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TECHNOLOGY SECTION – STRATEGY AND WORK PROGRAMME

For the period 2015 - 2016
1. Introduction

As defined in Article 3a of ATMF (Appendix G to the Convention), full equivalence between EU technical specifications (TSIs) and OTIF technical prescriptions (UTPs) will facilitate the mutual acceptance of rolling stock. The aim is to allow vehicles first admitted to operation outside the EU to be operated in the EU and vice versa. The technology section therefore aims to continue working on equivalence between TSIs and UTPs as far as the scope of the Convention permits.

The tables in Annex 1 provide an overview of the mandated activities as set out in the Convention and indicate their respective status and developments anticipated in 2015/2016.

The increasing amount of regulations also requires dissemination, particularly to assist non-EU Contracting States with the correct application of the OTIF regulations. The States themselves must also be relied upon to implement the UTPs correctly. OTIF will then be able to monitor their activities for the common benefit of its Member States.

Decisions relating to the work of the technology section are taken by the Committee of Technical Experts (CTE). CTE sessions are prepared by the “standing working group technology” (WG TECH) and, where needed for specific subjects, assisted by ad-hoc working groups.

2. General roadmap for the development of technical regulations

Figure 1 sets out the general roadmap for the development of new technical regulations.
The base level indicated in this diagram was established with the entry into force of ATMF on 1.12.2010 (and of the Interoperability Directive in the EU on 19.7.2008) and transferred competence for approving/admitting vehicles from the railway companies to State level. When the ATMF entered into force, there were no uniform technical prescriptions (UTPs) available on which the admission could be based. Admission therefore had to be carried out on a State by State basis in accordance with ATMF Art. 6(4). Even in the absence of harmonised UTP rules, the principles of ATMF applied fully in each CS, which meant that from then on the State, rather than railway companies, took responsibility for the admission of vehicles.

Level 1 on this diagram was established in 2012 with the entry into force of the first version of the UTP for freight wagons and a set of general UTPs which set out the essential requirements, UTP assessment procedures, etc.

The basic idea of level 2 was to establish in international law all the provisions needed for the free exchange of passenger coaches in international traffic. A firm basis for level 2 was established on 1.1.2015 with the entry into force of the UTP LOC&PAS. In coordination with OTIF, ERA works on the requirements allowing the unique admission of vehicles. This is done by analysing the remaining open points and specific cases and defining the kinds of vehicles for which these open points could be closed by means of specific technical solutions and how the specific cases could be dealt with. In addition, the Secretariat is promoting the definition of harmonised inter-vehicle interfaces.

Level 3 builds on level 2, but the main difference is that level 2 focuses on coaches, where level 3 includes complete trains. These developments will benefit from the revision of ATMF, which sets out the basic operational responsibilities of the actors involved in the use of vehicles and the operation of trains. It should be analysed whether more detailed provisions relating to the international operation of trains are required. The need for telematic applications will also be analysed.

For those Member States that are interested, Level 4 anticipates further harmonisation in the use of infrastructure for international traffic. For example, databases could make available the infrastructure characteristics of corridors and internationally used lines, so that railway undertakings can determine whether their rolling stock is compatible with the lines.

3. Priorities for 2015-2016

3.1 Revision and amendment of existing regulations

Regulatory drafting – During recent years the core activity of the technical section has been to draft new and amended UTPs and to coordinate the adoption of UTPs and other regulations. A practical yearly working cycle has been implemented with three WG TECH meetings and one CTE meeting each year. For each of these meetings the technology section prepares all the documents for the meetings and drafts the minutes.

Now that a large body of technical regulations (15 documents with a total of around 750 pages) has been established and many of these regulations need regular updating, it is important to work in accordance with a transparent process for dealing with amendments and revisions. In coordination with WG TECH, the OTIF Secretariat intends to establish guidelines on drafting legislation. These guidelines should clarify questions as to whether amendments should be published as consolidated new versions, or as amendment decisions, how and where to make available previous versions of rules, etc. The technical section will liaise with OTIF’s legal section to this end.

The Secretariat and the European Railway Agency together developed an equivalence table, which gathers together in one document an overview of OTIF UTPs and other technical rules and their EU
equivalents. This document has become important for both the EU and for OTIF in terms of anticipating developments and ensuring continued consistency.

Now that many of the EU rules have equivalent OTIF rules, it is becoming increasingly important to develop a transparent and coordinated amendment process that takes into account the processes of both organisations. The OTIF Secretariat will continue to work on this together with the European Commission and the European Railway Agency in order to find practical arrangements in support of these aims.

In the framework of the Administrative Arrangements of October 2013, the OTIF Secretariat or, where appropriate, designated experts from OTIF Member States, take part in European Railway Agency working groups in order to inform these working groups about the requirements and constraints of non-EU OTIF Member States. This way, ERA can take OTIF’s constraints into account in the early stages of developments.

Together with the European Commission, the OTIF Secretariat will continue to look for ways to improve coordination further between EU and OTIF in the processes for amending equivalent rules, particularly between the time when ERA issues a recommendation and when it is formally adopted by the European Commission.

3.2 Drafting new regulations and guidelines

Up to 2012, the OTIF regulations were developed in a consecutive process on the basis of EU regulations. Firstly, the EU regulations were developed and adopted, after which they were transposed into OTIF regulations. 1 January 2014 marked the first occasion on which equivalent OTIF and EU regulations entered into force simultaneously, notably the revised UTP and TSI for freight wagons. Such coordinated development becomes increasingly important for both the EU and OTIF in order to avoid inconsistencies between EU and OTIF law.

