

## Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]

Last update: 16.10.2020

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| Subsystem rolling stock: freight wagons (UTP WAG) |                                  |   |  |                  |   |                       |  |
|---|----------------------------------|---|--|------------------|---|-----------------------|--|
| EU  |                                  |   | OTIF   |                  |   | EQUIVALENCE           |  |
| Base legal act                                    | Status + date                    | (Legal) reference   | <u>Provisions</u>                                | Entry into force | Status  | Equivalence           | Comments   |
| <a href="#">Decision 2004/446</a>                 |                                  | Decision 2004/446 specifies the basic parameters of the NOI, WAG and TAF TSIs.  | -  | -                | -   | No                    |  |
|   | Repealed<br>29.1.2007            | WAG TSI related provisions repealed by Decision 2006/861/EC   |  |                  |   |                       |  |
| <a href="#">Decision 2006/861</a>                 | Date of application<br>29.1.2007 | WAG TSI for conventional TEN  | -  | -                | -   | No                    |  |
|   | Date of application<br>1.7.2009  | Amended by <a href="#">Decision 2009/107</a>  |  |                  |   |                       |  |
|   | Date of application<br>24.1.2013 | Amended by <a href="#">Decision 2012/464</a>  | <a href="#">UTP WAG A 94-02/3.2011 version 1</a> | EIF 1.12.2012    | Adopted<br>24.05.2012<br>Notified<br>23.06.2012 | Yes from<br>1.12.2012 | Equivalent with EU <a href="#">Decision 2006/861</a> and its subsequent listed amendments and also with: <ul style="list-style-type: none"> <li>The provisions for the marking of freight wagons as set out in Appendix P of EU Commission Decision <a href="#">2011/314/EU (OPETSI)</a></li> </ul>  |
|   | Repealed<br>1.1.2014             | Repealed by <a href="#">Regulation 321/2013</a>   |  |                  |   | Yes until<br>1.1.2014 | Equivalence ended with repeal of EU <a href="#">Decision 2006/861</a>  |
| <a href="#">Regulation 321/2013</a>               | Date of application<br>1.1.2014  | WAG TSI for entire European Union's rail system<br>Amended by <a href="#">Regulation 1236/2013 (Annex Amendments)</a> | <a href="#">UTP WAG A 94-02/2.2012 version 7</a> | EIF 1.1.2014     | Adopted<br>12.06.2013<br>Notified<br>10.07.2013 | Yes, from<br>1.1.2014 | Equivalent with <a href="#">Regulation 321/2013</a> as amended by <a href="#">Regulation 1236/2013</a> and also with: <ul style="list-style-type: none"> <li>The provisions for the marking of freight wagons as set out in EU <a href="#">Commission Decision 2012/757/EU (OPE TSI)</a> and EU <a href="#">Commission Decision 2007/756/EC</a> on National Vehicle Registers as applicable</li> </ul> |

EIF - Entry into force / Date of Application/ Amended/ Repealed

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Subsystem rolling stock: freight wagons (UTP WAG)

| EU             |                              |   | OTIF   |                  |  | EQUIVALENCE |   |
|----------------|------------------------------|---|--|------------------|--|-------------|---|
| Base legal act | Status + date                | (Legal) reference   | <u>Provisions</u>                              | Entry into force | Status   | Equivalence | Comments  |
|                |                              |   |  |                  |  |             | <p>from 1.1.2014.</p> <ul style="list-style-type: none"> <li>Some provisions related to safety management of Decision 2012/757/EC as indicated in App. I of <a href="#">UTP WAG A 94-02/2.2012 version 7</a>.</li> </ul> <p>Interfaces with CCS as indicated in App. H.</p>   |
|                |                              |   | <a href="#">UTP WAG 2015</a>                   | EIF 1.1.2015     | Minor amendments compared to previous version 7. Adopted 4.6.2014 Notified 18.7.2014 | Yes         | <p>Amendments:</p> <ul style="list-style-type: none"> <li>Deletion of Appendix P (now contained in UTP Marking) and modification of related references.</li> <li>Update of reference to list of approved composite brake blocks.</li> <li>Minor editorial change to Appendix I.</li> </ul>  |
|                |                              |   | <a href="#">Decision amending UTP WAG 2015</a> | EIF 1.12.2015    | Minor amendments compared to previous version. Adopted 10.6.2015 Notified 17.6.2015  | Yes         | <p>UTP amendment take into account the update of:</p> <ul style="list-style-type: none"> <li>Appendix G: "List of fully approved composite brake blocks for international transport" and</li> <li>technical document: <a href="#">ERA/TD/2012-04/INT</a> version 1.3 of 02.12.2014 "Attachment devices for rear-end signals, clearance for draw hooks, space for shunting staff operation, footsteps and handrails"</li> </ul> <p>As the equivalent EU documents are published by ERA on its website, there is no corresponding legal amendment on the EU side.</p> |
|                | Date of application 1.7.2015 | Amended by <a href="#">COMMISSION REGULATION (EU) 2015/924 of 8 June 2015</a> | <a href="#">Decision amending UTP WAG 2015</a> | EIF 1.12.2016    | Adopted 07.06.2016 Notified 23.06.2016   | Yes         | <p>Main amendments:</p> <ul style="list-style-type: none"> <li>The revision of Appendices F and G to COTIF applicable as of 1 July 2015.</li> <li>Amendments made to the WAG TSI, which concern in particular the amendments</li> </ul>   |

