I. General Provisions

1. This Regulation prescribes the criteria and procedures for the issuance, suspension and revocation of a safety permit (Annex 1).

2. This Regulation shall not apply to railway undertakings which have received Part A and Part B of the safety certificate and whose relevant technological processes are certified in the documents of Part A and Part B of the safety certificate.

3. The State Railway Technical Inspectorate (hereinafter – the Inspectorate) shall issue a safety permit for five years.

4. The decisions of the Inspectorate provided for in this Regulation may be appealed to a court in accordance with the procedures laid down in the Administrative Procedure Law.

II. Documents Necessary for the Receipt of a Safety Permit

5. A merchant that is responsible for the development and maintenance of railway lines specified in Cabinet Regulation No. 411 of 20 October 1998, Regulations Regarding Classification of a Railway Infrastructure of Strategic and Regional Importance, and for the management of railway infrastructure control and safety systems shall obtain a safety permit issued by the infrastructure manager if it has developed and maintains safety management system (a merchant has established organisational structure and measures to ensure the safety of its operation). This safety permit shall serve as a proof that the safety management system of the railway infrastructure manager has been accepted and that the special requirements set up by infrastructure manager relating to safe design, maintenance and operation of the railway infrastructure and, where appropriate, also the maintenance and operation of the traffic control and signalling system, are met. In order to apply for a safety permit, a merchant shall file a
submission form to the Inspectorate (Annex 2). The following shall be attached to the submission:

5.1. safety management system documents which certify the implementation of the requirements referred to in Annex 3 to this Regulation (also in connection with the transport of dangerous goods);

5.2. the list of applicable technical specifications for interoperability with an indication regarding the application thereof in the safety management system processes of a merchant;

5.3. a description of procedures necessary for the observance of special requirements for the safe design, maintenance and operation of a railway infrastructure and, where appropriate, also a description of procedures for the maintenance and operation of the traffic control and signalling system;

5.4. a list of qualified railway staff employed by the merchant;

5.5. documents on processes intended in the safety management system, in which the staff is involved:

5.5.1. a declaration that qualification of the railway specialists employed by the merchant conforms with the requirements specified in the regulations for railway technical operations (also as regards the certification in the field of regulated professions and recognition of professional qualifications, and as regards the transportation of dangerous goods);

5.5.2. documents certifying that the staff is aware of measures to be taken in case of railway traffic accidents (including accidents with dangerous goods);

5.6. a list of the type, series and model (hereinafter – type) of the rolling stock in possession, indicating the number of rolling stock intended for use;

5.7. the documentation of the safety management system processes intended for the rolling stock in possession:

5.7.1. a document specifying the entity in charge of maintenance of a vehicle;

5.7.2. documents that certify the provision of the repair and maintenance of the rolling stock, as well as details regarding the equipping of traction rolling stock;

5.7.3. documents certifying that the design of rolling stock intended for use conforms with provisions of railway technical operation regulations;

5.8. information on procedures for the performance of the technological processes that form the field of the merchant’s operations.

6. A merchant that ensures railway traffic between stations and performs shunting operations in such stations and in private-use railway lines shall obtain a safety permit, if it has developed and maintains a safety management system. In order to apply for a safety permit, a merchant shall file a submission form to the Inspectorate (Annex 2). The following shall be attached to the submission:

6.1. safety management system documents which certify the implementation of the requirements referred to in Annex 3 to this Regulation (also in connection with the transport of dangerous goods);

6.2. the list of the applicable technical specifications for interoperability by indicating how the merchant has applied them in its safety management system processes;

6.3. a list of qualified railway staff employed by the merchant;

6.4. documents on processes intended in the safety management system, in which the staff is involved:

6.4.1. a declaration that qualification of the railway specialists employed by the merchant conforms with the requirements specified in the regulations for railway technical operations (also as regards the certification in the field of regulated professions and recognition of professional qualifications, and as regards the transportation of dangerous goods);
6.4.2. documents certifying that the staff is aware of measures to be taken in case of railway traffic accidents (including accidents with dangerous goods);
6.5. a list of the types of the rolling stock in possession, indicating the number of the rolling stock intended for use;
6.6. the documentation of the safety management system processes intended for the rolling stock in possession:
   6.6.1. a document in which the entity in charge of maintenance of a vehicle is specified;
   6.6.2. documents that certify the provision of the repair and maintenance of the rolling stock, as well as details regarding the equipping of traction rolling stock;
   6.6.3. documents certifying that the design of rolling stock intended for use conforms with provisions of railway technical operation regulations and is compatible with the relevant railway infrastructure;
   6.6.4. a declaration certifying that the equipment of the rolling stock is compatible with railway traffic speed, as well as with control-command and signalling systems in the relevant railway infrastructure;
6.7. information regarding the contracts entered into by a merchant in order to use the services of other merchants for the implementation of individual technological processes in the railway sector.

7. A merchant that manages railway lines other than those indicated in Cabinet Regulation No. 411 of 20 October 1998, Regulations Regarding Classification of a Railway Infrastructure of Strategic and Regional Importance, shall obtain a safety permit issued by the railway infrastructure manager, if it has developed a system that enables provision of operations in the relevant field of commercial activity in accordance with railway safety requirements. In order to apply for a safety permit, a merchant shall file a submission form to the Inspectorate (Annex 2). The following shall be attached to the submission:

    7.1. a document specifying the merchant’s structural unit or an official responsible for the planning, organisation, implementation and management of railway operations and for monitoring of traffic safety;
    7.2. details on allocation of responsibilities for the relevant technological processes in the railway sector, by specifying which technological processes necessary for the commercial activity of a merchant are under its own control and which are transferred to another merchant;
    7.3. a description of the procedures necessary to meet the special requirements for the safe design, maintenance and operation of a railway infrastructure and, where appropriate, also a description of procedures for the maintenance and operation of the traffic control and signalling system;
    7.4. information regarding the norms contained in the internal documents of a merchant (for example, documents issued by the merchant, documents adopted jointly with other organisations, documents on the use, repair and maintenance of railway infrastructure equipment issued by respective manufacturers, suppliers and installers, documents issued by other organisations, documentation relating the transport of dangerous goods) which conform with the type and characteristics of the operations of the merchant and have been developed in accordance with the provisions of the relevant laws and regulations in the field of railway technical operation, the railway specialists’ occupational safety and labour protection, and carriage by rail;
    7.5. a list of qualified railway staff employed by a merchant;
    7.6. documents on processes that are related to staff:
       7.6.1. a declaration that qualification of the railway specialists employed by the merchant conforms with the requirements specified in the regulations for railway technical operations (also as regards the certification in the field of regulated professions.
and recognition of professional qualifications, and as regards the transport of dangerous goods);

7.6.2. documents certifying that the staff is aware of measures to be taken in case of railway traffic accidents (including accidents with dangerous goods);
7.7. a list of the types of the rolling stock in possession, indicating the number of the rolling stock intended for use;
7.8. documentation relating to the procedures of the rolling stock in possession:
   7.8.1. a document in which the entity in charge of maintenance of a vehicle is specified;
   7.8.2. documents in which the processes relating to the rolling stock are specified;
   7.8.3. documents that certify the provision of the repair and maintenance of the rolling stock, as well as details regarding the equipping of traction rolling stock;
   7.8.4. documents certifying that the design of rolling stock intended for use conforms with provisions of railway technical operation regulations and is compatible with the relevant railway infrastructure;
7.9. information on agreements with other merchants to use their services in providing individual technological processes that are specific in the railway sector.

8. A merchant that performs shunting operations in a private-use railway infrastructure or public-use railway infrastructure within the boundaries of one station, shall obtain a safety permit, if it has developed a system that enables provision of operations in the relevant field of commercial activity in accordance with railway safety requirements. In order to apply for a safety permit, a merchant shall file a submission form to the Inspectorate (Annex 2). The following shall be attached to the submission:

8.1. a document specifying the merchant’s structural unit or an official responsible for the planning, organisation, implementation and management of railway operations and for monitoring of traffic safety;
8.2. details on allocation of responsibilities for the relevant technological processes in the railway sector, by specifying which technological processes necessary for the commercial activity of a merchant are under its own control and which are transferred to another merchant;
8.3. information regarding the norms contained in the internal documents of a merchant (for example, documents issued by the merchant, documents adopted jointly with other organisations, documents on the use, repair and maintenance of railway infrastructure equipment issued by respective manufacturers, suppliers and installers, documents issued by other organisations, documentation relating the transport of dangerous goods) which conform with the type and characteristics of the operations of the merchant and have been developed in accordance with the provisions of the relevant laws and regulations in the field of railway technical operation, the railway specialists’ occupational safety and labour protection, and carriage by rail;
8.4. a list of qualified railway staff employed by a merchant;
8.5. documents on processes that are related to staff:
   8.5.1. a declaration that qualification of the railway specialists employed by the merchant conforms with the requirements specified in the regulations for railway technical operations (also as regards the certification in the field of regulated professions and recognition of professional qualifications, and as regards the transport of dangerous goods);
   8.5.2. documents certifying that the merchant’s staff is aware of measures to be taken in case of railway traffic accidents (including accidents with dangerous goods);
8.6. a list of the types of the rolling stock in possession, indicating the number of the rolling stock intended for use;
8.7. documentation relating to the procedures of the rolling stock in possession:
8.7.1. a document in which the entity in charge of maintenance of a vehicle is specified;
8.7.2. documents that certify the provision of the repair and maintenance of the rolling stock, as well as details regarding the equipping of traction rolling stock;
8.7.3. documents certifying that the design of rolling stock intended for use conforms with provisions of railway technical operation regulations and is compatible with the relevant railway infrastructure;
8.7.4. a declaration certifying that the equipment of the rolling stock is compatible with railway traffic speed, as well as with control-command and signalling systems in the relevant railway infrastructure;
8.8. information on agreements with other merchants to use their services in providing individual technological processes that are specific in the railway sector.

9. A merchant that is engaged in the construction, repair or technical maintenance of a railway infrastructure shall obtain a safety permit, if it has developed a system that enables provision of operations in the relevant field of commercial activity in the railway sector in accordance with the railway safety requirements. In order to apply for a safety permit, a merchant shall file a submission form to the Inspectorate (Annex 2). The following shall be attached to the submission:

9.1. a document specifying the merchant’s structural unit or an official responsible for the planning, organisation, implementation and management of railway operations and for monitoring of traffic safety;
9.2. details on allocation of responsibilities for the relevant technological processes in the railway sector, by specifying which technological processes necessary for the commercial activity of a merchant are under its own control and which are transferred to another merchant;
9.3. information regarding the norms contained in the internal documents of a merchant (for example, documents issued by the merchant, documents adopted jointly with other organisations, documents on the use, repair and maintenance of railway infrastructure equipment issued by respective manufacturers, suppliers and installers, documents issued by other organisations, documentation relating the transport of dangerous goods) which conform with the type and characteristics of the operations of the merchant and have been developed in accordance with the provisions of the relevant laws and regulations in the field of railway technical operation, the railway specialists’ occupational safety and labour protection, and carriage by rail;
9.4. a list of qualified railway staff employed by a merchant;
9.5. documents on processes that are related to staff:
9.5.1. a declaration that qualification of the railway specialists employed by the merchant conforms with the requirements specified in the regulations for railway technical operations (also as regards the certification in the field of regulated professions and recognition of professional qualifications, and as regards the transport of dangerous goods);
9.5.2. documents certifying that the staff is aware of measures to be taken in case of railway traffic accidents (including accidents with dangerous goods);
9.6. a list of the types of the rolling stock in possession, indicating the number of the rolling stock intended for use;
9.7. documentation relating to the procedures of the rolling stock in possession:
9.7.1. a document in which the entity in charge of maintenance of a vehicle is specified;
9.7.2. documents that certify the provision of the repair and maintenance of the rolling stock, as well as details regarding the equipping of traction rolling stock;
9.7.3. documents certifying that the design of rolling stock intended for use conforms with provisions of railway technical operation regulations and is compatible with the relevant railway infrastructure;

9.7.4. a declaration certifying that the equipment of the rolling stock is compatible with railway traffic speed, as well as with control-command and signalling systems in the relevant railway infrastructure;

9.8. information on agreements with other merchants to use their services in providing individual technological processes that are specific in the railway sector.

