

APPROVED
by the Executive Board of the
Joint Stock Company LatRailNet
in a meeting held on 6 September 2016,
min. no JALP-1.2/30-2016
in Riga

REGULATIONS

6 September 2016

No. JALP-7.6/01-2016

The scheme for the allocation of the public-use railway infrastructure capacity

Issued under Article 13.² and
Article 27(11) of the Railway Law

I. General issues

1. These regulations (hereinafter referred to as the Scheme) lay down:

- 1.1. the coordination process of the capacity allocation of the public-use railway infrastructure (hereinafter referred to as the railway infrastructure) carried out by the manager of the public-use railway infrastructure, State Joint Stock Company Latvian Railway;
- 1.2. the procedure for the assignment of train paths;
- 1.3. the criteria by which to determine that train paths are not used;
- 1.4. operational activities in case of temporary insufficiency of the infrastructure capacity;
- 1.5. the maintenance notice;
- 1.6. the dispute settlement procedure.
- 1.7. the procedure for submitting and considering capacity applications for the allocation of the railway infrastructure for non-scheduled trains.

(Amended by regulations of 11.12.2018.)

2. The following terms are used in the Scheme:

- 2.1. **capacity allocation body** — the performer of the essential functions of the infrastructure manager, responsible for the allocation of infrastructure capacity and the assignment of the train paths;
- 2.2. **capacity allocation dispatcher** – a shift employee (a dispatcher) of the capacity allocation body, carrying out the operational capacity allocation and the assignment of train paths during the period of their shift;
- 2.3. **railway transportation dispatcher** - a dispatcher at the Train Movement Control Centre of the infrastructure manager;
- 2.4. **operational capacity allocation plan** – a daily planning document indicating train paths assigned to specific railway undertakings;
- 2.5. **temporary insufficiency of the capacity** – if the number of trains per day exceeds the throughput capacity of an infrastructure section or the processing capacity of a station;
- 2.6. **route of a railway line** – the railway line between hub stations, where the disassembling of a train set, the change of a railway undertaking, and the change of train movement direction can be performed.

(Amended by regulations of 11.12.2018.)

3. The Scheme is applied to all railway undertakings, applicants and the infrastructure manager in compliance with the capacity allocation regulations issued by the Cabinet of Ministers.

4. Capacity applications are submitted no earlier than 12 months before the annual working timetable enters into force, in accordance with the capacity allocation regulations issued by the Cabinet of Ministers and the form included in Annex I of the Scheme:

4.1. after the deadline of capacity application submission, the capacity allocation body analyses the submitted capacity applications. Infrastructure sections (elements) for international passenger, domestic passenger and freight traffic are combined into the routes of railway lines (Annex III);

4.2. applicants have a possibility to submit capacity applications during the period after the submission deadline; in this case, applicants may claim a part of allocatable railway infrastructure capacity that has not been requested by the applicants who submitted capacity applications within the time limits specified in capacity allocation regulations issued by the Cabinet of Ministers;

4.3. applicants have the right to submit modifications of capacity applications and they are considered in the following order:

4.3.1. modifications of capacity applications may be submitted once, but not later than two months before the deadline for the publication of the project of the annual working timetable;

4.3.2. modifications of capacity applications submitted after the deadline set by Sub-paragraph 4.3.1. of the Scheme, but not later than two months before the start of the annual timetable for the next period, are considered and can be satisfied, if they do not affect the interests of other applicants and concern only one route of a railway line, without affecting routes of other railway lines;

4.3.3. Modifications of capacity applications submitted after the deadline set by Sub-paragraph 4.3.2. of the Scheme, are considered as applications for the modification of the annual working timetable.

(Amended by regulations of 11.12.2018.)

5. The infrastructure manager, after coordination with the neighbouring railways, submits the number of international transboundary trains, as well as a provisional list of passenger and container trains until 15 May of the current year.

6. The infrastructure manager ensures that over the course of development of the annual working timetable changes to the paths of the international transboundary trains are kept to the minimum.

