Uniform Technical Prescription

Subsystem Rolling Stock Noise

Applicable from xx.xx.xxxx
Amendments Record


G:\Technical\OTIF Meetings\WG TECH\WGTECH23 2014_09\documents\1\Documents as input to WG23\A 94-04_1_2014_v1_e_UTP NOI.docx
APTU Uniform Rules (Appendix F to COTIF 1999)

Uniform Technical Prescriptions (UTP) applicable to
the Rolling Stock subsystem:

NOISE - (UTP NOI)

These regulations have been developed in accordance with the provisions of APTU, in particular Article 8, in the version as amended by the OTIF Revision Committee in 2009, which entered into force on 1 December 2010. For definitions and terms, see also Article 2 of APTU (Appendix F) and Article 2 of ATMF (Appendix G), both Appendices to the 1999 version of the COTIF Convention as applicable since 1 December 2010. Footnotes (which are not part of the regulations) include both explanatory information and references to other regulations.

Explanatory note:

The texts of this UTP which appear across two columns are identical to corresponding texts of the European Union regulations. Texts which appear in two columns differ; the left-hand column contains the UTP regulations, the right-hand column shows the text in the corresponding EU regulations. The text in the right-hand column is for information only and is not part of the OTIF regulations. Texts in the right-hand column which are not quoted from the PRM TSI, but from other EU regulations are in italics.
0. **EQUIVALENCE AND TRANSITIONAL PROVISIONS**

Following their adoption by the Committee of Technical Experts, the OTIF regulations included in this document are declared equivalent to the corresponding EU regulations within the meaning of Article 13§4 of APTU\(^1\) and Article 3a of ATMF\(^2\), in particular with:


This UTP repeals the Uniform Technical Prescriptions (UTP) relating to the Subsystem Rolling Stock – NOISE, which entered into force on 1.12.2012 (reference A 94-04/2.2012 version 3). However, the version as entered into force on 1.12.2012 may continue to be applied in accordance with the provisions set out in Chapter 7 of the present UTP.

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\(^1\) **APTU** means the Uniform Rules concerning the Validation of Technical Standards and the Adoption of Uniform Technical Prescriptions applicable to Railway Material intended to be used in International Traffic – Appendix F to COTIF 1999 in the revised version that entered into force on 1 December 2010.

\(^2\) **ATMF** means the Uniform Rules concerning Technical Admission of Railway Material used in International Traffic – Appendix G to COTIF 1999 in the revised version that entered into force on 1 December 2010.
1. INTRODUCTION

In general

Uniform Technical Prescriptions (UTP) lay down for each subsystem (or part of it) the optimal level of harmonised specifications in order to ensure the interoperability of the rail system. Therefore

UTPs harmonise only the specifications concerning parameters which are critical to interoperability (basic parameters). The specifications of the UTPs must meet the essential requirements as set out in Annex III of Directive 2008/57/EC.

In line with the proportionality principle this UTP sets out the optimal level of harmonisation related to specifications on the rolling stock subsystem as defined in section 1.1 intended to limit the noise emission of the rail system within the OTIF Contracting States.

1.1. TECHNICAL SCOPE

This UTP applies to all rolling stock in the scope of UTP LOC&PAS 2015 and UTP WAG 2015. Regulation (EU) XXX/2014 (LOC&PAS TSI) and Regulation (EU) 321/2013 (WAG TSI).

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4 Throughout this regulation, UTP LOC&PAS 2015 means: Uniform Technical Prescriptions relating to the subsystem rolling stock, Locomotives and passenger rolling stock in its version that entered into force on 1.1.2015.

5 Throughout this regulation, UTP WAG 2015 means: Uniform Technical Prescriptions relating to the subsystem rolling stock, Freight Wagons in its version that entered into force on 1.1.2015.
1.2. GEOGRAPHICAL SCOPE

The geographical scope of this UTP corresponds to the scopes defined in section 1.2 of UTP LOC&PAS 2015 and in section 1.2 of UTP WAG 2015, 1.2 of Regulation (EU) XXX/2014 and in section 1.2 of Regulation (EU) 321/2013, each for their rolling stock (RST) concerned.

2. DEFINITION OF THE SUBSYSTEM

A ‘unit’ means the rolling stock which is subject to the application of this UTP, and therefore subject to the UTP verification procedure. Chapter 2 of UTP LOC&PAS 2015 and chapter 2 of UTP WAG 2015 describe what a unit can consist of.

