

Railway Regulatory Authority

Miletičova 19, 820 05 Bratislava 25, Slovak Republic

Annual Report

on Railway Safety in the Slovak Republic 2011



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Express train on the Leopoldov - Trnava line



ÚRŽD SK

List of abbreviations

Authorisation Safety authorisation of a railway infrastructure manager Railway Regulatory Authority Authority Certificate Safety certificate of a railway undertaking ERA European railway agency Ministry of Transport, Construction and Regional Development Ministry of the Slovak Republic NSA National safety authority Act No 513/2009 Coll. on railways and on the amendment and **Railways** Act supplementation of certain acts Act No 514/2009 Coll. on railway traffic Railway Traffic Act Rolling stock RS SOSMT Slovak Office of Standards, Metrology and Testing SPS State professional supervision State professional technical supervision SPTS VKM Vehicle Keeper Marking ŽSR Železnice Slovenskej republiky (Slovak Rail) – railway infrastructure manager

Passenger train at Žilina railway station



ÚR.ŽD SK

A. Scope of the annual report

The annual report (hereinafter referred to as the 'AR') contains railway safety indicators for the railway infrastructure in the Slovak Republic for 2011 and information about the activities of the Railway Regulatory Authority in the field of railway safety. The report also contains data relating to marshalling yards and regional railway systems. Data on urban railways are not included in this report.

B. Introductory section

1. Introduction to the report

The obligation to draw up the AR arises from the provision of Section 91(1) of the Slovak Railways Act and from Article 18 of Directive 2004/49/EC of the European Parliament and of the Council of 29 April 2004 on safety on the Community's railways and amending Council Directive 95/18/EC on the licensing of railway undertakings and Directive 2001/14/EC on allocation of railway infrastructure capacity and the levying of charges for the use of railway infrastructure and safety certification (Railway Safety Directive).

The purpose of this AR is to provide information about the level of railway safety.

The goal is to continuously improve the level of railway safety as well as to inform the stakeholders on how this is being done.

The AR is then sent to ERA in accordance with the Railways Act and also published on the Internet at <u>www.urzd.sk</u>, in the 'Safety' section.

2. Slovak Republic railway structure information

The railway infrastructure in the Slovak Republic (with the exception of railway sidings) is owned by the State. It is managed and operated by ŽSR. For the purposes of this report, the railway infrastructure includes main and secondary railway lines.

Construction length of tracks

The total construction length of tracks is 6 876 km, of which 4 637 km are main tracks and 2 239 km are other station tracks. There are 8 529 switches and 9 476 switch units.

Construction length of railway lines:

The construction length of railway lines totals 3 622 km, 2 607 km of which are single-track and 1 015 km double or multi-track lines. There are 3 473 km of standard gauge lines, 99 km of broad-gauge lines and 50 km of narrow-gauge lines. The change in data in comparison with 2010 results from the modernisation of the tracks. This also applies to the construction length of the tracks in full.

Bridges

As part of the railway infrastructure, 2 321 bridges have been built, 455 of which are steel bridges and 1 866 solid bridges. The total length of bridges is 52 154 m.

Tunnels

The railway infrastructure also includes 75 tunnels. 68 are single-track and seven are double-track tunnels. The total length of railway infrastructure tunnels is 43 229 m.

Level crossings

Level crossings represent the most critical place in terms of railway safety. A total of 2 219 level crossings have been built as a part of the railway infrastructure. There are 1 138 unsecured and 1 081 secured level crossings. 76 level crossings are secured with mechanical barriers (including 22 permanently locked barriers) and 983 crossings are secured with light signalling systems. Whenever

railway tracks are modernised or other large reconstructions carried out, the level crossings are replaced with grade-separated crossings.



Železničné priecestia	Level crossings
Nezabezpečené priecestia	Unsecured crossings
Mechanické priecestia	Mechanical crossings
Trvalo uzamknuté	Permanently locked
Svetelné priecestné zabezpečovacie zariadenia	Light signalling system crossings

Track signalling systems

The total length of railway tracks protected by an automatic block is 670 km, 129 km of which are equipped with a single direction automatic block and 541 km a bi-directional automatic block. Automatic block systems are used as the track signalling system on 512 km of tracks. Semi-automatic blocks protect tracks with a total length of 762 km, 624 km of which are secured with a relay system and 138 km with a block system. The total length of tracks using a telephone communication system to ensure the railway safety is 1 620 km. Remote dispatcher-operated interlocking equipment protects 252 km of tracks. 670 km of tracks are equipped with a system enabling the transmission of information to trains.



Traťové zabezpečovacie zariadenia	Track signalling systems
Jednosmerný automatický blok	Single direction automatic block
Obojsmerný automatický blok	Bi-directional automatic block
Automatické hradlo	Automatic block system
Reléový poloautomatický blok	Relay semi-automatic block
Hradlový poloautomatický blok	Semi-automatic block system

Station signalling systems

A total of 159 railway stations are equipped with the simplest system, namely a mechanical station signalling system. Electromechanical interlocking systems are employed at 76 railway stations. In total, there are 151 operating control points with a relay interlocking system; 20 control points use an electronic interlocking system and 75 use other interlocking system. Remote dispatcher-operated interlocking systems protect 252 km of tracks.

Numbers of different kinds of station signalling systems



Sta	aničné zabezpečovacie zariadenia	Station signalling systems		
	Mechanické zabezpečovacie zariadenia		Mechanical signalling systems	
	Elektromechanické zabezpečovacie zariadenia		Electronic signalling systems	
	Reléové zabezpečovacie zariadenia		Relay signalling systems	
	Elektronické zabezpečovacie zariadenia		Electronic signalling systems	
	Hybridné zabezpečovacie zariadenia		Hybrid signalling systems	

88 retarders are used for the operation of hump yard signalling systems. There are seven mechanical hump yards in total. There is only one semi-automatic hump yard within the ŽSR network. One automated hump yard has been built. The hump yard signalling systems use a total of eight compressor stations for their operation.

Electrified railway lines

Out of the total length of railway lines, 1 578 km are electrified, namely with the following systems: - AC 25 000 V/50 Hz 761 km

- DC 3 000 V (1 500V, 600 V) 817 km

The total developed length of traction lines is 4 763 km, 2 212 km thereof being single-phase AC traction lines and 2 551 km DC traction lines.

Substations and sectioning points

There are a total of 90 substations and sectioning points within the railway infrastructure. 12 are single-phase substations and 36 are direct current substations. There are three support substations. There are 17 single-phase sectioning points and 19 direct current sectioning points. There are three mobile rectifier stations.

Operating control points

The railway infrastructure includes a total of 1 016 operating control points. 418 are manned and 598 unmanned. The manned control points include 331 stations and 87 other control points (blocks, branch lines, exchange stations, control points with simplified traffic management, etc.).

Corridor routes within the railway infrastructure of the Slovak Republic

The total length of railway corridor routes which are a part of the Slovak Republic railway network is 939 km. They comprise the following sections: \hat{VRZD} SK **Corridor IV in the section:** (ČD-Czech Railways) – **Kúty – Bratislava – Štúrovo** – (MÁV-Hungarian Railways) (220 km) **Corridor V in the section: Bratislava – Žilina – Košice – Čierna nad Tisou** – (UZ – Ukrainian Railways) (544 km) **Corridor VI in the section: Žilina – Čadca – Skalité** – (PKP – Polish Railways) (57 km) **Corridor IX in the section:** (MÁV – Hungarian Railways) – **Čaňa – Košice – Prešov – Plaveč –** (PKP – Polish Railways) (118 km)



3. ŽSR railway network map

The map of the ŽSR railway network is provided in Annex A1. The railway network information provided comes from the database of the infrastructure manager.

4. List of railway undertakings and infrastructure managers

A list of railway undertakings operating on the railway infrastructure in the Slovak Republic in 2011 is given in Annex A 2. The sole railway infrastructure manager for main and secondary railway lines in the Slovak Republic is ŽSR.

5. Summary

One of the fundamental tasks of the safety management systems of the railway infrastructure manager and the railway undertakings providing transportation services on the railway infrastructure is to ensure and develop the railway safety. This obligation arises from the relevant provisions of the Railways Act and the Railway Traffic Act.

One of the Authority's key tasks within the exercise of its competence as a safety authority is the supervision of railway safety and railway traffic safety, accident prevention, and the enforcement of statutory provisions in the field of railway traffic safety.

An analysis of the trends in railway safety may be derived from the statistics provided in the charts included in Annex C.

