NEWS
OTIF
4 OTIF participation in a joint EU – GCC seminar in Muscat (Oman)
5 Accession of the Islamic Republic of Afghanistan to COTIF
5 In Memoriam Dr Kurt Spera
COTIF
6 20th Anniversary of the Vilnius Protocol

DEVELOPMENT OF RAILWAY LAW
COTIF-OTIF
7 Monitoring and assessment of the implementation and application of OTIF’s legal system

RAILWAY TECHNOLOGY
11 Coordination and collaboration: The key to promoting international traffic by rail

DANGEROUS GOODS
14 RID 2019 in force
15 125 years of dangerous goods provisions for railways
17 10th Session of the RID Committee of Experts’ standing working group (Krakow, 21 to 23 November 2018)

DIARY OF EVENTS
After celebrating 125 years of COTIF last year, this year is the 20th anniversary of the Vilnius Protocol and COTIF 1999. These developments marked a huge step in the scope and aims of COTIF. They opened the door to broadening the regulations to transform railways into a truly international mode of transport, for example by providing a legal basis for the mutual acceptance of railway material and contractual relations for the use of infrastructure in cross-border operations. Last year a new Appendix H (EST) was adopted, which will provide a legal basis for railway undertakings to operate their trains in several countries.

Unlike other modes of transport such as road, air and inland waterways, railways are still operated very much at national level. International transport by rail is often merely a consecutive chain of national operations, with changes of train composition, train crew, rules and operator at border crossings. If rail transport is to remain competitive and live up to its promises of being the environmentally friendly and efficient mode for the future, coordination must be developed internationally. In particular, developments in three areas will be vital: firstly, technical harmonisation, so that trains can physically run on different networks; secondly, digitalisation and the alignment of international information exchanges, including transport documents and operational data; lastly, the alignment of operational access conditions so that railway undertakings are permitted to run on different networks. OTIF is well suited as a forum to develop international law and best practices to underpin all these developments. Good cooperation with and between our members and partners, as well as the broad and correct application of COTIF are essential for these developments to take place.

This edition of the Bulletin contains interesting articles about such cooperation between representatives of the European Union’s institutions and the OTIF Secretariat, with a view to ensuring that the development of both EU law and COTIF is of benefit to all OTIF members. Another article highlights the relevance of monitoring and assessing implementation and application, a topic that will be discussed at the first meetings of the newly established working group of legal experts. The law on the transport of dangerous goods (RID) is a good example of regulatory harmonisation between modes and alignment between the OSJD and OTIF legal regimes. As described vividly in this edition, RID has a fascinating history, while simultaneously requiring constant adaption to modern industrial and scientific developments.

I hope you enjoy reading this issue of the Bulletin.

Bas Leermakers
Secretary General ad interim
OTIF PARTICIPATION IN A JOINT EU – GCC SEMINAR IN MUSCAT (OMAN)

On 16 and 17 January 2019, a joint seminar organised by the European Union and the Gulf Cooperation Council (GCC) was held in Muscat (Oman). As a preferred partner in developing the new railway network, OTIF was also invited in the framework of the Memorandum of Understanding signed with the GCC.

The seminar was opened by Mr John Wylie, the Chief Freight Officer of ASYAD, the Omani government’s holding company, which subsumes primarily the ports, free port areas, airports, post, public transport, shipping companies and the railways. Participants also heard some words of welcome from Mr Khalid Alolayan, GCC’s Transport Director.

Mr Nathan Wiles, the Vice President of Oman Rail, explained the standards established for the railway network in Oman, such as the installation of ECTS, Level 2, an axle load of 32.5 tonnes, with the aim of achieving a maximum wagon mass of 130 tonnes, a maximum speed of 200 km/h for passenger trains and 120 km/h for freight trains.

