Technical Inspectorate has the right to perform unscheduled inspections or system audits if it receives information about violations of or incompatibilities with railway laws and regulations. During the unscheduled inspections, the Inspectorate analyses the operation of rolling stock, monitoring of the operations of microprocessor devices, transport of dangerous goods by rail, and operation of safety permits. Unscheduled inspections represented 12 % of all inspections in the reporting year.

As supervision of undertakings' operations, the State Railway Technical Inspectorate performs system audits as well as on-site inspections. In 2011, five railway undertakings, 17 rolling stock maintenance companies and two parts of the public railway infrastructure system were applied such comprehensive approach (audits as well as inspections). Such a systemic approach is also applied to railway companies involved in the loading and unloading of dangerous freights (altogether 20 audits combined with inspections). Two inspections were performed at railway facilities and 77 at private railway infrastructure facilities or companies involved in infrastructure repair or maintenance. A few companies were inspected repeatedly in 2011 in order to enforce control over the elimination of identified shortcomings, which had a significant impact on traffic safety and operation.

In determining the overall scope of an inspection, the Inspectorate appraises information already available to the Inspectorate, the amount of time that has passed since the last inspection, and information on the introduction of recommendations given during the last inspection. Each year, the State Railway Technical Inspectorate conducts comprehensive inspections that are planned within the framework of the reference year, as well as specific inspections. During the specific inspections, the technical condition of the rolling stock, infrastructure, traffic organisation and handling of hazardous freights are examined.

<b>Inspections Conducted</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
Comprehensive inspections (system audits and inspections), including	30	28	23	24
<i>Transport undertakings</i>	5	6	5	5
<i>Public railway infrastructure manager</i>	4	2	2	2
<i>Rolling stock maintenance companies</i>	21	20	15	17
Hazardous freight transport audits	27	11	17	20
Inspections of technical condition of rolling stock	42	13	27	26
Inspections of technical condition of railway tracks	55	45	14	32
Other inspections	27	10	27	19
Total number of inspections	<b>181</b>	<b>107</b>	<b>108</b>	<b>121</b>

According to the relevant rules and regulations, railway undertakings and the public railway infrastructure manager are inspected not less than once a year. Companies that have been issued safety permits are inspected not less than once during the safety permit's term of validity. Recipients and forwarders of hazardous freights are inspected not less than once every three years. Significant attention is paid to the inspection of the condition of private railway infrastructure and shunting works, taking into

consideration that there are more than 200 private infrastructure owners in Latvia. The number of companies involved in handling hazardous freights supervised by the Inspectorate increased in 2011.

If shortcomings in railway infrastructure or rolling stock are established during an inspection, which pose a threat to railway traffic safety, human health, the environment, or if violations are established due to which railway infrastructure or rolling stock may not be operated, the Inspectorate promptly takes the decision to halt the operation of railway infrastructure or rolling stock. The decisions of the State Railway Technical Inspectorate are considered administrative acts as provided in Section 1, Part Three of the Administrative Procedure Law. Compared to recent years, the number of decisions to prohibit an operation increased significantly in 2011.

<b>Railway Safety Measures Approved as a Result of Inspections</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<b>Use of railway tracks prohibited, including</b>	<b>19</b>	<b>9</b>	<b>13</b>	<b>26</b>
<i>Transport undertakings</i>	1	0	0	0
<i>Public infrastructure manager</i>	0	0	1	0
<i>Rolling stock maintenance companies</i>	2	0	1	0
<i>Others</i>	16	9	11	26
<b>Operation of rolling stock prohibited, including</b>	<b>13</b>	<b>7</b>	<b>15</b>	<b>13</b>
<i>Transport undertakings</i>	2	1	3	0
<i>Public infrastructure manager</i>	0	0	1	0
<i>Rolling stock maintenance companies</i>	3	1	1	1
<i>Others</i>	8	5	10	12
<b>Other prohibitions (suspension of railway specialists from duty) , including</b>	<b>6</b>	<b>4</b>	<b>2</b>	<b>0</b>
<i>Transport undertakings</i>	1	0	0	0
<i>Public infrastructure manager</i>	0	0	0	0
<i>Rolling stock maintenance companies</i>	0	0	1	0
<i>Others</i>	5	4	1	0
<b>Railway Safety Measures Approved as a Result of Inspections</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>
<b>Issue of orders for the correction of irregularities, including</b>	<b>143</b>	<b>86</b>	<b>75</b>	<b>78</b>
<i>Transport undertakings</i>	5	6	5	5
<i>Public infrastructure manager</i>	4	2	2	2
<i>Rolling stock maintenance companies</i>	21	20	15	17
<i>Others</i>	113	58	53	54
<b>Issue of administrative reports (application of penalty), including</b>	<b>0</b>	<b>1</b>	<b>3</b>	<b>4</b>
<i>Transport undertakings</i>	0	0	1	0
<i>Public infrastructure manager</i>	0	0	0	0
<i>Rolling stock maintenance companies</i>	0	0	0	1
<i>Others</i>	0	1	2	3
<b>Total</b>	<b>181</b>	<b>107</b>	<b>108</b>	<b>121</b>

