



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**

CTE8/4.1

**Version 1
09.03.2015**

Original: EN

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

For information

1. TASKS FOR THE WG TECH AFTER 7TH SESSION OF THE COMMITTEE OF TECHNICAL EXPERTS (JUNE 2014)

After CTE 7, the challenges for the next period according to the chairman of CTE 7, include:

- Maintaining the equivalence that has been established between OTIF and EU rules
- Continuing and, where possible, increasing the involvement of non-EU Contracting States in developing specifications
- Setting the right priorities for future tasks.

At its session on 5 June 2014, CTE 7 adopted a “Strategy and work programme for OTIF Technical section for 2014 and 2015”, i.e. what WG TECH should work on in order to prepare the next (eighth) CTE meeting. In accordance with the strategy adopted, the technology section focused its activities on the following priorities:

- Analyse the need to define voluntary harmonised technical solutions for vehicle-vehicle interfaces for passenger coaches
- Develop additional requirements for a single admission for passenger coaches to be annexed to both the UTP and the TSI LOC&PAS, within the framework of an ERA Working Party
- The revision of the UTP NOI, following the adoption in the EU of the associated TSI
- Amendment of the UTP WAG, depending on developments in the EU
- Amendments to Annex A to ATMF (ECM regulations)
- Develop application guide(s)
- Further development of activities in connection with the dissemination of information and monitoring of OTIF rules
- Conduct studies in strategic areas.

2. WG TECH’S ACTIVITIES BETWEEN CTE 7 AND CTE 8

The standing working group technology (WG TECH) held three meetings:

- 23rd meeting on 10 and 11 September 2014 in Bern
- 24th meeting on 2 and 3 December 2014 in Lille
- 25th meeting on 4 and 5 February 2015 in Bern

Delegations from the following 8 MS took part in the meetings:

Bosnia and Herzegovina, France, Germany, Italy, Montenegro, Serbia, Switzerland and Turkey.

The supranational organisations EC DG MOVE and ERA and the international non-governmental organisations or associations CER, UIP and UNIFE were also represented at the meetings.

3. THE FOLLOWING DOCUMENTS WERE PREPARED FOR AND DISCUSSED BY WG TECH:

3.1 Interchangeable coaches

(Discussed at the 23rd, 24th and 25th meetings)

After WG TECH had noted that the need for technical requirements for interchangeable coaches had been clearly demonstrated, it was decided to continue working on the basis of a three layer model for interchangeable coaches:

- Interoperability layer (covered by a unique authorisation on the basis of TSIs and UTPs),
- Vehicle interchangeability layer (dealing with inter-vehicle interfaces), and
- Sector harmonisation layer (dealing with all other items the railway sector wishes to harmonise on a voluntary basis).

CER submitted a document to WG TECH entitled “First approach for UTP/TSI LOC&PAS RIC coaches” and gave a presentation on the progress report on the inter-vehicle interface. WG TECH decided that CER would prepare a list of the required specifications by June 2015, together with open points, if necessary. These open points would be followed by a clear explanation of the consequences if applied¹. WG TECH noted that WG TECH would only discuss where the requirements would appear, e.g. in a legal part (UTP/TSI) or in the sector agreement² once CER (in coordination with UNIFE) had submitted the full specification list. If necessary, CER would propose requirements within the RIC agreement, which could be followed by appropriate requirements in UTP or TSI.

WG TECH also decided not to set up a special subgroup for the purpose of defining technical requirements.

3.2 UTP NOI revision

(Discussed at the 23rd and 24th meetings)

WG TECH discussed the draft new UTP NOI (Ref. A94-04/1.2014 v.05, dated 20.10.2014), based on the final draft NOI TSI (2014) adopted by RISC70 in June 2014. WG TECH decided that in cases where NOI TSI requirements and OTIF regulations differ, additional explanations would be mentioned in the footnote, rather than in the left-hand (OTIF) column of the UTP NOI.