The number of new regulations will drastically decrease, as a full set of UTPs for vehicles is now in force. The focus of the Secretariat’s activities related to the development of regulations and guidance will be on:

- Facilitating the exchange of vehicles in international traffic, by ensuring that a set of harmonised inter-vehicle requirements is available at international level to complement the forthcoming framework for unique authorisation.
- Clarifying and, where necessary, harmonising operational responsibilities that are needed for international traffic.
- Promoting the use of harmonised systems for the exchange of information in international traffic, such as registers, databases and telematic applications.
- Issuing explanatory documents which help Contracting States to understand the OTIF rules correctly.
- Issuing application guides in coordination with the European Railway Agency, which helps actors such as manufacturers or assessment bodies to apply the OTIF rules correctly.

3.3 Dissemination, coordination and monitoring

Dissemination – The increasing complexity of the applicable regulations also requires the dissemination of information, particularly to assist non-EU Contracting States with the correct application of the OTIF regulations. Several dissemination activities are planned in this respect, ranging from issuing explanatory documents and application guides to presentations, workshops and visits to various States. In addition, the Secretariat has created the possibility for government experts to participate in a new in-house training programme.
Coordination – an increasing number of bodies is involved in the application of OTIF rules. For example each Contracting State should have a Competent Authority and many states have one or more accreditation bodies, assessing entities, ECM certification bodies and CSM assessment bodies. For several of these bodies and/or their EU peers, there are coordination meetings. OTIF does not have the resources to organise such coordination meetings itself, but is seeking synergies with the EU. A good example of such synergy is the coordination of ECM certification bodies, to which non-EU certification bodies are already invited and which will OTIF will host on 18 June 2015 in Bern.

Monitoring of implementation – The quantity of technical regulations developed under APTU and ATMF is already large and is still growing. Dealing with the quantity and complexity of all the rules is proving to be a challenge for the OTIF Contracting States. At the same time, correct implementation is becoming increasingly important. If the OTIF regulations are not applied correctly, this may result in disruptions to international traffic, as illustrated by freight wagons which were blocked at borders in June 2013 because they had no valid Entity in Charge of Maintenance (ECM) assigned to them. The OTIF Secretariat would like to improve further its understanding of how the regulations are implemented in the Contracting States. The focus will be on non-EU Contracting States, as the EU has its internal processes in this respect.

In addition to the above, the Secretariat will try to involve experts from Member States in its contacts with ERA. Such involvement will be based on an agreement between the Contracting State and OTIF and on the Administrative Arrangements between ERA DG MOVE and OTIF, as set out in circular letter A 57-21/501.2013 of 25 November 2013.

3.4 Consistency with other regulations

The ATMF and APTU rules relate to a wide range of railway processes and products, including vehicle requirements, admission processes, responsibilities for maintenance, registers, exchange of information, etc. The technology team is regularly requested to provide support and input to subjects which are not part of its primary tasks. These tasks often require significant resources and it is therefore worth mentioning them in this document. In particular, the technical section has provided and continues to provide support for the coordinated development of CUV, the Luxembourg Protocol, harmonisation between ATMF and RID, and RID developments related to ECM and vehicle requirements.

3.5 Studies

In 2013 the OTIF Secretariat established a “Young Experts Programme” for young graduates to gain experience in OTIF, at the same time adding value to OTIF by carrying out studies. In 2014/2015 a young expert studied the feasibility of transposing the TAF TSI into OTIF regulations. At the time of writing there are no specific studies planned, but with the standing framework, the Secretariat is flexible in anticipating future needs.

4 Provisional calendar

After the CTE of 2015, two more sessions of WG TECH are planned in 2015, the first on 9 and 10 September hosted by France and the second on 17 and 18 November at the OTIF premises. One more WG TECH meeting is planned for 2016, before the 9th session of the CTE.

5 Overview of anticipated activities

The Technology section will focus its activities as described in this document, with the priority on:
- Developing additional requirements for a unique admission for passenger rolling stock within the framework of the ERA Working Party. The unique admission should be valid in all Contracting States. It is anticipated that the requirements will be annexed to both the UTP and the TSI LOC&PAS;

- Making accessible at international level the definition of harmonised technical solutions for inter-vehicle interfaces for passenger coaches: the sector (e.g. led by CER and/or by UNIFE and UIC) should collect and define a comprehensive set of specifications required in addition to the UTP/TSI LOC&PAS. If these specifications are completed, WG TECH may analyse these technical solutions and how they could be integrated into the framework of vehicle requirements at the level of standardisation or optional (voluntary) regulation;

- Developing appropriate instruments (e.g. guidance or regulations) covering responsibilities for the operational actors (i.e. RU, keeper, ECM) to clarify further the new ATMF Article 15a and with a view to developing a vision of interoperability outside the EU. The first objective would be to analyse the situation and identify the need and legal basis for further developments;

- Working together with RID experts to improve consistency between ATMF and RID;

- Developing legal drafting principles for the amendment or revision of UTPs and their subsequent publication;

- Following the activities of the European Railway Agency, in particular in fields where OTIF and the EU have equivalent rules. Where necessary, and in cooperation with ERA, advise WG TECH on these regulatory developments and the steps OTIF should take;

- The development of explanatory documents for:
  - APTU,
  - the Common Safety Methods on risk assessment and evaluation (UTP GEN-G) and
  - the conformity assessment procedures (UTP GEN-D).

- Monitoring and dissemination activities, particularly with non-EU Member States.

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