



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

TECH-24010-CTE16-6.2

15.04.2024

Original: EN

16TH SESSION

Progress report on the development of annexes to the EST UR (Appendix H to COTIF)

1. INTRODUCTION

In September 2018, the 13th session of the General Assembly adopted¹ the EST Uniform Rules (UR). According to Article 34 § 2 of COTIF, entry into force of the EST UR requires approval by two-thirds of the OTIF Member States. Twelve months after this required approval is obtained, the provisions enter into force. The requirements for the entry into force of the EST UR have not yet been met.

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.

At its 15th session (Bern, 13-14.6.2023), the Committee of Technical Experts requested a progress report on the development of annexes to the EST UR for its next session. This progress report summarises the work that has been carried out so far regarding the annexes to the EST UR.

2. BACKGROUND

The EST UR set out uniform rules for the safe operation of trains in international traffic. They provide general principles and responsibilities for the cross-border operation of trains for OTIF Member States that already fully apply the APTU and ATMF UR, further referred to as Contracting States. The rules are compatible with the EU rules on safety of the railway system, but are less detailed.

For the international operation of trains on their territory, the EST UR will require Contracting States to ensure that:

- Responsibilities for ensuring railway safety are clearly assigned;
- All binding safety and operational rules are published and made available to railway undertakings and infrastructure managers;
- 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) establish their safety management systems and monitor their correct implementation;
- They mutually accept assessment results from the Safety Certification Authorities of other Contracting States. As an option, they may 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.

¹ <http://otif.org/fileadmin/new/2-Activities/2A-General-Assembly/2AcNotifications/NOT-18001-Ad2-fde-Appendix-H-EST.pdf>

3. SCOPE AND PROGRESS OF WORK

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:

Future Annex or provisions	Short description	Progress
<p>Annex A A Common Safety Method for safety management system requirements</p>	<p>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.</p>	<p>In 2022, the 14th session of the Committee of Technical Experts considered the draft CSM on SMS Requirements as set out in document TECH-22007, as modified at the session.</p>
<p>Annex B A Common Safety Method on monitoring</p>	<p>To be applied by railway undertakings and infrastructure managers and entities in charge of maintenance when monitoring the correct application and effectiveness of their safety management system.</p>	<p>In 2022, the 14th session of the Committee of Technical Experts considered the draft CSM on monitoring as set out in document TECH-22008.</p>
<p>The necessary links to the Common Safety Method on risk evaluation and assessment included in UTP GEN-G</p>	<p>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.</p>	<p>In 2023, the 15th session of the Committee of Technical Experts adopted a revised version of the UTP GEN-G concerning a Common Safety Method on risk evaluation and assessment. It included requirements relating to the safety management system (SMS) in the scope of the EST UR. For the purpose of the EST UR, the revised UTP GEN-G applies from the moment of entry into force of the EST UR. For the purpose of the APTU and ATMF UR, the revised UTP GEN-G applies from 1 January 2024.</p>
<p>Annex C Harmonised procedures for issuing Safety Certificates</p>	<p>To be applied by railway undertakings when applying for safety certification and by Safety Certification Authorities when assessing these applications.</p>	<p>In 2023, the 15th session of the Committee of Technical Experts considered the draft harmonised procedures for issuing Safety Certificates as set out in document TECH-23011.</p>
<p>Annex D A Common Safety Method for Supervision</p>	<p>To be applied by Supervision Authorities when supervising railway undertakings.</p>	<p>In 2024, the 16th session of the Committee of Technical Experts will consider the draft CSM on Supervision as set out in document TECH-24009.</p>

All documents are available as working documents for the relevant sessions of the Committee of Technical Experts: https://otif.org/en/?page_id=1025

The formal decisions taken by the Committee of Technical Experts related to these working documents are published on OTIF's website: https://otif.org/en/?page_id=7304

PROPOSAL FOR DECISION

- The Committee of Technical Experts takes note of the progress report on the development of annexes to the EST UR, as described in working document TECH-24009-CTE16-6.2 of 15 April 2024.