EIF - Entry into force / Date of Application/ Amended/ Repealed

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**Subsystem rolling stock: freight wagons (UTP WAG)**

| EU             |                                      | OTIF  |                   |                  | EQUIVALENCE |             |  |
|----------------|--------------------------------------|---|-------------------|------------------|-------------|-------------|--|
| Base legal act | Status + date                        | (Legal) reference   | <u>Provisions</u> | Entry into force | Status      | Equivalence | Comments   |
|                |                                      |   |                   |                  |             |             | <p>related to the introduction of the interoperability constituent: “Friction element for wheel tread brakes”, the assessment methods for this IC, the validity of its examination certificates and the transitional provisions related to the new IC.</p> <ul style="list-style-type: none"> <li>Amendments requested by the OTIF Contracting States expressed at the standing working group technology (WG TECH) meetings to further align the UTP and TSI, in particular in the field of axle traceability.</li> </ul> <p>Editorial improvements and updates to legal references.</p> |
|                | Date of application<br>16 June 2019  | Amended by <a href="#">Commission Implementing Regulation 2019/776 of 16 May 2019</a> |                   |                  |             | Pending     | Proposal for OTIF vote by CTE in written procedure July 2020, if adopted the entry into force is expected on 1 April 2021  |
|                | Date of application<br>11 March 2020 | <a href="#">Commission Implementing Regulation (EU) 2020/387 of 9 March 2020</a>      |                   |                  |             | Pending     | Drafts being reviewed by WG TECH, proposals for adoption by CTE expected in June 2021. Possible entry into force expected early 2022.  |

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| <b>Subsystem rolling stock: Locomotives and passenger rolling stock (UTP LOC&amp;PAS)</b> |                                   |   |                                      |                         |  |                      |   |
|---|-----------------------------------|---|--------------------------------------|-------------------------|--|----------------------|---|
| <b>EU</b>   |                                   |   | <b>OTIF</b>                          |                         |  | <b>EQUIVALENCE</b>   |   |
| <b>Base legal act</b>   | <b>Status + date</b>              | <b>(Legal) reference</b>  | <b>Provisions</b>                    | <b>Entry into force</b> | <b>Status</b>                          | <b>Equivalence</b>   | <b>Comments</b>   |
| <a href="#">Decision 2002/735</a>   | Repealed<br>30.6.2008             | RST TSI for high-speed TEN<br>Repealed by <a href="#">Decision 2008/232</a> | -                                    | -                       | -                                      | No                   |   |
|   | Amended<br>24.1.2013              | Amended and Repealed by<br><a href="#">Decision 2012/462</a>                |                                      |                         |  |                      |   |
| <a href="#">Decision 2008/232</a>   | Date of application<br>1.9.2008   | RST TSI for high-speed TEN-revised  | -                                    | -                       | -                                      | No                   |   |
|   | Amended<br>24.1.2013              | Amended by <a href="#">Decision 2012/464</a>                                |                                      |                         |  |                      |   |
|   | Repealed <sup>1</sup><br>1.1.2015 | Repealed by <a href="#">Regulation 1302/2014</a>                            |                                      |                         |  |                      |   |
| <a href="#">Decision 2011/291</a>   | Date of application<br>1.6.2011   | LOC&PAS TSI for conventional TEN  | -                                    | -                       | -                                      | No                   |   |
|   | Amended<br>25.7.2012              | Amended by <a href="#">Decision 2012/88</a> (CCS TSI)                       |                                      |                         |  |                      |   |
|   | Amended<br>24.1.2013              | Amended by <a href="#">Decision 2012/464</a>                                |                                      |                         |  |                      |   |
|   | Repealed<br>1.1.2015              | Repealed by <a href="#">Regulation 1302/2014</a>                            |                                      |                         |  |                      |   |
| <a href="#">Regulation 1302/2014</a>  | Date of Application<br>1.1.2015   | LOC&PAS TSI for high-speed and conventional TEN                             | <a href="#">UTP LOC&amp;PAS 2015</a> | EIF<br>1.1.2015         | Adopted 4.6.2014<br>Notified 18.7.2014 | Yes from<br>1.1.2015 | Full equivalence. In addition the UTP contains provisions which are equivalent with: <ul style="list-style-type: none"> <li>Some provisions related to safety management of Decision 2012/757/EC as indicated in App. K of <a href="#">UTP LOC&amp;PAS 2015</a>.</li> </ul> |

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| <b>Subsystem rolling stock: Locomotives and passenger rolling stock (UTP LOC&amp;PAS)</b> |                                   |   |                                   |                         |               |                    |  |
|---|-----------------------------------|---|-----------------------------------|-------------------------|---------------|--------------------|--|
| <b>EU</b>   |                                   |   | <b>OTIF</b>                       |                         |               | <b>EQUIVALENCE</b> |  |
| <b>Base legal act</b>   | <b>Status + date</b>              | <b>(Legal) reference</b>  | <u><a href="#">Provisions</a></u> | <b>Entry into force</b> | <b>Status</b> | <b>Equivalence</b> | <b>Comments</b>  |
|   | Date of Application<br>16.6.2019  | Amended by <a href="#">Commission Implementing Regulation 2019/776</a> of 16 May 2019       |                                   |                         |               | Pending            | Revision to UTP LOC&PAS:<br>Main amendments: <ul style="list-style-type: none"> <li>• Closure of open points as regards specifications on aerodynamic effects, passive safety, variable gauge systems and eddy current track brake 'Route compatibility checks before the use of authorised vehicles'.</li> <li>• Definition of rules to manage changes in both a vehicle or a vehicle type (basic design characteristics)</li> </ul> Equivalence review of UTP LOC&PAS is launched.<br>UTP Proposal <del>expected to be</del> voted through written procedure in second half of 2020. |
|   | Date of Application<br>11.03.2020 | Amended by <a href="#">Commission Implementing Regulation (EU) 2020/387</a> of 9 March 2020 |                                   |                         |               |                    |  |

<sup>1</sup> Decisions 2008/232/EC and 2011/291/EU are repealed with effect from 1 January 2015, they shall however continue to apply in accordance with Article 11 of Regulation 1302/2014.