WG TECH 24 noted that apart from Section 7.3. Specific cases³, the draft UTP NOI was ready to be submitted to CTE8 for a vote.

3.3 Cross-reference document of EU/OTIF regulations → new format (EU - OTIF equivalence table)

(Discussed at the 23rd, 24th and 25th meetings)

¹ For example, train-wide information and requirements for the communication protocol

² In accordance with the CTE work programme for 2014 and beyond, interchangeable coach requirements could not be completed before the Working Party on “Unique authorisation” had completed its work, i.e. before the first (interoperability) layer is finished

³ Non-EU CS had been invited to inform the OTIF Secretariat by 15 March 2015 if they need to list specific cases in the revised UTP NOI

WG TECH noted that there was a new format for the cross-reference table of EU/OTIF regulations (Ref. A 92-00/2.2014, dated 13/01/2015). The aim of the new format was to make it easier to understand equivalence between OTIF and EU legal texts. WG TECH also noted that the table is an internal document to enable the OTIF Secretariat, ERA, EC and WG TECH to keep a check on equivalence. OTIF and ERA (EU) would continue to cooperate and regularly update the cross-reference table of EU/OTIF regulations. The reference table is available on OTIF's website - technology section, on the page for Guidance and Explanatory Documents⁴.

3.4 Development of UTP application guides: UTP LOC&PAS, UTP NOI and UTP PRM⁵

(Discussed at the 23rd, 24th and 25th meetings)

At its 24th session, WG TECH approved the UTP application guides on UTP LOC&PAS (Ref. A 92-01/2.2014 V0.1, dated 1.1.2015) and UTP NOI (Ref. A 92-01/3.2014 V0.1, dated 9.1.2015) and at its 25th session, it approved UTP PRM (Ref. A 92-01/1.2015 V0.1, dated 5.1.2015)⁶, and instructed the OTIF Secretariat to publish them in all three languages on OTIF's website - technology section, on the page for Guidance and Explanatory Documents. They correspond to the relevant TSI application guides. In the guides, information relevant to the application of the UTPs is highlighted in blue rectangles.

WG TECH noted that application guides are not legally binding documents.

3.5 Analysis of future tasks in relation to the revision of ATMF

(Discussed at the 23rd meeting)

WG TECH discussed whether it was necessary to specify additional operational and safety provisions in the framework of OTIF following the introduction of the new Article 15a to ATMF⁷. WG TECH decided to continue the discussion on this subject after receiving input from CER/UIP and NSAs.

3.6 RID and ATMF: joint paper of the OTIF Secretariat and the European Commission

(Discussed at the 25th meeting)

A joint OTIF and EC paper was submitted to WG TECH, together with the next steps with regard to improving consistency between COTIF Appendices C and G. OTIF and EC would jointly set up a working group with the task of coordinating the work. The OTIF Secretary General and EC would coordinate the work of this working group. To this end, OTIF and EC would draft terms of reference (ToR) for the working group and distribute them to all interested parties, i.e. OTIF and EU committees, WG TECH, the sector, etc. The new working group could also deal with including the Entity in Charge of Maintenance in RID, with the aim of resolving this question by the end of 2015 and of introducing solutions into the 2017 edition of RID.

The invitation to the first meeting of the working group would only be sent out after the draft ToR document had been submitted to all the relevant committees.

⁴ <http://www.otif.org/en/technology/guidance-and-explanatory-documents.html> and Explanatory Documents

⁵ Refers only to rolling stock

⁶ After the OTIF Secretariat and ERA checked whether the reference to the Swiss standard on page 42 could be deleted or amended

⁷ Article 15a of ATMF included tasks and responsibilities for train composition

3.7 Amendment of Annex V to the ECM Uniform Rules

(Discussed at the 23rd, 24th and 25th meetings)

WG TECH noted the Secretariat's analysis of the different layouts in Annex V of the ECM Uniform Rules and Annex V of the equivalent EU ECM Regulation. WG TECH 25 also noted that a new template for the Maintenance Functions Certificate in Annex V of the ECM UR was ready to be submitted to CTE8 for a vote (Ref. A 94-30/1.2014 V0.2, dated 28.10.2014). Furthermore, WG TECH noted that the differences between the two templates would be resolved during the next revision of the ECM regulation at EU level.

