



Organisation intergouvernementale pour les transports internationaux ferroviaires
Zwischenstaatliche Organisation für den internationalen Eisenbahnverkehr
Intergovernmental Organisation for International Carriage by Rail

**Commission d'experts techniques
Fachausschuss für technische Fragen
Committee of Technical Experts**

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Work Programme

1. INTRODUCTION

This work programme should be read together with the OTIF's Work Programme for 2020/2021 http://otif.org/fileadmin/new/5-Media/5D-WorkProgramme/2020-2021/WP_EN_20-21.pdf, which presents the general principles underlying a sustainable legal framework for international rail transport, the need to consider updating the UTP and ATMF annexes and the development of the annexes to the new EST UR (Appendix H) concerning the safe operation of trains in international traffic.

This document will therefore be limited to the future development of specific rules and the timetable related to these developments. This work programme will focus on the proposals to be prepared for the 14th (2022) session of the Committee of Technical Experts, with a look forward to activities beyond then.

2. UNIFORM TECHNICAL PRESCRIPTIONS

2.1 UPDATING EXISTING UNIFORM TECHNICAL PRESCRIPTIONS

There are currently twelve Uniform Technical Prescriptions (UTPs) in force and proposals for two new UTPs subject to a vote at the 13th session of the Committee of Technical Experts in June 2021 (one regarding train composition and route compatibility checks and one concerning infrastructure).

Table 1: Overview of all UTPs that are either in force or are proposed for adoption in 2021

UTP abbreviation	Subject	Date of entry into force of latest version
UTP GEN-A	ESSENTIAL REQUIREMENTS	01.12.2017
UTP GEN-B	SUBSYSTEMS	01.06.2019
UTP GEN-C	TECHNICAL FILE	01.12.2017
UTP GEN-D	ASSESSMENT PROCEDURES (MODULES)	01.10.2012
UTP GEN-E	ASSESSING ENTITY-QUALIFICATIONS AND INDEPENDENCE	01.12.2011
UTP GEN-G	COMMON SAFETY METHOD (CSM) ON RISK EVALUATION AND ASSESSMENT (RA)	01.12.2016
UTP WAG	FREIGHT WAGONS	01.04.2021 01.01.2022*
UTP LOC&PAS	LOCOMOTIVES AND PASSENGER ROLLING STOCK	01.01.2015 01.01.2022*
UTP NOI	ROLLING STOCK NOISE	01.04.2021
UTP MARKING	VEHICLE MARKING	01.04.2021
UTP PRM	ACCESSIBILITY FOR PERSONS WITH DISABILITIES AND PERSONS WITH REDUCED MOBILITY	01.01.2015 01.01.2022*

UTP TAF	TELEMATICS APPLICATIONS FOR FREIGHT SERVICES	01.06.2020
UTP TCRC	TRAIN COMPOSITION AND ROUTE COMPATIBILITY CHECKS	01.01.2022*
UTP INF	INFRASTRUCTURE	01.01.2022*

**) UTPs that are subject to a vote in June 2021 and for which the projected date of entry into force is 1 January 2022, subject to adoption by the Committee of Technical Experts and the conditions laid down in Article 35 § 4 of COTIF.*

No substantial updates of UTPs are anticipated at the 14th session of the Committee of Technical Experts in 2022. It may however be necessary, for example, to correct any errors or update the references to technical documents in appendix 1 to the UTP TAF.

The European Union is further developing several existing technical specifications for interoperability (TSIs), which might lead, for example, to including new rules in these TSIs concerning digital automatic couplers, derailment detection devices etc. OTIF is involved in these developments by staff from the OTIF Secretariat participating in the working groups of the European Union Agency for Railways (ERA) and the European Union's presentation of developments at sessions of the OTIF working groups.

These developments may result in proposals to update the OTIF UTPs beyond 2022.

2.2 POSSIBLE NEW DEVELOPMENTS UNDER THE APTU UR

UTP GEN-B lists the following subsystems:

Structural areas:	Functional areas:
Infrastructure	Operation and traffic management
Energy	Maintenance
Trackside control-command and signalling	Telematics applications for passenger and freight services
On-board control-command and signalling,	
Rolling stock	

Article 8 § 2 of APTU lays down that in principle, each subsystem shall be subject to one UTP. Where relevant, a subsystem may be covered by several UTPs and one UTP may cover several subsystems.

