

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

*Please note this document is a working document of OTIF's Committee of Technical Experts working groups WG TECH. This document is presently available in English only and solely for information purposes. This document will be updated regularly, however to find the applicable law in force please consult the OTIF website, the Official Journal of the European Union and the relevant national law of OTIF Member States.*

| Subsystem rolling stock: freight wagons (UTP WAG) |                                  |  |  |                              |   |                        |   |
|---|----------------------------------|--|--|------------------------------|---|------------------------|---|
| EU  |                                  |  | OTIF   |                              |   | Equivalence            |   |
| Legal act   | EIF/DoA<br><i>Date of repeal</i> | Status   | <u>Legal act</u>   | EIF<br><i>Date of repeal</i> | Status                                    | Equivalence            | Clarification   |
| <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|   | Repealed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29.1.2007            | WAG TSI related provisions repealed by Decision 2006/861/EC                    |  |                              |   |                        |   |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>                 | DoA<br>29.1.2007                 | WAG TSI for conventional TEN   | -  | -                            | -   | No until<br>30.11.2012 |   |
|   | Amended<br>1.7.2009              | by <a href="#">Decision 2009/107</a>   |  |                              |   |                        |   |
|   | Amended<br>24.1.2013             | by <a href="#">Decision 2012/464</a>   | <a href="#">UTP WAG</a><br><a href="#">A 94-02/3.2011</a><br><a href="#">version 1</a> | EIF<br>1.12.2012             | Adopted 24.05.2012<br>Notified 23.06.2012 | Yes from<br>1.12.2012  | Equivalent to Decision 2006/861 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 2011/314/EU (OPE TSI)</li> </ul> |
|   | Repealed<br>1.1.2014             | by Regulation 321/2013   |  |                              |   | Yes until<br>1.1.2014  | Equivalence ended with repeal of EU Decision 2006/861.  |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

|                                     |                     |   |  |                 |   |                                    |  |
|-------------------------------------|---------------------|---|--|-----------------|---|------------------------------------|--|
| <a href="#">Regulation 321/2013</a> | DoA<br>1.1.2014     | WAG TSI for entire European Union's rail system | <a href="#">UTP WAG A 94-02/2.2012 version 7</a> | EIF<br>1.1.2014 | Adopted 12.06.2013<br>Notified 10.07.2013 | Yes,<br>continued from<br>1.1.2014 | Equivalent with Regulation 321/2013 as amended by Regulation 1236/2013 and also with: <ul style="list-style-type: none"> <li>• The provisions for the marking of freight wagons as set out in EU Commission Decision 2012/757/EU (OPE TSI) and EU Commission Decision 2007/756/EC on National Vehicle Registers as applicable from 1.1.2014.</li> <li>• Some provisions related to safety management of Decision 2012/757/EC as indicated in App. I.</li> <li>• Interfaces with CCS as indicated in App. H.</li> </ul> |
|                                     | Amended<br>1.1.2014 | by <a href="#">Regulation 1236/2013</a>         |  |                 |   |                                    |  |
|                                     |                     |   |  |                 |   |                                    |  |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