For the carriage of gypsum, limestone and dolomite from the Omani quarries to the port of Duqm, a single track 1,500 km railway line is currently being built, for which various standards are being optimised. For wagons moving in a train of around 100 wagons, an axle load of 40 tonnes was planned, with a maximum wagon mass of 160 tonnes. The government had not provided any security for this railway line, so it would have to be self-financing.

As the representative of the Secretary General, the head of the OTIF Secretariat’s dangerous goods department, Jochen Conrad, informed the seminar of current developments in the international rail transport provisions. He described in particular the new Appendix H to COTIF, which contains uniform rules for the safe operation of trains in international transport, and the procedure adopted by the 13th General Assembly for revising the appendices to COTIF. He also informed the seminar of the most important new features of RID.

The subsequent meeting of the EU-GCC Steering Committee looked at the particular characteristics of rail transport on the Arabian Peninsula. Among these were the effects of heat and sand on the rolling stock and infrastructure. Saudi Arabia provided information on studies being planned to examine sand movements near railway lines, the behaviour of cabling under the effects of heat and sand and maintenance costs in connection with the increased abrasion caused by sand. The results of this national study would also be made available to the other GCC Member States.

The representative of OTIF renewed the offer to give employees of the GCC Member State railway administrations the opportunity of an internship at the OTIF Secretariat so as to obtain more information on the content and application of the various COTIF appendices.

Jochen Conrad
ACCESSION OF THE ISLAMIC REPUBLIC OF AFGHANISTAN TO COTIF

On 7 November 2018, the Islamic Republic of Afghanistan deposited an application for accession to COTIF and its Appendices. This accession will take effect on 1 May 2019. Afghanistan is also a member of the Organisation for Cooperation between Railways (OSJD) and the Economic Cooperation Organization (ECO), and its accession to COTIF 1999 and its Appendices contributes to providing a uniform framework for international rail transport between Europe and Asia.

The Secretariat of OTIF welcomes both the accession and this new Member State of OTIF.

IN MEMORIAM DR KURT SPERA

The President of the International Organisation of Tariff and Transport Experts (IVT) and Conseiller honoraire to OTIF, Dr Kurt Spera, passed away in Vienna on 2 February 2019 at the age of 90. The Organisation has now lost probably the oldest serving participant at its meetings, who was involved with great commitment and expertise in their development since the days of the Bern Central Office (OCTI) right up to the present. At that time, OCTI had two jointly administered independent international conventions (CIM and CIV). During his involvement, Dr Spera always saw himself as a mediator between the interests of railway undertakings and their customers, which frequently conflicted with each other, and between the states and railways in the west and east, which in those days were still separated by the iron curtain.

Especially as a young man, Dr Spera experienced much injustice and suffering and was a witness to the brutal era during which people were caught up in war and many were robbed of their rights, dignity and in many instances, their life. Dr Spera countered the fomented hatred and uncontrolled frenzy with his idealism and belief that everybody is equal. Everybody who met Dr Spera at OTIF meetings, particularly the General Assembly in Vilnius, which he was closely involved in bringing about and organising, will remember him as a knowledgeable and always cooperative and constructively minded colleague, who was indefatigably committed to promoting and improving international rail transport. Personally, Dr Spera was always very polite and was greatly appreciated for his friendliness, warm-heartedness and, not least, his inexhaustible sense of humour.

As a result of his own experiences, Dr Spera always felt obliged to try to bring peoples and states together and to strive for world peace. A light of peace has now been extinguished; others must continue to bear the torch.
The signing of the 1999 Protocol for the Modification of the Convention concerning International Carriage by Rail (COTIF) of 9 May 1980 at the closing of the 5th General Assembly in Vilnius on 3 June 1999 was the culmination of four years of intensive work on revising the Convention. Over the course of 21 sessions comprising 90 days of negotiations, the Revision Committee discussed the drafts for a "new COTIF" prepared by the Secretariat.

The 5th General Assembly held in Vilnius from 26 May to 3 June 1999 at the invitation of the government of Lithuania discussed 150 proposals or suggestions for modifications, which it did within a relatively short space of time, thanks to both the chairman and the constructive approach of the various delegations.