The State Railway Technical Inspectorate issues administrative orders following every audit (if a serious threat is established) or inspection. All findings of an audit are listed in a report, which indicates problems or shortcomings ascertained and offers recommendations for the elimination thereof.

The number of administrative reports issued by the State Railway Technical Inspectorate has increased due to the withholding of information regarding railway accidents or railway safety and information regarding violations of regulations on the technical operation of railways.

## 7. Analysis of Undertakings and Manager's Reports

### 7.1. Public Railway Infrastructure Manager's Report

The safety performance report was submitted on schedule. The report informs about safety trends established, actions taken for railway safety, and results achieved by the State Company *a/s Latvijas dzelzceļš* as the infrastructure manager. The company pays great attention to measures aimed at reducing the number of accidents involving injuries. In 2011, State company *a/s Latvijas dzelzceļš* organised several safety campaigns to inform society about the various aspects of railway safety and the important role of safety requirements in the prevention of accidents. It has to be noted, however, that the company's interest in safety was not as active as it could have been. In order to improve individual safety and reduce the risk of potential accidents on railways, the State company *a/s Latvijas dzelzceļš* renovated platform surfaces and edges at several railway stations, several pedestrian crossings were reconstructed for the ease of use by people with physical disabilities, several chicanes were built so that pedestrians and cyclists could not cross railway tracks without stopping, etc.

In order to ensure system supervision and control, State company *a/s Latvijas dzelzceļš* has set up the Internal Monitoring System for Traffic Safety. The system also provides schedules for technical audits and inspections<sup>4</sup>.

	Scheduled	Conducted	%
Technical (comprehensive) audits	109	109	100
Internal inspections	4171	4667	112

In 2011, technical audits were conducted at the Alarm and Communications Railway Division's Riga Regional Centre (Signalizācijas un sakaru distances Rīgas reģionālajā centrs), all seven train car technical maintenance stations, and at 101 railway stations.

During the technical audits and inspections, several violations were established, as well as recommendations being offered to the responsible officials regarding the elimination of shortcomings and the improvement of the overall traffic safety situation.

### 7.2. Transport Undertakings' Reports

The State Railway Technical Inspectorate received all undertakings' reports by 30 June 2011. The reports dealt with the implementation of safety measures, the structure of companies' internal monitoring system, and general statistical information. Information on railway traffic accidents was also provided in appendices.

One of the conclusions following the analysis of the reports is that undertakings still find it problematic to calculate damages caused by railway accidents. Train delays are also a problem, taking into account that during the investigation of accidents with casualties, the police also initiate a criminal process, which hampers train traffic significantly and causes losses to undertakings. It is not unusual for train traffic to be interrupted for more than two hours.

<sup>4</sup> State Joint Stock Company *a/s Latvijas dzelzceļš* SAFETY PERFORMANCE REPORT 2011



Increasingly more cases were also registered in 2011 when trains were operated with safety devices switched off or with faulty safety devices. This is due to the installation of a new interlocking system on railway sections, which remained unstable during the system modernisation process as well as during the first stages after installation. Therefore, when errors in the automatic train signalling system occurred, train drivers were forced on several occasions to request train dispatchers' permission to continue driving. Such instances are qualified as driving with faulty safety devices<sup>5</sup>.

In 2011, all transport undertakings audited their safety management systems to make sure that the systems ensure the 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, and whether the safety management systems were still efficient. After reports on the audit results were received, it was concluded that:

**7.2.1.** The safety management system is efficient and guarantees safety. Documents, procedures and processes on operations confirm the requirements of regulatory enactments, technological processes and ensure safe provision of services. The objectives and principles of the safety policy are up to date, and development priorities remain unchanged;

**7.2.2.** 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, an 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.