The requirements of this UTP apply to the following categories of rolling stock set out in section 1.2 in Annex I of Directive 2008/57/EC:

a) Self-propelling thermal or electric trains. This category is further defined in chapter 2 of Regulation (EU) XXX/2014.

b) Thermal or electric traction units. This category is further defined in chapter 2 of Regulation (EU) XXX/2014.
c) **Passenger carriages and other related cars.** This category is further defined in chapter 2 of UTP LOC&PAS 2015 and shall be referred to in this

UTP TSI

as coaches.

d) **Freight wagons, including vehicles designed to carry lorries.** This category is further defined in chapter 2 of UTP WAG 2015 and shall be referred to in this

UTP TSI

as wagons.

e) **Mobile railway infrastructure construction and maintenance equipment.** This category is further defined in chapter 2 of UTP LOC&PAS 2015 and consists of on-track machines (referred to in this

UTP TSI

as OTMs) and Infrastructure Inspection Vehicles, which belong to the categories in points a), b) or d) depending on their design.

3. **ESSENTIAL REQUIREMENTS**

All basic parameters set out in this

UTP TSI

must be linked with at least one of the essential requirements as set out in

UTP GEN-A 2015


Table 1 indicates the allocation.
Table 1: Basic parameters and their link to the essential requirements

<table>
<thead>
<tr>
<th>point</th>
<th>basic parameter</th>
<th>essential requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.2.1</td>
<td>Limits for stationary noise</td>
<td>1.4.4</td>
</tr>
<tr>
<td>4.2.2</td>
<td>Limits for starting noise</td>
<td>1.4.4</td>
</tr>
<tr>
<td>4.2.3</td>
<td>Limits for pass-by noise</td>
<td>1.4.4</td>
</tr>
<tr>
<td>4.2.4</td>
<td>Limits for driver’s cab interior noise</td>
<td>1.4.4</td>
</tr>
</tbody>
</table>

4. CHARACTERISATION OF THE SUBSYSTEM

4.1. INTRODUCTION

This Chapter sets out the optimal level of harmonisation related to specifications on the rolling stock subsystem intended to limit the noise emission of the Union rail system in accordance with the objectives as set out in COTIF and to achieve interoperability.

4.2. FUNCTIONAL AND TECHNICAL SPECIFICATIONS OF THE SUBSYSTEMS

The following parameters have been identified as critical for the interoperability (basic parameters)

- “stationary noise”,
- “starting noise”,
- “pass-by noise”,
- “driver’s cab interior noise”.

The corresponding functional and technical specifications allocated to the different categories of rolling stock are set out in this section. In case of units equipped with both thermal and electric power the relevant limit values under all normal operation modes shall be respected. If
one of these operation modes foresees the use of both thermal and electric power at the same time the less restrictive limit value applies. In accordance with Article 8§6 of APTU and Article 2(aa) of ATMF, provision may be made for specific cases. Such provisions are indicated in section 7.3.

The assessment procedures for the requirements in this section are defined in the indicated points and sub points of chapter 6.

4.2.1. LIMITS FOR STATIONARY NOISE

The limit values for the following sound pressure levels under normal vehicle conditions concerning the stationary noise allocated to the categories of the rolling stock subsystem are set out in table 2:

- the A-weighted equivalent continuous sound pressure level of the unit \( L_{pAeq,T[\text{unit}]} \),
- the A-weighted equivalent continuous sound pressure level at the nearest measuring position \( i \) considering the main air compressor \( L_{i pAeq,T} \) and
- the AF-weighted sound pressure level at the nearest measuring position \( i \) considering impulsive noise of the exhaust valve of the air dryer \( L_{i pAFmax} \)

The limit values are defined at a distance of 7.5 m from the centre of the track and 1.2 m above top of rail.

Table 2: Limit values for stationary noise

<table>
<thead>
<tr>
<th>Category of the rolling stock subsystem</th>
<th>( L_{pAeq,T[\text{unit}]} ) [dB]</th>
<th>( L_{i pAeq,T} ) [dB]</th>
<th>( L_{i pAFmax} ) [dB]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electric locomotives and OTMs with electric traction</td>
<td>70</td>
<td>75</td>
<td></td>
</tr>
<tr>
<td>Diesel locomotives and OTMs with diesel traction</td>
<td>71</td>
<td>78</td>
<td>85</td>
</tr>
<tr>
<td>EMUs</td>
<td>65</td>
<td>68</td>
<td></td>
</tr>
<tr>
<td>DMUs</td>
<td>72</td>
<td>76</td>
<td></td>
</tr>
<tr>
<td>Coaches</td>
<td>64</td>
<td>68</td>
<td></td>
</tr>
<tr>
<td>Wagons</td>
<td>65</td>
<td>n.a.</td>
<td>n.a.</td>
</tr>
</tbody>
</table>

The demonstration of conformity is described in point 6.2.2.1.
4.2.2. LIMITS FOR STARTING NOISE

The limit values for the AF-weighted maximum sound pressure level \( L_{\text{pAF,max}} \) concerning the starting noise allocated to the categories of the rolling stock subsystem are set out in table 3. The limit values are defined at a distance of 7,5 m from the centre of the track and 1,2 m above top of rail.