10. A merchant that is engaged in the construction, repair or technical maintenance of the rolling stock shall obtain a safety permit, if it has developed a system that enables provision of operations in the relevant field of commercial activity in the railway sector in accordance with the railway safety requirements. In order to apply for a safety permit, a merchant shall file a submission form to the Inspectorate (Annex 2). The following shall be attached to the submission:

10.1. a document specifying the merchant’s structural unit or an official responsible for the planning, organisation, implementation and management of railway operations and for monitoring of traffic safety;

10.2. details on allocation of responsibilities for the relevant technological processes in the railway sector, by specifying which technological processes necessary for the commercial activity of a merchant are under its own control and which are transferred to another merchant;

10.3. information regarding the norms contained in the internal documents of a merchant (for example, documents issued by the merchant, documents adopted jointly with other organisations, documents on the use, repair and maintenance of railway infrastructure equipment issued by respective manufacturers, suppliers and installers, documents issued by other organisations, documentation relating the transport of dangerous goods) which conform with the type and characteristics of the operations of the merchant and have been developed in accordance with the provisions of the relevant laws and regulations in the field of railway technical operation, the railway specialists’ occupational safety and labour protection, and carriage by rail;

10.4. a list of qualified railway staff employed by a merchant;

10.5. documents on processes that are related to staff:

10.5.1. a declaration that qualification of the railway specialists employed conforms with the requirements specified in the regulations for railway technical operations (also as regards the certification in the field of regulated professions and recognition of professional qualifications, and as regards the transport of dangerous goods);

10.5.2. documents certifying that the merchant’s staff is aware of measures to be taken in case of railway traffic accidents (including accidents with dangerous goods);

10.6. a list of the types of the rolling stock in possession, indicating the number of the rolling stock intended for use;

10.7. documentation relating to the procedures of the rolling stock in possession:

10.7.1. a document in which the entity in charge of maintenance of a vehicle is specified;

10.7.2. documents that certify the provision of the repair and maintenance of the rolling stock, as well as details regarding the equipping of traction rolling stock;

10.7.3. documents certifying that the design of rolling stock intended for use conforms with provisions of railway technical operation regulations and is compatible with the relevant railway infrastructure;

10.7.4. a declaration certifying that the equipment of the rolling stock is compatible with railway traffic speed, as well as with control-command and signalling systems in the relevant railway infrastructure;
10.8. information on agreements with other merchants to use their services in providing individual technological processes that are specific in the railway sector.

11. The entity in charge of maintenance of a vehicle (merchant) shall obtain a safety permit, if it ensures the safe operation of the rolling stock, using a technical maintenance system. The abovementioned entity (merchant) shall ensure that the rolling stock is managed in conformity with the documentation for the maintenance and repair of rolling stock, laws and regulations regarding construction, upgrade, renewal repair, conformity assessment and placing in service of rolling stock, as well as in conformity with the technical specifications for interoperability. In order to apply for a safety permit, a merchant shall file a submission form to the Inspectorate (Annex 2). The following shall be attached to the submission:

11.1. a document specifying the merchant’s structural unit or an official responsible for the planning, organisation, implementation and management of railway operations and for monitoring of traffic safety;
11.2. a list of qualified railway staff employed by a merchant (if any) and documents certifying the qualifications thereof;
11.3. a list of the types of the rolling stock, indicating the number of the rolling stock;
11.4. documents certifying the technical maintenance system of the rolling stock and its management, including a description of the management procedures for the technical maintenance of the rolling stock;
11.5. information regarding the norms contained in the internal documents of a merchant (for example, documents issued by the merchant, documents adopted jointly with other organisations, documents on the use, repair and maintenance of railway infrastructure equipment issued by respective manufacturers, suppliers and installers, documents issued by other organisations, documentation relating the transport of dangerous goods);
11.6. information on agreements with other merchants to use their services in providing individual technological processes that are specific in the railway sector.

12. The entity (merchant) in charge of maintenance of vehicle may be the railway infrastructure manager, the rolling stock builder, repairer or technical maintenance performer or rolling stock user.

13. If a merchant submits hard copies of documents for the receipt of a safety permit, it shall certify their conformity with the original. The Inspectorate is entitled to request to present the originals of those documents. If a copy of a document to be submitted is on several pages, they shall be numbered and sewn together (bound together).