Operational strategies and development plans have been developed for maintenance and improvements in the safety management system. Annual and long-term operational strategies have been developed. The operational strategies are developed according to proposals presented by the structural units of undertakings.

More inspections than originally anticipated were conducted at undertakings pursuant to the internal monitoring system. 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, and the drawing up and implementation of reports and documents regulating train crews' work. Altogether, more than 6000 internal inspections have been conducted. Monitoring systems at undertakings conform to the provisions of basic technical operation requirements.

## 8. Risk Assessment

Railway undertakings, infrastructure managers and maintenance and construction companies adhere to 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.

In 2011, such substantial changes were not established in any of the systems.

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<sup>5</sup> SIA LDZ Cargo Safety Report 2011

## 9. Priorities

In 2012, the State Railway Technical Inspectorate is planning to continue work pursuant to the Inspectorate's operation strategy regarding railway safety and interoperability matters.

One of the goals of the Inspectorate is to achieve Inspectorate officers' participation in the drafting of EU legal acts on railway safety matters, interoperability of railway systems, certification of locomotive crews, and transport of hazardous freights. This is particularly important taking into consideration that the EU technical requirements are to be applied and, at the same time, the standards of the 1,520mm track gauge system, upon which the Latvian railway network is based, must be observed. It is vital that the technical specifications provide for conditions that are in accordance with the situation in Latvia or for specific cases, taking into account the need for continued interoperability with third countries' railway systems.

It is also important that the transition to a new traction vehicle drivers' certification system, which commenced at the end of 2011, continues, at the same time preserving the system of certification of traction vehicle driver's (train driver's) assistants and traction vehicle driver instructors, which has been successfully applied in Latvia since 2005.

The measures that the Inspectorate is planning to take in 2012 also deal with structural changes at the Inspectorate and the development of a new strategy for the Inspectorate pursuant to the requirements of the European Union and Latvia, since a number of EU regulations come into force in 2012 the requirements of which are binding on the State Railway Technical Inspectorate: COMMISSION REGULATION (EU) No 445/2011 (10 May 2011) on a system of certification of entities in charge of maintenance for freight wagons and amending Regulation (EC) No 653/2007; COMMISSION REGULATION (EC) 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; COMMISSION REGULATION on a common safety method for supervision by national safety authorities after issuing a safety certificate or safety authorisation.