**Table 3: Limit values for starting noise**

<table>
<thead>
<tr>
<th>Category of the rolling stock subsystem</th>
<th>( L_{\text{pAF,max}} ) [dB]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electric locomotives with total tractive power ( P &lt; 4500 \text{ kW} )</td>
<td>81</td>
</tr>
<tr>
<td>Electric locomotives with total tractive power ( P \geq 4500 \text{ kW} ) OTMs with electric traction</td>
<td>84</td>
</tr>
<tr>
<td>Diesel locomotives ( P &lt; 2000 \text{ kW at the engine output shaft} )</td>
<td>85</td>
</tr>
<tr>
<td>Diesel locomotives ( P \geq 2000 \text{ kW at the engine output shaft} ) OTMs with diesel traction</td>
<td>87</td>
</tr>
<tr>
<td>EMUs with a maximum speed ( v_{\text{max}} &lt; 250 \text{ km/h} )</td>
<td>80</td>
</tr>
<tr>
<td>EMUs with a maximum speed ( v_{\text{max}} \geq 250 \text{ km/h} )</td>
<td>83</td>
</tr>
<tr>
<td>DMUs ( P &lt; 560 \text{ kW/engine at the engine output shaft} )</td>
<td>82</td>
</tr>
<tr>
<td>DMUs ( P \geq 560 \text{ kW/engine at the engine output shaft} )</td>
<td>83</td>
</tr>
</tbody>
</table>

The demonstration of conformity is described in point 6.2.2.2.

4.2.3. LIMITS FOR PASS-BY NOISE

The limit values for the A-weighted equivalent continuous sound pressure level at a speed of 80 km/h \( (L_{\text{pAeq,Tp,(80 km/h)}}) \) and, if applicable, at 250 km/h \( (L_{\text{pAeq,Tp,(250 km/h)}}) \) concerning the pass-by noise allocated to the categories of the rolling stock subsystem are set out in table 4. The limit values are defined at a distance of 7,5 m from the centre of the track and 1,2 m above top of rail.

Measurements at speeds higher than or equal to 250 km/h shall also be made at the ‘additional measurement position’ with a height of 3,5 m above top of rail in accordance with chapter 6 of EN ISO 3095:2013 and assessed against the applicable limit values of table 4.
Table 4: Limit values for pass-by noise

<table>
<thead>
<tr>
<th>Category of the rolling stock subsystem</th>
<th>$L_{pAeq,Tp}$ (80 km/h) [dB]</th>
<th>$L_{pAeq,Tp}$ (250 km/h) [dB]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electric locomotives and OTMs with electric traction</td>
<td>84</td>
<td>99</td>
</tr>
<tr>
<td>Diesel locomotives and OTMs with diesel traction</td>
<td>85</td>
<td>n.a.</td>
</tr>
<tr>
<td>EMUs</td>
<td>80</td>
<td>95</td>
</tr>
<tr>
<td>DMUs</td>
<td>81</td>
<td>96</td>
</tr>
<tr>
<td>Coaches</td>
<td>79</td>
<td>n.a.</td>
</tr>
<tr>
<td>Wagons (normalised to APL=0.225)*</td>
<td>83</td>
<td>n.a.</td>
</tr>
</tbody>
</table>

*APL: the number of axles divided by the length over the buffers [m$^{-1}$]

The demonstration of conformity is described in point 6.2.2.3.

4.2.4. LIMITS FOR THE DRIVER’S CAB INTERIOR NOISE

The limit values for the A-weighted equivalent continuous sound pressure level ($L_{pAeq,T}$) concerning the noise within the driver’s cab of electric and diesel locomotives, OTMs, EMUs, DMUs and coaches fitted with a cab are set out in table 5. The limit values are defined in the vicinity of the driver’s ear.

Table 5: Limit values for driver’s cab interior noise

<table>
<thead>
<tr>
<th>Noise within the driver's cab</th>
<th>$L_{pAeq,T}$ [dB]</th>
</tr>
</thead>
<tbody>
<tr>
<td>At standstill with horns sounding</td>
<td>95</td>
</tr>
<tr>
<td>At maximum speed $v_{max}$ if $v_{max} &lt; 250$ km/h</td>
<td>78</td>
</tr>
<tr>
<td>At maximum speed $v_{max}$ if $250$ km/h $\leq v_{max} &lt; 350$ km/h</td>
<td>80</td>
</tr>
</tbody>
</table>

The demonstration of conformity is described in point 6.2.2.4.

4.3. FUNCTIONAL AND TECHNICAL SPECIFICATIONS OF THE INTERFACES

This UTP has the following interfaces with the rolling stock subsystem:
Interface with subsystems of points a), b), c) and e) of chapter 2 (dealt with in UTP LOC&PAS 2015) with regard to Regulation (EU) \textbf{XXX}/2014) with regard to
- stationary noise,
- starting noise (not applicable to coaches),
- pass-by noise,
- interior noise within the driver’s cab, where applicable.

