



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

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

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**REPORT FROM THE COMMITTEE OF TECHNICAL EXPERTS'  
STANDING WORKING GROUP TECH**

**SESSIONS 29, 30 AND 31**

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For information

## 1. TASKS FOR THE WG TECH FOLLOWING THE 9<sup>TH</sup> SESSION OF THE COMMITTEE OF TECHNICAL EXPERTS (JUNE 2016)

CTE 9, which was held on 7 and 8 June 2016, discussed and approved the document entitled “Strategy and work programme for the period 2016/2017 for the CTE and OTIF’s railway technology department”. In accordance with the results of the discussion, the technical interoperability department of the OTIF Secretariat focused its activities on the following priorities:

**Working within a coordination framework** with the European Commission’s Directorate General for mobility and transport (DG MOVE) and the European Union Agency for Railways (ERA), thus enabling OTIF to influence developments of mutual interest that are initiated in the EU.

**Further development of technical regulations**, where OTIF’s technical interoperability department would focus its activities on the following priorities:

- Interchangeable coaches: to ensure that a set of harmonised inter-vehicle requirements for passenger coaches is available at international level.
- TAF: to transpose the core TAF TSI into UTP TAF.
- The European Union’s fourth railway package: to analyse the consequences for equivalence with COTIF.
- Interoperability: follow the development of provisions for interoperability beyond the EU.

**Revision and amendments to existing rules** that ERA is currently working on and which could affect equivalence with COTIF:

- ATMF Annex A: ERA studies a possible extension of the scope of the ECM rules (initial phase)
- OPE TSI revision
- WAG TSI amendments (in final stage)
- LOC&PAS TSI amendments (in particular concerning unique authorisation and interchangeability)
- NVR, VKMR (RVRR)
- NoBo accreditation

**Keeping a watch on the correct application of technical provisions.** The Secretariat supports non-EU Member States in implementing the technical provisions correctly. This is done by issuing explanatory documents, dissemination of information and training.

**Interdisciplinary coordination** to ensure that there is no inconsistency between RID and APTU/ATMF.

## 2. WG TECH’S ACTIVITIES AFTER THE 9<sup>TH</sup> SESSION OF THE COMMITTEE OF TECHNICAL EXPERTS

The standing working group technology held three meetings:

- 29<sup>th</sup> meeting on 7 and 8 September 2015 in Lille
- 30<sup>th</sup> meeting on 16 and 17 November 2015 in Bern
- 31<sup>st</sup> meeting on 21 and 22 February 2016 in Rome.

Delegations from the following 11 MS took part in the meetings:

Austria, Azerbaijan, Bosnia-Herzegovina, Denmark, France, Germany, Italy, Romania, Serbia, Switzerland and Sweden.

The European Commission's DG MOVE and ERA and the international non-governmental organisations CER, CEN-CENELEC, CIT, NB-Rail, UIC, UIP and UNIFE were also represented at the meetings.

### **3. THE FOLLOWING DOCUMENTS WERE PREPARED FOR ADOPTION BY THE CTE:**

#### **3.1. UTP TAF**

(Discussed at the 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup> meetings)

In connection with CTE 9's decision to transpose the telematic applications for freight (TAF) TSI into a UTP, the OTIF Secretariat prepared the UTP TAF working document on the basis of the EU TAF TSI (Regulation No 1305/2014), to which the former should be equivalent. In accordance with the CTE's conclusions, the implementation of TAF should be voluntary in non-EU OTIF MS, in the sense that there would be no deadline for completing implementation. However, its application should be mandatory, meaning that if there are IT investments and developments in the scope of the UTP TAF, these are carried out in conformity with the UTP TAF so as to prevent the proliferation of incompatible applications. In addition, the appendices to UTP TAF would refer to the TAF TSI technical appendices, which are available as "open source" documents on the ERA website.

When drafting the UTP TAF the OTIF Secretariat proposed small deviations from TAF TSI in particular, in points 2.3.2 and 4.2.1.1. The requirements mentioned there can lead to ambiguities in relation to CIM. After additional analysis in coordination with CIT, ERA and DG MOVE, the WG TECH was also of the view that these articles in the UTP should have two columns, in order to avoid ambiguities in relation to CIM. The TSI could be brought into line at the earliest convenience. Once the TAF TSI had been changed, the UTP texts concerned would have to be amended to become full-width.