## 10. Sources of Information

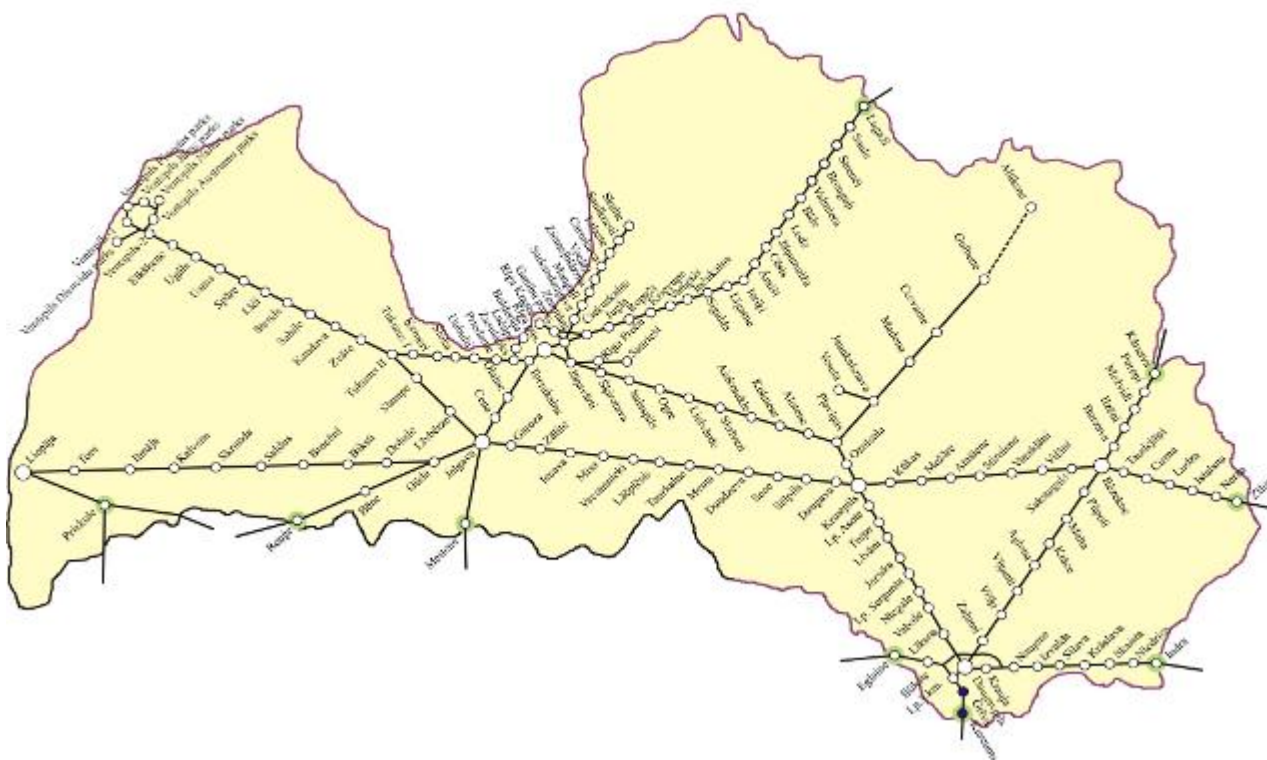
- 10.1. Railway Law (1 April 1998)
- 10.2. Statutes of the State Railway Technical Inspectorate (4 January 2005)
- 10.3. State Railway Technical Inspectorate's operation strategy for 2007-2013 (1 January 2006)
- 10.4. Transport Development Guidelines 2007-2013 (endorsed in accordance with the Cabinet 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 2011. Compilation of statistical data. (Central Statistical Bureau of Latvia, Riga, 2012)
- 10.6. State Joint Stock Company a/s Latvijas dzelzceļš Basic Performance Indicators (Riga, 2012)
- 10.7. Safety Performance Report of State Joint Stock Company a/s Latvijas dzelzceļš. Year 2011. (Riga, 2012)
- 10.8. 2011 Safety Performance Report of SIA LDZ CARGO (Riga, 2012)
- 10.9. Safety Performance Report of Joint Stock Company Baltijas Ekspresis. Year 2011. (Ventspils, 2012)
- 10.10. 2011 Safety Performance Report of SIA Gulbenes–Alūksnes bānītis (Gulbene, 2012)
- 10.11. 2011 Safety Performance Report of a/s Pasažieru vilciens (Riga, 2012)
- 10.12. 2011 SAFETY PERFORMANCE REPORT OF A/S BALTIJAS TRANŽĪTA SERVISS (Riga, 2012)