The entry into force of the Vilnius Protocol on 1 July 2006 was an obvious success, but it also gave the OTIF Member States, rail transport undertakings and all rail transport users in general a modern and reliable set of regulations.

The Secretariat of OTIF hopes that all those who took part in the work on revising the Convention can agree that it was worthwhile.
MONITORING AND ASSESSMENT OF THE IMPLEMENTATION AND APPLICATION OF OTIF’S LEGAL SYSTEM

Keeping a watch on the application of all the rules and recommendations established within the Organisation is one of the aims defined by COTIF (Article 2 COTIF). Tracking implementation and application will provide a tool to assess the efficiency of existing instruments and determine whether the rules need to be updated or whether new rules are required. Moreover, systematic evaluation would contribute to the definition and sharing of best practice and ensure uniform interpretation.

One of the objectives set out in the 2018/2019 Work Programme approved at the 128th session of the Administrative Committee is to ‘Monitor the application and implementation of COTIF’. At its 13th session on 25-26 September 2018, the General Assembly endorsed setting up an advisory working group of legal experts with the following function, among others: ‘monitoring and assessing the application and implementation of COTIF’.

General background

The importance of systematic monitoring and assessment (evaluation) of policy and legislation at national and international levels is being increasingly recognised. As early as 1997, the Organisation for Economic Co-operation and Development (OECD) Report on Regulatory Reform asserted that [a] central function of any democratic government is to promote the economic and social well-being of its people. [...] There is a real risk [...], particularly in a time of profound and rapid change in economic and social conditions, that regulations can become an obstacle to achieving the very economic and social well-being for which they are intended. Regulations which impede innovation or create unnecessary barriers to trade, investment, and economic efficiency; duplication between regulatory authorities and different layers of government, and even among governments of different countries; the influence of vested interests seeking protection from competition; and regulations that are outdated or poorly designed to achieve their intended policy goals are all part of the problem.1 The forthcoming considerations are also relevant and applicable to international legislators, as their regulatory activities cover a wide range of areas, including contractual relationships, technical interoperability, safety etc.

In its recent study entitled “International regulatory co-operation: the role of international organisations”2, the OECD observed that only a limited number of IOs [International Organisations] systematically track the implementation of their instruments. This is a critical point, since tracking implementation provides the evidence needed on the use of instruments to support the evaluation of the influence of the IO (and ultimately its impacts), as well as the relevance of the instrument and any need to revise it. The OECD has recently promoted a partnership for effective international rule-making with over 40 international organisations, including OTIF, to foster collective action among IOs and their constituency to promote greater quality, effectiveness and impact of international rules.3 The partnership is currently working, among others, on strengthening the implementation of IO instruments and developing a greater culture of evaluation of IO instruments.4

The objective of ensuring continuous relevance, effectiveness and efficiency of legislation or policy in general is recognised by an increasing number of international organisations. International organisations use different terms such as ‘monitoring’, ‘review’, ‘evaluation’, ‘compliance’, ‘assessment’ etc. Even when the same terms are used, they are defined differently by different organisations. Nevertheless, differences in terminology are to a large extent theoretical, because these terms overlap and lead to similar results in practice. OTIF should use the good practices established by other organisations as a source of inspiration to develop its own policy.

The task of keeping legislation relevant can also be seen as a general legal obligation, as asserted by several Advocates General of the Court of Justice of the European Union:

• there might none the less be circumstances in which the Community legislature is under an obligation to repeal or amend a measure to take account of subsequent developments; that might be so where, for example, after its adoption a measure began to produce discriminatory effects, or had plainly achieved its purpose so that there was no longer any justification for the burden

4 http://www.oecd.org/fr/gov/politique-reglementaire/a-partnership-for-effective-international-rule-making.htm
in the legal field, nothing is unchangeable and that, in particular, what is justified today will perhaps no longer be so tomorrow, with the result that the duty of every legislature is, first, to check, if not constantly at least periodically, that the rules which it has imposed still meet the needs of society and, second, to amend or even repeal the rules which have ceased to have any justification and are thus no longer appropriate in the new context in which they must produce their effects.7

In fact, the same constitutional duty can be deduced from the founding acts (treaties) of many international organisations as, without recognition of this duty, real achievement of legislative aims will be only temporary at best.