The WG TECH agreed that the draft UTP TAF was ready to be submitted to CTE 10 for adoption and suggested that the European Commission and ERA should initiate modification of the TAF TSI to harmonise it with the UTP.

#### **3.2. MODIFIED UTP GEN-A (ESSENTIAL REQUIREMENTS)**

(Discussed at the 30<sup>th</sup> and 31<sup>st</sup> meetings)

After comparing the UTP GEN-A with the new EU Interoperability Directive 2016/797 the OTIF Secretariat concluded that only minor changes were needed.

The WG TECH agreed that the modified UTP GEN-A was ready to be submitted to CTE 10 for adoption and that it should replace the existing version. When analysing the UTP TAF, an apparent linguistic error was found in the EN version of both EU and OTIF essential requirement 2.7.1. The European Commission and ERA would check this, and if necessary, initiate modification of point 2.7.1 of Annex III - Essential requirements of the new EU Interoperability Directive 2016/797.

#### **3.3. MODIFIED UTP GEN-B (SUBSYSTEMS)**

(Discussed at the 30<sup>th</sup> and 31<sup>st</sup> meetings)

After comparing the UTP GEN-B with the new EU Interoperability Directive 2016/797 the OTIF Secretariat concluded that only minor changes were needed. In addition, the term "other railway material" was also deleted, which was in line with the latest ATMF. The WG TECH agreed that the modified UTP GEN-B was ready to be submitted to CTE 10 for adoption and that it should replace the existing version.

### **3.4. MODIFIED UTP GEN-C (TECHNICAL FILE)**

(Discussed at the 30<sup>th</sup> and 31<sup>st</sup> meetings)

After comparing the UTP GEN-C with the new EU Interoperability Directive 2016/797 the OTIF Secretariat concluded that only minor changes were needed. In addition, a small amendment was made to bring it into line with the UTP GEN-D, in which the issuing of declarations of verification is optional. The WG TECH agreed that the modified UTP GEN-C was ready to be submitted to CTE 10 for adoption and that it should replace the existing version.

## **4. WG TECH DISCUSSED THE FOLLOWING SUBJECTS:**

### **4.1. INTEROPERABILITY BEYOND THE EU**

(Discussed at the 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup> meetings)

Based on CTE 9's decision that this subject should be developed further, WG TECH focused on the development of technical, operational and safety requirements. In order to facilitate discussion, the OTIF Secretariat had prepared the draft document [TECH\\_16030\\_WGT29\\_5\\_e\\_Interop\\_beyond\\_EU](#) in which, based on the specific assumptions on this subject, contained proposals on the objectives and how to proceed. The WG TECH welcomed this document. In practical terms, the focus was on two layers of requirements to be developed further, in the following order:

- The safety and operational requirements for the cross border operation of trains, including the safety certification of railway undertakings.
- The access condition under which States would allow certified railway undertakings to operate on their network. This would not be developed under the auspices of the CTE, but would follow the relevant decision of the General Assembly, possibly preceded by a working group for specialists.

Having first considered the extension of the scope of ATMF, the Secretariat thought it was better to create a new Appendix<sup>1</sup> to cover the safety and operational requirements concerning the international operation of trains. It therefore prepared a draft new Appendix H to COTIF which was discussed at WG TECH 31. The WG TECH welcomed the proposal and discussed whether to include stronger provisions in Appendix H on the mutual recognition of safety certification, provisions on SMS and whether to cover the certification of IMs as well. The discussion on this subject will be continued at CTE 10 on the basis of a new version of the document.

### **4.2. EU - OTIF EQUIVALENCE TABLE**

(Discussed at the 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup> meetings)

WG TECH kept the equivalence table up to date and highlighted its value to the railway sector and as a tool for checking equivalence between OTIF and EU legislation.