Interface with subsystems of point d) of chapter 2 (dealt with in UTP WAG 2015) with regard to Regulation (EU) 321/2013) with regard to
- pass-by noise,
- stationary noise.

4.4. OPERATING RULES

Requirements concerning the operating rules for the subsystem rolling stock are set out in section 4.4 and Appendix K of UTP LOC&PAS 2015 and in section 4.4 and Appendix I of UTP WAG 2015.


4.5. MAINTENANCE RULES

Requirements concerning the maintenance rules for the subsystem rolling stock are set out in section 4.5 of UTP LOC&PAS 2015 and in section 4.5 of UTP WAG 2015.

section 4.5 of Regulation (EU) \textbf{XXX}/2014 and in section 4.5 of Regulation (EU) 321/2013.

4.6. PROFESSIONAL QUALIFICATIONS

Not applicable.

4.7. HEALTH AND SAFETY CONDITIONS

In order to respect the maximum noise levels  
See Article 6 of this Regulation\textsuperscript{6}.

\textsuperscript{6} Article 6 of the EU Decision enacting the NOI TSI:

“Compliance with the lower exposure action values set out in Article 3 of Directive 2003/10/EC of the European Parliament and of the Council (OJ L 42, 15.2.2003, p. 38), shall be ensured by compliance
related to working conditions for drivers, the lower exposure action values as may be contained in national regulations, shall be ensured by compliance with the driver’s cabin interior noise level, as set out in point 4.2.4 of this UTP in combination with appropriate operational conditions.

4.8. DATA TO BE RECORDED

In accordance with UTP GEN-C 2015 and the OTIF Uniform format of Certificates, the following noise related characteristics shall be recorded in the Technical File:

- Pass-by noise level (dB(A)) [Number] (dB(A))
- Pass-by noise level was measured under reference conditions [Boolean] Y/N (see point 6.2.2.3.1)
- Stationary noise level (dB(A)) [Number] (dB(A))
- Starting noise level (dB(A)) [Number] (dB(A))

4.9. EUROPEAN REGISTER OF AUTHORISED TYPES OF VEHICLES

The data of the rolling stock that must be recorded in the “European register of authorised types of vehicles (ERATV)” are set out in Decision 2011/665/EU.

5. INTEROPERABILITY CONSTITUENTS

There is no interoperability constituent specified in this UTP.

6. CONFORMITY ASSESSMENT AND UTP VERIFICATION

EC VERIFICATION

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with the driver’s cabin interior noise level, as set out in point 4.2.4 of the Annex to this Regulation as well as by appropriate operational conditions to be defined by the railway undertaking.”

Innovative solutions

In order to adapt to technological progress, innovative solutions may be required, which do not comply with the specifications set out in this UTP and/or to which the assessment methods set out in this UTP cannot be applied. In that case, new specifications and/or new assessment methods associated with those innovative solutions shall be developed.

Innovative solutions may be related to the rolling stock subsystem, its parts and its ICs.

If an innovative solution is proposed, the manufacturer or his authorised representative shall declare how it deviates from or complements the relevant provisions of this UTP and submit the deviations to the Secretary General for analysis. The Secretary General will coordinate its opinion with the EU and the European Railway Agency on the proposed innovative solution and submit its opinion to the CTE.

If the CTE supports the opinion, the appropriate functional and interface specifications and the assessment method, which need to be included in the UTP in order to allow the use of this innovative solution shall be developed in coordination with the EU and subsequently integrated in the UTP during their respective revision processes.

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8 Article 7 of the EU Decision enacting the NOI TSI:

1. In order to adapt to technological progress, innovative solutions may be proposed by the manufacturer or its authorised representative which do not comply with the specifications set out in the Annex and/or for which the assessment methods set out in the Annex cannot be applied.

2. Innovative solutions may be related to the rolling stock subsystem, its parts and its interoperability constituents.

3. Where an innovative solution is proposed, the manufacturer or his authorised representative established within the Union shall state in what way it deviates from or how it complements the relevant provisions of this TSI and shall submit the deviations to the Commission for analysis. The Commission may request the opinion of the Agency on the proposed innovative solution.

4. The Commission shall deliver an opinion on the proposed innovative solution. If this opinion is positive, the appropriate functional and interface specifications and the assessment method, which need to be included in the TSI in order to allow the use of this innovative solution, shall be developed by the Agency and subsequently integrated into the TSI during the revision process pursuant to Article 6 of Directive 2008/57/EC. If the opinion is negative, the proposed innovative solution shall not be used.

5. Pending the review of the TSI, a positive opinion delivered by the Commission shall be considered as an acceptable means of compliance with the essential requirements of Directive 2008/57/EC and may therefore be used for the assessment of the subsystem.”
revision processes.
Pending the revision of the UTP, the positive CTE opinion shall be considered as acceptable means of compliance with the essential requirements of UTP GEN-A 2015 and may therefore be used for the assessment of the subsystem.

6.1. ELEMENTS OF CONSTRUCTION

Not applicable.