**OTIF background**

The Convention concerning International Carriage by Rail (COTIF) is an important international instrument providing uniform international railway law for about fifty states in Europe, Asia and Africa. COTIF established the Intergovernmental Organisation for International Carriage by Rail (OTIF) in order to manage and further develop international railway law as well as to cooperate effectively and efficiently in the railway field.

OTIF Member States represent different legal traditions and railway market organisation structures, both economically and technically. This diversity both contributes to the development of OTIF’s legal system and constitutes a challenge in ensuring uniformity in the interpretation and application of it.

The aim of OTIF is to promote, improve and facilitate, in all respects, international traffic by rail (Article 2 § 1 COTIF). OTIF pursues this aim mainly through legislation, ‘hard law’ and ‘soft law’. In order to achieve effective implementation of the aims it is necessary for legislation to be relevant and to remain relevant over time on the one hand and to be applied uniformly throughout the Member States on the other.

With regard to the uniform application of legislation, COTIF explicitly sets out a principle of interpretation which is generally recognised in jurisprudence and doctrine that when interpreting and applying the Convention, its character of international law and the necessity to promote uniformity shall be taken into account (Article 8 § 1 COTIF), even though, like most other classical international intergovernmental organisations, OTIF does not have police or an organ to enforce COTIF law. Furthermore, there is no international court to interpret and apply COTIF in order to ensure and safeguard uniformity and consistency. For the time being, the main tool that exists and contributes to uniform application is the Explanatory Report. Nevertheless, the Organisation can and should be more proactive with regard to the promotion of uniformity.

With regard to ensuring the relevance of regulations, the Organisation has been carrying out ad hoc reviews of its legislation. However, no consistent policy has been established in the Organisation.

Taking into account the importance of keeping legislation relevant and applying it uniformly, COTIF explicitly provides a legal basis for establishing a monitoring and assessment policy. One of the actions set out by COTIF to achieve its aims is to keep a watch on the application of all the rules and recommendations established within the Organisation (Article 2 § 1, letter e), COTIF, so an appropriate policy and institutional arrangements have to be developed and adopted to execute this action in a systematic, consistent and coherent way.

**OTIF’s legal system**

The monitoring and assessment policy should be applicable to the whole of OTIF’s legal system. The latter is a broad term and encompasses:

1. the Convention concerning International Carriage by Rail (COTIF):
   - Base Convention (also referred to as the Convention itself);
   - Protocol on the Privileges and Immunities of the Intergovernmental Organisation for International Carriage by Rail (OTIF);
   - Appendices to the Base Convention;
   - Annexes to Appendices:

   The Convention, in its broad definition, with all the constituent elements as described above, is the cornerstone and the most developed part of OTIF’s legal system.

2. Other international conventions elaborated with OTIF’s framework (for the time being, there are none).

3. Binding decisions of the OTIF organs:
   - on internal governance: election of a Secretary General, designation of members of the Administrative Committee, suspension of membership, membership fees etc.
   - Amendments to COTIF

4. Other binding regulations:
   - Rules of procedure of the organs;
   - Staff Regulations and their implementing rules;

5 Opinion of the Advocate General in case C-248/95 SAM Schifffahrt and Stapf v Bundesrepublik Deutschland, paragraph 38 (emphasis added).
6 Opinion of the Advocate General Mischo in the case C-241/01 National Farmers’ Union, paragraph 51 (emphasis added).
7 Opinion of Advocate General Bobek, C-528/16 Confédération paysanne and Others, paragraphs 139 (emphasis added).
• Finance and Accounts Rules and their implementing rules.