3.8 TAF TSI study

(Discussed at the 24th and 25th meetings)

WG TECH discussed the results of TAF TSI study and noted that the discussion on these results (Ref. A 92-06/1.2015 V0.2, dated 15.1.2015) would be dealt with as the first step at the conceptual level that precedes the UTP TAF. It was also noted that the OTIF Secretariat could be faced with intensive additional work if TAF TSI were to be transposed into UTP TAF.

WG TECH decided to issue the study for the attention of CTE 8, which should reach a conclusion on how OTIF should proceed with TAF TSI. The study proposed two scenarios with associated sub-scenarios on how to deal with this matter:

- **Do not transpose TAF TSI:**
 - Do nothing within OTIF
 - Promote the application of TAF TSI on a voluntary basis
 - Voluntary scheme + application guide issued by OTIF
- **Transpose TAF TSI into OTIF regulation:**
 - Full transposition of the TAF TSI into OTIF law (UTP TAF, including the technical appendices)
 - Partial transposition (UTP TAF with the reference to the technical appendices on the ERA website)

3.9 ERA activities and developments which relate to the activities of OTIF

(Discussed at the 24th and 25th meetings)

WG TECH attached great importance to ensuring coordination of the work between OTIF and the EU, both in substance as well as in timing. This was a prerequisite for maintaining full equivalence between EU and OTIF rules. With regard to the coordination work, the OTIF Secretariat and the EC would investigate whether any improvements were possible.

Amendments to the corresponding OTIF and EU legislation should enter into force simultaneously if full equivalence were to be maintained.

3.10 Common safety method (CSM) for risk evaluation and assessment, amendments and their implications for UTP GEN-G

(Discussed at the 24th and 25th meetings)

WG TECH noted that the OTIF Secretariat would start to prepare the draft UTP GEN-G amendments. The OTIF Secretariat would coordinate its activities with EC and ERA, in accordance with the Administrative Arrangements between OTIF, EC and ERA.

ERA would check whether publication of the CSM application guide could be postponed in order to provide more time for additional comments.

3.11 Draft agenda for the 8th session of the CTE on 10 and 11 June 2015

(Discussed at the 24th and 25th meetings)

WG TECH noted that coordination of OTIF and EU activities is very important. WG TECH also invited participants to submit their suggestions for the CTE 8 agenda to the OTIF Secretariat.

WG TECH prepared and discussed the preparation of the following agenda for CTE 8:

- For **adoption** by the CTE at its 8th session in June 2015:
 - UTP NOI revision
 - ECM Rules amendment (addition of Annex V)
 - UTP WAG, update of references in Appendices G and J to M
- For **information** at the 8th session of CTE in June 2015:
 - Report from the Committee of Technical Experts working group TECH
 - Status of notifications of the national technical requirements according to Article 12 APTU
 - ERA consultation of non-EU OTIF Member States (CMS RA)
 - Status of the development of the NVRs in the Contracting States
- For **discussion** at the 8th session of CTE in June 2015:
 - TAF TSI – study and next steps
 - ATMF explanatory document
 - RID/CTE coordination
 - Interchangeable coaches
 - Work programme of the Committee of Technical Experts for 2015/2016 and beyond

4. PRESENTATIONS GIVEN BY MEMBER STATES AND ORGANISATIONS AT THE WG TECH MEETING

4.1 Presentation of matrix of responsibilities between entities in the railway sector (CER and UIP)

(At the 24th meeting)

WG TECH noted the presentation and matrix given by UIP on behalf of the Group of Representative Bodies (GRB). GRB had developed a matrix providing an overview of the actors and their tasks, which also included contractual partners, such as consignors. The matrix showed the different actors in columns and the phases of the transport (planning) in rows. The cells contained the activities of each actor in each phase.