|                         |   |  |                  |   |  |   |
|-------------------------|---|--|------------------|---|--|---|
|                         |   | <a href="#">Decision amending UTP WAG 2015</a> | EIF<br>1.12.2015 | Minor amendments compared to previous version.<br><br>Adopted 10.6.2015<br><br>Notified 17.6.2015 | Yes  | To take into account the update of: <ul style="list-style-type: none"> <li>• Appendix G: “List of fully approved composite brake blocks for international transport” and</li> <li>• technical document: ERA/TD/2012-04/INT 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> |
| Amended DoA<br>1.7.2015 | By COMMISSION REGULATION (EU) 2015/924 of 8 June 2015   |  |                  |   | No equivalence on the OTIF side to the certification of brake blocks | Main amendments: <ul style="list-style-type: none"> <li>• TSI has been amended in order to allow the certification of “friction element for wheel tread brakes” (brake blocks)</li> <li>• Clarifying the use the “GE” Marking</li> </ul>  |
|                         |   | <a href="#">Notifications</a>                  | EIF<br>1.12.2016 | Adopted 07.06.2016<br>Notified 23.06.2016   | Yes from<br>1.12.2016  | Under Notification process  |
|                         | Recommendation on ‘Amendments for closure of the remaining open points, improvement of implementation rules and technical update in the TSI WAG’. |  |                  |   | No   | Main topics of discussion:<br><br>Closure of open points: <ul style="list-style-type: none"> <li>- Running dynamic behaviour</li> <li>- On-board hot axle box detection</li> <li>- Variable gauge wheelsets</li> </ul> Inclusion of 1520mm (will be voluntary )   |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Subsystem rolling stock: Locomotives and passenger rolling stock (UTP LOC&PAS) |                                   |   |           |                              |        |                        |               |
|--|-----------------------------------|---|-----------|------------------------------|--------|------------------------|---------------|
| EU   |                                   |   | OTIF      |                              |        | Equivalence            |               |
| Legal act  | EIF/DoA<br><i>Date of repeal</i>  | Status  | Legal act | EIF<br><i>Date of repeal</i> | Status | Equivalence            | Clarification |
| <a href="#">Decision 2002/735</a>  |                                   | RST TSI for high-speed TEN                    | -         | -                            | -      | No                     |               |
|  | Repealed<br>30.6.2008             | by Decision 2008/232                          |           |                              |        |                        |               |
|  | Amended<br>24.1.2013              | by <a href="#">Decision 2012/462</a>          |           |                              |        |                        |               |
| <a href="#">Decision 2008/232</a>  | DoA<br>1.9.2008                   | RST TSI for high-speed TEN-revised            | -         | -                            | -      | No                     |               |
|  | Amended<br>24.1.2013              | by <a href="#">Decision 2012/464</a>          |           |                              |        |                        |               |
|  | Repealed <sup>1</sup><br>1.1.2015 | by Regulation 1302/2014                       |           |                              |        |                        |               |
| <a href="#">Decision 2011/291</a>  | DoA<br>1.6.2011                   | LOC&PAS TSI for conventional TEN              | -         | -                            | -      | No until<br>31.12.2014 |               |
|  | Amended<br>25.7.2012              | by <a href="#">Decision 2012/88</a> (CCS TSI) |           |                              |        |                        |               |
|  | Amended<br>24.1.2013              | by <a href="#">Decision 2012/464</a>          |           |                              |        |                        |               |

<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.

EIF - Entry into force / DoA – Date of application

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

|                                      |                      |  |                                      |                 |  |                      |   |
|--------------------------------------|----------------------|--|--------------------------------------|-----------------|--|----------------------|---|
|                                      | Repealed<br>1.1.2015 | by Regulation 1302/2014  |                                      |                 |  |                      |   |
| <a href="#">Regulation 1302/2014</a> | DoA<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.</li> </ul> |
|                                      |                      | Recommendation on 'Amendments for closure of several open points, improvement of implementation rules and technical update in the TSI LOC&PAS' |                                      |                 |  | No                   |   |
|                                      |                      | Recommendation on Conditions for application of Article23(1) of ID in TSI LOC&PAS  |                                      |                 |  |                      | No  |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Subsystem rolling stock: noise (UTP NOI) |                                  |   |   |                              |  |                        |               |
|--|----------------------------------|---|---|------------------------------|--|------------------------|---------------|
| EU                                       |                                  |   | OTIF  |                              |  | Equivalence            |               |
| Legal act                                | EIF/DoA<br><i>Date of repeal</i> | Status  | Legal act   | EIF<br><i>Date of repeal</i> | Status   | Equivalence            | Clarification |
| Decision 2004/446                        |                                  | Decision 2004/446 specifies the basic parameters of the NOI, WAG and TAF TSIs.          | -   | -                            | -  | No                     |               |
|  | Repealed<br>24.6.2006            | NOI TSI related provisions repealed by Decision 2006/66                                 |   |                              |  |                        |               |
| <a href="#">Decision 2006/66</a>         | EIF<br>23.6.2006                 | Noise TSI for conventional TEN.   | -   | -                            | -  | No                     |               |
|  | Repealed<br>4.4.2011             | Repealed by 2011/229  |   |                              |  |                        |               |
| <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<br>4.4.2011                  | Revised Noise TSI for conventional TEN.   | -   | -                            | -  | No until<br>30.11.2012 |               |
|  |                                  |   | <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><br>Adopted 24.05.2012<br><br>Notified 27.06.2012 | Yes from<br>1.12.2012  |               |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