Since the beginning of the work of the Committee of Technical Experts, the focus has been on the development of UTPs which are necessary for the harmonised implementation of ATMF, i.e. those that are necessary for admission to and use of vehicles in international traffic. Within this focus, priority has been given to all UTPs related to freight wagons, which is justified by the fact that most freight traffic by rail is international and most freight wagons are used internationally. As a second step, UTPs related to locomotives and passenger rolling stock have been developed.

However, there is also a legal basis in APTU for the future development of UTPs for energy, control-command and signalling, operation and traffic management (beyond the new UTP TCRC), maintenance and telematics applications for passengers. Before starting the development of any of these UTPs a

thorough analysis should be made with regard to whether they are necessary and feasible¹. It is not proposed to carry out such analyses in 2021 or 2022.

3. UPDATING RULES SUBSIDIARY TO THE ATMF UR

On the basis of the ATMF Uniform Rules, several subsidiary rules may or must be developed by the Committee of Technical Experts. There are currently four sets of rules which are subsidiary to the ATMF UR:

Title	Date of entry into force of latest version
Annex A to ATMF, concerning the rules for certification and Auditing of Entities in Charge of Maintenance (ECM)	01.04.2021
Annex B to ATMF, concerning the requirements and procedure for derogations from application of UTP(s) related to a structural or functional subsystem	01.01.2014
Uniform formats of certificates which verify the technical admission of a vehicle or of a type of vehicle according to Article 12 § 1	01.12.2012
Specifications for vehicle registers in accordance with Article 13 of ATMF	01.04.2021

At its 42nd session (remote meeting, 17-18.11.2020), the working group technology (WG TECH) suggested including in the work programme of the Committee of Technical Experts an analysis and review of Annex B to ATMF. It is proposed that the Committee of Technical Experts should follow this suggestion.

Furthermore, it is proposed that WG TECH should continue to seek possibilities that facilitate the search and retrieval of vehicle data from the vehicle registers in accordance with agenda item 8.2 and the document prepared for this purpose for the 13th session of the Committee of Technical Experts.

4. DEVELOPMENT OF ANNEXES TO THE EST UR (APPENDIX H)

In September 2018, at the 13th session of the General Assembly, a new Appendix H to COTIF was adopted², entitled the EST Uniform Rules. Entry into force of the EST UR is pending approval by two-thirds of the OTIF Member States which, according to previous experience, may take several years. After this required approval is obtained, it will take approximately one year for the provisions to enter into force.

The new Appendix H to COTIF sets out uniform rules for the safe operation of trains in international traffic. It provides general principles and responsibilities for the cross-border operation of trains for States that already fully apply APTU and ATMF. The rules are compatible with the provisions of the EU rules on safety of the railway system.

The EST UR requires from Contracting States that:

¹ For reference, such an analysis was also carried out prior to the development of the UTP infrastructure. See working document 6.2 of the 11th Committee of Technical Experts http://otif.org/en/?page_id=1113

² <http://otif.org/fileadmin/new/2-Activities/2A-General-Assembly/2AcNotifications/NOT-18001-Ad2-fde-Appendice-H-EST.pdf>

- Responsibilities for ensuring railway safety are clearly assigned;
- The safety and operational rules applicable to railway undertakings and to infrastructure manager(s) are public/available;
- There is a process for the safety certification of railway undertakings and all certified railway undertakings are publicly registered;
- All railway undertakings and the infrastructure manager(s) will have established their safety management systems and monitor their correct implementation;
- They mutually recognise assessment results from the Safety Certification Authorities of other Contracting States. (They may, optionally, also conclude agreements which provide for the mutual recognition of Safety Certificates);
- Railway undertakings and infrastructure managers cooperate to ensure the safe operation of trains on the Contracting State's territory.

The General Assembly recommended that the Committee of Technical Experts prepare proposals for annexes to the EST UR before the EST UR enter into force. The proposals could then be adopted by the Committee of Technical Experts without delay after the EST UR enter into force.