**10.13.**Main operational indicators of State Joint Stock Company a/s Latvijas dzelzceļš. Year 2011. (Riga, 2012)

**10.14.**2011 Annual report of the State Railway Technical Inspectorate (Riga, 2012)

**10.15.**2011 Annual report of the State Railway Administration (Riga, 2012)

## Latvijas dzelzceļa shēma

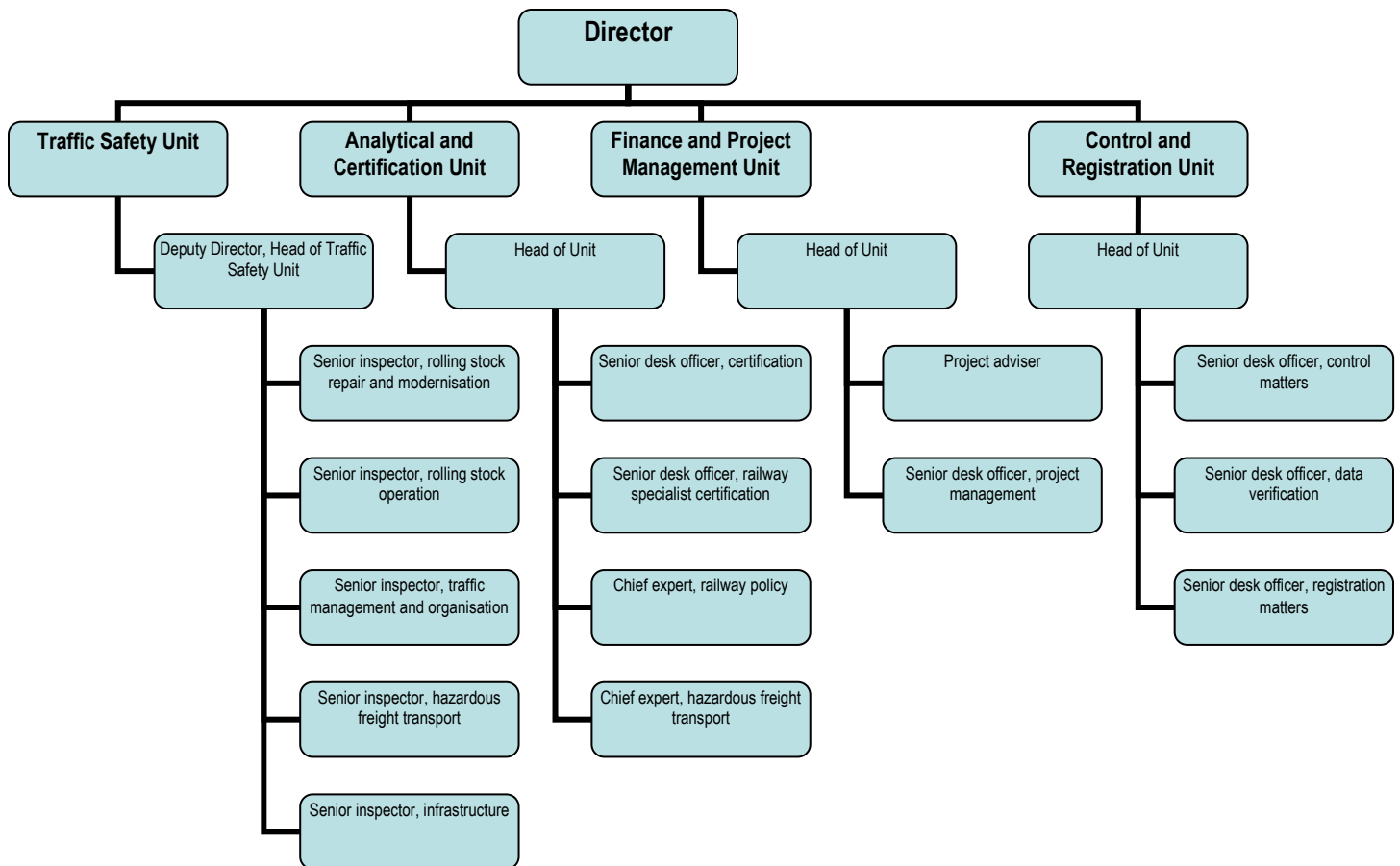


List of Latvian Railway Infrastructure Managers and Transport Undertakings

Name	Website	Safety Certificate or Safety Permit Number	Area of Activity
<b>State Joint Stock Company Latvijas dzelzceļš</b>	<a href="http://www.ldz.lv">www.ldz.lv</a>	LV-45, issued on 26.08.2008, valid until 25.08.2013	Infrastructure manager Network Report <a href="http://www.ldz.lv/?object_id=3094">http://www.ldz.lv/?object_id=3094</a>
<b>A/s Baltijas ekspresis</b>	<a href="http://www.asbe.lv">www.asbe.lv</a>	LV 1120080007 (Part A) LV 1220090004 (Part B)	Carrier (freight transport)
<b>A/s Pasažieru vilciens</b>	<a href="http://www.pv.lv">www.pv.lv</a>	LV 1120080003 (Part A) LV 1220110006 (Part B)	Carrier (passenger transport)
<b>A/s BALTIJAS TRANZĪTA SERVISS</b>	-	LV 1120080006 (Part A) LV 1220110007 (Part B)	Carrier (freight transport)
<b>SIA Gulbenes-Alūksnes bānītis</b>	<a href="http://www.banitis.lv">www.banitis.lv</a>	LV 1120110002 (Part A) LV 1220110003 (Part B)	Carrier (passenger transport)
<b>SIA LDZ Cargo</b>	<a href="http://www.ldz.lv">www.ldz.lv</a>	LV 1120090001 (Part A) LV 1220110005 (Part B)	Carrier (freight and passenger transport)