|  |                      |  |      |                       |   |   |   |
|--|----------------------|--|------|-----------------------|---|---|---|
|  | Amended<br>23.1.2013 | Decision 2011/229 is amended<br>by Decision 2012/464 |      |                       | Full equivalence as<br>established on 1.12.2012<br>is not affected for<br>vehicles. | Yes<br>(continued)  | Amendment on OTIF side not necessary.<br><br>The EU amendment concerns only the data to<br>be registered in ERATV and does not affect the<br>requirements at vehicle level. Equivalence for<br>vehicle parameters is not affected.  |
|  | Repealed<br>1.1.2015 | Repealed and superseded by<br>Regulation 1304/2014   |      |                       |   | Yes until<br>31.12.2014   | Equivalence information after repeal of<br>Decision 2011/229 is provided in equivalence<br>comments for Regulation 1304/2014  |
| <a href="#">Regulation<br/>1304/2014</a> | DoA<br>1.1.2015      | Noise TSI for high-speed and<br>conventional TEN     | ibid |                       |   | The 2 acts<br>may be<br>considered<br>equivalent<br>for the<br>period from<br>1.1.2015 to<br>31.12.2015 | <p><b>2014 TSI NOI may be considered equivalent to 2012 UTP NOI for CR RST till 1.1.2016.</b><br/>Vehicles compliant with the new NOI TSI are<br/>deemed compliant (to be backwards-<br/>compatible) with the previous noise<br/>requirements.</p> <p><b>2012 UTP NOI may be considered as<br/>equivalent to 2014 TSI NOI for CR RST till<br/>1.1.2016.</b><br/>According to Regulation xxx/2014/EU, Dec.<br/>2011/229/EU (NOI TSI) which is fully<br/>equivalent to 2012 UTP NOI may be used:</p> <ul style="list-style-type: none"> <li>- until 31/12/2021 for <b>locomotives, EMUs,<br/>DMUs and coaches</b> under the conditions of<br/>section 7.3.1 of Dec. 2011/291/EU (LOC&amp;PAS<br/>TSI) for cases where the latter decision was<br/>applied, or until 31 May 2017 for other cases.</li> <li>- until 13.4. 2016 for <b>wagons</b> as provided in the<br/>transitional periods in 2014 TSI NOI.</li> </ul> <p><u>Note:</u> the period after 1.1.2016 is covered in<br/>the 2016 UTP NOI (see line below).</p> |
|  |                      |  |      | Repealed<br>1.12.2015 | By<br>UTP NOI 2015  |   |   |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

|  |  |  |              |                  |  |                               |  |
|--|--|--|--------------|------------------|--|-------------------------------|--|
|  |  |  | UTP NOI 2015 | EIF<br>1.12.2015 | Revision of previous version.<br><br>Adopted 10.6.2015<br><br>Notified 17.6.2015 | Yes with Regulation 1304/2014 | <p>The revision comprises the following changes:</p> <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> |
|--|--|--|--------------|------------------|--|-------------------------------|--|



## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Accessibility for PRM (UTP PRM)      |                                  |  |                              |                              |  |             |  |
|--------------------------------------|----------------------------------|--|------------------------------|------------------------------|--|-------------|--|
| EU                                   |                                  |  | OTIF                         |                              |  | Equivalence |  |
| Legal act                            | EIF/DoA<br><i>Date of repeal</i> | Status   | Legal act                    | EIF<br><i>Date of repeal</i> | Status                                 | Equivalence | Clarification  |
| <a href="#">Decision 2008/164</a>    | EIF<br>1.7.2008                  | PRM TSI for conventional and HS TEN.   | -                            | -                            | -                                      | No          |  |
|                                      | Amended                          | Decision 2008/164 is amended by Decision 2012/464  |                              |                              |  |             |  |
|                                      | Repealed<br>1.1.2015             | Repealed by Regulation 1300/2014   |                              |                              |  |             |  |
| <a href="#">Regulation 1300/2014</a> | DoA<br>1.1.2015                  | PRM TSI for conventional and HS TEN.   | <a href="#">UTP PRM 2015</a> | EIF<br>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. |
|                                      |                                  | Awaiting the TSI implementation plans (due by January 2017);<br><br>For the time being, there is no development. |                              |                              |  |             |  |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Vehicle marking (UTP Marking)   |                                  |   |   |                              |  |                          |   |
|---|----------------------------------|---|---|------------------------------|--|--------------------------|---|
| EU  |                                  |   | OTIF  |                              |  | Equivalence              |   |
| Legal act   | EIF/DoA<br><i>Date of repeal</i> | Status  | Legal act   | EIF<br><i>Date of repeal</i> | Status   | Equivalence              | Clarification   |
| Appendix P of <a href="#">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>Appendix PP                        | 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.  |
| Appendix P of <a href="#">Decision 2012/757/EU</a>                    | EIF<br>1.1.2014                  | OPE TSI Appendix P: European Vehicle Number and linked alphabetical marking on the bodywork.          | <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     | Full equivalence for freight wagons.<br>No equivalence for other types of rolling stock.  |
| And   |                                  |   | <a href="#">UTP Marking 2015</a>                                | EIF<br>1.1.2015              | Amendment:<br>Adopted 5.6.2014<br>Notified 18.7.2014 | Yes<br>continued         | Full equivalence for all types of rolling stock.<br>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><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><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. |
| Appendix 6 of Decision 2007/756/EC as Amended by Decision 2012/757/EU | EIF<br>1.1.2014                  | NVR Decision 2007/756/EC sets out rules for the vehicle keeper marking (VKM) and the 12-digit number. |   |                              |  |                          |   |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Essential requirements (UTP GEN-A)                |  |   |   |  |  |   |   |
|---|--|---|---|--|--|---|---|
| EU  |  |   | OTIF  |  |  | Equivalence   |   |
| Legal act   | EIF/DoA<br><i>Date of repeal</i>   | Status  | Legal act   | EIF<br><i>Date of repeal</i>                         | Status                                   | Equivalence   | Clarification   |
| Annex III to <a href="#">Directive 2008/57/EC</a> | EIF<br>19.7.2008   | Definition of Essential Requirements  | -   | -  | -  | No until<br>31.8.2009   |   |
|   |  |   | APTU Annex 1-A<br>A 94-01A/1.2009                           | EIF<br>1.9.2009                                      | Adopted 12.2.2009<br>Notified 27.2.2009  | Yes from<br>1.9.2009  |   |
|   |  |   | <a href="#">UTP GEN-A<br/>A 94-01A/1.2011<br/>version 5</a> | EIF<br>1.5.2012                                      | Adopted 15.9.2011<br>Notified 30.11.2011 | Yes<br>continued  | OTIF document renamed only.   |
|   | Amended<br>1.4.2013  | By <a href="#">Directive 2013/9/EU</a><br>introducing 'Accessibility' as<br>an Essential Requirement. |   |  |  | Partly from<br>1.4.2013   | The Essential Requirement 'Accessibility' is not<br>defined in UTP GEN-A.<br><br>This limited equivalence has no effect on the<br>requirements applicable to subsystems (e.g.<br>vehicles). |
| Amended<br>31.3.2014                              | By <a href="#">Directive 2014/38/EU</a><br>modifying the Essential<br>Requirement 'Noise'. |   |   |  | Partly from<br>31.3.2014                 | The essential requirement 'Noise' is not<br>equivalently defined.<br><br>This limited equivalence has no effect on the<br>requirements applicable to subsystems (e.g.<br>vehicles). |   |
|   |  | <a href="#">UTP GEN-A 2015</a>  | EIF<br>1.1.2015   | Amendment:<br>Adopted 5.6.2014<br>Notified 18.7.2014 | Yes from<br>1.1.2015                     | Amendment updating the OTIF regulation in<br>accordance with all previous EU amendments.  |   |

### Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

|   |                       |   |  |  |  |  |   |
|---|-----------------------|---|--|--|--|--|---|
|   | Repealed<br>16.6.2020 | By <a href="#">Directive (EU) 2016/797</a>                              |  |  |  |  |   |
| Annex III to<br><a href="#">Directive (EU) 2016/797</a> | EIF<br>16.6.2016      | Recast of the Directive and at the same way Reintroduction of Annex III |  |  |  |  | the impact on the equivalence will be analysed through the analysis for next WG |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Subsystems (UTP GEN-B)                              |  |  |  |                              |   |  |   |
|---|--|--|--|------------------------------|---|--|---|
| EU  |  |  | OTIF                                     |                              |   | Equivalence                                    |   |
| Legal act   | EIF/DoA<br><i>Date of repeal</i>   | Status   | Legal act                                | EIF<br><i>Date of repeal</i> | Status                                  | Equivalence                                    | Clarification   |
| Annex II to Directive 2008/57/EC                    | EIF<br>19.7.2008   | Definition of Subsystems   | -  | -                            | -                                       | No until<br>31.8.2009                          |   |
|   |  |  | APTU Annex 1-B<br>A 94-01B/1.2009        | EIF<br>1.9.2009              | Adopted 12.2.2009<br>Notified 27.2.2009 | Yes from<br>1.9.2009                           |   |
|   | Amended<br>22.3.2011   | By <a href="#">Directive 2011/18/EC</a> splitting CCS into onboard and track-side parts and adding 'electricity consumption measuring' to the RST subsystem. |  |                              |   | Partly from<br>22.3.2011<br>until<br>30.4.2012 | The EU modifications were not immediately relevant for OTIF, as there were at the time no UTP covering either CCS or 'electricity consumption measuring'. |
|   | <a href="#">UTP GEN-B A 94-01B/1.2012</a><br><br><a href="#">Version 6</a> | EIF<br>1.5.2012  | Adopted 15.9.2011<br>Notified 30.11.2011 | Yes from<br>1.5.2012         |   |  |   |
|   | Repealed<br>16.6.2020  | By <a href="#">Directive (EU) 2016/797</a>   |  |                              |   |  |   |
| Annex II to <a href="#">Directive (EU) 2016/797</a> | EIF<br>16.6.2016   | Recast of the Directive and at the same way Reintroduction of Annex II   |  |                              |   |  | the impact on the equivalence will be analysed through the analysis for next WG   |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Technical File (UTP GEN-C)                      |  |  |  |                              |  |  |   |  |
|---|--|--|--|------------------------------|--|--|---|--|
| EU  |  |  | OTIF   |                              |  | Equivalence                                |   |  |
| Legal act                                       | EIF/DoA<br><i>Date of repeal</i>           | Status   | Legal act  | EIF<br><i>Date of repeal</i> | Status                                       | Equivalence                                | Clarification                             |  |
| Annex VI and Art. 18(3) of Directive 2008/57/EC | EIF<br>19.7.2008                           | Requirements related to technical file in Article 18(3) and point 4 of Annex VI. | -  | -                            | -  | No until<br>31.8.2009                      |   |  |
|   |  |  | APTU Annex 1-C<br><br>A 94-01C/1.2009              | EIF<br>1.9.2009              | Adopted 12.2.2009<br><br>Notified 27.2.2009  | Yes from<br>1.9.2009<br>until<br>21.3.2011 |   |  |
|   | Amended<br>22.3.2011                       | By <a href="#">Directive 2011/18/EC</a> .  |  |                              |  |  | Partly from<br>22.3.2011 to<br>31.12.2014 |  |
|   |  |  | <a href="#">UTP GEN-CA 94-01C/1.2011 Version 5</a> | EIF<br>1.5.2012              | Adopted 15.9.2011<br><br>Notified 30.11.2011 |  | OTIF document renamed only                |  |
|   |  |  | <a href="#">UTP GEN-C 2015</a>                     | EIF<br>1.1.2015              | Adopted 4.6.2014<br><br>Notified 18.7.2014   | Yes from<br>1.1.2015                       |   |  |
| Repealed<br>16.6.2020                           | By <a href="#">Directive (EU) 2016/797</a> |  |  |                              |  |  |   |  |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

|   |                  |   |  |  |  |  |   |
|---|------------------|---|--|--|--|--|---|
| Annex IV and Art. 15 of <a href="#">Directive (EU) 2016/797</a> | EIF<br>16.6.2016 | Recast of the Directive and at the same way the former Annex VI and Article were replaced |  |  |  |  | the impact on the equivalence will be analysed through the analysis for next WG |
|---|------------------|---|--|--|--|--|---|

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Assessment methods/modules (UTP GEN-D) |                                  |   |   |                              |   |                       |  |
|--|----------------------------------|---|---|------------------------------|---|-----------------------|--|
| EU                                     |                                  |   | OTIF  |                              |   | Equivalence           |  |
| Legal act                              | EIF/DoA<br><i>Date of repeal</i> | Status  | Legal act   | EIF<br><i>Date of repeal</i> | Status                                  | Equivalence           | Clarification  |
| <a href="#">Decision 2010/713</a>      | DoA<br>1.1.2011                  | Modules for assessment of conformity, suitability for use and EC verification | -   | -                            | -                                       | No until<br>30.9.2012 |  |
|  |                                  |   | <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 [TEC\_WGT30\_11]