5. Non-binding guidelines, explanatory reports etc. (soft-law instruments):

• Autonomous instruments aimed at achieving the aim of the organisation (e.g., planned non-binding legal framework for railway network access conditions);
• Instruments supporting implementation and application of COTIF (supporting instruments): various guidelines and guides, Explanatory Report and other explanatory documents.

The classification presented above is based on the type of instruments and their legal force. With regard to the substance, the following can be distinguished: OTIF institutional law and OTIF railway law. Institutional law: legal status, aim, organs and their procedures, financing, budget, settlement of disputes (between Member States and Member States and the Organisation), membership, depositary etc. Railway law: contract of carriage of passengers, contract of carriage of freight, transport of dangerous goods, contract of use of vehicles, contract of use of infrastructure, technical admission of vehicles, safe operation of trains, railway network access conditions, settlement of disputes, etc.

It is worth recalling that OTIF’s international railway law does not cover all relevant aspects of a particular railway law area and also contain explicit or implicit references to the applicable national law. For instance, in accordance with Article 29 of CIV UR, national law shall determine whether and to what extent the carrier must pay damages for bodily harm other than that for which there is provision in Articles 27 and 28 of the CIV UR (explicit reference). Another example: the CIM UR do not regulate how the consent of parties to a contract of carriage is established, so national law is applicable (implicit reference to general principles of civil law of applicable national law). Consequently, when COTIF does not regulate certain matters and explicitly or implicitly refers to national law, it is inevitable that different legal solutions may be applicable under different national legal systems.

Both OTIF’s institutional law and railway law have to be effective and relevant and must be applied consistently, coherently and uniformly.

Definition of OTIF’s monitoring and assessment policy

The working group of legal experts is tasked with developing the monitoring and assessment policy for OTIF’s legal system. A common understanding of basic notions such as implementation, application, monitoring and assessment must be agreed.

Implementation is an international obligation of parties to the convention to ensure full application, firstly through incorporation into national law. Member States have different systems and retain the discretion required to incorporate OTIF’s legislation into the respective national legal orders. Furthermore, in a few cases COTIF explicitly authorises certain private stakeholders to implement its provisions. For instance, in accordance with Article 6 § 8 of the CIM UR the international associations of carriers shall establish uniform model consignment notes in agreement with the customers’ international associations and the bodies having competence for customs matters in the Member States as well as any intergovernmental regional economic integration organisation having competence to adopt its own customs legislation.

Application means actually putting the requirements of legislation into daily practice. Unlike implementation, application of OTIF’s legal system involves many different actors: national authorities, passengers, carriers, railway undertakings, vehicle keepers, infrastructure managers etc.

Monitoring is a continuous and systematic process of data collection about the implementation and application of OTIF’s legal instrument or certain provisions of it. Information generated by tracking the implementation and application is a basis for
Assessment is an evaluation of the actual effects of OTIF's legal instrument or certain provisions of it, in particular whether objectives are achieved, and of actual implementation and application problems. In other words, assessment would allow OTIF and stakeholders to judge how well legislation is functioning and whether there is a need for improvement, replacement or repeal.

OTIF’s monitoring and assessment policy should constitute an important part of the Organisation’s legislative activities. This policy should be the end of the legislative process but could also trigger the start of a new legislative process.

OTIF’s monitoring and assessment policy should contain at least the following elements: planning and prioritisation, collection of data, involvement of stakeholders, findings and follow-up.

Planning and prioritisation. The size and complexity of the OTIF legal regime and the limited financial and human resources available mean that planning and prioritisation will be required in order to implement the monitoring and assessment policy effectively.