<sup>6</sup> State Joint Stock Company a/s Latvijas dzelzceļš SAFETY PERFORMANCE REPORT 2011

Structure of the State Railway Technical Inspectorate



## Changes in Legislation in the Reporting Year

	Legal Reference	Effective From	Description, Amendments or New Regulatory Enactment
<b>Functions and Objectives</b>			
Legislation that sets out tasks for the authority responsible for control and monitoring of technical railway operations	Cabinet of Ministers Regulation No 464 of 21.06.2011, <a href="#">“Procedures for Planning, Implementation and Supervision of Protective Measures Regarding the Movement of Dangerous Goods with High Risk Potential”</a> , Article 7	01.07.2011	Control over movement of especially dangerous goods and regulatory documents in railway transport (specified objective)
	Cabinet of Ministers Regulation No 541 of 05.07.2011, <a href="#">“Procedures for Control of the Movement of Dangerous Goods”</a> , Article 2	14.07.2011	Control over movement of dangerous goods in railway transport (specified objective)
Regulations on assessment organisations, etc.	Cabinet of Ministers Regulation No 338 of 03.05.2011, <a href="#">“Amendments to the Cabinet of Ministers Regulation of 17 June 2009, “Regulations on Conformity Assessment of Tank Cars and Containers for the Transport of Dangerous Goods by Rail”</a>	18.05.2011	Amendments to a regulatory enactment Objectives for assessment authorities
<b>Safety Regulations</b>			
Regulations on safety targets and methods	N/A	N/A	N/A
Regulations on safety management systems and safety certificates of railway transport undertakings	Cabinet of Ministers Regulation No 446 of 14.06.2011, <a href="#">“Amendments 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”</a>	18.06.2011	Amendments to a regulatory enactment 1. Article 14 updated pursuant to Commission Regulation No 1158/2010 of 9 December 2010 on a common safety method for assessing conformity with the requirements for obtaining railway safety certificates 2. Annex 2 “Safety Indicators for the Carrier”
Regulations on safety management systems and safety permits of infrastructure managers	Cabinet of Ministers Regulation No 57 of 18.01.2011, <a href="#">“Regulations Regarding the Criteria and Procedure for the Issuance, Suspension of Operation and Revocation of a Safety Permit”</a>	10.02.2011	New regulatory enactment The regulations lay down the criteria and procedure for the issuance, suspension of operation and revocation of a safety permit
Regulations on requirements on vehicle operators	N/A	N/A	N/A

	Legal Reference	Effective From	Description, Amendments or New Regulatory Enactment
Regulations on technical maintenance for the relevant structural units	Cabinet of Ministers Regulation No 57 of 18.01.2011, <a href="#">"Regulations Regarding the Criteria and Procedure for the Issuance, Suspension of Operation and Revocation of a Safety Permit"</a>	10.02.2011	New regulatory enactment The regulations lay down the criteria and procedure for the issuance, suspension of operation and revocation of a safety permit
Regulations on railway repair undertakings	Cabinet of Ministers Regulation No 57 of 18.01.2011, <a href="#">"Regulations Regarding the Criteria and Procedure for the Issuance, Suspension of Operation and Revocation of a Safety Permit"</a>	10.02.2011	New regulatory enactment The regulations lay down the criteria and procedure for the issuance, suspension of operation and revocation of a safety permit
Regulations on permits for acceptance into operation and maintenance of new or overhauled rolling stock	Cabinet of Ministers Regulation No 806 of 19.10.2011, <a href="#">"Amendments to the Cabinet of Ministers Regulation No 1211 of 28 December 2010, "Regulations on the Construction, Upgrading, Renewal, Conformity Assessment and Acceptance for Placing in Service of the Rolling Stock"</a>	26.10.2011	Amendments to a regulatory enactment 1. Regulation updated pursuant to the Commission Regulation No 201/2011 of 1 March 2011 on the model of declaration of conformity to an authorised type of railway vehicle 2. Requirements on rolling stock constructed in third countries
Regulations on uniform technical operations	Cabinet of Ministers Regulation No 729 of 27.09.2011, <a href="#">"Amendments to the Cabinet of Ministers Regulation No 500 of 28 June 2011, "Regulations on Transportable Pressure Equipment"</a>	01.10.2011	Amendments to a regulatory enactment Technical requirements on transportable pressure equipment
Regulations on requirements for personnel performing tasks critical for safety, including personnel selection criteria, health status, vocational training and certification	N/A	N/A	N/A
Regulations on investigation of railway accidents	N/A	N/A	N/A
Regulations on registration and analysis of data on railway accidents	N/A	N/A	N/A
Regulations on permits to accept for putting into service and maintain new or overhauled infrastructure facilities	Cabinet of Ministers Regulation No 805 of 19.10.2011, <a href="#">"Amendments to the Cabinet of Ministers Regulation No 1210 of 28 December 2010, "Regulations Regarding the Interoperability of Trans-European Rail Systems"</a>	26.10.2011	Amendments to a regulatory enactment 1. Requirements on verification of subsystems 2. Stages in checks on subsystems or parts of subsystems