Last update: 10.10.2016

| Assessing entity – qualifications and independence (UTP GEN-E) |   |  |   |                              |  |                       |  |
|--|---|--|---|------------------------------|--|-----------------------|--|
| EU   |   |  | OTIF  |                              |  | Equivalence           |  |
| Legal act  | EIF/DoA<br><i>Date of repeal</i>  | Status   | Legal act   | EIF<br><i>Date of repeal</i> | Status                                   | Equivalence           | Clarification  |
| Annex VIII to Directive 2008/57/EC                             | EIF<br>19.7.2008  | Minimum criteria which must be taken into account by the member states when notifying bodies | -   | -                            |  | No until<br>31.8.2009 |  |
|  |   |  | APTU Annex 1-E<br>A 94-01E/1.2009   | EIF<br>1.9.2009              | Adopted 12.2.2009<br>Notified 27.2.2009  | Yes from<br>1.9.2009  |  |
|  |   |  | <a href="#">UTP GEN-E</a><br><a href="#">A 94-01E/1.2011</a><br><a href="#">version 5</a> | EIF<br>1.5.2012              | Adopted 15.9.2011<br>Notified 30.11.2011 | Yes<br>continued      | OTIF document renamed only.  |
|  | The following advice was elaborated for a possible establishment of an accreditation scheme for railways NoBos:<br><br><a href="#">ERA-ADV-2014-15 “The establishment of an accreditation scheme for NoBos”</a> |  |   |                              |  | No                    | <ul style="list-style-type: none"> <li>The recommendation does consist of a sectoral scheme for the accreditation of the conformity assessment bodies for the purpose of notification</li> </ul> |
|  | Repealed<br>16.6.2020   | By <a href="#">Directive (EU) 2016/797</a>   |   |                              |  |                       |  |

### Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

|  |                  |  |  |  |  |  |   |
|--|------------------|--|--|--|--|--|---|
| Article 30, 31 and 32 of <a href="#">Directive (EU) 2016/797</a> | EIF<br>16.6.2016 | Recast of the Directive and at the same way the former Annex VIII was replaced |  |  |  |  | the impact on the equivalence will be analysed through the analysis for next WG |
|--|------------------|--|--|--|--|--|---|

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Common safety methods (CSM) on risk evaluation and assessment (UTP GEN-G) |   |                        |  |                              |   |                                     |   |
|---|---|------------------------|--|------------------------------|---|-------------------------------------|---|
| EU  |   |                        | OTIF   |                              |   | Equivalence                         |   |
| Legal act   | EIF/DoA<br><i>Date of repeal</i>          | Status                 | Legal act  | EIF<br><i>Date of repeal</i> | Status                                    | Equivalence                         | Clarification   |
| <a href="#">Regulation 352/2009</a>                                       | DoA<br>1.7.2012<br>19.7.2010 <sup>2</sup> | First set of CSM on RA | -  | -                            | -   | No until<br>30.4.2012               |   |
|   | Repealed<br>21.5.2015                     | by Regulation 402/2013 | <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                |   |
| <a href="#">Regulation 402/2013</a>                                       | DoA<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,<br>continued since<br>1.5.2012 | This amendment on both EU and OTIF sides introduce 'CSM Assessment Bodies' and how they are recognised or accredited. |

<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 [TEC\_WGT30\_11]