6. Implementation of the Railway Safety Directive 2004/49/EC

The Railway Safety Directive 2004/49/EC has been fully transposed into the legislation of the Slovak Republic by the Railways Act.

Activities of the Authority in the field of railway safety in 2011 were carried out within the scope defined by the relevant provisions of the Railways Act, the Railway Traffic Act, and other national safety rules, as well as under Article 4 of Commission Regulation (EU) No 1158/2010 of 9 December 2010 on a common safety method for assessing conformity with the requirements for obtaining railway safety certificates and Commission Regulation (EU) No 1169/2010 of 10 December 2010 on a common safety method for assessing conformity with the requirements for obtaining a railway safety authorisation.

C. Organisation

1. Introduction

The Railway Regulatory Authority is a state administration body with a country-wide scope of operation and is based in Bratislava. The scope of the Authority's activities is defined by the Founding Document No 2340/M-2005 of 28 October 2005, the Railways Act and the Railway Traffic Act. Seat of the Authority: Miletičova 19, 820 05 Bratislava 25, Slovak Republic

The internal organisation of the Authority is governed by the statute of the Railway Regulatory Authority, which was adopted by the Minister upon the recommendation of the Chair of the Authority on 19 May 2010. The Authority's statute was published in the Journal of the Ministry of Transport, Construction and Regional Development of the Slovak Republic and on the Internet website of the Authority (www.urzd.sk).

The Authority is managed and responsibility for its operation is held by the Chair and the Head of the Service Office appointed by the Government of the Slovak Republic. Since Act No 393/2011 Coll., which amended the Railways Act, came into full force and effect (31/12/2011), the Chair of the Authority is appointed by the Minister of Transport, who may also remove him or her from office.

The activities of the Authority are governed by its rules of procedure, which lay down its internal organisational structure, system and levels of management, as well as the scope of the authority and responsibilities of senior civil servants.

The Authority is a budget organisation linked to the state budget by financial relations through a budget category managed by the Ministry.

In its decision-making, all sections of the Authority are independent, with the exception of the Special Building Authority Section, where the appellate body for decisions issued by the Section is the Ministry.

When necessary, the Authority cooperates with safety authorities of other Member States.

In 2011, the Authority had a total establishment plan of 70. The registered number of employees as on 31/12/2011 was 68, 62 of whom were civil servants and six were performing work in the public interest. In December 2011, two posts were vacant.

2. Organisation of the Authority

In 2011, in addition to other activities, the Authority acted as:

- a) the railway safety and regulatory authority pursuant to Section 103(2)(a) and (b) and the investigatory authority for accidents and emergencies on special tracks and cable tracks pursuant to Section 103(2)(c) of the Railways Act.
- b) the railway safety and licensing authority pursuant to Section 37(1)(a) and (b) of the Railway Traffic Act.

Within the meaning of the requirements of the Railway Safety Directive 2004/49/EC, the Authority is independent from the railway infrastructure manager and railway undertakings for the purposes of the performance of its competence as a safety authority.

The Authority's responsibilities and duties in the field of railway safety are performed in particular by the Section of Safety and State Supervision on Railways (hereinafter referred to as the 'Safety Section'). The said Safety Section also ensures:

- the performance of the activities of the supervisory body in the area of interoperability of the structural and functional sub-systems and components of the existing railway system, which constitute the European railway system on the territory of the Slovak Republic.
- the maintenance of the national vehicle registry pursuant to Commission Decision No 2007/756/EC of 9 November 2007.

The issuing of authorisations for the operation of railways and the granting of licences to railway undertakings for the provision of the transport services on railways also relates to railway safety. These activities are carried out by the Authority's Railway Regulatory Section.

In 2011, the Safety Section focused its activity mainly on verifying applicants' compliance with the conditions for the issue of a safety certificate.

The railway infrastructure manager regularly reports to the Authority on the development of railway safety in its field of activities and submits accident statistics and reports on the results of investigations into the causes of accidents. The Authority is also regularly informed about operative commission sessions convened to discuss the results of accident cause investigations and adopt preventive measures.

Certain activities of the State Professional Technical Supervision and Railway Supervision Section (hereinafter referred to as the 'SPTS') and the Special Building Authority Section (hereinafter referred to as the 'SBA') are also related to the issue of ensuring railway safety.

Within the scope of its competence, the SPTS Section monitors the technical safety and operation of dedicated technical equipment which is manufactured, designed or used to ensure the operation of railways and railway traffic or is a part of the railways.

Within the scope of its competence, the SBA Section, prior to issuing an approval decision for the use of a newly-built or modernised railway line which is to become a part of the European railway system, determines whether the conditions for structural subsystem verification conducted prior to placing in service have been complied with.

3. Organisation chart

The organisation chart of the Railway Regulatory Authority as of 31/12/2011 is shown in Annex B.

D. Development of railway safety

1. Initiatives to maintain/improve safety performance

Under Railways Act effective as of 1 January 2010, competence for investigating accidents and emergencies that occurred on the railways passed to the Ministry. In 2011, the Ministry, as the investigative authority, did not notify the Authority of any safety measures arising from the investigation of railway accidents.

In order to inform the public on the state of safety on the railway infrastructure, ŽSR prepares a 'Railway Traffic Safety Report' annually (at half year intervals). Employees of ŽSR are acquainted with the report, which also serves for managers as an input document for the assessment of the state of safety. ŽSR has also developed an 'ŽSR Strategy', which also includes a 'Safety and Inspection Management Process'.

The railway infrastructure manager and the railway undertakings providing railway transport services within the railway infrastructure of the Slovak Republic annually submit to the Authority a safety report within the scope defined by the Railways Act. The report has to be submitted by 30 June.

In 2011, railway safety was monitored in line with the requirements of the Railway Safety Directive 2004/49/EC and the relevant provisions of the Railways Act. Indicators for railway safety development, as well as the statistics for monitored accidents, are shown in Annex C.

Through its website, the Authority informs operators of railway vehicles and other parties involved in railway operation in the Slovak Republic of any safety alerts issued and of recommendations from other national safety authorities in the EU.

Precursors to accidents which triggered measures							
Precursors to accidents which triggered measures			Safety measure decided				
Date	Place	Description of the event					
0	0	0	0				

2. Detailed data trend analysis

Individual categories of accidents expressed in figures:

	U U	-	<u> </u>	
•	Number of accidents			231
•	Number of fatalities			58
•	Number of injuries			45
•	Number of precursors	to accidents		253

Costs of accidents/hours worked on safety

452 hours

The technical safety of infrastructure is continuously being improved, mainly on the main lines, by the construction of additional corridor sections in the section of the line Bratislava – Žilina, and also by the removal of level crossings, as well as by implementing new components and subsystems that ensure a higher level of railway safety.

All the data come from the documents of the infrastructure manager; the costs relating to the remedy of consequences of injuries and fatalities were not provided.

Comparison with accidents in 2010:

The total number of accidents has increased from 231 in 2010 to 235 accidents in 2011, which is an increase of 2%.

Based on the documents obtained from ŽSR, the most serious issues in the field of accident occurrence seem to be:

- frequent disregard of level crossing signalling system alarms or road traffic signs and failure to observe the applicable road traffic regulations by road users
- unauthorised entry of persons into railway yards.

The Authority may not analyse and assess the common safety indicators because it is not an investigative body and is not in possession of detailed documentation from the investigations of accidents and emergencies.

The accident rate statistics for 2011 are detailed in Annex C in accordance with the ERA template.

3. Results of safety recommendations

The railway undertakings as well as the infrastructure manager pay attention to railway safety as required by their safety management systems, focusing particularly on the regular training of personnel engaged in activities which are important in terms of railway operation and railway traffic safety, such as operating motor vehicles, ensuring the prescribed technical condition of the railway infrastructure, the technical capacity of rail vehicles, and the safe and functional operation of individual railway infrastructure installations.

ŽSR has implemented a monitoring system for the functionality of railway infrastructure installations, as well as the monitoring of the railway undertakings' activities.

The Authority will continue to pay close attention to testing of rolling stock. Within the scope of personnel capacity of the Authority, there will be an increased number of inspections focussing particularly on random checks of train staff and the determination of the technical condition of rail vehicles in operation and the technical condition and proper functional operation of door closing and locking devices on passenger trains.

As part of the activities of the SPTS Section, the Authority will, through an increased number of inspections, continue to pay particular attention to the performance of duties of designated technical equipment operators to ensure their prescribed technical qualification and the conduct of specified activities in relation to the dedicated technical equipment.