II. Coordination process of the allocation of the infrastructure capacity

7. When coordinating the allocation of infrastructure capacity, the capacity allocation body complies with the priorities laid down in Article 27(3) of the Railway Law, offers applicants measures laid down in the capacity allocation regulations issued by the Cabinet of Ministers, as well as, in accordance with international agreements, cooperation and utilisation of infrastructure sections, in addition complies with the following criteria:

7.1. the importance of a service to the society, relative to any other service which will no longer be available;

7.2. within a specialized infrastructure, priority may be given to a specialized type of traffic. Such designation does not hinder the use of this infrastructure for other types of traffic, if there is sufficient infrastructure capacity;

7.3. the co-operation experience of a railway undertaking and the infrastructure manager, if any;

7.4. the planned regularity, intensity and duration of the use of the infrastructure;

7.5. the compliance of technical characteristics of trains with effective use of the infrastructure;

7.6. the information about payments for infrastructure services charged during the previous infrastructure capacity allocation period, if such information exists.

8. If applicants do not agree with the allocation of the infrastructure capacity proposed by the capacity allocation body, cannot come to an agreement and do not agree to amend the capacity applications within ten working days, the capacity allocation body:

8.1. immediately notifies the known applicants and the infrastructure manager that over the course of coordination it has not been possible to meet the capacity requests adequately and the specific infrastructure section is overloaded;

8.2. reduces or does not grant infrastructure capacity to those applicants, whose technical characteristics of trains do not ensure efficient use of infrastructure;

8.3. allocates the infrastructure capacity according to the order laid down in the Railway Law and the capacity allocation regulations issued by the Cabinet of Ministers as well as in compliance with the criteria laid down in Paragraph 7 of the Scheme.

9. The capacity allocation body tries to make optimal use of available infrastructure capacity, offering it to other applicants or for the needs of the infrastructure manager.

10. In case of the infrastructure capacity allocation in more than one railway network in the European Union, as well as in a railway network that is connected to the third countries, the capacity allocation body applies the order and criteria used to assess and allocate the infrastructure capacity for domestic transportation that have been laid down in the capacity allocation regulations issued by the Cabinet of Ministers and in this Scheme.

11. In cooperation with the infrastructure manager, the capacity allocation body may propose organising international train paths to facilitate the transportation of freight, covered by special service train requests.

III. Order of assignment of train paths

12. The capacity allocation body assigns train paths to specific railway undertakings as routes of railway lines within the operational capacity allocation plan according to the approved plan for the railway infrastructure capacity allocation and the annual working timetable. The capacity allocation body keeps a record of the actual usage of train paths.

(Amended by regulations of 11.12.2018.)

13. The infrastructure manager:

13.1. according to the approved plan for the allocation of infrastructure capacity, sends the annual working timetable to the capacity allocation body at least 30 calendar days before the date it enters into force;

13.2. constantly and timely provides the capacity allocation body with the latest statistics related to transportation processes as well as with information about train arrivals from neighbouring railways.

14. The capacity allocation body considers that actual and technological conditions are equal and optimum utilisation of the infrastructure can be achieved if:

- 14.1. traffic does not exceed the allocated infrastructure capacity;
- 14.2. railway undertakings provide traction and locomotive crew to all the trains at their disposal;
- 14.3. railway undertakings take trains to the predetermined final destination according to the technological and technical rules;
- 14.4. the infrastructure manager ensures an unimpeded minimum access package;
- 14.5. passenger and special freight train traffic takes place according to the approved working timetable or according to a working timetable which has been amended in the specified order;
- 14.6. freight train traffic takes place without delays, without affecting the capacity of infrastructure sections, according to the regular working hours of locomotive crews;
- 14.7. overloading of technical stations with trains that have not been dispatched in time does not occur;
- 14.8. delivery of goods takes place on time to ensure a rhythmic operation of freight terminals.

15. The capacity allocation dispatcher, in equal actual and technological conditions, assigns train paths in the operational capacity allocation plan:

- 15.1. from a take-over station, a formation station, a traction or locomotive crew exchange station – according to train arrival (formation) sequence and readiness for departure, taking into account the capability to receive trains at a final destination;
- 15.2. from an unloading station – according to locomotive arrival sequence, while taking into account any proposals made by the railway undertakings and the dislocation of the locomotive fleet within the railway network.