14. A merchant shall prepare electronic documents for submission in accordance with the laws and regulations regarding the drawing up of electronic documents.

15. If a safety permit holder wishes to continue operations in the railway sector, it shall file a submission to the Inspectorate for the receipt of a new safety permit at least two months prior to the expiry of the period of validity of the received safety permit. Documents associated with changes in the conditions for the issue of the previously received safety permit and a declaration that the other safety permit conditions have not been changed, shall be appended to the submission.

16. If a safety permit holder has intended to change the field of operations or specialisation indicated in the safety permit or to change the documents referred to in Sub-paragraph 5.1, 6.1, or 11.4 of this Regulation, it shall file a submission to the Inspectorate for the receipt of a new safety permit (irrespective of the period of validity of the existing safety permit). Documents associated with changes in the conditions for the issue of the previously received safety permit...
and a declaration that the other safety permit conditions have not been changed, shall be appended to the submission.

17. A merchant that has received the railway infrastructure manager safety permit referred to in Paragraph 5 of this Regulation shall inform the Inspectorate without delay if it has made substantial changes to the infrastructure, signalling or energy supply systems or in principles of the operation and maintenance. Within one month following the receipt of the information, the Inspectorate shall evaluate the significance of the changes performed by the merchant, and if they affect the safety regulative grounds, the merchant shall, within one month, effect all the relevant changes in the safety management system or in its regulations.

18. If a merchant changes the operational conditions to the safety permit referred to in Paragraph 6, 7, 8, 9, 10, or 11 of this Regulation (except Sub-paragraph 6.1 or 11.4), it shall inform the Inspectorate thereof in writing within one month. The Inspectorate shall register the abovementioned information as changes to the operational conditions of the safety permit of the merchant.

19. If a safety permit holder changes the legal address or other details indicated in the safety permit, it shall inform the Inspectorate thereof within one month, appending to the notification the original safety permit and copies of the documents thereof (presenting the original) which certify the relevant changes.

20. A safety permit holder which has received the safety permit referred to in Paragraph 5 of this Regulation shall submit a safety report for the previous year to the Inspectorate, each year by 30 June. The Safety Report shall contain:
   20.1. information regarding the implementation of safety targets and the safety measure plan set up by the merchant;
   20.2. joint safety indicators in accordance with the laws and regulations in the field of classification, investigation and registration of railway accidents, insofar these indicators apply to the particular merchant;
   20.3. the results of the internal safety audit and monitoring;
   20.4. the considerations regarding the interruptions and deficiencies to the railway operations and recommendations regarding the improvement of the railway operations.

21. Implementation of the technological process of the railway sector, observing the safety requirements, shall be deemed certified if the merchant has entered into a written agreement regarding the implementation of such technological process with another merchant that has a safety permit for the performance of the relevant technological process.

22. The Inspectorate shall examine a submission for the receipt of a safety permit and the documents appended thereto and, if it determines that the submitted documents do not comply with the requirements of this Regulation or if they are incomplete or inaccurate, shall request additional information from the merchant. The merchant shall submit the requested information within 10 working days.

23. [14 July 2015]

24. [14 July 2015]
25. The Inspectorate shall take the decision to issue a safety permit or to refuse to issue a safety permit within one month following the receipt of the submission and the documents referred to in Paragraph 5, 6, 7, 8, 9, 10, or 11 of this Regulation.

26. The Inspectorate shall take a decision to refuse to issue a safety permit in the following cases:

   26.1. if a merchant does not conform with the requirements specified in the laws and regulations regarding railway technical operation and in the regulatory enactments regarding railway traffic safety;
   26.2. if not all the necessary documents or the additional information requested by the Inspectorate have been submitted to the Inspectorate in accordance with the requirements of this Regulation;
   26.3. if the safety permit has been revoked for a merchant within a year before the filing of the submission.

27. Within three working days following the taking of the decision, the Inspectorate shall notify the merchant thereof and publish it on its website (www.vdzti.gov.lv).

28. If a safety permit has been lost or is irrevocably damaged, the Inspectorate shall issue a duplicate of the safety permit within 10 working days following the receipt of the appropriate submission.