### **4.3. DRAFT EXPLANATORY DOCUMENT FOR UTP GEN-G (COMMON SAFETY METHOD ON RISK EVALUATION AND ASSESSMENT)**

(Discussed at the 30<sup>th</sup> and 31<sup>st</sup> meetings)

The OTIF Secretariat had drafted an explanatory document<sup>2</sup> which explained when the UTP GEN-G should be applied, and by whom. It did not go into detail on how risk analysis and risk evaluation

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<sup>1</sup> The main reason for this is that if there is a version of ATMF with a broader scope, it would be impossible for States to apply ATMF (as today), but not the new elements concerning safety and operation. States not wishing to apply the new provisions could make a declaration not to apply the new Appendix, but could continue to apply ATMF. A draft new Appendix H to COTIF covering the safe operation of trains in international traffic was prepared on this basis.

<sup>2</sup> [TECH-16037-WGT30-Expl doc UTP GEN-G](#)

should be performed, as this is similar in COTIF and EU legislation and the EU explanations that are available on this subject could be referred to. The OTIF Secretariat explained that the document would be submitted to CTE 10 for discussion. The Secretariat would only publish it after review by the CTE.

#### **4.4. UTP: PROCESS FROM CTE DECISION TO ENTRY INTO FORCE**

(Discussed at the 29<sup>th</sup> meeting)

The Secretariat submitted a document explaining the process described in COTIF for the notification and publication of UTPs or modifications to them following adoption by the CTE. The document distinguished the following methods:

- the adoption of a new UTP,
- the adoption of a UTP to replace an existing UTP, and
- the amendment of an existing UTP.

#### **4.5. TRANSFERRING VEHICLE REGISTRATIONS BETWEEN NVR**

(Discussed at the 29<sup>th</sup> and 30<sup>th</sup> meetings)

The WG TECH discussed whether or not the transfer of vehicle registrations between different NVRs is permitted and suggested amendments to the NVR specifications to clarify the situation. It identified the need for the possibility of transferring vehicle registrations between NVRs; this should not be prohibited. There should, however, be clear conditions to avoid so-called “register hopping” (large scale and frequent transfers to make use of the most favourable conditions).

At the 30<sup>th</sup> meeting, the WG TECH took note of ERA’s proposal to amend the NVR specification dealing with this subject. Once the provisions were adopted in the EU, the OTIF provisions should be brought into line.

This subject was a good example of the cooperation between the OTIF Secretariat, the European Commission and ERA, as this topic was originally initiated by RS, transmitted through the OTIF Secretariat to EC and ERA and again discussed within WG TECH.

#### **4.6. QUESTION RAISED AT THE 9<sup>TH</sup> SESSION OF THE CTE: APPLICATION OF ASSESSMENT MODULES**

(Discussed at the 29<sup>th</sup> meeting)

At CTE 9, the question was raised as to whether a manufacturer of a type of wagon could use a type examination certificate (module SB) previously issued to another entity (e.g. another manufacturer). The WG TECH discussed the subject<sup>3</sup> and concluded that there is no provision in either of the modules preventing a wagon from being designed by one applicant and being built by another. This also means that the applicants referred to in modules SB and SD respectively can be located in different States. ERA’s application guide for TSIs would have to be amended accordingly.

#### **4.7. DRAFT AGENDA FOR THE 10<sup>TH</sup> SESSION OF THE CTE ON 13 AND 14 JUNE 2017**

(Discussed at the 31<sup>st</sup> meeting)

WG TECH reviewed and approved the provisional agenda for CTE 10 based on a proposal from the OTIF Secretariat.

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<sup>3</sup> [TECH 16031\\_WGT29\\_10\\_e\\_Application\\_of\\_assessment\\_modules](#)

## **5. PRESENTATIONS GIVEN BY MEMBER STATES AND ORGANISATIONS AT WG TECH MEETINGS**

### **5.1. INFORMATION ON DEVELOPMENTS IN EU REGULATIONS WHICH MAY AFFECT EQUIVALENCE WITH COTIF AND DISCUSSION ON NEXT STEPS (FOURTH RAILWAY PACKAGE)**

(Discussed at the 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup> meetings)

The European Commission presented its analysis of the changes that would be required to APTU and ATMF in order remain fully compatible with the changes to EU law brought about by the fourth railway package. The Commission presented its findings in the form of two comparison tables. On the basis of these tables the OTIF Secretariat prepared the draft amendments to APTU and ATMF which were then discussed at the WG TECH 31. Based on the discussion in WG TECH the OTIF Secretariat would draft documents for the attention of the CTE.