6.3. SUBSYSTEM ROLLING STOCK REGARDING NOISE Emitted BY ROLLING STOCK

6.3.1. MODULES

The UTP verification shall be performed in accordance with the module(s) described in table 6.

Table 6:

<table>
<thead>
<tr>
<th>SB</th>
<th>Type examination</th>
<th>EC-Type Examination</th>
</tr>
</thead>
<tbody>
<tr>
<td>SD</td>
<td>Quality management system of the production process</td>
<td>EC verification based on quality management system of the production process</td>
</tr>
<tr>
<td>SF</td>
<td>Verification based on product verification</td>
<td>EC verification based on product verification</td>
</tr>
<tr>
<td>SH1</td>
<td>Verification based on full quality management system plus design examination</td>
<td>EC verification based on full quality management system plus design examination</td>
</tr>
</tbody>
</table>

These modules are specified in detail in
6.3.2. ASSESSMENT PROCEDURES FOR EC VERIFICATION PROCEDURES

VERIFICATION

The applicant shall choose one of the following assessment procedures consisting of one or more modules for the UTP verification of the subsystem:

- (SB+SD),
- (SB+SF),
- (SH1).

Within the application of the chosen module or module combination the subsystem shall be assessed against the requirements defined in section 4.2. If necessary, additional requirements concerning the assessment are given in the following points.

6.3.2.1. Stationary noise

The demonstration of conformity with the limit values on stationary noise as set out in point 4.2.1 shall be carried out in accordance with sections 5.1, 5.2, 5.3, 5.4, 5.5 (without clause 5.5.2), 5.7 and clause 5.8.1 of EN ISO 3095:2013.

For the assessment of the main air compressor noise at the nearest measuring position i, the \( L_{pAeq,T} \) indicator shall be used with \( T \) representative of one operating cycle as defined in section 5.7 of EN ISO 3095:2013. Only the train systems that are required for the air compressor to run under normal operating conditions shall be used for this. The train systems which are not needed for the operation of the compressor may be switched off to prevent contribution to the noise measurement. The demonstration of conformity with the limit values shall be carried out under the conditions solely necessary for operation of the main air compressor at the lowest rpm.

For the assessment of the impulsive noise sources at the nearest measuring position i, the \( L_{pAFmax} \) indicator shall be used. The relevant noise source is the exhaust from the valves of the air dryer.

6.3.2.2. Starting noise

The demonstration of conformity with the limit values on starting noise as set out in point 4.2.2 shall be carried out in accordance with chapter 7 (without clause 7.5.1.2) of EN ISO 3095:2013. The maximum level method referring to section 7.5 of EN ISO 3095:2013 shall apply. Deviating from clause 7.5.3 of EN ISO 3095:2013 the train shall accelerate from standstill up to 30 km/h and then maintain the speed.

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\(^9\) General Provisions, UTP GEN-D Assessment procedures (modules)–as entered into force on 1.10.2012
In addition the noise shall be measured at a distance of 7.5m from the centre of the track and a height of 1.2 m above top of rail. The “averaged level method” and the “maximum level method” in accordance with section 7.6 and 7.5 respectively of EN ISO 3095:2013 shall apply and the train shall accelerate from standstill up to 40 km/h and then maintain the speed. The measured values are not assessed against any limit value and shall be recorded in the technical file and communicated to the Agency.

For OTMs the starting procedure shall be performed without additional trailer loads.

6.3.2.3. Pass-by noise

The demonstration of conformity with the limit values on pass-by noise as set out in point 4.2.3 shall be carried out in accordance with point 6.2.2.3.1 and 6.2.2.3.2.

6.2.2.3.1. Test track conditions

The tests shall be performed on a reference track as defined in section 6.2 of EN ISO 3095:2013.

However, it is permitted to carry out the test on a track that does not comply with the reference track conditions in terms of acoustic rail roughness level and track decay rates as long as the noise levels measured in accordance with point 6.2.2.3.2 do not exceed the limit values set out in point 4.2.3.

The acoustic rail roughness and the decay rates of the test track shall be determined in any case. If the track on which the tests are performed does meet the reference track conditions, the measured noise levels shall be marked ‘comparable’, otherwise they shall be marked ‘non-comparable’. It shall be recorded in the technical file whether the measured noise levels are ‘comparable’ or ‘non-comparable’.

The measured acoustic rail roughness values of the test track remain valid during a period starting 3 months before and ending 3 months after this measurement, provided that during this period no track maintenance has been performed which influences the rail acoustic roughness.

The measured track decay rate values of the test track shall remain valid during a period starting 1 year before and ending 1 year after this measurement, provided that during this period no track maintenance has been performed which influences the track decay rates.

Confirmation shall be provided in the technical file that the track data related to the type’s pass-by noise measurement were valid during the day(s) of testing, e.g. by providing the date of last maintenance having an impact on noise.