**IV. Suspension and Revocation of a Safety Permit**

29. The Inspectorate shall take a decision to suspend a safety permit or of the field of operation indicated in a safety permit in the following cases:

   29.1. if a merchant is unable to operate in the relevant field of commercial activities in the railway sector, meeting the safety requirements due to deficiencies in the system indicated in Paragraphs 5, 6, 7, 8, 9, 10, or 11 of this Regulation;
   29.2. if a merchant has not renewed the conditions of the operation of the safety permit in accordance with the procedures laid down in Paragraph 17 or 18 of this Regulation and, therefore, no longer conforms to the conditions of the operation of the safety permit;
   29.3. if the merchant referred to in Paragraph 5 of this Regulation and the entity in charge of maintenance of a vehicle referred to in Paragraph 11 of this Regulation does not implement the measures assigned to them in accordance with Commission Regulation (EU) No 1078/2012 of 16 November 2012 on a common safety method for monitoring to be applied by railway undertakings, infrastructure managers after receiving a safety certificate or safety authorisation and by entities in charge of maintenance.

   [28 May 2013]

30. The Inspectorate shall take a decision to revoke a safety permit or of the field of operations indicated in a safety permit in the following cases:

   30.1. if a new safety permit has been issued to a safety permit holder in accordance with the procedures laid down in this Regulation;
   30.2. if, in order to receive a safety permit the holder thereof has provided false information or withheld important facts;
   30.3. if within six months following the suspension of the safety permit or of the field of operations indicated in the safety permit the holder thereof has not rectified the deficiencies determined;
   30.4. if the safety permit or the field of operation indicated in the safety permit is suspended repeatedly for the same type of deficiencies, within one year;
30.5. if the safety permit holder has performed operations in any of the fields of operation indicated in the safety permit during a period when it had been suspended;
30.6. if the safety permit holder has terminated operations.

31. The merchant shall hand over the original of the revoked safety permit to the Inspectorate within five working days after coming into effect of the decision to revoke the safety permit.

32. If a decision is taken to suspend or revoke the safety permit, the Inspectorate shall send it to the merchant and publish it on its website (www.vdzti.gov.lv).

V. Closing Provisions

33. A safety permit which has been issued before the day of the coming into force of this Regulation is valid until the expiry of the period of validity indicated therein, if the merchant has not changed the operational conditions of the safety permit. A safety permit is also valid until the expiry of the period of validity indicated therein, if the merchant has submitted information to the Inspectorate regarding changes to the operational conditions of the safety permit but in accordance with Paragraph 16 of this Regulation, it has not been necessary to receive a new safety permit.

34. The entity in charge of maintenance of a vehicle (merchant) shall obtain a safety permit for the technical maintenance of the rolling stock referred to in Paragraph 11 of this Regulation within two years following the coming into force of this Regulation.

Informative Reference to the European Union Directives

This Regulation transposes:

Prime Minister V. Dombrovskis
Minister for Transport U. Augulis
Sample Safety Permit

(REPUBLIC OF LATVIA
State Railway Technical Inspectorate)

SAFETY PERMIT

IDENTIFICATION NUMBER

1. CERTIFIED COMMERCIAL COMPANY

Firm name of the merchant
State registration number Legal address

2. ISSUING ORGANISATION OF THE PERMIT

Organisation State

3. PERMIT DETAILS

New permit Renewed permit Updated/amended permit
Identification number of the previous permit

Valid from until
Field (-s) of commercial activity in the railway sector
Specialisation of the field of commercial activity in the railway sector

4. RAILWAY LINES AND STATIONS OF OPERATION
(for railway infrastructure managers or performers of shunting operations)
Minister for Transport

U. Augulis
Sample Submission for the Receipt of a Safety Permit

(name of a legal person, registration number)

(legal address and telephone number)

To the State Railway Technical Inspectorate

Submission for the Receipt of a Safety Permit

1. Safety permit details

1.1. New safety permit

1.2. Renewed safety permit

1.3. Updated/amended permit

1.4. Identification number of the previous safety permit

2. Field of commercial activity in the railway sector to be certified

2.1. Railway infrastructure manager

2.2. provision of railway traffic between stations, performance of shunting operations such stations and to the stations connected to private-use railway infrastructure lines;