Data. The reliability and comprehensiveness of data is seen as a sine qua non for monitoring and assessment. Relevant data is quantitative and qualitative information, as are stakeholders’ opinions. In order to collect relevant data, sufficient time (in international practice it is usually 3 years) should pass after adoption and entry into force in order to allow effects to be measured. However, collecting and collating data should not create additional administrative burdens and should avoid duplication, so OTIF should primarily rely on relevant data already available from Member States and regional economic integration organisations and other international organisations and associations. Finally, multiple and sometimes divergent interests of the stakeholders involved in international railway transport are pervasive. It is essential to identify these divergent interests and take the steps necessary to avoid an adverse impact on the quality of data and, consequently, the findings.

Stakeholders. Stakeholders concerned and affected by OTIF include railway undertakings, infrastructure managers, wagon keepers etc., including their representative associations. Their experience, expertise and perspectives are valuable as a primary source of information on the practical application of regulations. Cooperation between OTIF and its stakeholders is crucial if OTIF’s legal regime is to deliver its full benefits. Knowledge of application on the ground and input from stakeholders are of critical importance for the design and evaluation of OTIF’s legal regime.

Findings and follow-up. Findings of the monitoring and assessment of an instrument or certain provisions do not have any effect on the legal status of it/ them. The legal status of any provisions can only be changed in accordance with formal procedures prescribed by COTIF or defined by OTIF’s competent organs. Completed monitoring and assessment should provide clear information on the effectiveness and appropriateness of the regulation, disclosing weaknesses and other shortcomings, as well as strengths and best practices. Therefore, appropriate follow-up actions have to be identified, such as disseminating best practices, launching a formal revision procedure etc. The monitoring and assessment of legislation should identify whether OTIF’s legal system is:

- relevant, i.e. responds to stakeholders/market needs;
- effective, i.e. achieves the intended outcomes;
- internally consistent with OTIF’s other legal acts;
- externally consistent with other international instruments, in particular other systems of international railway law.

Conclusion

If OTIF is aiming to maintain or even increase its importance in terms of setting international railway transport regulations, the monitoring and assessment of OTIF’s legal system is inevitable. This should be a mechanism to understand both successes and failures, and will provide a solid basis for future decision-making.

Aleksandr Kuzmenko
COORDINATION AND COLLABORATION: THE KEY TO PROMOTING INTERNATIONAL TRAFFIC BY RAIL

Within its remit to develop international public and private railway law, OTIF aims to establish a common and stable global contractual and legal framework to promote, improve and facilitate international traffic by rail. To help achieve this, it relies on close coordination and collaboration with its members and on their expertise and feedback in developing their own railway provisions. This article takes a closer look at one of its members, the European Union (EU), and reflects on the challenges of ensuring alignment and compatibility, bearing in mind the scope, objectives and decision-making processes under the COTIF and EU legal frameworks.

Recent years have seen a new momentum in the development of railway law, including contract law, rules and provisions for the technical interoperability of railways, vehicle admission and the transport of dangerous goods. With the global priorities of being environmentally sustainable, efficient and user-friendly and with the modernisation of rail transport towards automation and digitalisation, governments have had to adopt new national and international laws. OTIF has become the forum to develop and promote the Convention concerning International Carriage by Rail (COTIF) internationally, while at the same time recognising the practices and developments in its 50 members (to date) who have (or are in the process of) establishing their own national railway laws. As signatories to the Convention, all members share the will and commitment to promote the international transport of people and goods by rail. It is therefore very important for the OTIF Secretariat to have good communication and coordination with its members in order to build a stable legal framework that works for them nationally, while at the same time promoting international traffic by rail.

In some cases, such as in the EU, countries have come together to develop common rules under a treaty which allows them to regulate cross-border rail transport. The EU has developed a complex but robust legal framework for rail transport, with which as many as 26 of its 28 Member States have to comply. These 26 Member States are also members of OTIF, which means that they have to apply both EU and COTIF legal provisions, which illustrates the necessity of avoiding incompatibilities between the two legal frameworks.

In this context, the provisions of COTIF are currently compatible with the EU’s legal framework. Having said that, digitalisation, automation, the need for new processes and tools and the establishment of new authorities are picking up speed. This means that the legal framework for rail transport has not only to be maintained, but also built upon through shrewd coordination between OTIF and the EU. This article takes a closer look at how these challenges are tackled, bearing in mind the scope, objectives and decision-making processes within the COTIF and EU frameworks.