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| <b>Subsystem rolling stock: noise (UTP NOI)</b> |                       |   |   |                         |  |                       |                 |
|---|-----------------------|---|---|-------------------------|--|-----------------------|-----------------|
| <b>EU</b>                                       |                       |   | <b>OTIF</b>                                       |                         |  | <b>EQUIVALENCE</b>    |                 |
| <b>Base legal act</b>                           | <b>Status + date</b>  | <b>(Legal) reference</b>  | <b><u>Provisions</u></b>                          | <b>Entry into force</b> | <b>Status</b>  | <b>Equivalence</b>    | <b>Comments</b> |
| <a href="#">Decision 2004/446</a>               |                       | Specifies basic parameters of the NOI, WAG and TAF TSIs.                                | -   | -                       | -  | No                    |                 |
|   | Repealed<br>24.6.2006 | NOI TSI related provisions repealed by <a href="#">Decision 2006/66</a>                 |   |                         |  |                       |                 |
| <a href="#">Decision 2006/66</a>                | EIF<br>23.6.2006      | Noise TSI for conventional TEN.   | -   | -                       | -  | No                    |                 |
|   | Repealed<br>4.4.2011  | Repealed by <a href="#">Decision 2011/229</a>   |   |                         |  |                       |                 |
| <a href="#">Decision 2008/232</a>               | EIF<br>1.9.2008       | High Speed RST TSI, containing noise specifications.                                    | -   | -                       | -  | No                    |                 |
|   | Repealed<br>1.1.2015  | Noise provisions (points 4.2.6.5, 4.2.7.6 and 7.3.2.15) deleted by Regulation 1304/2014 |   |                         |  |                       |                 |
| <a href="#">Decision 2011/229</a>               | EIF 4.4.2011          | Revised Noise TSI for conventional TEN.   | <a href="#">UTP NOI A 94-04/2.2012 version 03</a> | EIF<br>1.12.2012        | UTP NOI: General provisions – Rolling stock – noise<br>Adopted 24.05.2012<br>Notified 27.06.2012 | Yes from<br>1.12.2012 |                 |
|   | Amended<br>23.1.2013  | <a href="#">Decision 2011/229</a> is amended by <a href="#">Decision 2012/464</a>       |   |                         | Full equivalence as established on 1.12.2012 is not affected for vehicles.                       | Yes                   |                 |
|   | Repealed<br>1.1.2015  | Repealed and replaced by <a href="#">Regulation 1304/2014</a>                           |   |                         |  |                       |                 |

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| Subsystem rolling stock: noise (UTP NOI) |                                 |   |                            |                  |        |                      |  |
|--|---------------------------------|---|----------------------------|------------------|--------|----------------------|--|
| EU                                       |                                 |   | OTIF                       |                  |        | EQUIVALENCE          |  |
| Base legal act                           | Status + date                   | (Legal) reference                                 | <a href="#">Provisions</a> | Entry into force | Status | Equivalence          | Comments   |
| <a href="#">Regulation 1304/2014</a>     | Date of Application<br>1.1.2015 | Noise TSI for entire European Union's Rail System |                            |                  |        | Yes<br>(see comment) | <p><b>2014 TSI NOI may be considered equivalent to 2012 UTP NOI for CR RST till 1.12.2015.</b></p> <p>Vehicles compliant with the new NOI TSI are deemed compliant (to be backwards-compatible) with the previous noise requirements.</p> <p><b>2012 UTP NOI may be considered as equivalent to 2014 TSI NOI for CR RST till 1.12.2015.</b></p> <p>According to <a href="#">Regulation 1304/2014</a>, <a href="#">Decision 2011/229</a> (NOI TSI) which is fully equivalent to 2012 UTP NOI may be used:</p> <ul style="list-style-type: none"> <li>- until 31/12/2021 for <b>locomotives, EMUs, DMUs and coaches</b> under the conditions of section 7.1.3 of <a href="#">Decision 2011/291</a> (LOC&amp;PAS TSI) for cases where the latter decision was applied, or until 31 May 2017 for other cases.</li> <li>- until 13.4. 2016 for <b>wagons</b> as provided in the transitional periods in 2014 TSI NOI.</li> </ul> <p><u>Note:</u> the period after 1.1.2016 is covered in the 2015 UTP NOI (see line below).</p> |

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| Subsystem rolling stock: noise (UTP NOI) |                       |   |                   |                  |  |                                |   |
|--|-----------------------|---|-------------------|------------------|--|--------------------------------|---|
| EU                                       |                       |   | OTIF              |                  |  | EQUIVALENCE                    |   |
| Base legal act                           | Status + date         | (Legal) reference   | <u>Provisions</u> | Entry into force | Status   | Equivalence                    | Comments  |
|  |                       |   | UTP NOI 2015      | EIF<br>1.12.2015 | Revision of previous version.<br>Adopted 10.6.2015<br>Notified 17.6.2015 | Yes, with Regulation 1304/2014 | The revision comprises the following changes: <ul style="list-style-type: none"> <li>• Requirements cover not only conventional, but also high speed rolling stock</li> <li>• Applicable to all vehicles in the scope of the UTP WAG and UTP LOC&amp;PAS</li> <li>• Additional limit values introduced for intermittent (main air compressor) and impulsive (air exhaust valve) noise</li> <li>• References to EN/ISO 3095, which replaces prEN content in the Appendix.</li> </ul> |
|  | Amended:<br>16.6.2019 | Amended by Commission Implementing <a href="#">Regulation 2019/776</a> of 16 May 2019 |                   |                  |  | Yes, for vehicles              | Vehicles compliant with the new NOI TSI are deemed compliant (to be backwards-compatible) with the previous noise requirements.<br><br>Main amendments in TSI: <ul style="list-style-type: none"> <li>• Introducing the concept of quieter routes on which wagons which do not comply with pass-by noise limits are not allowed to be operated.</li> </ul> UTP Proposal <del>expected to be</del> voted through written procedure in second half of 2020.                           |