(Amended by regulations of 11.12.2018.)

16. In case if the unloading stations do not have enough traction for the removal of trains with empty wagons, the capacity allocation dispatcher:

- 16.1. in the process of drafting the operational capacity allocation plan takes into account, that the railway undertaking first ensures the traction for the train set of wagons, which it delivered for unloading, or considers the possibility of using another railway undertaking's traction after coordination with its owner;
- 16.2. in the operational capacity allocation, a provision is made for the dispatchment of a backup locomotive to an unloading station of a railway undertaking, which delivered these wagons for unloading.

(Amended by regulations of 11.12.2018.)

17. Not later than four hours before the start of the programming period:

- 17.1. railway undertakings electronically submit to the capacity allocation body (to the email address in the Riga region: LRNjsd1@ldz.lv; in the Daugavpils region: LRNjsd2@ldz.lv; in the Jelgava region: LRNjsd3@ldz.lv) their proposals (if any) regarding the assignment of train paths according to the form provided in Annex IV of the Scheme;

17.2. a railway transportation dispatcher submits to the capacity allocation body proposals regarding the possible train dispatching; the proposals for appointing passenger and service trains that have been previously appointed by telegraphic orders (for example, 4th address telegrams) do not need to be submitted.

(Amended by regulations of 05.09.2019.)

18. On the basis of proposals submitted by railway undertakings and a railway transportation dispatcher, a capacity allocation dispatcher draws up an operational capacity allocation plan two times per day (not later than at 15.00 and 3.00), approves it and sends it to the Train Movement Control Centre of the infrastructure manager and railway undertakings for execution. If during the process of drafting the plan, an inconsistency occurs between the proposals submitted by railway undertakings and those submitted by a railway transportation dispatcher, then a capacity allocation dispatcher makes a decision on the assignment of train paths takes into consideration the loading of the hub stations and efficient capacity utilization within infrastructure sections.

(Amended by regulations of 05.09.2019.)

19. If over the course of the execution of the confirmed operational capacity allocation plan any disruption in train movements has suddenly emerged and it has become necessary to make changes to the set sequence of train movements between different railway undertakings, the capacity allocation body, subject to the operational situation and the principle of equal access, immediately makes the decision on these changes and gives instructions accordingly to railway undertakings and the infrastructure manager by using the official electronic means of communication. To the railway undertakings that do not provide an optimal utilisation of the infrastructure capacity, operational measures that are laid down in Paragraph 23 of the Scheme, can be applied.

IV. Criteria by which to determine that train paths are not used

20. Non-use of trains paths is established by the capacity allocation body according to the following criteria:

20.1. due to the fault of applicants:

20.1.1. railway undertakings have not informed the capacity allocation body timely (four and more hours before the start of train path assignment planning period or at all about the changes in train dispatching (the number of unused train paths);

20.1.2. the assignment of train paths is not planned because the consignee refuses to accept wagons for unloading or because the unloading does not take place in the agreed amount (the number of trains not dispatched);

20.1.3. trains that have been set in the capacity application to be dispatched according to the train schedule do not use the assigned train paths at least five times a month (or according to the threshold quota specified in the infrastructure network report) unless it has happened due to reasons which are not of an economic nature and which could not have been affected by the applicant;

20.2. due to the fault of the infrastructure manager:

20.2.1. the extension of the technological breaks ("windows") (number of trains not dispatched);

20.2.2. the infrastructure maintenance is not provided to the degree set in the infrastructure network report (number of trains cancelled).

21. In case of a particularly overloaded infrastructure, the capacity allocation body requests the cancellation of a previously assigned train path that has been used less than five calendar days in at least one month (or according to the threshold quota specified in the infrastructure network report) unless it has happened for reasons, which are not of an economic nature and which could not have been affected by the applicant.