E. Important changes in legislation and railway regulation

As of 1 January 2010, a new Railways Act and Railway Traffic Act came into full force and effect. Both acts were subsequently amended by Act No 433/2010 Coll., effective as of 1 December 2010, Act No 547/2010 Coll., effective as of 1 January 2011 and Act No 393/2011 Coll., effective as of 31 December 2011.

The most important changes in the Railways Act and the Railway Traffic Act were implemented by Act No 433/2010 Coll. and Act No 393/2011 Coll.

Based on the Railways Act and the Railway Traffic Act, the following generally binding regulations were issued:

- Decree of the Ministry of Transport, Posts and Telecommunications of the Slovak Republic (MTPT SR) No 205/2010 Coll. on dedicated technical equipment and specified activities and activities on dedicated technical equipment (effective as of 15 May 2010).
- Decree of the MTPT SR No 245/2010 Coll. on the qualifications, health and mental capacity of persons in the operation of railways and transport on railways (effective as of 15 June 2010).
- Decree of the MTPT SR No 350/2010 Coll. on building and technical regulations of railways (effective as of 15 September 2010).
- Decree of the MTPT SR No 351/2010 Coll. on railway traffic regulations (effective as of 15 September 2010).

F. The development of safety certification and authorisation

1. National legislation

1.1 Issuing of safety certificates pursuant to Article 10 of the Railway Safety Directive 2004/49/EC

Requirements for applications, procedure and conditions for issuing safety certificates to railway undertakings, obligations of railway undertakings and procedures for updating safety certificates are governed by the provisions of Section 86, Section 88 and Annex 11 of the Railways Act. Requirements for the creation and implementation of a safety management system are governed by the provisions of Section 84 of the Railways Act. Details of the safety management system structure are set out in Annex 10 of the Railways Act. In issuing safety certificates to railway undertakings, the Authority applied the procedure arising from the Railways Act as well as from Commission Regulation (EC) No 653/2007 of 13 June 2007 and Commission Regulation (EC) No 1158/2010 of 9 December 2010.

1.2 Issuing of safety authorisations for infrastructure managers pursuant to Railway Safety Directive 2004/49/EC

Requirements for the submission of applications, procedures and conditions for issuing safety authorisations, requirements for the management and operation of railways for the railway infrastructure manager, the latter's responsibilities and procedures for updating safety authorisation are governed by Section 87 and Section 88 of the Railways Act. Requirements for the creation and implementation of a safety management system by the railway infrastructure manager are governed by the provisions of Section 84 of the Railways Act. Details of the safety management system structure are set out in Annex No 10 of the Railways Act.

The railway infrastructure manager in the Slovak Republic (ŽSR) is the holder of a valid safety authorisation.

1.3 National safety rules

According to Section 83 of the Railways Act, the Ministry has the power to stipulate which regulations represent the 'national safety rules' as laid down in Article 8 of the Railway Safety Directive. A list of the national safety rules has been published on the website of the Ministry. A notification of their update (as regards railway transport in the Slovak Republic) is also published on the website of the Ministry.

Generally binding legal regulations falling under the category of national safety rules are registered in the collection of laws and are available to the general public via the applicable distribution network. Regulations issued by the infrastructure manager are available through the latter's distribution organisation – the Logistics and Procurement Centre. Certain regulations applicable to railway undertakings are listed on the website of $\check{Z}SR$ as well.



Počet vydaných bezpečnostných osvedčení	Number of safety certificates issued		
Bezpečnostné osvedčenia vydané úradom podľa Smernice 2004/49/ES, v roku 2011 železničným podnikom s licenciou vydanou	Safety certificates issued to railway undertakings by the Authority pursuant to Directive 2004/49/EC in 2011		
na Slovensku	Licensed in Slovakia		
časť A 8	Part A		
časť B 8	Part B		
aktualizované 0	Updated		
v inom členskom štáte	Licensed in another Member State		
časť B 8	Part B		
aktualizované 0	Updated		

2. The development of safety certification and authorisation – numerical data

Safety certificates pursuant to Railway Safety Directive 2004/49/EC

3. Procedural aspects

3.1 Safety Certificates Part A

Requirements, procedures and the breakdown of issued and cancelled safety certificates Part 'A' and Part 'B' as laid down in Article 10 of the Railway Safety Directive 2004/49/EC are governed by the Railways Act (more details in 1.1) and Commission Regulation (EU) No 1158/2010.

The Railways Act stipulates, inter alia, that:

- The deadline for issuing a safety certificate is four months from the date of submission of all the required documents.
- A railway undertaking is obliged to notify the safety authority without delay of any change in the conditions under which the safety certificate was issued.

3.1.1 *Reasons for an update of the safety certificates were:*

- Extension of the scope of the transport services provided to include the transportation of dangerous goods.
- Change in data pertaining to the organisation of a railway undertaking (e.g., address or registered office).
- Extension of the scope of the transport services provided to include passenger transport.
- 3.1.2 Main reasons for the issuing of a Part A Certificate taking longer than 4 months.

All issued certificates were issued within the 4 month period laid down by law.

3.1.3 Overview of requests of other NSA for verification/disclosure of information related to the Part A Certificate of a railway undertaking which was certified in the Slovak Republic but applied for the Part B in another Member State.

No such requests have to date been filed with the Authority.

3.1.4 Summary of issues in the mutual acceptance of a Part A Certificate valid throughout territory of the Community.

No issues were experienced in the mutual acceptance of a Part A Certificate valid throughout the territory of the Community.

3.1.5 NSA administrative fee for issuing a Part A Certificate.

An administrative fee of EUR 99.50 is stipulated by the Administrative Fee Act for issuing a Part A Safety Certificate together with the Part B.

3.1.6 Summary of issues in the application of harmonised formats for a Part A Certificate, mainly in connection with the type and scope of services.

There were no issues in the application of harmonised formats for certificates in connection with the category of the type and scope of services.

3.1.7 Summary of common issues/difficulties of the NSA in the process of application for a Part A Certificate.

In the filing of applications for a Part A and Part B Certificate, issues pertaining to the incompleteness of certain submitted required documents or failure to pay the administrative fee upon filing the application occurred.

3.1.8 Summary of issues stated by railway undertakings when applying for a Part A Certificate.

No major issues experienced by railway undertakings when filing applications for certificates have been seen as yet. Applicants most often consult the Authority in advance regarding any issues regarding the filing of applications (by phone, by e-mail or in person). Detailed information on filing applications is given on the website of the Authority as well.

3.1.9 *Feedback procedures (e.g. questionnaires) that enable railway undertakings to express their views on the process of certification or to file an objection or a complaint.*

No complaints from applicants have been received as yet.

- 3.2 <u>Safety Certificates Part B</u>
- 3.2.1 *Changes were the reasons for certificates being updated. The reasons are the same as at 3.1.1.*
- 3.2.2 *Main reasons for the issuing of a Part B Certificate taking longer than 4 months.* All certificates were issued within the 4 month period laid down by law.
- 3.2.3 NSA administrative fee for issuing a Part B Certificate.

An administrative fee of EUR 99.50 is stipulated by the Administrative Fee Act for issuing a Part B Safety Certificate.

3.2.4 Summary of issues in the application of harmonised formats for a Part B Certificate, mainly in connection with the type and scope of services.

No issues in the application of harmonised formats for a Part B were experienced.

3.2.5 Summary of common issues/difficulties of the NSA in the process of application for a Part B Certificate.

Issues similar to the Part A were experienced in filing applications for issuing a Part B Certificate.

3.2.6 Summary of issues stated by railway undertakings when applying for a Part B Certificate.

No issues experienced by railway undertakings when filing applications for certificates have been seen as yet. Applicants most often consult the Authority in advance regarding any issues regarding the filing of applications (by phone, by e-mail or in person). Detailed information on filing applications are given on the website of the Authority as well.

3.2.7 *Feedback procedures (e.g. questionnaires) that enable railway undertakings to express their views on the process of certification or to file an objection or a complaint.*

No complaints from applicants have been received as yet.