OTIF has come a long way since 1893, when it began developing contract rules for international freight and passenger traffic, to the current Convention, which was adopted in 1999 and entered into force on 1 July 2006. For the first time, COTIF 1999 included legal provisions for the admission of railway vehicles in international traffic in the form of ATMF (principles, objectives and procedures for technical admission of railway vehicles) and APTU (procedures for the validation of technical standards and uniform technical prescriptions known as UTPs). Within its remit of developing international public and private railway law, OTIF aims to establish a common and stable contractual and legal framework to promote, improve and facilitate international traffic by rail.

The European Union has been developing and evolving its own rail legislation since the early 1990s, including the 1st, 2nd, 3rd, and now the 4th Railway Package in order to establish a stable supranational European legal framework for railway interoperability and safety and at the same time to open the market for access and operations within and between its Member States by establishing the so-called Single European Railway Area (SERA).

To achieve this, it uses a process of drafting and decision-making involving the competences of its members’ experts and representatives. The initial modifications to the Convention and its appendices are proposed by the Contracting States or the Secretary General of OTIF. They are developed, considered, debated and adopted by Member States within the relevant committees or the General Assembly.

From 2006, the OTIF Secretariat, together with its members and representatives of the railway sector started drafting the Uniform Technical Prescriptions (UTP). Bearing in mind that in 2001 the EU had already introduced provisions under the Technical Specifications for Interoperability (TSIs), it was a logical decision to avoid reinventing the wheel and to adapt the UTPs to the existing TSIs and ensure alignment at international level. By 2015 all provisions relevant for the admission of all types of vehicles to international traffic were avail-
The equivalence between UTP requires two legal systems. Continued compatibility between the Agency for Railways (ERA) to ensure Commission and the European Union the OTIF Secretariat has worked intensely in addition to its Member States and for Euro-vehicles to cross borders in both directions between EU and non-EU states.

The COTIF Convention is international law and states that accession to it means that states give their consent to be bound by its provisions, although states can make a declaration not to apply selected parts of COTIF. This means that OTIF Member States that are also members of the EU have legal obligations under both EU legislation and COTIF. It is also important to recall that unlike the EU, the supranational enforcement of law does not exist under COTIF, and correct application relies on application and enforcement through the national law of each state.

In 2011 the EU acceded to COTIF, a milestone which changed the role of the EU by binding it to the Convention, in addition to its Member States in their role as Contracting States of OTIF. Both the OTIF Secretariat and the EU institutions have recognised this new situation, so in recent years, the OTIF Secretariat has worked intensively with its members, the European Commission and the European Union Agency for Railways (ERA) to ensure continued compatibility between the two legal systems.

The equivalence between UTP requirements under COTIF and the TSI requirements under EU law enables the mutual acceptance of vehicles so that they can freely circulate between EU and non-EU countries and vice versa. Another example of successful alignment is the introduction of the concept of Entities in Charge of Maintenance (ECM), which are referred to in both ATMF provisions and EU legislation. Without such equivalence, vehicles would not be permitted to cross borders in both directions between EU and non-EU states.

The EU Accession Agreement also gave the EU the task of “assisting OTIF in pursuing its objective of promoting, improving and facilitating international rail transport in both technical and legal respects.” In this context, EU legislation aims to pursue further integration between EU states and establish the so-called Single European Railway Area (SERA). Members of OTIF may choose to pursue such further cooperation, in addition to COTIF. However, it is important to avoid conflicting provisions, as COTIF and EU legislation may both apply in states which are members of both the EU and OTIF.