V. Operational measures in case of temporary insufficiency of the infrastructure capacity

22. Temporary insufficiency of the railway infrastructure capacity may occur in at least one of the following cases:

22.1. the infrastructure manager is not able to provide the railway infrastructure capacity specified in the railway infrastructure network statement;

22.2. traffic exceeds the allocated railway infrastructure capacity;

22.3. technological standards in the train processing stations are exceeded and trains have been prohibited from movement;

22.4. a railway undertaking does not provide the norms of the working timetable;

22.5. the time periods specified in the annual working timetable for trains, which have been set in the capacity application to be dispatched according to the train schedule, are not complied with;

22.6. cargo terminals (consignees) are not able to receive freight trains;

22.7. final stations or railways in the neighbouring countries do not accept cargoes according to the planned number of trains;

22.8. an uncoordinated extension of technological breaks ("windows") has taken place;

22.9. a train is delayed;

22.10. an emergency situation has occurred or the elimination of the consequences of an accident is being provided;

22.11. a damage to traction or wagons has occurred;

22.12. the railway carrier(s) does not provide traction for the trains (formed or in transit) at the hub station.

(Amended by regulations of 11.12.2018.)

23. If the capacity allocation body has received a message from the station (railway junction) manager about the congestion of the station (railway junction) and finds that the causes of the congestion can be prevented as part of the train path assignment process, it offers the infrastructure manager and railway undertakings to participate in the following operational activities:

23.1. to assign additional trains, if there is such a possibility;

23.2. to provide train passage through bypasses and alternate routes, if any:

23.2.1. after coordinating with the railway undertaking, if the throughput capacity is limited due to a scheduled maintenance work;

23.2.2. after informing the railway undertaking in order to normalize the work of the hub station;

23.3. to reduce the allocated railway infrastructure capacity down to the actually required for those railway undertakings that do not have trains ready for departure;

23.4. to decide on the assignment of train paths to those railway undertaking's trains that are ready for departure and will be accepted at the final destination;

23.5. to move a set of freight wagons of one railway undertaking using the traction from another railway undertaking, after the railway undertakings have specifically agreed to such activity;

23.6. to stop a freight train set in an intermediate station, as well as to move a freight train set from the hub station to an intermediate station, in this case the particular train set is determined by the station (railway junction) manager whose infrastructure is overloaded, and the message is sent electronically to the e-mail address LRNjsd1@ldz.lv;

23.7. to review train dispatch sequence if cargo unloading is not provided;

23.8. to decide on the moving sequence of trains with less weight and shorter length within the railway infrastructure;

23.9. with the consent of the respective railway undertakings, to include the traction of one railway undertaking in the freight train of another railway undertaking;

23.10. to identify other activities according to the laws and regulations.

(Amended by regulations of 11.12.2018.)

24. In case the set sequence of train movements needs to be changed, the capacity allocation body updates the operational capacity allocation plan and informs railway undertakings about the changes made by phone (providing recording of the conversation).

VI. Maintenance notice

25. The infrastructure manager submits the maintenance notice to the capacity allocation body in writing according to the form included in Annex II of the Scheme.

26. If due to unscheduled maintenance the infrastructure capacity is not available, the infrastructure manager notifies the railway undertakings and the capacity allocation body as soon as possible.

VII. Dispute settlement procedure

27. The capacity allocation body applies the dispute settlement procedure starting from the moment when an applicant has submitted objections regarding the infrastructure capacity allocation in writing (using the official, including electronic means of communication).

28. The capacity allocation body has a duty to review the objections within two working days after receiving them and to offer the applicant to take specific measures, and to amend the capacity application, if necessary. Regarding the aforementioned, the capacity allocation body is obliged to immediately notify the applicant in writing (using the official, including electronic means of communication).

29. The applicant is obliged to submit a written response to the capacity allocation body about agreeing or refusing to amend the capacity application within five working days from the submission of the objections (using the official, including electronic means of communication).

30. The capacity allocation body decides on the allocation of infrastructure capacity within ten working days since the start of the dispute settlement procedure (the receiving of objections).

VII.¹ Procedure for submitting and considering capacity applications for non-scheduled trains

30.¹ An applicant submits a capacity application for non-scheduled trains electronically by email: latrailnet@ldz.lv, or by post to the legal address of the capacity allocation body.