Last update: 10.10.2016

|            |                            |  |                               |                  |   |   |   |
|------------|----------------------------|--|-------------------------------|------------------|---|---|---|
| Regulation | Amended<br>DoA<br>3.8.2015 | by <a href="#">Regulation 2015/1136</a> of 13 July 2015  |                               |                  |   | No for the certification of harmonised design targets | Amendments: <ul style="list-style-type: none"> <li>• It has been 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> |
|            |                            |  | <a href="#">Notifications</a> | EIF<br>1.12.2016 | Adopted 07.06.2016<br>Notified 23.06.2016 | Yes from<br>1.12.2016                                 | Under Notification process  |
|            |                            | Mandate from the Commission that the CSMs for Conformity Assessment (1158/2010, 1169/2010) and CSM on Supervision (1077/2012) need to be reviewed and revised in order to ensure that a more consistent approach across NSAs is adopted<br><br>ERA recommendation to be delivered to the EC no later than 01/06/2017 |                               |                  |   |   | No  |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| National Vehicle Register (NVR Uniform Rules) |                                  |  |                          |                              |  |                                 |   |
|---|----------------------------------|--|--------------------------|------------------------------|--|---------------------------------|---|
| EU  |                                  |  | OTIF                     |                              |  | Equivalence                     |   |
| Legal act                                     | EIF/DoA<br><i>Date of repeal</i> | Status   | Legal act                | EIF<br><i>Date of repeal</i> | Status   | Equivalence                     | Clarification   |
| <a href="#">Decision 2007/756</a>             | Published<br>23.11.2007          | Common specification of NVR  | -                        | -                            | -  | No until<br>31.8.2009           |   |
|   |                                  |  | 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                          | 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              | by <a href="#">Regulation 519/2013</a><br>(accession of Croatia to the EU) |                          |                              |  |                                 |   |
|   | Amended<br>1.1.2014              | 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<br><br>New act is a consolidated version. | Yes continued since<br>1.3.2013 | OTIF amendment compared to previous version:<br><br>Parts 0-13 of Appendix 6 to NVR Decision are transposed in sections 7-18 of UTP Marking. Amendment does not affect equivalence. |
|   |                                  | ERA WP started in 2015 to propose amendments to NVR Regulations            |                          |                              |  |                                 |   |

Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Certification of entities in charge of maintenance (ECM) for freight wagons (ATMF Annex A) |                                  |   |  |                              |   |                       |   |
|--|----------------------------------|---|--|------------------------------|---|-----------------------|---|
| EU   |                                  |   | OTIF   |                              |   | Equivalence           |   |
| Legal act  | EIF/DoA<br><i>Date of repeal</i> | Status  | Legal act  | EIF<br><i>Date of repeal</i> | Status                                    | Equivalence           | Clarification   |
| <a href="#">Regulation 445/2011</a>  | EIF<br>31.5.2011                 | Certification of entities in charge of maintenance for freight wagons | -  | -                            | -   | No until<br>30.4.2012 |   |
|  |                                  |   | <a href="#">Annex A to ATMF A 94-30/1.2012 Version 1</a> | EIF<br>1.5.2012              | Adopted 15.09.2011<br>Notified 30.11.2011 | Yes from<br>1.5.2012  | The only not equivalent part is the omission of a template for the Maintenance Function Certificate. Such template is included in Annex V of the EU Regulations, but not included in the OTIF Uniform Rules. This template is foreseen to be added. |
|  |                                  |   |  | Amended<br>1.12.2015         | By ATMF-Annex A 2015                      |                       |   |
|  |                                  |   | <a href="#">ATMF-Annex A 2015</a>                        |                              |   | Yes<br>continued      |   |
|  |                                  | ERA WP started in 2015 to analyse scope extension                     |  |                              |   |                       |   |

## Equivalence table EU/OTIF regulations [TEC\_WGT30\_11]

Last update: 10.10.2016

| Derogations (ATMF Annex B)                           |                                  |  |  |                              |   |                        |   |
|--|----------------------------------|--|--|------------------------------|---|------------------------|---|
| EU   |                                  |  | OTIF   |                              |   | Equivalence            |   |
| Legal act  | EIF/DoA<br><i>Date of repeal</i> | Status   | Legal act  | EIF<br><i>Date of repeal</i> | Status                                    | Equivalence            | Clarification   |
| Article 9 and Annex IX of Directive 2008/57/EC       | EIF<br>19.7.2008                 | Rules, conditions and processes for EU Member States to derogate from the use of TSIs.   | -  | -                            | -   | No until<br>31.12.2013 |   |
|  |                                  |  | <a href="#">Annex B to ATMF A 94-40/3.2012 version 4</a> | EIF<br>1.1.2014              | Adopted 12.06.2013<br>Notified 10.07.2013 | Yes from<br>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<br>16.6.2020            | By <a href="#">Directive (EU) 2016/797</a>   |  |                              |   |                        |   |
| Article 7 of <a href="#">Directive (EU) 2016/797</a> | EIF<br>16.6.2016                 | Recast of the Directive and at the same way the former Article 9 and the Annex IX were replaced.<br><br>Legally the annex IX of directive 2008/57 remains in force until the adoption of an implementing act |  |                              |   |                        | the impact on the equivalence will be analysed through the analysis for next WG   |