## Certification Process – Safety Certificates (Statistical Data)

## 4.1.

	Total Number of Safety Certificates	Number of Safety Certificates Reported to ERADIS
Safety certificates Part A issued in 2011	1	1
Total number of Part A safety certificates valid in the reference year	6	6

## 4.2.

	Total Number of Safety Certificates	Number of Safety Certificates Reported to ERADIS
Safety certificates Part B issued in 2011, including	6	6
<i>Safety certificate Part A issued in Latvia</i>	6	6
<i>Safety certificate Part A issued in another Member State</i>	0	0
Total number of Part B safety certificates valid in the reference year	5	5

## 4.3.

Applications for safety certificates Part A received in 2011, including		A	R	P
	<i>New certificates</i>	0	0	0
	<i>Corrected/amended certificates</i>	0	0	0
	<i>Renewed certificates</i>	1	0	0

## 4.4.

Applications for safety certificates Part A received in 2011, including	<i>Safety certificate Part A issued in Latvia</i>		A	R	P
		<i>New certificates</i>	0	0	0
		<i>Corrected/amended certificates</i>	4	0	0
	<i>Renewed certificates</i>	2	0	0	
	<i>Safety certificate Part A issued in another Member State</i>		A	R	P
		<i>New certificates</i>	0	0	1
		<i>Corrected/amended certificates</i>	0	0	0
	<i>Renewed certificates</i>	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 is being considered, but safety certificate has not been issued as yet



## 4.5.

	Total Number of Safety Certificates	Number of Safety Certificates Reported to ERADIS
Number of safety certificates revoked in 2011	0	0
Part A	0	6
Part B	0	0

## 4.6.

	Company Name	Country Where Safety Certificate Part A was Issued
List of countries where railway transport undertakings that applied for safety certificate Part B in 2011 were issued safety certificates Part A	SIA LDZ Cargo	Latvia
	A/s BALTIJAS TRANŽĪTA SERVISS	Latvia
	A/s Pasažieru vilciens	Latvia
	SIA Gulbenes – Alūksnes bānītis	Latvia
	A/s Lietuvos geležinkeliai	Lithuania

## 4.7.

	New Certificate	Corrected/ Amended Certificate	Renewed Certificate
Average period of time from submission of application to issue of safety certificate Part A	One month	One month	One month
Average period of time from submission of application to issue of safety certificate Part B			
if safety certificate Part A was issued in Latvia	One month	One month	One month
if safety certificate Part A was issued in another Member State	One month	One month	One month

## Certification Process – Safety Permits (Safety Authorisations) (Statistical Data)

## 5.1.

	Total Number of Safety Permits
Safety permits (safety authorisations) issued in 2011	0
Total number of safety permits (safety authorisations) valid in the reference year	1

## 5.2.

	A	R	P	
Applications for safety permits (safety authorisations) received in 2011, including	<i>New permits</i>	0	0	0
	<i>Corrected/amended permits</i>	0	0	0
	<i>Renewed permits</i>	0	0	0

A = Approved applications, safety permits have been issued

R = Rejected applications, safety permits have not been issued

P = Application has been submitted and is being considered, but safety permit has not been issued as yet

## 5.3.

	Total Number of Revoked Safety Permits (Safety Authorisations)
Number of revoked safety permits (safety authorisations) in 2011	0

## 5.4.

	New Permit/Authorisation	Corrected/Amended Permit/Authorisation	Renewed Permit/Authorisation
Average period of time from submission of application to issue of safety permit (safety authorisation)	One month	One month	One month