30.² A capacity application for non-scheduled trains is submitted in accordance with the form provided in Annex I to the Scheme.

30.³ A capacity application for non-scheduled trains is supplemented with:

30.^{3.1} documents confirming the priority of the railway service, where the railway infrastructure capacity is required for the provision of rail transport services, which, in accordance with Section 27, Paragraph three of the Railway Law, have priority in the allocation of railway infrastructure capacity;

30.^{3.2} if the applicant is not a railway undertaking – documents confirming that the railway undertaking designated by the applicant agrees to carry out the transportation.

30.⁴ The capacity allocation body considers capacity applications for non-scheduled trains and within five working days provides an answer about the possibility of allocating the railway infrastructure capacity using official electronic means of communication.

30.⁵ If the requested railway infrastructure capacity corresponds to the railway infrastructure capacity reserved for non-scheduled trains, then the railway infrastructure capacity is allocated without the coordination procedure. In this case the capacity allocation body as soon as possible, but not later than ten working days, decides on the allocation of infrastructure capacity to non-scheduled trains, informing the applicant and the infrastructure manager about it using official electronic means of communication.

30.⁶ If the requested railway infrastructure capacity for non-scheduled trains affects the interests of other applicants, then the decision on the allocation of infrastructure capacity is taken after the coordination procedure. In this case, the capacity allocation body as soon as possible, but not later than fourteen working days, decides on the allocation of railway infrastructure capacity to non-scheduled trains, informing the applicant and the infrastructure manager about it using official electronic means of communication.

(Amended by regulations of 11.12.2018.)

VIII. Closing questions

31. This Scheme is published online by the capacity allocation body on its website and submitted to the infrastructure manager for inclusion in the railway infrastructure network statement.

32. This Scheme enters into force upon its publication.

JSC LatRailNet
Capacity Allocation Director

T. Lukonen

Annex I
to Joint Stock Company LatRailNet
regulations No. JALP-7.6/01-2016
on 6 September 2016

“The scheme for the allocation of the public-use railway infrastructure capacity”

CAPACITY APPLICATION

No.	Name of Infrastructure Department ¹⁾	Number of trains ²⁾	Train terminal station ³⁾	Driving frequency ⁴⁾	Traction Type (Series) ⁵⁾	Train weight and length ⁶⁾	Speed limits ⁷⁾	Locomotive crew work ⁸⁾	Train service points ⁹⁾	Special pass conditions ¹⁰⁾	Official means of communication ¹¹⁾
1	2	3	4	5	6	7	8	9	10	11	12

1) indicates the name of the railway infrastructure unit as stated in the railway infrastructure network statement. Railway undertakings, which have a changing number of trains within the limits of a single section, must divide the said section in subsections according to the stations in which the number of trains changes;

2) indicates the expected number of trains per day on average;

3) indicates the expected train distribution over the final end-of-route stations, for passenger services, indicating the desired waypoints for each train;

4) indicate the periodicity of running or the conditions of the train running for the season, months or days of the week, as well as adding the desired train running time between the station terminals, if relevant;

5) specifies the type (series) of traction vehicle;

6) for freight trains: indicates the planned train weight and length (in conditional units); for passenger trains: indicates the number and length of wagons (in meters);

7) indicates the actual speed of the traction vehicle in the railway infrastructure area (subject to any restrictions);

8) indicates the working order of the locomotive crews on the particular train route, including the check points (indicating whether they provide rest);

9) indicates the planned wagon service locations on the route (if applicable);

10) specifies the special conditions affecting the time and circumstances of the train movement (if any), accompanied by a detailed explanation;

11) indicates the official electronic means of communication to be used with the applicant (contact details).

12) additionally, an applicant indicates the approximate time of departure or arrival of trains on the train path, if it is relevant to the applicant or makes an indication that the allocation of train paths may be operational.

(Amended by regulations of 11.12.2018.)