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| <b>Accessibility for PRM (UTP PRM)</b> |                                  |   |                              |                         |  |                    |  |
|--|----------------------------------|---|------------------------------|-------------------------|--|--------------------|--|
| <b>EU</b>                              |                                  |   | <b>OTIF</b>                  |                         |  | <b>EQUIVALENCE</b> |  |
| <b>Base legal act</b>                  | <b>Status + date</b>             | <b>(Legal) reference</b>  | <b><u>Provisions</u></b>     | <b>Entry into force</b> | <b>Status</b>                          | <b>Equivalence</b> | <b>Comments</b>  |
| <a href="#">Decision 2008/164</a>      | EIF<br>1.7.2008                  | PRM TSI for conventional and HS TEN.  | -                            | -                       | -                                      | No                 |  |
|  | Amended<br>24.01.2013            | Amended by <a href="#">Decision 2012/464</a>  |                              |                         |  |                    |  |
|  | Repealed<br>1.1.2015             | Repealed by Regulation 1300/2014  |                              |                         |  |                    |  |
| <a href="#">Regulation 1300/2014</a>   | Date of Application<br>1.1.2015  | PRM TSI for entire European Union's Rail System                                       | <a href="#">UTP PRM 2015</a> | EIF 1.1.2015            | Adopted 4.6.2014<br>Notified 18.7.2014 | Yes                | Full-equivalence will apply for rolling stock requirements. The requirements related to the infrastructure subsystem are voluntary in the UTP.   |
|  | Date of Application<br>16.6.2019 | Amended by <a href="#">Commission Implementing Regulation 2019/772</a> of 16 May 2019 |                              |                         |  | Yes, for vehicles  | <p><u>Main amendments in TSI:</u></p> <ul style="list-style-type: none"> <li>Introduction of the minimum structure and content of data to be collected for the inventory of assets</li> </ul> <p>19.7.2019: Consultation launched by ERA on its recommendation to modify the PRM TSI to take into account the objectives set out in Article 3 and in Article 10 of the Delegated Decision on TSIs. Consultation shared with OTIF CS.</p> <p>The impact on the equivalence to be analysed in 2020. <a href="#">Draft Proposal for modifications to the UTP in progress.</a></p> |

**Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]**

Last update: 16.10.2020

| <b>Vehicle marking (UTP Marking)</b>   |  |  |   |                         |   |                          |   |
|--|--|--|---|-------------------------|---|--------------------------|---|
| <b>EU</b>  |  |  | <b>OTIF</b>   |                         |   | <b>EQUIVALENCE</b>       |   |
| <b>Base legal act</b>  | <b>Status + date</b>   | <b>(Legal) reference</b>   | <b><u>Provisions</u></b>  | <b>Entry into force</b> | <b>Status</b>                             | <b>Equivalence</b>       | <b>Comments</b>   |
| <a href="#">Appendix P of Decision 2011/314/EU</a>   | EIF<br>1.1.2012  | CR OPE TSI Appendix P: European Vehicle Number and linked alphabetical marking on the bodywork.  | UTP WAG<br>A 94-02/2.2012<br>version 1<br>Appendix PP<br>(repealed) | EIF<br>1.1.2012         | Adopted 24.05.2012<br>Notified 23.06.2012 | Partly from<br>1.12.2012 | Full equivalence for freight wagons.<br>No equivalence for other types of rolling stock.  |
| <a href="#">Appendix P of Decision 2012/757/EU</a><br>(OPE TSI)<br><br>+<br><br><a href="#">Appendix 6 to 2007/756/EC</a><br>(NVR) | App. P to<br>2012/757/EU:<br>EIF 1.1.2014<br>Amended:<br>1.7.2015<br>Repealed:<br>16.6.2021<br><br>App.6 to<br>2007/756/EC:<br>EIF: 23.11.2007<br>Amended:<br>15.11.2018<br>Repealed:<br>16.6.2021 | Appendix to the OPE TSI: European Vehicle Number and linked alphabetical marking on the bodywork. Amended by <a href="#">Regulation (EU) 2015/995</a> and repealed/ replaced by Appendix H of <a href="#">Regulation (EU) 2019/773</a><br><br><a href="#">Commission Implementing Decision (EU) 2018/1614</a> amends NVR <a href="#">Decision 2007/756/EC</a> from 15.11.2018 and repeals it from 16 June 2021 | <a href="#">UTP WAG A 94-02/2.2012 version 7</a><br>Appendix PP     | EIF<br>1.1.2014         | Adopted 12.06.2013<br>Notified 10.07.2013 | Partly,<br>continued     | UTP Marking brings together the requirements related to marking in two EU documents:<br>- Appendix P of OPE TSI (Decision 2012/757)<br>- Appendix 6, parts 0-13 to NVR Decision<br>The tables associated with standard numerical markings of wagons, as described in section 14 of UTP Marking, are published on the ERA website.<br>The tables and detailed information provided in sections 15 to 18 are equivalent to the documents which were published on the ERA website at the time of adoption of this specification. |