3.3. Safety Authorisations

Requirements, procedures and the breakdown of issued and cancelled safety authorisations as laid down in Article 11 of the Railway Safety Directive 2004/49/EC are governed by the Railways Act (more details in 1.2) and Commission Regulation (EU) No 1169/2010

The Railways Act stipulates, inter alia, that:

- The deadline for issuing a safety authorisation is 4 months from the date of submission of all the required documents.
- A railway infrastructure manager is obliged to notify the safety authority without delay of any change in the conditions under which the safety authorisation was issued.
- 3.3.1 *Reasons for an update/change and amendment of safety authorisations.* In 2011, no application for the issue of a safety authorisation was made to the Authority.
- 3.3.2 Main reasons for the issuing of a safety authorisation taking more than 4 months. In 2011, no safety authorisation was issued.
- 3.3.3 Summary of issues/difficulties in the safety authorisation application process. In 2011, no safety authorisation was issued.
- 3.3.4 Summary of issues stated by an infrastructure manager when applying for a safety authorisation. In 2011, no safety authorisation was issued.
- 3.3.5 Feedback procedures (e.g. questionnaires) that enable an infrastructure manager to express its view on the process of authorisation or to file an objection/complaint. In 2011, no safety authorisation was issued.
- 3.3.6 Administrative fee for issuing a safety authorisation. The administrative fee for issuing a safety authorisation under the Administrative Fee Act is EUR 200.

G. The supervision of railway undertakings and infrastructure managers

1. Description of the supervision

1.1 Audits - inspections

Audits and inspections were carried out in the form of State Professional Supervision (SPS) and State Professional Technical Supervision (SPTS) in accordance with Sections 106 and 107 of the Railways Act and Sections 40 and 41 of the Railway Traffic Act.

Business costs of SPS activities are not monitored by the Authority separately.

The SPS performed by the Safety Section in 2011 was focused primarily on determining the state of railway operation safety and railway traffic safety. In 2011, 27 SPS inspections were planned and the plan was fully implemented.

The supervisory activity of the Authority within the conduct of SPS focused mainly on:

- Compliance with the terms and performance of obligations laid down by the Railways Act, Railway Traffic Act, generally binding statutory provisions issued thereunder, and the application of the safety management system by the railway undertakings and the infrastructure manager.
- Compliance with the conditions for proper and safe operation of the railway in accordance with an the safety authorisation issued for the railway operation by the infrastructure manager.
- Compliance with the conditions to ensure railway safety in accordance with the safety certificate issued and the license granted to railway undertakings providing transport services on the railway infrastructure.
- Determination of the technical condition of railway vehicles and other dedicated technical equipment.

The performance of SPTS, which was carried out by the SPTS Section in the area of dedicated technical equipment (transportation equipment, gas equipment, pressure equipment, lifting equipment, electrical equipment, equipment for protection against effects of atmospheric and static electricity and for protection against negative effects of return traction currents, containers and interchangeable bodies that are manufactured, designed or used to ensure the railway operation or railway traffic, or which are a part of the railways) focused on the verification of the technical capacity of this equipment prior to commissioning and in the course of operation.

Another activity of the SPTS Section was the supervision of the performance of dedicated activities in relation to dedicated technical equipment by authorised organisations in the field of welding and non-destructive testing of railway vehicles, rails, steel bridges and bridge-like railway structures, filling of metal pressure vessels used on the railways with gas, and filling of tank wagons, tank containers and interchangeable bodies with gas and other hazardous substances.

The SBA Section continually conducts inspections in the field of state building supervision and state professional supervision on the railways, focusing on conformity with the applicable legislation in the performance of railway construction and construction works on the railways, compliance with the terms of building permits, quality and complexity of constructions being implemented, and the construction and technical condition of existing railway structures, as well as compliance with any other requirements.

In the SBA Section, 120 inspections were conducted. On the basis of the findings obtained, appropriate administrative measures such as fines, orders to remove structures and other measures were adopted. On the basis of the information acquired in the conduct of SBA inspections and \hat{VRZD} SK

subsequent requirements of the Authority, stakeholders provided documents to allow successful final inspection proceedings or applications and documents for approval from the Authority to initiate early use of certain structures.

Additional information:

One of the main activities of the Safety Section in the area of interoperability which is directly related to safety is decision-making on issuing an authorisation to place railway vehicles in service in accordance with Section 77(1) and Section 78(1) of the Railways Act.

In 2011, the Safety Section issued 10 authorisations to place railway vehicles in service following a substantial change, five authorisations to test railway vehicles for the railways for the purpose of their approval, four decisions on the performance of a test operation of a railway vehicle for its first authorisation, and four decisions changing the first granted authorisations for railway vehicles. Another major activity of the Safety Section in the area of interoperability under Section 77(4) and Section 78(3)(3) of the Railways Act is granting of additional authorisations to place railway vehicles in service which were first placed in service in one of the other Member States.

As part of the procedure for granting an authorisation to place railway vehicles in service, the Safety Section decides whether there should be a test operation of the railway vehicles. In this regard, it issued 23 decisions on the conduct of test operation for 68 railway vehicles in total.

Type of railway vehicle	Number of applications filed	Number of authorisations issued	Number of vehicles authorised
Motor vehicles	23	23	44
Freight wagons	12	12	322
Passenger carriages, electric and engine units	58	58	68
Track machinery, special vehicles and machines	2	2	2
TOTAL	95	95	436

Number of applications to put railway vehicles into operation filed in 2011

Number of applications for additional authorisation of railway vehicles filed in 2011

Type of railway vehicle	Number of applications filed	Number of additional authorisations granted	Number of vehicles authorised	
Motor vehicles	28	28	89	
Freight wagons	3	5	320	
Passenger carriages, electric and engine units	4	5	117	
Track machinery, special vehicles and machines	16	16	31	
TOTAL	51	54	557	

Information about the additional authorisations granted are published on the website of the Authority in the Interoperability section, and they are updated regularly.

In relation to railway vehicles, the Safety Section assigns, changes and cancels registration numbers of railway vehicles in accordance with Section 103(3)(t) of the Railways Act. For that

purpose, the Safety Section maintains a vehicle register in accordance with Commission Regulation 2007/756/EC.

Out of the total number of approximately 29 000 railway vehicles with authorisation to operate within the ŽSR network (with the exception of railway vehicles under foreign railway management),



the following number of railway vehicles were registered by the Authority in the National Railway Vehicle Register in 2011:

Druh železničného vozidlá / Počet registrácí	Type of railway vehicle/Number of registrations
hnacie vozidlá	Motor vehicles
osobné v ozne, elektricke a motorowé jednotky	Passenger carriages, electric and engine units
nákladné vozne	Freight wagons
traťové stroje, specialne vozidlá a mechanizmy	Railway machinery, special vehicles and equipment
SPOLU	TOTAL

Based on the hitherto registered data on railway vehicles in the National Railway Vehicle Register, the Authority processed and granted a total of 27 applications for change of owner of a railway vehicle in 2011.

Number of applications filed for assigning and approval of VKM:	18
Number of VKMs approved by the agency:	18
Number of VKMs unapproved by the agency:	0
Number of VKMs unrecommended by the Safety Section:	0

On the basis of applications from operators (holders) of railway vehicles under ERA Document No IU - VKM - 061128 of 24 January 2007, the Safety Section recommended to ERA the proposed VKMs for approval of their uniqueness.

In 2011, initial meetings were held between the Safety Section and the infrastructure manager on the preparations for the gradual creation of a railway infrastructure register in accordance with Commission Decision No 2011/633/EU of 15 September 2011 on the common specifications of the register of railway infrastructure. The infrastructure manager currently maintains its own register, which includes a detailed database of managed equipment in operation.

Type of railway vehicle	Number of issued confirmations of the assigning of a registration number	Number of issued confirmations of a change in the registration number	Number of issued confirmations of the cancellation of a registration number
Motor vehicles	14	42	18
Freight wagons	10	49	29
Passenger carriages, electric and engine units	60	20	21
Track machinery, special vehicles and machines	7	6	0
TOTAL	91	117	68

Number of applications filed for cancellation of a registration number of a railway vehicle in 2011

Detailed guidelines for the respective stakeholders of the railway sector have been developed for activities that fall under the competence of the Safety Section. These have been published on the website of the Authority.

During 2011, meetings with the Department of Safety and Inspection of the Directorate General of ŽSR were held, which focused on railway safety from the perspective of accidents which have occurred.

The following instructions from the Chair of the Authority were issued to the railway undertakings operating on the main and secondary railway lines regarding safety certificates:

- Instruction No 5/2009 of 20 July 2009 regarding issuing of safety certificates to carriers based in the Slovak Republic.
- Instruction No 6/2009 of 20 July 2009 regarding issuing of safety certificates to foreign carriers.

These documents contain details and requirements for the content and method of filing applications, including requirements for the establishment of a safety management system for the performance of activities related to the operation of railway traffic and the documents required.