In accordance with Article 8 § 3 of the EST UR, in order to implement the requirements of the EST UR in a harmonised way, the annexes to be developed must include:

- A Common Safety Method for safety management system requirements to be applied by Safety Certification Authorities when issuing Safety Certificates and by railway undertakings and infrastructure managers when developing, implementing, maintaining and improving their safety management systems;
- A Common Safety Method on monitoring to be applied by railway undertakings and infrastructure managers and entities in charge of maintenance;
- The necessary links to the Common Safety Method on risk evaluation and assessment to be applied by the railway undertakings, infrastructure managers and entities in charge of maintenance when making any technical, operational or organisational change to the railway system;
- A Common Safety Method on supervision to be applied by Supervision Authorities.

Furthermore, the Committee of Technical Experts should consider the inclusion of harmonised procedures for the issuing of Safety Certificates.

There are some interdependencies between the different Common Safety Methods.

The Common Safety Method on **SMS requirements** has links to:

- Operations (EU: TSI OPE);
- CSM on monitoring;
- CSM Risk Evaluation and Assessment (UTP GEN-G).

The Common Safety Method on **monitoring** has links to ECM regulation.

The Common Safety Method on **supervision** has links to the Common Safety Method on SMS requirements.

On the basis of these interdependencies, the following steps are proposed:

Step 1:

- Develop the CSM on SMS requirements.

- Integrate the necessary operational provisions (based on OPE TSI).
- Include all links to UTP GEN-G (CSM on risk evaluation and assessment).
- Develop the CSM on monitoring in parallel with the above.

Step 2:

- Develop the CSM on supervision, with the exception of coordinated and joint supervision (Annex II to the EU CSM), as these do not fall within the scope of COTIF.

Step 3:

- Develop a system of cooperation and peer evaluation for:
 - Coordinated and joint supervision of Supervision Authorities;
 - Mutual recognition of safety certificates by Safety Certification Authorities.

It is proposed to request WG TECH to start with the developments under step 1, i.e. to start developing the CSM on SMS requirements and the CSM on monitoring. WG TECH should report on progress at the next session of the Committee of Technical Experts.

Similarly to the development of UTPs, the CSMs will be developed on the basis of the best practices offered by European Union legislation. A question that has yet to be answered is whether it would be useful to use a 2-column layout, as is required by the APTU UR for the UTPs, or whether the CSMs should be presented in full-width text. As a reminder, the UTPs use two column text when there is a difference between the OTIF UTP text and the corresponding European Union TSI text. In such case, the EU texts are provided in the right-hand column for information only. Text which is full-width is identical in substance.

There is no legal requirement to use two-column texts for the CSMs. However it may be beneficial to do so, particularly for railway undertakings, so that they can see the differences and commonalities between OTIF rules and European Union rules. The Secretariat would suggest a hybrid solution, where the official CSM is in full width text and an additional informal document with a two-column format is provided for information.

5. MONITORING AND ASSESSMENT OF IMPLEMENTATION

It is proposed that the Secretariat will initiate monitoring and assessment of the implementation of APTU and ATMF by Contracting States in accordance with the conclusions of agenda item 8.1 of the Committee of Technical Experts' 13th session. It should keep WG TECH informed of progress and report to the next session of the Committee of Technical Experts.

PROPOSAL FOR DECISION

The Committee of Technical Experts adopts document TECH-21008-CTE13-8.3 and requests the Secretariat, in coordination with the standing working group (WG TECH), to draft proposals to modify or establish the technical provisions of COTIF accordingly and submit them to the Committee for approval.

In particular, this means that the following should be prepared for the 14th session of the Committee of Technical Experts:

1. A review of Annex B to ATMF and, if relevant, proposals for modification.
2. An update of the possibilities for facilitating the search and retrieval of vehicle data from the vehicle registers in accordance with agenda item 8.2.
3. Progress report on the development of the Common Safety Method on Safety Management System requirements and the Common Safety Method on monitoring.

4. Progress report on monitoring and assessment of the implementation of APTU and ATMF by Contracting States.
5. If relevant, an update of Appendix I to the UTP TAF.

The Committee of Technical Experts invites WG TECH to propose other items it considers relevant for the provisional agenda of the 14th session of the Committee of Technical Experts.