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| Vehicle marking (UTP Marking)  |   |  |                                  |                  |  |                |  |
|--|---|--|----------------------------------|------------------|--|----------------|--|
| EU   |   |  | OTIF                             |                  |  | EQUIVALENCE    |  |
| Base legal act   | Status + date   | (Legal) reference  | <a href="#">Provisions</a>       | Entry into force | Status   | Equivalence    | Comments   |
|  |   |  | <a href="#">UTP Marking 2015</a> | EIF<br>1.1.2015  | Amendment:<br>Adopted 5.6.2014<br>Notified 18.7.2014 | Yes            | <p>Full equivalence for all types of rolling stock. UTP Marking brings together the requirements related to marking in EU documents:</p> <ul style="list-style-type: none"> <li>Appendix P of OPE TSI (Decision 2012/757)</li> <li>Appendix 6, parts 0-13 to NVR Decision 2007/756/EC</li> <li>The tables associated with standard numerical markings of wagons, as described in section 14 of UTP Marking, are published on the ERA website.</li> </ul> <p>The tables and detailed information provided in sections 15 to 18 are equivalent to the documents which were published on the ERA website at the time of adoption of this specification.</p> |
| <p>Appendix 6 to <a href="#">Commission Implementing Decision (EU) 2018/1614</a></p> <p>+ Appendix H to <a href="#">Regulation (EU) 2019/773</a></p> | <p>Date of Application<br/>16.6.2021</p> <p>Date of Application<br/>16.6.2021</p> | <p>EVR decision: Sets out rules for the vehicle keeper marking (VKM) and the 12-digit number.</p> <p>OPE TSI: Repeals and replaces Appendix P of Decision 2012/757/EU concerning European Vehicle Number and linked alphabetical marking on the bodywork</p> |                                  |                  |  | Yes, continued | <p>Main amendments foreseen in EU texts:</p> <p>16.6.2021: update of references related to the new vehicle authorization process under the Fourth Railway Package.</p> <p>UTP Marking update <del>expected to be</del> voted through written procedure in second half of 2020.</p>   |

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| Essential requirements (UTP GEN-A)                |   |   |   |                                |  |  |                             |   |
|---|---|---|---|--------------------------------|--|--|-----------------------------|---|
| EU  |   |   | OTIF  |                                |  | EQUIVALENCE                            |                             |   |
| Base legal act                                    | Status + date                                       | (Legal) reference   | <u>Provisions</u>                                   | Entry into force               | Status                                   | Equivalence                            | Comments                    |   |
| Annex III to <a href="#">Directive 2008/57/EC</a> | EIF 19.7.2008                                       | Definition of Essential Requirements  | APTU Annex 1- A A 94- 01A/1.2009                    | EIF 1.9.2009                   | Adopted 12.2.2009<br>Notified 27.2.2009  | Yes from 1.9.2009                      |                             |   |
|   |   |   | <a href="#">UTP GEN-A A 94-01A/1.2011 version 5</a> | EIF 1.5.2012                   | Adopted 15.9.2011<br>Notified 30.11.2011 | Yes continued                          | OTIF document renamed only. |   |
|   | Amended 1.4.2013                                    | Amended by <a href="#">Directive 2013/9/EU</a> introducing 'Accessibility' as an Essential Requirement. |   |                                |  |  | Partly from 1.4.2013        | The Essential Requirement 'Accessibility' is not defined in UTP GEN-A. This limited equivalence has no effect on the requirements applicable to subsystems (e.g. vehicles). |
|   | Amended 31.3.2014                                   | Amended by <a href="#">Directive 2014/38/EU</a> modifying the Essential Requirement 'Noise'.            |   |                                |  |  | Partly from 31.3.2014       | The essential requirement 'Noise' is not equivalently defined. This limited equivalence has no effect on the requirements applicable to subsystems (e.g. vehicles).         |
|   |   |   |   | <a href="#">UTP GEN-A 2015</a> | EIF 1.1.2015                             | Adopted 5.6.2014<br>Notified 18.7.2014 | Yes from 1.1.2015           | Amendment updating the OTIF regulation in accordance with all previous EU amendments.   |
| Repealed 16.6.2020                                | Repealed by <a href="#">Directive (EU) 2016/797</a> |   |   |                                |  |  |                             |   |

## Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]

Last update: 16.10.2020

| Essential requirements (UTP GEN-A)                   |               |   |                   |                  |   |                    |   |
|--|---------------|---|-------------------|------------------|---|--------------------|---|
| EU   |               |   | OTIF              |                  |   | EQUIVALENCE        |   |
| Base legal act                                       | Status + date | (Legal) reference   | <u>Provisions</u> | Entry into force | Status  | Equivalence        | Comments  |
| Annex III to <a href="#">Directive (EU) 2016/797</a> | EIF 16.6.2016 | Recast of the Directive and at the same way Reintroduction of Annex III | UTP GEN-A         | EIF 1.12.2017    | Amendment:<br>Adopted 13.06.2017<br>Notified 26.06.2017 | Yes from 1.12.2017 | The UTP GEN-A has been amended to ensure continued equivalence with the provisions applicable in the European Union. The existing version has been harmonised with the provisions of Directive (EU) 2016/797, which will repeal by 16.6.2020.<br>In addition to the purely editorial modifications, the essential requirements set out in UTP GEN-A is made clearer in terms of passenger information and safety of passengers when boarding and alighting from trains. |

## Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]

Last update: 16.10.2020

| Subsystems (UTP GEN-B)                              |                    |  |   |                  |  |                    |   |
|---|--------------------|--|---|------------------|--|--------------------|---|
| EU  |                    |  | OTIF  |                  |  | EQUIVALENCE        |   |
| Base legal act                                      | Status + date      | (Legal) reference  | <u>Provisions</u>                                   | Entry into force | Status                                   | Equivalence        | Comments  |
| Annex II to <a href="#">Directive 2008/57/EC</a>    | EIF 19.7.2008      | Definition of Subsystems   | APTU Annex 1-B A 94-01B/1.2009                      | EIF 1.9.2009     | Adopted 12.2.2009<br>Notified 27.2.2009  | Yes from 1.9.2009  |   |
|   | Amended 22.3.2011  | Amended by <a href="#">Directive 2011/18/EC</a>                        |   |                  |  |                    | The EU modifications concerning CCS or electricity consumptions measuring are not in the scope of COTIF   |
|   |                    |  | <a href="#">UTP GEN-B A 94-01B/1.2012 Version 6</a> | EIF 1.5.2012     | Adopted 15.9.2011<br>Notified 30.11.2011 |                    | OTIF document renamed only  |
|   | Repealed 16.6.2020 | Amended by <a href="#">Directive (EU) 2016/797</a>                     |   |                  |  |                    |   |
| Annex II to <a href="#">Directive (EU) 2016/797</a> | EIF 16.6.2016      | Recast of the Directive and at the same way Reintroduction of Annex II | <a href="#">UTP GEN-B</a>                           | EIF 1.062.2019   |  | Yes from 1.12.2017 | The UTP GEN-B has been amended to ensure continued equivalence with the provisions applicable in the European Union. The existing version has been harmonised with the provisions of Directive (EU) 2016/797, which will be repealed by 16.6.2020. In addition to the purely editorial modifications, the reference to 'other railway material' is deleted; as such references have also been deleted from APTU and ATMF. |

**Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]**

Last update: 16.10.2020

| Technical File (UTP GEN-C)                                      |                    |   |   |                  |   |                                   |   |
|---|--------------------|---|---|------------------|---|-----------------------------------|---|
| EU  |                    |   | OTIF  |                  |   | EQUIVALENCE                       |   |
| Base legal act  | Status + date      | (Legal) reference   | <u>Provisions</u>                                   | Entry into force | Status  | Equivalence                       | Comments  |
| Annex VI and Art. 18(3) of <a href="#">Directive 2008/57/EC</a> | EIF 19.7.2008      | Requirements related to technical file in Article 18(3) and point 4 of Annex VI.          | APTU Annex 1-C A 94-01C/1.2009                      | EIF 1.9.2009     | Adopted 12.2.2009<br>Notified 27.2.2009               | Yes from 1.9.2009 until 21.3.2011 |   |
|   | Amended 22.3.2011  | Amended by <a href="#">Directive 2011/18/EC</a> .   | <a href="#">UTP GEN-C A 94-01C/1.2011 Version 5</a> | EIF 1.5.2012     | Adopted 15.9.2011<br>Notified 30.11.2011              |                                   | OTIF document renamed only  |
|   |                    |   | <a href="#">UTP GEN-C 2015</a>                      | EIF 1.1.2015     | Adopted 4.6.2014<br>Notified 18.7.2014                | Yes from 1.1.2015                 |   |
|   | Repealed 16.6.2020 | Repealed by <a href="#">Directive (EU) 2016/797</a>                                       |   |                  |   |                                   |   |
| Annex IV and Art. 15 of <a href="#">Directive (EU) 2016/797</a> | EIF 16.6.2016      | Recast of the Directive and at the same way the former Annex VI and Article were replaced | UTP GEN-C   | EIF 1.12.2017    | Amendment:<br>Adopted 13.6.2017<br>Notified 26.6.2017 | Yes from 1.12.2017                | The UTP GEN-C has been amended to ensure continued equivalence with the provisions applicable in the European Union. The existing version has been harmonised with the provisions of Directive (EU) 2016/797, which will be repealed by 16.6.2020.<br>In addition to the purely editorial modifications the required content of the technical file is defined more precisely. |

## Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]

Last update: 16.10.2020

| Assessment methods/modules (UTP GEN-D) |                                 |   |   |                  |   |                       |  |
|--|---------------------------------|---|---|------------------|---|-----------------------|--|
| EU                                     |                                 |   | OTIF  |                  |   | EQUIVALENCE           |  |
| Base legal act                         | Status + date                   | (Legal) reference   | <u>Provisions</u>                                   | Entry into force | Status                                  | Equivalence           | Comments   |
| <a href="#">Decision 2010/713</a>      | Date of application<br>1.1.2011 | Modules for assessment of conformity, suitability for use and EC verification | <a href="#">UTP GEN-D A 94-01D/3.2011 version 1</a> | 1.10.2012        | Adopted 23.9.2012<br>Notified 20.4.2012 | Yes from<br>1.10.2012 | In addition to the provisions of Decision 2010/713, the UTP GEN-D includes provisions which are equivalent to certain provisions in: <ul style="list-style-type: none"> <li>• Directive 2008/57/EC, Art.15(1) and Annexes IV, V and VI as amended by Directive 2011/18/EC</li> </ul> |

## Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]

Last update: 16.10.2020

| Assessing entity – qualifications and independence (UTP GEN-E)   |                    |  |   |                  |  |                   |   |
|--|--------------------|--|---|------------------|--|-------------------|---|
| EU   |                    |  | OTIF  |                  |  | EQUIVALENCE       |   |
| Base legal act   | Status + date      | (Legal) reference  | <u>Provisions</u>                                   | Entry into force | Status                                   | Equivalence       | Comments  |
| Annex VIII to <a href="#">Directive 2008/57/EC</a>               | EIF 19.7.2008      | Minimum criteria which must be taken into account by the member states when notifying Bodies | APTU Annex 1-E A 94-01E/1.2009                      | EIF 1.9.2009     | Adopted 12.2.2009<br>Notified 27.2.2009  | Yes from 1.9.2009 |   |
|  |                    |  | <a href="#">UTP GEN-E A 94-01E/1.2011 version 5</a> | EIF 1.5.2012     | Adopted 15.9.2011<br>Notified 30.11.2011 | Yes               | OTIF document renamed only.   |
|  |                    | <a href="#">ERA-ADV-2014-15 “The establishment of an accreditation scheme for NoBos”</a>     |   |                  |  | No                | The ERA advice was elaborated for a possible establishment of an accreditation scheme for railways NoBos. It consists of a sectoral scheme for the accreditation of the conformity assessment bodies for the purpose of notification. |
|  | Repealed 16.6.2020 | Repealed by <a href="#">Directive (EU) 2016/797</a>  |   |                  |  |                   |   |
| Article 30, 31 and 32 of <a href="#">Directive (EU) 2016/797</a> | EIF 16.6.2016      | Recast of the Directive and at the same way the former Annex VIII was replaced               |   |                  |  |                   | The impact on the equivalence to be analysed.   |

## Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]

Last update: 16.10.2020

| Common safety methods (CSM) on risk evaluation and assessment (UTP GEN-G) |   |   |   |                       |   |                       |  |
|---|---|---|---|-----------------------|---|-----------------------|--|
| EU  |   |   | OTIF  |                       |   | EQUIVALENCE           |  |
| Base legal act  | Status + date   | (Legal) reference   | <a href="#">Provisions</a>                            | Entry into force      | Status                                    | Equivalence           | Comments   |
| <a href="#">Regulation 352/2009</a>                                       | Date of application<br>1.7.2012<br>19.7.2010 <sup>2</sup> | First set of CSM on RA  | <a href="#">UTP GEN-G A 94-01G/1.2012 version 01</a>  | EIF<br>1.5.2012       | Adopted 12.06.2013<br>Notified 10.07.2013 | Yes from<br>1.5.2012  |  |
|   | Repealed<br>21.5.2015                                     | Repealed by <a href="#">Regulation 402/2013</a>                 |   | Repealed<br>21.5.2015 | by UTP GEN-G A 94-01G/1.2012, version 3   |                       |  |
| <a href="#">Regulation 402/2013</a>                                       | Date of application<br>21.5.2015                          |   | <a href="#">UTP GEN-G A 94-01G/1.2012 Version 3</a>   | EIF<br>1.1.2014       | Applies from 21.05.2015                   | Yes                   | This amendment on both EU and OTIF sides introduce 'CSM Assessment Bodies' and how they are recognised or accredited. <ul style="list-style-type: none"> <li>Amended in order to distinguish the acceptance of risks associated with technical systems from the acceptance of operational risks and of the overall risk at the level of the railway system, the term 'risk acceptance criteria' with respect to technical systems into 'harmonised design targets' for such technical systems.</li> <li>Specific definitions apply in reference to the harmonised quantitative design targets of technical systems.</li> </ul> |
|   | Amended Date of application<br>3.8.2015                   | Amended by <a href="#">Regulation 2015/1136</a> of 13 July 2015 |   |                       |   |                       |  |
|   |   |   | <a href="#">Decision amending A 94-01G/1.2012 v03</a> | EIF<br>1.12.2016      | Adopted 07.06.2016<br>Notified 23.06.2016 | Yes from<br>1.12.2016 |  |

<sup>2</sup> The Regulation applies from 1 July 2012. However, it applies from 19 July 2010: (a) to all significant technical changes affecting vehicles as defined in Article 2(c) of Directive 2008/57/EC and to all significant changes concerning structural subsystems, where required by Article 15(1) of Directive 2008/57/EC or by a TSI.

**Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]**

Last update: 16.10.2020

**Telematics application for freight services (UTP TAF)**

| EU                                   |                                 |                                       | OTIF                    |                  |   | EQUIVALENCE           |   |
|--------------------------------------|---------------------------------|---------------------------------------|-------------------------|------------------|---|-----------------------|---|
| Base legal act                       | Status + date                   | (Legal) reference                     | <u>Provisions</u>       | Entry into force | Status                                    | Equivalence           | Comments  |
| <a href="#">Regulation 1305/2014</a> | Date of application<br>1.7.2012 | TAF TSI and Change Control management | <a href="#">UTP TAF</a> | EIF<br>1.12.2017 | Adopted 13.06.2017<br>Notified 26.06.2017 | Yes from<br>1.12.2017 | <p>The purpose TAF TSI is to ensure the efficient interchange of information by setting the technical framework, to achieve a transport process that is as economically viable as possible. It covers the applications for freight services and the management of connections with other modes of transport.</p> <p>The UTP TAF represents the minimum legal requirements of the international information exchange for international freight services. The UTP TAF refers to the appendices that are published and regularly updated on the website of the European Union Agency for Railways (ERA).</p> <p>There is no deadline for non-EU Member States to complete implementation of the UTP TAF. Nevertheless, Contracting States have to ensure that any IT investments and developments in the scope of the UTP TAF comply with the UTP.</p> <p>The UTP Version has some small differences from the EU TAF TSI, particularly in points 2.3.2 and 4.2.1.1, in order to ensure consistency with Appendix B to COTIF (CIM).</p> |

### Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]

Last update: 16.10.2020

|  |                                  |   |  |                  |  |  |   |
|--|----------------------------------|---|--|------------------|--|--|---|
|  | Date of Application<br>16.3.2018 | Annex to Regulation 1305/2014 amended by <a href="#">Implementing Regulation 2018/278</a> of 23 February 2018 as regard to structure of the messages, data and message model, Wagon and Intermodal Unit Operating Database, and to adopt an IT standard for the communication layer of the Common Interface |  | EIF<br>1.06.2019 | Adopted 17.12.2018<br>Notified 27.5.2019 |  | Update refers to amended technical documents Appendix I of UTP TAF. Adopted by Written procedure.   |
|  | Date of application<br>16.6.2019 | Amended by <a href="#">Commission Implementing Regulation (EU) 2019/778</a> of 16 May 2019 as regards to Change Control Management  |  |                  |  |  | New amendment foreseen for the Change Control Management.<br><br><a href="#">New revision of TAF TSI foreseen starting second half of 2020.</a> |

**Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]**

Last update: 16.10.2020

**National Vehicle Register (NVR Uniform Rules)**

| EU  |                                  |  | OTIF                     |                  |   | EQUIVALENCE          |  |
|---|----------------------------------|--|--------------------------|------------------|---|----------------------|--|
| Base legal act  | Status + date                    | (Legal) reference  | <u>Provisions</u>        | Entry into force | Status  | Equivalence          | Comments   |
| <a href="#">Decision 2007/756</a>                               | Published<br>23.11.2007          | Common specification of NVR  | A 94-20/1.2009           | EIF<br>1.9.2009  | Adopted 12.2.2009<br>Notified 27.2.2009                         | Yes from<br>1.9.2009 |  |
|   | Amended                          | Amended by <a href="#">Decision 2011/107</a>                                       | NVR UR<br>A 94-20/2.2012 | EIF<br>1.3.2013  | Version 1:<br>Adopted 23.5.2012<br>Notified 27.9.2012           | Yes from<br>1.3.2013 |  |
|   | Amended<br>1.7.2013              | Amended by <a href="#">Regulation 519/2013</a><br>(accession of Croatia to the EU) |                          |                  |   |                      |  |
|   | Amended<br>1.1.2014              | Amended by <a href="#">Decision 2012/757</a>                                       | <a href="#">NVR 2015</a> | EIF<br>1.1.2015  | Adopted 5.6.2014<br>Notified 18.7.2014                          | Yes                  | OTIF amendment compared to previous version:<br>Parts 0-13 of Appendix 6 to NVR Decision are transposed in sections 7-18 of UTP Marking. Amendment does not affect equivalence.  |
|   | Amended<br>14.11.2018            | Amended by <a href="#">Commission Implementing Decision (EU) 2018/1614</a>         | <a href="#">NVR 2020</a> | EIF<br>1.6.2020  | Adopted 1.11.2019<br>(written procedure)<br>Notified 13.12.2019 | Yes                  |  |
|   | Repealed<br>16.6.2021            | Repealed by <a href="#">Commission Implementing Decision (EU) 2018/1614</a>        |                          |                  |   |                      |  |
| <a href="#">Commission Implementing Decision (EU) 2018/1614</a> | Date of application<br>16.6.2021 | Amending and Repealing <a href="#">Decision 2007/756</a> with effect               |                          |                  |   |                      | The EU Decision establishes the specifications for a centralised European Vehicle Register (EVR) to replace the NVR. The EVR shall be operational from 16.06.2021 and all EU member states must use the centralised registration function from 16.06.2024.<br><br>OTIF Specifications for new Vehicle Register compatible with EVR under development.<br><del>New P</del> proposal <del>expected to be</del> voted through written procedure in second half of 2020. |

**Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]**

Last update: 16.10.2020

| <b>Certification of entities in charge of maintenance (ECM) for freight wagons (ATMF Annex A)</b> |                      |  |  |                         |   |                    |  |
|---|----------------------|--|--|-------------------------|---|--------------------|--|
| <b>EU</b>   |                      |  | <b>OTIF</b>  |                         |   | <b>EQUIVALENCE</b> |  |
| <b>Base legal act</b>   | <b>Status + date</b> | <b>(Legal) reference</b>   | <b><u>Provisions</u></b>                                 | <b>Entry into force</b> | <b>Status</b>                             | <b>Equivalence</b> | <b>Comments</b>  |
| <a href="#">Regulation 445/2011</a>   | EIF 31.5.2011        | Certification of entities in charge of maintenance for freight wagons<br>Repealed by <a href="#">Commission Implementing Regulation (EU) 2019/779</a> of 16 May 2019 | <a href="#">Annex A to ATMF A 94-30/1.2012 Version 1</a> | EIF 1.5.2012            | Adopted 15.09.2011<br>Notified 30.11.2011 | Yes from 1.5.2012  | The Maintenance Certificate which was missing in the 2012 version document has been added.   |
|   |                      |  | <a href="#">ATMF-Annex A 2015</a>                        | EIF 1.12.2015           |   |                    |  |
| <a href="#">Commission Implementing Regulation (EU) 2019/779</a>                                  | EIF 16.6.2020        |  |  |                         |   | Pending            | From 16.6.2020 the new ECM certification rules will apply in EU. The revision of the EU ECM Regulation aims to improve the effectiveness of the regulation and to increase control of the maintenance process for vehicles other than freight wagons.<br><br>On-going developments:<br>Equivalence to COTIF Annex A to be analysed.<br>Revision of ECM provisions under COTIF in progress.<br>Proposal <del>expected to be</del> voted through written procedure in second half of 2020. |

**Equivalence table EU/OTIF regulations [TECH-18024-WGT42-9]**

Last update: 16.10.2020

| <b>Derogations (ATMF Annex B)</b>                              |                      |  |  |                         |   |                    |   |
|--|----------------------|--|--|-------------------------|---|--------------------|---|
| <b>EU</b>  |                      |  | <b>OTIF</b>  |                         |   | <b>Equivalence</b> |   |
| <b>Base legal act</b>  | <b>Status + date</b> | <b>(Legal) reference</b>   | <b><u>Provisions</u></b>                                 | <b>Entry into force</b> | <b>Status</b>                             | <b>Equivalence</b> | <b>Comments</b>   |
| Article 9 and Annex IX of <a href="#">Directive 2008/57/EC</a> | EIF 19.7.2008        | Rules, conditions and processes for EU Member States to derogate from the use of TSIs.   | <a href="#">Annex B to ATMF A 94-40/3.2012 version 4</a> | EIF 1.1.2014            | Adopted 12.06.2013<br>Notified 10.07.2013 | Yes from 1.1.2014  | Requirements and procedure for derogations from application of UTP(s) related to a structural or functional subsystem for use in international traffic. |
|  | Repealed 16.6.2020   | By <a href="#">Directive (EU) 2016/797</a>   |  |                         |   |                    |   |
| Article 7 of <a href="#">Directive (EU) 2016/797</a>           | EIF 16.6.2016        | Recast of the Directive and at the same way the former Article 9 and the Annex IX were replaced.<br>Legally the annex IX of directive 2008/57 remains in force until the adoption of an implementing act |  |                         |   |                    | The impact on the equivalence to be analysed.   |