<u>1.2</u> Findings of the authority in the performance of supervision – which need to be followed up

Within the scope of its activities, the Authority focused also on supervision of the technical condition of railway vehicles in operation, in particular in response to safety alerts from other NSAs - e.g., checks of tyred wheels of rail motor vehicles, tightness checks of bearing housings in leaks of lubricants from axles (prevention of heating of bearings on axles), checks for correct functioning of entry door blocking during the travel on passenger trains.

In the SPS, the safety authority also focused on ensuring railway safety on unsecured crossings on the railway lines of the infrastructure manager.

In the following period, the activity of the Safety Section will focus primarily on extending the scope of performance of the state professional supervision to the railway lines of the railway

infrastructure manager, railway undertakings and other stakeholders conducting activities affecting the railway safety.

For the purposes of the conduct of the SPS on railway lines, an internal directive containing applicable new requirements of the legislation of the Slovak Republic has already been prepared.

2. Submission of safety reports

Under Section 85 of the Railways Act, an infrastructure manager and railway undertakings operating on the railway lines are obliged to submit to the Authority a safety report for the preceding calendar year by 30 June.

The majority of railway undertakings complied with the obligation to submit a safety report in accordance with the Railways Act.

The railway undertakings UNIPETROL Doprava, s.r.o. Litvínov CZ, RegioJet, a.s. Brno CZ, MetransRail, s.r.o. Praha CZ, BRYNTIN Rail, s.r.o. Praha CZ, ExpressRail, a.s. Bratislava, SŽDS, a.s. Zvolen, INVESTEX GROUP, s.r.o. Zvolen, METRANS Danubia, a.s. Dunajská Streda and Magyar Magánvasút Zrt. – Budapest HU delivered the safety report to the Authority only after a reminder.

In order to achieve uniformity of the data submitted in the safety reports, the Authority published a template for the safety report contents on its website along with other required information (for railway undertakings and infrastructure manager) which the safety report has to include.

3. and 4. Inspections and audits of the Authority

Inspections and audits	Туре	Issued Safety Certificate - Part A	Issued Safety Certificate - Part B	Issued Safety Authorisation	Other activities
Number of	Planned	23	23	4	0
inspections for	Unplanned	0	0	0	0
2011	Carried out	23	23	4	0

5. Summary of relevant measures of the Authority

The following deficiencies were ascertained during the performance of the SPS in particular:

- Failure to meet the deadline for conducting a technical inspection of a rail motor vehicle of a railway undertaking.
- Failure to register a rail motor vehicle of a railway undertaking in the National Railway Vehicle Register.
- Incorrect marking of freight wagons (Eas series).
- Incomplete lists of rail motor vehicles in a railway undertaking.
- Insufficiently elaborated risk assessment in the SAFETY MANAGEMENT SYSTEM.
- Deficiencies ascertained at the border transit station in the formation and list of trains (incorrect information on the number, type and contents of freight wagons, as well as the failure to indicate the content of RID goods).

Particular corrective measures to rectify the deficiencies with a specified deadline for their rectification were concurrently assigned to all the ascertained deficiencies in the appropriate record of the SPS. Each audited entity is obliged to notify the Authority when it has implemented the imposed

measures for the remedy of the ascertained deficiencies, and of any appropriate measures of its own for the future.

6. Summary description of complaints of the infrastructure manager against the railway undertakings in relation to the conditions referred to in Part A/B of the safety certificate

No complaints from the infrastructure manager against the railway undertakings in relation to the conditions of a Part 'A' or Part 'B' Safety Certificate were made to the Authority in 2011.

7. Summary description of complaints of the railway undertakings against the infrastructure manager in relation to conditions of the safety authorisation

No complaints against the infrastructure manager in relation to the conditions of a safety authorisation were delivered to the Authority in 2011.

H. Reporting on the application of the common safety method on risk evaluation and assessment

Commission Regulation (EC) No 352/2009 on the adoption of a common safety method on risk evaluation and assessment as referred to in Article 6(3)(a) of the Railway Safety Directive 2004/49/EC is to be implemented in the event of significant operational and organisational changes as of 1 July 2012, in accordance with Article 10(2) of the regulation.

As of 19 July 2010, i.e., also in 2011, Commission Regulation (EC) No 352/2009 was to be applied to:

- all significant technical changes affecting vehicles as defined in Article 2(c) of Directive 2008/57/EC of the European Parliament and of the Council on the interoperability of the rail system in the Community.

- all significant technical changes concerning structural subsystems, where required by Article 15(1) of the Directive 2008/57/EC or by a TSI.

Under Section 77(8) of the Railways Act, the application of the said Commission Regulation (EC) No 352/2009 is required in the event of the additional authorisation of railway vehicles which comply with the TSI, or if a test operation of a railway vehicle is performed.

Under Section 78(9) of the Railways Act, the application of the said Commission Regulation (EC) No 352/2009 is also required in the event of the additional authorisation of railway vehicles which do not comply with the TSI, or if a test operation of railway vehicle is performed.

- In 2011, the Authority used an alternative procedure in proceedings for the additional authorisation of railway vehicles, performing test operations of the railway vehicles in the railway system of the Slovak Republic.
- The risk assessment procedures in the event of significant changes are governed by the safety management systems of the railway undertakings and of the infrastructure manager.

- Significant operational changes occurred in the infrastructure manager, where maintenance was merged with the management of the railway infrastructure installations. Four regional directorates based in Trnava, Košice, Zvolen and Žilina were established to manage the infrastructure personnel on a regional basis.
 - 1. *Authority's experience.* The benefit of the organisational changes at ŽSR is the improved railway infrastructure maintenance quality.
 - 2. Is there any procedure (e.g. a questionnaire) to allow railway undertakings or an infrastructure manager to comment on their experience with Commission Regulation (EC) No 352/2009 on assessment?
 No questionnaire has been prepared for such purpose but the railway undertakings and the infrastructure manager proceed within the meaning of Commission Regulation (EC) No 352/2009.
 - Revision of the national safety rules to take into account Commission Regulation on common safety method on risk assessment.
 The requirements for application of Commission Regulation (EC) No 352/2009 have been incorporated in the applicable provisions of the Railways Act where appropriate.

I. Conclusions of the Authority on the reporting year – priorities

In 2011, the main priorities of the Authority in the field of safety included increased supervision of safety at unsecured level crossings, railway and passenger safety within the scope of the requirements of the national safety rules and by-laws of the railway infrastructure manager and the railway undertakings.

In 2011, important technical and organisational steps concerning the issuing of train driver's licenses within the meaning of Directive 2007/59/EC of the European Parliament and of the Council on certification of train drivers operating locomotives and trains on the railway systems in the Community and Commission Regulation (EU) No 36/2010. Steps were taken to acquire contractors for the production and supply of train driver licenses in accordance with Commission Regulation (EU) No 36/2010. Once this process had been completed, the Authority started issuing licenses to train drivers operating in cross-border transport in February 2012.

The Authority continued to populate the National Railway Vehicle Register with data and appropriate activities were carried out to gradually implement the register of infrastructure in accordance with Commission Decision 2011/633/EU of 15/09/2011 on the common specifications of the register of railway infrastructure.

The Authority will continue to focus on monitoring safety assurance at level crossings and especially at unsecured crossings, the performance of supervision at the railway infrastructure manager and the railway undertakings under Article 4 of Commission Regulation No 1169/2010 and Commission Regulation No 1158/2010, performance of random (without prior notice) inspections of the technical conditions of railway vehicles in operation, performance of obligations of railway undertakings in ensuring the professional, health and mental capacity of employees performing activities that are important in terms of safety in railway operation and railway transport, and on the performance of activities carried out on the railways by contractors.

J. Sources of information

The sources of information and relevant documents used to prepare this annual report were predominantly safety reports from individual railway undertakings providing transport services within the railway infrastructure.

The basic source of information was the safety report Ref. No 15666/2012/O440-2 from the railway infrastructure manager (ŽSR) on the condition of main and secondary railway lines as well as on the sections of the corridors No V and VI that are under construction. Statistical data and an analysis of accidents that occurred within the railway infrastructure were also used in the preparation of this annual report.

The annual report was prepared by the Safety Section, while the documents from the SPTS Section and SBA Section were also used in preparing certain parts of the annual report.

