



Organisation intergouvernementale pour les transports internationaux ferroviaires
Zwischenstaatliche Organisation für den internationalen Eisenbahnverkehr
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Groupe de travail TECH
Arbeitsgruppe TECH
Working Group TECH

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Analysis of the necessary links between EST UR and the CSM on risk evaluation and assessment

Article 7 § 3 of the EST UR adopted by the 13th General Assembly lays down that:

In order to implement the requirements of these Uniform Rules in a harmonised way, the Annexes to these Uniform Rules shall include:

- [...]
 - *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;*

[...]

The OTIF Common Safety Method on risk evaluation and assessment are set out in UTP GEN-G (latest consolidated version [here](#)). This UTP GEN-G has been developed and is intended for application in the context of the APTU and ATMF UR, particularly in connection with the procedures for the admission to circulation or use of vehicles in international traffic.

The UTP GEN-G was drafted on the basis of European Union Commission Implementing Regulation (EU) 402/2013 of 30 April 2013, as amended by Commission Implementing Regulation (EU) 2015/1136 of 13 July 2015 (further referred to as the EU CSM RA). The scope of application of the EU CSM RA is wider than that of the UTP GEN-G, as the latter is limited to the scope of the APTU and ATMF UR. For this and other reasons, certain parts of the UTP GEN-G are presented in a 2-column layout, where the left-hand text concerns COTIF and the right-hand text reproduces the EU text (for information).

In particular, not all references to the safety management system (SMS) in the EU CSM RA have been taken over in the UTP GEN-G. The reason for this is that the APTU and ATMF UR do not define or refer to SMS. The EST UR will introduce the concept of SMS in COTIF and the parts of the EU CSM RA relating to safety management will become relevant for COTIF as well. This means that the UTP GEN-G may need to be revised in order that it can be applied in the scope of the EST UR.

This (minor) revision of the UTP GEN-G may be sufficient, as the draft Annex A to the EST UR, the Common Safety Method on Safety Management System Requirements, already makes reference to UTP GEN-G. Therefore, the ‘necessary links’, as referred to Article 7 § 3 of the EST UR adopted by the 13th General Assembly, have already been included.

PROPOSAL FOR DECISION

WG TECH takes note of document TECH-22023 and is of the view that the UTP GEN-G should be revised in order to:

- Clarify that its scope should also cover risk evaluation and assessments relating to the safety management system in the scope of the EST UR;
- Take over the European Union requirements for the risk evaluation and assessments relating to the safety management system, which currently appear in the right-hand column only.

Within the competence provided by the Committee of Technical Experts *to propose other items it considers relevant for the provisional agenda of the 15th session of the Committee of Technical Experts*, WG TECH requests the Secretariat to draft the necessary changes in a working document for the next session.