Annex II
to JSC LatRailNet
regulations No. JALP-7.6/01-2016
on September 6, 2016

“The scheme for the allocation of the public-use railway infrastructure capacity”

MAINTENANCE NOTICE

No.	Name of the infrastructure section ¹	Period of maintenance ²	Number of technological trains ³	Speed limit at the maintenance site ⁴	Description of maintenance works	Miscellaneous ⁵

1. the name of the infrastructure section that has requested maintenance, according to the one mentioned in the railway infrastructure network statement, specifying the specific location within the section, including infrastructure sections that are required to move the technological trains necessary for maintenance;
2. the planned maintenance periods and breaks required in train movement in the annual working timetable, number and length of the breaks;
3. the planned number of technological trains and the required traction units;
4. speed restrictions at the maintenance site, including the adjacent roadways (if any);
5. other conditions affecting the time and conditions of the technological train movement (if any), adding a detailed explanation.

Annex III
to Joint Stock Company LatRailNet
regulations No. JALP-7.6/01-2016
issued on 6 September 2016

“The scheme for the allocation of the public-use railway infrastructure capacity”

THE LIST OF ROUTES OF RAILWAY LINES

Route of railway line	Sections (the registration index of national railway infrastructure)
Freight traffic	
Rēzekne II – Krustpils	07.
Daugavpils – Krustpils	04.
Jelgava – Ventspils	01., 02.
Ventspils – Jelgava	01., 02.
Rēzekne II – Daugavpils	10.
Daugavpils – Rēzekne II	10.
Jelgava – Liepāja	15.
Liepāja – Jelgava	15.
Jelgava – Krustpils	03.
Šķirotava – Krustpils	06.
Jelgava – Šķirotava	14., 06.
Šķirotava – Jelgava	14., 06.
Šķirotava – Lugaži – the national border	17., 25.
Jelgava – Meitene – the national border	16.
Daugavpils – Indra – the national border	05.
Daugavpils – Eglaine – the national border	12.
Rēzekne II – Zilupe – the national border	08.
Rēzekne II – Kārsava – the national border	09.
Daugavpils – Kurcums – the national border	11.
Domestic passenger traffic	
Rēzekne – Daugavpils (odd and even directions)	10.
Rīga Pasažieru – Krustpils (odd and even directions)	06.
Jelgava – Rīga Pasažieru (tai skaitā Tornakalns – Tukums II) (odd and even directions)	14., 18.
Rīga Pasažieru – Zemitāni [all turnaround points] (odd and even directions)	17.
International passenger traffic	
Rīga Pasažieru – Lugaži – the national border (odd and even directions)	17.
Rīga Pasažieru – Meitene – the national border (odd and even directions)	14., 16.
Rīga Pasažieru – Indra – the national border (odd and even directions)	06., 04., 05.
Rīga Pasažieru – Zilupe – the national border (odd and even directions)	06., 07., 08.
Rīga Pasažieru – Kārsava – the national border (odd and even directions)	06., 07., 09.
Daugavpils – Kurcums – the national border (odd and even directions)	11.
Daugavpils – Eglaine – the national border (odd and even directions)	12.
“Gulbenes – Alūksnes bānītis”	
Gulbenes – Alūksnes (odd and even directions)	32.

(Amended by regulations of 05.09.2019.)

Annex IV
to Joint Stock Company LatRailNet
regulations No. JALP-7.6/01-2016
on 6 September 2016

“The scheme for the allocation of the public-use railway infrastructure capacity”

to the capacity allocation dispatcher of
JSC LatRailNet

PROPOSALS FOR DRAFTING THE OPERATIONAL CAPACITY ALLOCATION PLAN No. _____

_____ for the planned period _____
(date) (planned period)

Please assign the train paths in operational capacity allocation plan:

No.	Route	Dispatch time	Locomotive No.	Locomotive crew	Notes
1	2	3	4	5	6

In column 2, the route of the railway line is indicated according to the list of routes of railway lines JAPL-7.6/01-2016 (Annex III);

In column 3, the preferable train dispatch time is indicated according to the working timetable;

In column 4, the number of planned means of traction is indicated (numbers if more than one locomotive);

In column 5, the affiliation of locomotive crew is indicated;

In column 6, proposals, preferences or restrictions are indicated.

(Amended by regulations of 05.09.2019.)