K. Annexes

Annex A 1 ŽSR network



Annex A 2 List of railway undertakings

In 2011, transport on the railway infrastructure of the Slovak Republic was operated by the following undertakings:

No	Name of the railway undertaking	Registered office	VKM
1	U.S. Steel Košice, s.r.o.	Košice	USSK
2	LOKO TRANS, s.r.o.	Brno	LOTR
3	Železničné stavby, a.s.	Košice	ZSKE
4	TSS GRADE, a.s.	Trnava	TRSS
5	LTE Logistik a Transport, Slovakia, s.r.o.	Bratislava	LTE
6	Prvá Slovenská železničná, a.s.	Bratislava	PSZ
7	HORNONITRIANSKE BANE, zamestnanecká spoločnosť	Prievidza	HBZ
8	ELTRA, s.r.o.	Košice	ELTR
9	Železničné stavebníctvo Bratislava, a.s.	Bratislava	ZSBA
10	AWT Rail SK, a.s.	Bratislava	AWTS
11	Slovenská železničná dopravná spoločnosť, a.s.	Zvolen	SZDS
12	Elektrizácia železníc, Kysak, a.s.	Kysak	ΕZ
13	INVESTEX GROUP, s.r.o.	Zvolen	INGR
14	Železničná spoločnosť Slovensko, a.s.	Bratislava	ZSSK
15	Železničná spoločnosť Cargo Slovakia, a.s.	Bratislava	ZSCS
16	LOKO RAIL, a.s.	Bratislava	LR
17	GJW Praha, spol. s.r.o.	Prague	GJW
18	Advanced World Transport, a.s.	Ostrava	AWT
<i>19</i>	OHL ŽS, a.s.	Brno	OHL
20	METRANS Rail, s.r.o.	Sokolov	MTRA
21	Traťová strojní společnost, a.s.	Hradec Králové	TSSP
22	Ostravská dopravní společnost, a.s.	Ostrava	ODOS
23	BF Logistics s.r.o.	Prague	BFL
24	ExpressRail, s.r.o.	Bratislava	EXRA
25	Slezskomoravská dráha, a.s.	Ostrava	SMD
26	Wagon service, s.r.o.,	Bratislava	WSSK
27	SLOV-VAGON, s.r.o.	Košice	SLVA
28	Unipetrol Doprava, s.r.o.	Litvínov	UNID
29	CENTRAL RAILWAYS, a.s.	Levice	CRW
30	RegioJet, a.s.	Brno	RJ
31	PKP CARGO S.A.	Warsaw	PKPC
32	IDS CARGO a.s.	Olomouc	IDSC
33	METRANS /Danubia/, a.s.	Dunajská Streda	MTD
34	CER Slovakia, a.s.	Bratislava	CERS
35	RegioJet a.s.	Bratislava	RJSK
36	Petrolsped Slovakia s.r.o.	Lučenec	PSP
37	Magyar Magánvasút Zrt.	Budapest	MMV
<u>38</u>	BULK TRANSSHIPMENT SLOVAKIA, a.s.	Čierna nad Tisou	BTS
39	BRYNTIN RAIL CZ, s.r.o.	Prague	BRCZ

Annex A 2.1 Infrastructure manager

Name	Address	Internet link to the network announcement	Safety authorisation (number/date)	Start date of commercial activity	Total track length /gauge	Electrified track Length/voltages	Total double- /single-track length	Total length of HSL	ATP equipment used	No of LC	Number of signals
ŽSR	Klemensova 8 813 61 Bratislava	www.zsr.sk http://www.zsr.sk/slovensky/zelez nicna-dopravna- cesta/marketing/podmienky- pristupu-k- zi.html?page_id=358&page_id~=3 58	SK 2120100001 22/04/2010	1/1/2002	3 624 km (gauge: 1435 mm, 1520 mm, 1000 mm and 760 mm)	total: 1 578 km 759 km: 25 kV/50 Hz 819 km: 1 500 V, 600 V	Single track – 2 607 km Double track – 1 017 km	0	Automatic block, Semi-automatic block, Automatic block system	2 205	9 416

No	Name	Address	Website	Safety Certificate A-B 2004/49/EC (Number/Date)	Start date of commercial activity	Traffic type (freight, passenger)	Number of locomotive s	Number of Locomotives/Rail cars/Multiple Unit-sets	Number of coaches/ wagons	Number of train drivers	Volume of passenger transport	Volume of freight transport
1.	U.S. Steel Košice, s.r.o	Vstupný areál 044 54 Košice	www.usske.sk	SK 1120110002 4/2/2011 SK 1220110004 4/2/2011	1/2/2000	freight	3	0	0/38	9	0	413 017
2.	LOKO TRANS, s.r.o.	Voříškova 2 623 00 Brno, CR	www.lokotrans.cz	CZ 1120070006 12/11/2007 SK 1220070001 26/11/2007	1/1/2009	freight	6	0	0/279	12	0	1 622 358
3.	Železničné stavby, a.s. Košice	Južná trieda 66 040 01 Košice	www.zeleznicnestavby.sk	SK 1120100003 14/5/2010 SK 1220100005 14/5/2010	1/5/2003	freight	5	0	41/126	3	0	420 989
4.	TSS GRADE, a.s.	Bratislavská 4 917 02 Trnava	www.tss.sk	SK 112009007 18/8/2009 SK 122009008 18/8/2009	23/4/2003	freight	6	0	0 / 141	6	0	65 708
5.	LTE Logistik a Transport, Slovakia, s.r.o.	Kopčianska 1 851 01 Bratislava	www.lte.sk	SK 112011001 28/1/2011 SK 122011002 28.01.11	1/1/2003	freight	4	_	0/24	7	0	436 173
6.	Prvá Slovenská železničná, a.s	Ružová dolina 9 821 09 Bratislava	<u>www.psz.sk</u>	SK 1120090005 1 2/5/2009 SK 1220090005 12/5/2009	25/4/2008	freight	5	0	0/285	28	0	168 861
7.	HORNONITRIANSKE BANE zamestnanecká a.s.	Matice Slovenskej 10 971 01 Prievidza	www.hbzam.sk	SK 1120090001 22/1/2009 SK 1220090001 22/1/2009	31/1/2005	freight	9	0	0/112	21	0	2 328 292
8.	ELTRA, s.r.o.	Rampová 4 040 01 Košice	www.eltra.biz	SK 1120100004 1/6/2010 SK 1220100006 1/6/2010	_	freight	2	3	0/27	6	0	6 666
9.	Železničné stavebníctvo Bratislava, a.s.	Furmanská 8 841 03 Bratislava	www.zs-ba-as.sk	SK 1120100006 30/08/201010 SK 1220100009 30.08.10	18/1/1994	freight	1	0	0/5	2	0	0
10.	AWT Rail SK, a.s.	Cukrova 14 811 08 Bratislava	<u>www.awt.eu</u> <u>mailto:kostelnik@okd-</u> <u>doprava.cz</u>	SK 1120100007 22.11.10 SK 1220100010 22.11.10	26/7/2004	freight	0	0	0/0	0	0	151 976
11.	Slovenská železničná dopravná spoločnosť, a.s.	Na Štepnici 1379/1 960 01 Zvolen	www.szds.sk	SK 1120080008 03.11.08 SK 1220080008 03.11.08	9/4/2004	freight	6	0	0/0	16	0	201 233
12	Elektrizácia železníc Kysak, a.s.	Rosinská cesta 1/8223 010 08 Žilina	www.ezkysak.sk	SK 1120070002 07.01.08	20/1/1998	freight	1	2	0/36	3	0	178 827