4.2 ERA's update on work relating to the activities of OTIF

(At the 24th meeting)

WG TECH noted ERA's presentations relating to ERA's scope of work in general and its Interoperability, Cross Acceptance and Safety Units in particular. ERA also presented the main elements of the revised TSI NOI, as well as an update on the project entitled "Rationalisation of Vehicle Related Registers".

4.3 ERA activities and developments which relate to the activities of OTIF

(At the 25th meeting)

CSM amendments and their implications for UTP GEN-G

WG TECH noted ERA's presentation about recent developments concerning consultations on the proposed amendments and about planning. EC would adopt the final text by June 2015 and subsequently publish it in the EU Official Journal.

OPE TSI Revision

WG TECH was informed about the main elements of ERA's recommendations on TSI OPE. It was explained that TSI OPE would be implemented through two documents: by a Regulation (directly applicable to all actors from 1 July 2015), and by a Directive (indirectly, where the MS are obliged to submit their national plans to the Commission on how they would implement requirements by 30 June 2017). The changes to TSI OPE concerned: development of the 14 operational principles, clarification of safety-related communications, listing the data elements that IMs have to provide to RUs and requirements relating to other train crew members.

WAG TSI amendment on composite brake blocks

WG TECH noted ERA's presentation about the main elements of the WAG TSI amendments, together with the time framework for their application. The EC would adopt the WAG TSI amendments in April/May 2015 and bring them into force from 1 July 2015. The amendments should close the open point referred to in Table A.1 of Appendix A - assessment by a notified body/assessing entity of composite brake blocks (CBB) in Appendix G. In other words, the amendments should define the specification of an interoperability constituent (IC) "friction element for wheel tread brakes" and the elaboration of the assessment methodology for the IC. Mr. KAUPAT also introduced the meeting to

the 10 year validity of EC type or EC design examination certificates and the 10 year transition period from the date of application of the amended WAG TSI. The latter refers to the use of components manufactured (e.g. according to Notified National Technical Requirements) before the date of application of the amended WAG TSI and to the use of components corresponding to Appendix G, designed and manufactured before the expiry of their approval period. It was stated that after the date of application of the amended WAG TSI, no new CBB would be listed in Appendix G.

ERA Application guide for the CSM Assessment Body

(Application Guide for the CSM Assessment Body in Regulation (EU) N° 402/2013 and in OTIF UTP GEN-G of 1.1.2014 on the CSM for risk assessment)

WG TECH was informed about recent developments on the draft application guide for the CSM Assessment Body. OTIF, NSA and Representative Bodies had been consulted. It was planned to publish the application guide in February 2015.

ERA would check whether publication of the CSM application guide could be postponed in order to provide more time for additional comments.

4.4 Presentation by Germany on supervision in the scope of Article 9 of the ECM Regulation

(At the 25th meeting)

WG TECH was informed about which measures NSAs (Competent Authority) should apply and who should be informed in the event that an ECM does not comply with the ECM requirements. It was pointed out that unlike certification bodies, the NSAs do not directly supervise ECMs. The NSAs can make decisions against RUs and ECMs⁸. At the same time, the RUs are responsible for managing their subcontractors (which includes ECMs). With regard to the information flow in terms of measures that have been implemented, according to the NSA Network Subgroup and bearing in mind the sector's responsibility for disseminating information to all parties, it is sufficient that the NSA informs RU/keeper where the defect occurred.

With regard to the RUs' responsibility for managing their subcontractors, WG TECH noted that Article 4 of the Safety Directive had been challenged and that this sensitive process was ongoing within the EU.

⁸ If at the same time the NSA is the certification body, it supervises both the RU and the ECM