### **5.2. ERA ACTIVITIES AND DEVELOPMENTS WHICH RELATE TO THE ACTIVITIES OF OTIF**

#### **5.2.1. TASK FORCE ON THE APPLICATION OF NOI TSI TO THE EXISTING FLEET**

(Discussed at the 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup> meetings)

ERA informed the meeting that it had set up a task force to analyse whether and how the NOI TSI could be applied to existing wagons. The aim was to ensure that noisy wagons which are equipped with cast iron brake blocks would have to be equipped with composite brake blocks to make the wagons quieter.

Based on WG TECH 29's request, the OTIF Secretariat analysed ATMF and after consulting ERA and COM, presented its findings in document [TECH-16041-WGT30 noise retrofitting and COTIF](#). The document analysed the legal possibilities for imposing the retrofitting of brake blocks of existing wagons. The WG TECH 30 welcomed the document, which also proposed an alternative way of dealing with the issue in the form of silent corridors. Instead of requiring the retrofitting of noisy wagons before a certain deadline, noise could be defined as a compatibility parameter between vehicle and infrastructure. This alternative idea was adopted by the ERA task force (renamed as "silent sections of the network") as one of the options to be considered.

#### **5.2.2. VEHICLE-RELATED REGISTERS**

(Discussed at the 29<sup>th</sup>, 30<sup>th</sup> and 31<sup>st</sup> meetings)

ERA presented an overview to the WG TECH of its project on the "Rationalisation of Vehicle Related Registers" (RVRR), i.e. rationalisation of the NVR, ERATV, VKMR and ECM registers. This work was linked to the COTIF specifications for the National Vehicle Register. In December 2016, ERA issued a recommendation on the amendment of the specification for the NVR. The recommendation was the result of the RVRR project. Among other things, the recommendation envisaged that additional registration of vehicles coming from non-EU OTIF MS and registered in an NVR which is connected to the ECVVR would not be necessary and that under certain conditions, the transferral of registrations between different NVR should be permitted.

At the 31<sup>st</sup> meeting the WG TECH was informed about a working party on European Vehicle Registers (WP on EVR) that was being set up. The aim of this WP would be to draft the technical and functional specifications of the EVR. The WP held its first meeting on 15.2.2017. The OTIF Secretariat will be attending the WP meetings as observer.

#### **5.2.3. NOBO MONITORING AND NOBO ACCREDITATION SCHEME**

(Discussed at the 29<sup>th</sup> and 30<sup>th</sup> meetings)

ERA provided an overview of the Agency's proposal for a harmonised accreditation scheme for NoBos under the Interoperability Directive 2008/57/EC and gave a progress report on the project to develop the monitoring system for NoBos under the new Interoperability Directive (EU) 2016/797. The reason for a harmonised accreditation scheme was to increase mutual trust in the work performed by NoBos.

With regard to the monitoring system for NoBos, the purpose of which is to propose to the EC a system which would routinely monitor the quality of the work performed by NoBos, the Agency explained that the assessment scheme would be used as a reference for the monitoring scheme. It was envisaged that the task force would finalise its conclusions in September 2017.

The OTIF Secretariat analysed the relevance of these EU developments for COTIF and published its findings in a document<sup>4</sup>. The document proposes a way forward in order to use the best practices from the EU in OTIF. It should be kept in mind that the OTIF Secretariat has no competence (unlike ERA or the Commission in the EU) to supervise and monitor the competent authorities or assessing entities.

Although discussed at the WG TECH level, the aim and subsequent steps in the process of improving the systematic oversight of non-EU assessing entities would be discussed further at CTE 10.