Furthermore, it is permitted to carry out tests at speeds equal to or higher than 250 km/h on slab tracks. In this case the limit values shall be 2 dB higher than those set out in point 4.2.3.

6.2.2.3.2. Procedure

The tests shall be carried out in accordance with the provision in sections 6.1, 6.3, 6.4, 6.5, 6.6 and 6.7 (without 6.7.2) of EN ISO 3095:2013. Any comparison against limit values shall be carried out with results rounded to the nearest integer decibel. Any normalisation shall be performed before rounding. The detailed assessment procedure is set out in the points 6.2.2.3.2.1, 6.2.2.3.2.2 and 6.2.2.3.2.3.

6.2.2.3.2.1. EMU, DMUs, locomotives and coaches
For EMU, DMUs, locomotives and coaches three classes of maximum operational speed are distinguished:

1. If the maximum operational speed of the unit is lower than or equal to 80 km/h, the pass-by noise shall be measured at its maximum speed \(v_{\text{max}}\). This value shall not exceed the limit value \(L_{\text{pAeq,Tp}}(80 \text{ km/h})\) as set out in point 4.2.3.

2. If the maximum operational speed \(v_{\text{max}}\) of the unit is higher than 80 km/h and lower than 250 km/h, the pass-by noise shall be measured at 80 km/h and at its maximum speed. Both measured pass-by-noise values \(L_{\text{pAeq,Tp}}(v_{\text{test}})\) shall be normalised to the reference speed of 80 km/h \(L_{\text{pAeq,Tp}}(80 \text{ km/h})\) using formula (1). The normalised value shall not exceed the limit value \(L_{\text{pAeq,Tp}}(80 \text{ km/h})\) as set out in point 4.2.3.

\[
L_{\text{pAeq,Tp}}(80 \text{ km/h}) = L_{\text{pAeq,Tp}}(v_{\text{test}}) - 30\log \left(\frac{v_{\text{test}}}{80 \text{ km/h}}\right) \tag{1}
\]

\(V_{\text{test}} = \text{Actual speed during the measurement}\)

3. If the maximum operational speed \(v_{\text{max}}\) of the unit is equal to or higher than 250 km/h, the pass-by noise shall be measured at 80 km/h and at its maximum speed with an upper test speed limit of 320 km/h. The measured pass-by-noise value \(L_{\text{pAeq,Tp}}(v_{\text{test}})\) at 80 km/h shall be normalised to the reference speed of 80 km/h \(L_{\text{pAeq,Tp}}(80 \text{ km/h})\) using formula (1). The normalised value shall not exceed the limit value \(L_{\text{pAeq,Tp}}(80 \text{ km/h})\) as set out in point 4.2.3. The measured pass-by-noise value at maximum speed \(L_{\text{pAeq,Tp}}(v_{\text{test}})\) shall be normalised to the reference speed of 250 km/h \(L_{\text{pAeq,Tp}}(250 \text{ km/h})\) using formula (2). The normalised value shall not exceed the limit value \(L_{\text{pAeq,Tp}}(250 \text{ km/h})\) as set out in point 4.2.3.

\[
L_{\text{pAeq,Tp}}(250 \text{ km/h}) = L_{\text{pAeq,Tp}}(v_{\text{test}}) - 50\log \left(\frac{V_{\text{test}}}{250 \text{ km/h}}\right) \tag{2}
\]

\(V_{\text{test}} = \text{Actual speed during the measurement}\)

6.2.2.3.2. Wagons

For wagons two classes of maximum operational speed are distinguished:

1. If the maximum operational speed \(v_{\text{max}}\) of the unit is lower than or equal to 80 km/h, the pass-by noise shall be measured at its maximum speed. The measured pass-by-noise value \(L_{\text{pAeq,Tp}}(v_{\text{test}})\) shall be normalised to a reference APL of 0.225 m\(^1\) \(L_{\text{pAeq,Tp}}(\text{APL}_{\text{ref}})\) using formula (3). This value shall not exceed the limit value \(L_{\text{pAeq,Tp}}(80 \text{ km/h})\) as set out in point 4.2.3.

\[
L_{\text{pAeq,Tp}}(\text{APL}_{\text{ref}}) = L_{\text{pAeq,Tp}}(v_{\text{test}}) - 10\log \left(\frac{\text{APL}_{\text{wag}}}{0.225 \text{ m}\(^1\)}\right) \tag{3}
\]

\(\text{APL}_{\text{wag}} = \text{Number of axles divided by the length over the buffers \[m\(^1\]\}}\)

\(V_{\text{test}} = \text{Actual speed during the measurement}\)