Annex A 2.2 Railway undertakings – safety certificates issued

No	Name	Address	Website	Safety Certificate A-B 2004/49/EC (Number/Date)	Start date of commercial activity	Traffic type (freight, passenger)	Number of locomotive s	Number of Locomotives/Rail cars/Multiple Unit-sets	Number of coaches/ wagons	Number of train drivers	Volume of passenger transport	Volume of freight transport
13.	INVESTEX GROUP, s.r.o.	Na Štepnici 1379/1 960 01 Zvolen	www.investex-group.sk	SK 1120110006 17.05.11 SK 1220110011 17.05.11	10/1/2006	freight	2	0/0	0/4	2	0	0
14.	Železničná spoločnosť Slovensko, a.s.	Rožňavská 1 832 72 Bratislava	www.slovakrail.sk	SK 1120100001 28.01.10 SK 1220100001 28.01.10	1/1/2005	passenger	215	214	1015	1 234	2 427 980 000	-
15.	Železničná spoločnosť Cargo Slovakia	Drieňova 24 820 09 Bratislava	www.zscargo.sk	SK 1120100002 26.04.10 SK 1220100004 26.04.10	1/1/2005	freight	714	0	0/14 671	1 369	0	37 483 244
16.	LOKO RAIL, a.s.	Horárska 12 821 09 Bratislava	www.lokorail.sk	SK 1120090002 06.02.09 SK 1220090002 06.02.09	5/10/2004	freight	10	0	0/46	25	0	834 087
17.	GJW Praha spol. s.r.o.	Medzitraťová 137 198 21 Prague 9, CR	www.gjw-praha.cz	CZ 1220080014 22.04.08	1/3/2006	freight	4	0	0/26	4	0	300
18.	Advanced World Transport, a.s.	Nádražní 93/2967 702 62 Ostrava, CR	www.awt.eu	CZ 1120100011 18.06.10 SK 1220100003 09.02.10	19/11/2006	freight	101	0	0/245	28	0	168 364
19.	OHL ŽS, a.s.	Burešova 937/17 660 02 Brno-střed, CR	www.ohlzs.cz	CZ 1120080012 21.04.08	1/3/2006	freight	0	0	0/28	6	0	0
20.	METRANS Rail, s.r.o.	Podleská 926 104 00 Prague, CR	www.railtrans.info	CZ 1120080003 SK 1220080010 10.12.08	1/11/2003	freight passenger	7	0	0	19	0	12 974
21.	Traťová strojní společnost, a.s.Ostravská dopravní společnost, a.s.	Jičínska 1605 501 01 Hradec Králové, CR	www.tssas.cz	CZ 1120080011 SK 1220080006 27.11.08	1/1/2006	freight	14	0	0/868	21	0	17 252
22.	BF Logisics, s.r.o.	U Tiskárny 616/9 702 00 Ostrava, CR	www.odos.cz	CZ 1120080016 07.05.08 SK 1220080005 18.09.08	—	freight	23	0	0/0	5	0	0
23.	Express Rail, s.r.o.	Beranových 65 199 02 Prague 9, CR	www.bfl.cz	CZ 1120070003 SK 1220100002 12.02.10	1/9/2009	freight	7	7/0	0/0	1/1	0	9 295
24.	Slezskomoravská dráha, a.s.	Rusovská cesta 1 851 01 Bratislava	www.express-rail.sk	SK 1120090004 08.04.09 SK 1220090004 08.04.09	1/7/2009	freight	8	0/0	0/0	13	0	1 719 869
25.	Wagon service, s.r.o.	Michálkovická 86/1942 710 00 Ostrava, CR	www.slezskomoravskadrah <u>a.cz</u>	CZ 1120080032 7/7/2008 SK 1220090007 14.08.09	14/8/2009	freight	5	0/0	0/0	1	0	695
26.	Železničná spoločnosť Slovensko, a.s.	Čajakova 18 811 05 Bratislava	www.wagonservice.sk	SK 1120090009 7/12/2009 SK 1220090010 7/12/2009	1/1/2010	passenger, freight	0	0/0	22/0	0	0	2 064
27.	SLOV-VAGON, s.r.o.	Hlavná 104 040 01 Košice	www.slov-vagon.eu	SK 112010005 28.6.2010 SK 122010 007 28/6/2010	1/7/2010	freight	5	0	418	3	0	Only empty wagons
28.	Unipetrol Doprava, s.r.o.	Ružodol 4 436 70 Litvínov, CR	www.unipetroldoprava.cz/c s/index.html	SK 1220100011 14.12.10	_	freight	18	0	25	4	0	0
29.	CENTRAL RAILWAYS, a.s. RegioJet, a.s.	Krivá 21 040 01 Košice	www.crw.skwww.regiojet. <u>cz</u>	SK 1120110003 30.03.11	8/9/2009	freight	7	0	0/156	5	0	10 048

No	Name	Address	Website	Safety Certificate A-B 2004/49/EC (Number/Date)	Start date of commercial activity	Traffic type (freight, passenger)	Number of locomotive s	Number of Locomotives/Rail cars/Multiple Unit-sets	Number of coaches/ wagons	Number of train drivers	Volume of passenger transport	Volume of freight transport
30.	PKP CARGO S.A. IDS CARGO a.s.	nám. Svobody 17 602 00 Brno, CR	<u>www.pkp-</u> cargo.plwww.ids-cargo.cz	SK 1220110007 30.03.11	_	passenger	9	1	52	21	35 000 00 0	0
31.	METRANS /Danubia/, a.s.	ul. Grójecka 17 02-021 Warszaw, PL	=	SK 1220110003 27.01.11	1/1/2011	freight	7	7	3307	16	0	159 263
32.	CER Slovakia, a.s. RegioJet, a.s.	Albertova 229/21 779 00 Olomouc, CR	www.cercargo.eu/index.ph p	SK 1220110005 11.02.11	1/6/2011	freight	14	0	13	14	0	177 576
33.	Petrolsped Slovakia s.r.o.	Povodská cesta 926 929 01 Dunajská Streda	www.regiojet.sk	SK 1220110006 21.2.2011	1/7/2011	freight	0	0	0	15	0	1 561 881
34.	Magyar Magánvasút Zrt.	Mýtna 15 811 07 Bratislava	=	SK 1120110005 23.05.11 SK 1220110010 23.05.11	10/10/2011	freight	0	0	0	0	0	286
35.	BULK TRANSSHIPMENT SLOVAKIA, a.s.	Obchodná č. 48 811 06 Bratislava	www.mmv.huwww.budam ar.sk/nase-sluzby/bulk- transshipment-slovakia-a-s	SK 1120110004 28.3.2011 SK 1220110008 28/3/2011		passenger	0	0	0	0	0	0
36.	BRYNTIN RAIL CZ, s.r.o.	L. Svobodu 1 984 01 Lučenec	=	SK 1120110007 22.08.11	_	freight	0	0	0	0	0	0
37.	SLOV-VAGON, s.r.o.	Kerék u. 80 1035 Budapest, Hungary	www.slov-vagon.eu	SK 1220110013 22.08.11		freight	0	0	0	0	0	0
38.	Unipetrol Doprava, s.r.o.	Železničná 1 076 43 Čierna nad Tisou	www.unipetroldoprava.cz/c s/index.html	SK 1120110008 23/9/2011	_	freight	6	0	0	2	0	466
39.	CENTRAL RAILWAYS, a.s. RegioJet, a.s.	Koněvova 2660/141 130 83 Prague, CR	<u>www.crw.sk</u> www.regiojet.cz	SK 1220110015 23/9/2011	_	freight	0	0	0	1	0	0





relations through a budget organisation inited to the state budget by initial relations through a budget category managed by the Ministry. Since Act No 393/2011 Coll. Amending the Railways Act, of 19/10/2010, came into full

force and effect, the Chair of the Authority is appointed and may be removed from office by the Minister of Transport.

The SOSMT SR is responsible for supervision of dedicated technical equipment, and it also has a relationship with other involved technical units and authorised and notified bodies which assist with technical standardisation tasks.

Under SOSMT SR decision No A1/2010/800/001339/00703 of 2/3/2010 TRI-NOBO is a notified body for the safety and quality of railway transport as regards infrastructure, energy and railway vehicles:

- European railway system interoperability subsystems
 - Interoperability components subsystem
 - Interface subsystem
- Compliance assessment