#### 5.2.4. THE ROLE OF THE NOTIFIED BODIES IN THE RAILWAY SECTOR (PRESENTATION BY THE NB-RAIL ASSOCIATION)

(Discussed at the 30<sup>th</sup> meeting)

The OTIF Secretariat invited the chairman of the NB-Rail Association, an association of EU Notified Bodies in the rail sector, to attend the meeting. WG TECH and NB-Rail believed it would be of mutual benefit for all parties to establish contacts between the non-EU assessing entities and the EU Notified Bodies in the rail sector. To this end, the chairman of NB-Rail invited the non-EU assessing entities to the future NB-Rail meetings concerning rolling stock. At the same time, NB-Rail was invited to participate in relevant OTIF meetings, such as WG TECH and CTE, in the same capacity as other sector associations and organisations.

#### 5.2.5. STATUS OF CSM RA<sup>5</sup> DEVELOPMENTS

(Discussed at the 29<sup>th</sup> meeting)

ERA presented developments concerning the regulations and application guides for the common safety method for risk evaluation and assessment (CSM RA) that had taken place since 2005. The WG TECH noted the importance of the CSM application guide and the guide on CSM-DT for the railway sector and that work on them was still ongoing.

#### 5.2.6. REVISION OF THE LOC&PAS TSI

(Discussed at the 29<sup>th</sup> meeting)

ERA presented a status update and the main elements of the revision of the LOC&PAS TSI in connection with unique authorisation, closing the open points and an additional clause for vehicles intended for general operation, which were expected to be adopted in 2017. The WG TECH was also informed about the possible consequences of the fourth railway package for the LOC&PAS TSI, i.e. new "Authorisation for Placing on the market" after renewals/upgrades, route compatibility check after authorisation and specific technical issues.

One of the amendments to LOC&PAS TSI included the topic of "interchangeable coaches", which had previously been initiated by WG TECH.

#### 5.2.7. ECM REGULATIONS –EXTENDING THE SCOPE

(Discussed at the 29<sup>th</sup> meeting)

<sup>4</sup> TECH-13039-WGTECH30-monitoring NoBos

<sup>5</sup> Commission implementing Regulation (EU) 2015/1136 of 13 July 2015 amending implementing Regulation (EU) No 402/2013 on the common safety method for risk evaluation and assessment.

ERA informed the WG TECH about recent developments with regard to the possible extension of the scope of the ECM certification scheme to all railway vehicles (at present, only ECMs for freight wagons must be certified). The working group would comprise the following three phases: the preliminary phase, in which safety critical components would be drafted, the second phase, in which the final recommendation to the EC would be submitted and the third phase, in which the approved ECM certification scheme would be published. Since this activity would affect equivalence with ATMF Annex A, the OTIF secretariat will follow this work closely.

#### 5.2.8. MONITORING NSA

(Discussed at the 29<sup>th</sup> meeting)

ERA informed the WG TECH about the main elements of the development process in connection with monitoring NSAs, which was a newly created task for ERA and which could be extended outside the EU to Norway and Switzerland and other countries, depending on ERA's resources.

ERA aims to introduce a three year auditing cycle, with each audit lasting three months. At WG TECH, ERA was asked if it would be possible to extend NSA monitoring to other, non-EU authorities. This would be analysed in more detail.

#### 5.2.9. LANGUAGE REQUIREMENTS FOR INTERNATIONAL TRAFFIC

(Discussed at the 29<sup>th</sup> meeting)

ERA informed the WG TECH about the latest developments within the EU. Train drivers in international traffic in the EU must have a sufficient level of knowledge of the infrastructure manager's operating language. However, since 1 July 2016, drivers may be exempted from the B1 language requirement<sup>6</sup> on cross-border sections if the involved parties so agree.

#### 5.2.10. DERAILMENT OF WAGONS CONTAINING DANGEROUS GOODS (DAILLENS, SWITZERLAND, DOCUMENT SUBMITTED BY SWITZERLAND)

(Discussed at the 30<sup>th</sup> meeting)

Switzerland shared the safety recommendations issued by its National Investigation Authority with other MS. It also wanted to clarify whether the recommendations might have an impact on UTP WAG, or whether any impact could be limited to national level, in which case the National Technical Requirement (NTR) would have to be notified.

The WG TECH noted the report.

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<sup>6</sup> Level B1 of the Common European Framework of Reference for Languages (CEFR) established by the Council of Europe.