2. If the maximum operational speed \(v_{\text{max}}\) of the unit is higher than 80 km/h, the pass-by noise shall be measured at 80 km/h and at its maximum speed. Both measured pass-by-noise values \(L_{\text{pAeq,Tp}}(v_{\text{test}})\) shall be normalised to the reference speed of 80 km/h and to a reference APL of 0.225 m\(^1\) \(L_{\text{pAeq,Tp}}(\text{APL}_{\text{ref}}, 80 \text{ km/h})\) using formula (4). The normalised value shall not exceed the limit value \(L_{\text{pAeq,Tp}}(80 \text{ km/h})\) as set out in point 4.2.3.

\[
L_{\text{pAeq,Tp}}(\text{APL}_{\text{ref}}, 80 \text{ km/h}) = L_{\text{pAeq,Tp}}(v_{\text{test}}) - 10\log \left(\frac{\text{APL}_{\text{wag}}}{0.225 \text{ m}\(^1\)}\right) - 30\log \left(\frac{V_{\text{test}}}{80 \text{ km/h}}\right) \tag{4}
\]
APL_{wag} = Number of axles divided by the length over the buffers [m\(^{-1}\)]

\(V_{\text{test}}\) = Actual speed during the measurement

6.2.2.3.2.3. **OTMs**

For OTMs the same assessment procedure as set out in 6.2.2.3.2.1 applies. The measuring procedure shall be performed without additional trailer loads.

OTMs are deemed to comply with the pass-by noise level requirements in point 4.2.3 without measuring when they are:

- solely braked by either composite brake blocks or disc brakes and
- equipped with composite scrubbers, if scrubber blocks are fitted.

6.3.2.4. **Driver’s cab interior noise**

The demonstration of conformity with the limit values on the driver’s cab interior noise as set out in point 4.2.4 shall be carried out in accordance with EN 15892:2011. For OTMs the measuring procedure shall be performed without additional trailer loads.

6.3.3. **SIMPLIFIED EVALUATION**

Instead of the test procedures as set out in point 6.2.2, it is permitted to substitute some or all of the tests by a simplified evaluation. The simplified evaluation consists of acoustically comparing the unit under assessment to an existing type (further referred to as the reference type) with documented noise characteristics.

The simplified evaluation may be used for each of the applicable basic parameters “stationary noise”, “starting noise”, “pass-by noise” and “driver’s cab interior noise” autonomously and shall consist of providing evidence that the effects of the differences of the unit under assessment do not result in exceeding the limit values set out in section 4.2.

For the units under simplified evaluation, the proof of conformity shall include a detailed description of the noise relevant changes compared to the reference type. From this description, a simplified evaluation shall be performed. The estimated noise values shall include the uncertainties of the applied evaluation method. The simplified evaluation can either be a calculation and/or simplified measurement.

A unit certified on the basis of the simplified evaluation method shall not be used as a reference unit for a further evaluation.

If the simplified evaluation is applied for pass-by noise, the reference-type shall comply with at least one of the following:

- Chapter 4 and for which the pass-by noise results are marked ‘comparable’
- Chapter 4 of Decision 2011/229/EU\(^{10}\)

or Chapter 4 of UTP NOI\(^{11}\) which

entered into force on 1.12.2012 and for which the pass-by noise results are marked ‘comparable’ or

- Chapter 4 of Decision 2006/66/EC\(^\text{12}\)
- Chapter 4 of Decision 2008/232/EC\(^\text{13}\).

In case of a wagon which parameters remain, compared to the reference type, within the permitted range of table 7 it is deemed without further verification that the unit complies with the limit values on pass-by noise as set out in point 4.2.3.

*Table 7: Permitted variation of wagons for the exemption from verification*

<table>
<thead>
<tr>
<th>Parameter</th>
<th>permitted variation (compared to the reference unit)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Max. unit Speed</td>
<td>Any speed up to 160 km/h</td>
</tr>
<tr>
<td>Type of wheel</td>
<td>Only if equally or less noisy (acoustic characterisation i. a. w. Annex E of EN 13979-1:2011)</td>
</tr>
<tr>
<td>Tare weight</td>
<td>Only within the range of + 20% / - 5%</td>
</tr>
<tr>
<td>Brake block</td>
<td>Only if variation does not result in higher noise emission.</td>
</tr>
</tbody>
</table>

\(^{11}\) General Provisions, Rolling stock - NOISE, UTP, APTU (Ref: A 94-04/2.2012, as entered into force on 01.12.2012)

\(^{12}\) Commission Decision of 23 December 2005 concerning the technical specification for interoperability relating to the subsystem rolling stock — noise of the trans-European conventional rail system (OJ L 37, 8.2.2006, p.1-49)

\(^{13}\) Commission Decision of 21 February 2008 concerning a technical specification for interoperability relating to the rolling stock sub-system of the trans-European high-speed rail system (OJ L 84, 26.3.2008, p.132-392)
7. IMPLEMENTATION

7.1. APPLICATION OF THIS UTP TSI

7.2. TO NEW SUBSYSTEMS

The UTP certificate of verification and/or conformity to type of a new vehicle established in accordance with UTP NOI, which entered into force on 1.12.2012, shall be considered valid:

- for locomotives, EMUs, DMUs and coaches until the type or design examination certificate needs to be renewed as stated in UTP LOC&PAS 2015 for cases where the latter decision was applied, or until 31 May 2017 for other cases;
- for wagons until 13 April 2016.