Annex D Important change	es in legislatio	on and regul	ation	
Area	Legal reference	Date legislation came into force	Reasons for introduction (specify new law or amendment to existing legislation)	Description
	General national ra	ilway safety legislatio	on	·
Legislation concerning the national safety authority	Act No 513/2009 Coll. on railways and on the amendment and supplementation of certain acts 514/2009 Railway Traffic Act	1/1/2010 1/1/2010	New law New law	Railway operation rules and obligations of the RRA Railway operation rules and obligations of the RRA
Legislation concerning notified bodies, assessors, third party bodies for registration, examination, etc.	Act No 513/2009 Coll. on railways and on the amendment and supplementation of certain acts	1/1/2010	New law	Railway operation rules, obligations of the RRA and notified body
	National rules con	cerning railway safet	<u> </u>	
Rules concerning national safety targets and	Act No 513/2009 Coll.	1/1/2010	New law	Railway operation
Rules concerning requirements for safety management systems and safety certification of railway undertakings Rules concerning requirements for safety management systems and safety authorisation of infrastructure managers	on railways and on the amendment and supplementation of certain acts 514/2009 Railway Traffic Act Decree of the MTPT No 351/2010 Coll. on railway traffic regulations Act No 513/2009 Coll. on railways and on the amendment and supplementation of certain acts 514/2009 Railway Traffic Act Decree of the MTPT No 351/2010 Coll. on railway traffic regulations Act No 513/2009 Coll. on railway traffic regulations Act No 513/2009 Coll. on railway traffic regulations Act No 513/2009 Coll. on railways and on the amendment and supplementation of certain acts	1/1/2010 1/1/2010 1/1/2010 1/1/2010 1/1/2010 1/1/2010 1/1/2010 1/1/2010 1/1/2010	New law New law New law New law New law New Decree of the Ministry of Transport New law	Railway operation rules and obligations of the RRA Railway operation rules and obligations of the RRA Railway traffic regulations Railway operation rules and obligations of the RRA Railway operation rules and obligations of the RRA Railway operation rules and obligations of the RRA Railway traffic regulations Railway operation rules and obligations of the RRA Railway operation rules and obligations of the RRA Railway operation rules and obligations of the RRA Railway operation rules and obligations of the RRA
Rules concerning requirements for wagon keepers	514/2009 Railway Traffic Act Decree of the MTPT No 351/2010 Coll. on railway traffic regulations —		Ministry of Transport	of the RRA Railway traffic regulations
Rules concerning requirements for maintenance workshops				
Rules concerning requirements for the authorisation of placing in service and maintenance of new and substantially altered rolling stock, including rules for exchange of rolling stock between railway undertakings, registration systems and requirements on testing procedures	Act No 513/2009 Coll. on railways and on the amendment and supplementation of certain acts Decree of the MTPT No 351/2010 Coll. on railway traffic regulations	1/1/2010	New law New Decree of the Ministry of Transport	Railway operation rules and obligations of the RRA Railway traffic regulations

Area	Legal reference	Date legislation came into force	Reasons for introduction (specify new law or amendment to existing legislation)	Description
Common operating rules of the railway network, including rules relating to signalling and traffic procedures	Ž 1 Railway Traffic Regulations	11/12/2005	ŽSR Regulation	Marking of equipment in railway yard, signals, train rides, train timetable, traffic management
Rules laying down requirements for additional internal operating rules (company rules) that must be established by infrastructure managers and railway undertakings	D 22	1/1/1978	ŽSR Regulation	Conduct of transport operations and activities on the railway in extraordinary circumstances
Rules concerning requirements for staff executing safety critical tasks, including selection criteria, medical fitness and vocational training and certification	Bz 1 Employee Safety at ŽSR Z3 Qualification at ŽSR Decree of the MTPT No 245/2010 Coll. on qualification, health and mental capacity of persons in the operation of railways and transport on railways	1/1/2004 1/1/2011 15/6/2010	Safety regulation – ŽSR Qualification and training regulation New Decree of the Ministry of Transport on qualification, health and mental capacity of persons	Safety at movement and work in the railway yard, on the tracks and in other activities related to the transport
Rules concerning the investigation of accidents and incidents including recommendation	Z (D) 17 Accidents and emergencies	9/12/2007 December 2009	ŽSR Regulation, Amendment No 1, including the change of number to Z 17, effective as of 1/1/2010	Accidents and emergencies
Rules concerning requirements for national safety indicators, including how to collect and analyse the indicators	Annex 8, Act No 513/2009 Coll. on railways and on the amendment and supplementation of certain acts	1/1/2010	New law	Safety indicators
Rules concerning requirements for authorisation of placing in service the infrastructure (tracks, bridges, tunnels, energy, ATC, radio, signalling, interlocking, level crossings, platforms, etc.)	Decree of the MTPT No 350/2010 Coll. on building and technical regulations of railways Decree of the MTPT No 205/2010 Coll. on dedicated technical equipment and specified activities and activities on dedicated technical equipment	15/9/2010 15/5/2010	New decree	

Annex E The development of safety certification and safety authorisation - numerical data

E.1. Safety Certificates pursuant to Directive 2001/14/EC

Number of Safety Certificates issued by the Authority pursuant to Directive 2001/14/EC, held by Railway Undertakings in 2011	being licensed in the Slovak Republic	0
	being licensed in another Member State	0

E.2. Safety Certificates pursuant to Directive 2004/49/EC

	Where	New	Updated/amended	Renewed
E.2.1. Number of valid Safety Certificates Part A, held by railway undertakings in 2011	being registered in the Slovak Republic	8	0	0
	being registered in another Member State	0	0	0

	Where	New	Updated/amended	Renewed
E.2.2. Number of valid Safety Certificates Part B, held by railway undertakings in 2011	being registered in the Slovak Republic	8	0	0
rauway unaertakings in 2011	being registered in another Member State	6	2	0

E.2.3. Number of applications for Safety Certificates Part A submitted by railway undertakings in 2011	Where	Certification Type	А	R	Р
	being registered in the Slovak	New certificates		0	0
	Republic	Updated/amended certificates		0	0
		Renewed certificates		0	0
	being registered in another Member State	New certificates		0	0
		Updated/amended certificates		0	0
		Renewed certificates	0	0	0

	Where	Certification Type	А	R	Р
E.2.4. Number of applications for Safety Certificates Part B submitted by railway undertakings in 2011	being registered in the Slovak Republic	New certificates		0	0
		Updated/amended certificates		0	0
		Renewed certificates	0	0	0
	being registered in another Member State	New certificates		0	0
		Updated/amended certificates	2	0	0

			Renewed certificates		0	0
A = accepte	d application, c	ertificate is already issued				

R = rejected applications, no certificate was issued

P = case is still pending, no certificate has been issued so far

E.2.5. Countries where RUs applying for a Safety Certificate Part B in the Slovak Republic have obtained their Safety Certificate Part A: Slovak Republic, Czech Republic, Poland and Hungary

E. 3 Safety authorisations pursuant to Directive 2004/49/EC

E.3.1. Number of valid Safety Authorisations held by Infrastructure Managers being registered in the Slovak Republic in 2011	New	Updated/amended	Renewed
	1	0	0

	Certification Type		
E.3.2. Number of applications for Safety Authorisations	New authorisations		
submitted by Infrastructure Managers being registered in the Slovak Republic in 2011	Updated/amended authorisations		
	Renewed authorisations		

A = accepted application, certificate is already issued

 $\mathbf{R} =$ rejected applications, no certificate was issued

P = case is still pending, no certificate has been issued so far

E.4. Procedural aspects - Safety Certificates part A

Mean time (after having received all necessary	Where	New	Updated/amended	Renewed
information) between the receipt of an application and the final delivery of a	being registered in the Slovak Republic	4 months	4 months	4 months
Safety Certificate Part A in 2011 for Railway Undertakings	being registered in another Member State	0	0	0

E.5. Procedural aspects – Safety Certificates part B

Mean time (after having	Where	New	Updated/amended	Renewed
received all necessary information) between the receipt of an application and the final delivery of a	holding a licence issued in the Slovak Republic	4 months	4 months	4 months
Safety Certificate Part B in 2011 for Railway Undertakings	holding a licence issued by another Member State	4 months	4 months	4 months

	E.6. Procedural aspe	cts – Safety Autho	<u>risations</u>	
Mean time (after having	Where	New	Updated/amended	Renewed
received all necessary information) between the receipt of an application and the final delivery of a Safety Authorisation in 2011 for Infrastructure Managers	holding a licence issued in the Slovak Republic	4 months	4 months	4 months
	holding a licence in another Member State	0	0	0

Definitions used in the European Railway Agency charts

Annex C2 details safety indicators according to the Safety Directive processed into charts created by a working group of the European Railway Agency. The following terminology and phrases are used in the charts:

Total costs in MLN EUR Total number of working hours of staff and contractors lost as a consequence of accident Total number of working hours Technical safety of infrastructure and its implementation, management of safety Percentage of tracks with Automatic Train Protection (ATP) in operation Percentage of Train*Km using operational ATP systems Total number of level crossings Number of track Km (double track lines are to be counted twice) Total number of level crossings per track Km Percentage of level crossings with automatic or manual protection No of audits accomplished / N° of audits required (and/or planned)

Number of accidents and Train*Km **Type of accident** Year Collisions Derailments Level crossing accidents **Fires in RS** Others Total Train*Km (MLN) No of fatalities, train*Km and Passenger*Km **Passengers Employees** Level crossing users **Unauthorised persons** Passenger*Km (BLN) **Related to Train*Km Related to Passenger*Km** No of injures Number of precursors Number of broken rails Number of track buckles Number of wrong-side signalling failures Number of signals passed at danger Number of broken wheels on rolling stock in service Number of broken axles on rolling stock in service Cost of all accidents, safety hours Cost of deaths in MLN EUR Cost of injuries in MLN EUR Costs of replacement or repair of damaged rolling stock and railway installations in MLN EUR