2.3. performance of shunting operations within the boundaries of one station in public-use railway lines

2.4. performance of shunting operations in private-use railway lines

2.5. construction of railway infrastructure technical equipment

2.6. repair of railway infrastructure technical equipment

2.7. maintenance of railway infrastructure technical equipment

2.8. construction of rolling stock

2.9. repair of rolling stock

2.10. maintenance of rolling stock
2.11. entity in charge of maintenance of a vehicle

3. Specialisation of the Field of Commercial Activity to Be Certified

4. Railway Lines in Respect of the Field of Commercial Activity Indicated in Sub-paragraphs 2.1, 2.2, 2.3, and 2.4 of this Annex

Authorised representative of the submitter

(given name, surname) (signature)

(date)

Notes.
1 Shall not be completed if a safety permit is being received for the first time.
2 Shall be completed if the operations of the field of commercial activity indicated in Sub-paragraphs 2.5, 2.6, 2.7, 2.8, 2.9 and 2.10 of this Annex are not performed to the full extent.
3 Shall not be completed for the field of operations referred to in Sub-paragraph 2.1 of this Annex, if the submission of the railway infrastructure manager applies to all the railway lines registered in the State Railway Infrastructure (Track) Registry.
4 The details “signature” and “date” of the document shall not be filled in if the electronic document has been prepared in conformity with the laws and regulations regarding drawing up of electronic documents.

Minister for Transport

U. Augulis
Requirements and Basic Elements of a Safety Management System

1. The following requirements shall be determined for the safety management system:
   1.1. the basic elements and all the parts which describe the duties and responsibility of a merchant shall be documented in the safety management system;
   1.2. the safety management system shall show how various management levels are ensured, how all levels of the staff are involved and how the continuous improvement of the safety management system is ensured.

2. A safety management system shall comprise the following basic elements:
   2.1. a safety policy that is approved by the merchant’s chief executive and communicated to all staff;
   2.2. the qualitative and quantitative targets of the merchant for maintaining and enhancing safety, and plans and procedures for reaching these targets;
   2.3. procedures to meet existing, new and altered technical and operational standards that have been developed in accordance with:
      2.3.1. the technical specifications for interoperability;
      2.3.2. laws and regulations regarding national safety targets and safety methods;
      2.3.3. laws and regulations regarding the safety management systems of a merchant and the permit conditions;
      2.3.4. laws and regulations regarding the registration of the rolling stock;
      2.3.5. laws and regulations regarding the construction, upgrade, renewal repairs, conformity assessment and placing in service of the rolling stock;
      2.3.6. laws and regulations regarding the operating regulations for a railway network for which the technical specifications for interoperability do not as yet apply, including those that apply to signalling and traffic control systems;
      2.3.7. laws and regulations providing for additional requirements for the working procedure regulations to be adopted by the merchant;
      2.3.8. laws and regulations regarding requirements for staff who are directly involved with railway traffic, including personnel selection criteria, state of health, professional training and certification, insofar as these issues have not already been specified in the technical specifications for interoperability;
      2.3.9. laws and regulations regarding the procedures for the classification, investigation and recording of railway traffic accidents;
   2.4. procedures to assure compliance with the regulatory documentation, applicable standards and other prescriptive conditions throughout the life-cycle of equipment and operations;
   2.5. procedures and methods for carrying out risk evaluation and implementing risk control measures whenever operating conditions or new material imposes new risks on operations;
   2.6. staff training programmes and systems to ensure that the competence of the staff competence is maintained and tasks carried out accordingly;
   2.7. measures of the merchant for the circulation of internal information (where appropriate – circulation of information between merchants operating on the same railway infrastructure);
2.8. procedures and formats for documenting safety information, as well as procedures for configuration control of vital safety information;

2.9. procedures to ensure that accidents, incidents, near-misses and other dangerous occurrences are reported, investigated and analysed, and that necessary preventive measures are taken;

2.10. the co-ordinated action plan of the relevant State administrative institutions and the provision of alerts and information after an accident;

2.11. provisions for recurrent internal auditing of the safety management system.

Minister for Transport

U. Augulis
Safety Indicators
[14 July 2015]