(EU Decision 2008/232/EC concerning High Speed Rolling Stock does not have its equivalence in OTIF regulations and therefore a declaration of verification and/or conformity to type of a new vehicle established in accordance with Decision 2008/232/EC is not recognised in OTIF)

See Article 8 of this Regulation.  

7.3. APPLICATION OF THIS UTP TSI

7.4. TO RENEWED AND UPGRADED SUBSYSTEMS

If a Contracting State Member State considers that in accordance with

\[14\] Article 8 of the EU Decision enacting the NOI TSI:

“The declaration of verification and/or conformity to type of a new vehicle established in accordance with Decision 2011/229/EU shall be considered valid:

- for locomotives, EMUs, DMUs and coaches until the type or design certificate needs to be renewed as stated in Decision 2011/291/EU for cases where the latter decision was applied, or until 31 May 2017 for other cases;
- for wagons until 13 April 2016.

The declaration of verification and/or conformity to type of a new vehicle established in accordance with Decision 2008/232/EC shall be considered valid until the type or design certificate needs to be renewed as stated in this Decision.”

G:\Technical\OTIF Meetings\WG TECH\WGTECH23 2014_09\documents\1_Documents as input to WG23\A 94-04_1_2014_v1_e_UTP NOI.docx
Article 10§11 of ATMF

a new authorisation for placing in service is necessary, the applicant shall demonstrate that the noise levels of renewed or upgraded units remain below the limits set out in the

UTP

which was applicable when the unit in question was first authorised. If no

UTP
existed at the time of the first authorisation, it shall be demonstrated that the noise levels of renewed or upgraded units are either not increased or remain below the limits set out in

UTP NOI which entered into force on 1.12.2012

for vehicles in the scope of that UTP.

High Speed Rolling stock vehicles which are outside the scope of the UTP NOI of 1.12.2012 shall be subject to the national rules of all Contracting States where the vehicle is admitted to operation, if these Contracting States include Member States of the EU, also the limits as set out in EU Decision 2002/735/EC apply.

The demonstration shall be limited to the basic parameters affected by the renewal/upgrade.

If the simplified evaluation is applied, then the original unit may represent the reference unit in accordance with the provisions of point 6.2.3.

The replacement of a whole unit or (a) vehicle(s) within a unit (e.g. a replacement after a severe damage) does not require a conformity assessment against this

UTP,

as long as the unit or the vehicle(s) are identical to the ones they replace.

If, during renewal or upgrading of a wagon, a wagon is being equipped with composite brake blocks and no noise sources are added to the wagon under assessment, then it shall be assumed that the requirements of point 4.2.3 are met without further testing.

7.5. SPECIFIC CASES

7.5.1. INTRODUCTION

The specific cases, as listed in point 7.3.2, are classified as

(a) “P” cases: “permanent” cases.

(b) “T” cases: “temporary” cases, where it is recommended that the target system is reached by 2020 (an objective set in Decision 2010/661/EU).

7.5.2. LIST OF SPECIFIC CASES

7.5.2.1. General specific case

The Specific Cases for Member States of the European Union are those which are specified in
In addition to the above, the following specific cases apply:
Appendix A - Open points

This UTP TSI does not contain any open points.
## Appendix B - Standards referred to in this UTP/TSI

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<th>Characteristics to be assessed</th>
<th>UTP/TSI</th>
<th>Standard</th>
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<td>EN ISO 3095:2013</td>
</tr>
<tr>
<td>Stationary noise</td>
<td>6.2.2.1</td>
<td>EN ISO 3095:2013</td>
</tr>
<tr>
<td>Starting noise</td>
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<td>Simplified evaluation</td>
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References to mandatory standards

- Chapter
## Appendix C  Assessment of the rolling stock subsystem

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<th>Characteristics to be assessed, as specified in section 4.2</th>
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<th>Type Test</th>
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<td></td>
<td></td>
<td></td>
</tr>
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<td>4.2.1</td>
<td>X</td>
<td>n.a.</td>
<td>6.2.2.1</td>
</tr>
<tr>
<td>Starting noise</td>
<td>4.2.2</td>
<td>X</td>
<td>n.a.</td>
<td>6.2.2.2</td>
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<tr>
<td>Pass-by noise</td>
<td>4.2.3</td>
<td>X</td>
<td>n.a.</td>
<td>6.2.2.3</td>
</tr>
<tr>
<td>Driver’s cab interior noise</td>
<td>4.2.4</td>
<td>X</td>
<td>n.a.</td>
<td>6.2.2.4</td>
</tr>
</tbody>
</table>

* Only if the simplified evaluation in accordance with point 6.2.3 is applied.