This principle is enshrined in Article 2 of the EU Accession Agreement to COTIF, which states that: “Without prejudice to the object and the purpose of the Convention to promote, improve and facilitate international traffic by rail and without prejudice to its full application with respect to other Parties to the Convention, in their mutual relations, Parties to the Convention which are Member States of the Union shall apply Union rules and shall therefore not apply the rules arising from that Convention except in so far as there is no Union rule governing the particular subject concerned.”

Therefore, it could be argued that there are two categories of rules in the EU: firstly, those which must be and must remain aligned with COTIF and secondly, those which go beyond COTIF in order to pursue the SERA. The second category particularly concerns EU legislation on market opening and liberalisation, which are outside the scope of COTIF, but should not conflict with it.

In 2013 OTIF and the EU (The Directorate General for Mobility and Transport of the European Commission (DGMOVE)) and ERA signed an Administrative Arrangement to establish closer cooperation and coordination in drafting legal provisions and avoiding potential duplication and contradictions that may hinder the mutual acceptance of vehicles and hence international rail traffic. The Administrative Arrangement includes an agreement by all parties to communicate information on forthcoming legislative proposals of mutual interest. Moreover, due to the different decision-making processes involving mutual members, timing is crucial to ensure that legal provisions can enter into force at international and EU level with the least possible delay.

For example, at the 35th meeting of the standing working group Technology (WG TECH), the OTIF Secretariat and ERA discussed and agreed the practical arrangements for communicating changes to the technical documents of the Telematic Applications for Freight (TAF) when such changes have already been approved at EU level, but not yet at COTIF level. Changes to the technical documents are time critical, as both EU and non-EU States should implement TAF on the basis of the same specifications.

The Technical Pillar of the 4th Railway Package adopted by the EU in 2016 includes the Interoperability Directive (EU) 2016/797 and the Safety Directive (EU) 2016/798 and assigns a new role to ERA as an Authority. As a result of this, the EU Contracting States have to change their national legal frameworks to take account of the new EU provisions relating to the revision of the existing TSIs, new EU processes for Vehicle Authorisation, Single Safety Certification, and obligations concerning the exchange of data on vehicles and infrastructure through digital European Registers such as EVR (European Vehicle Register) and RINF (Register for Infrastructure). This
also means that existing EU rules are in the process of being modified and new rules and requirements will be developed and introduced. In both situations, some of these rules and requirements, which are important in terms of interoperability and railway safety, are being considered with a view to reflecting market opening and liberalisation, which could potentially lead to inconsistencies with COTIF.

EU rules which are relevant to COTIF and may have an impact on its international legal framework need to be carefully examined. This is particularly important with regard to rules affecting EU and non-EU vehicles that are operated between EU and non-EU Contracting States, in which case COTIF rules would apply (see diagram as an example).

With the changes introduced in the 4th Railway Package, equivalence between EU and COTIF rules must be maintained in order to continue to enable the mutual acceptance of vehicles. As a consequence, the EU has a role in defining its requirements only in such a way that compliance with both EU and COTIF rules continues to be possible. This is equally necessary for technical interoperability and safety requirements and for the potential development of tools that require the exchange of vehicle information. Without ensuring compatibility, connectivity (where necessary), and appropriate information exchange, there is a risk that vehicles will no longer be permitted to travel from the EU to non-EU Contracting States and from non-EU Contracting States to the EU.

So far, the Administrative Arrangement has proven to be a good tool for coordination and collaboration, which has also helped OTIF gain more experience and knowledge and a better understanding of the different practices and priorities within the EU and at international level. As the 4th Railway Package brings new challenges, it is essential to continue this cooperation and ensure that the EU decision-making organs take account of COTIF and liaise with OTIF to ensure that evolving EU law does not lead to inconsistencies with COTIF.


Maria Price
RID 2019 IN FORCE

On 1 January 2019 the new provisions of the Regulation concerning the International Carriage of Dangerous Goods by Rail (RID) entered into force. The 2019 edition replaces the 2017 edition. However, in accordance with a general transitional provision, the provisions of RID 2017 may continue to be used until 30 June 2019.

RID applies to the international carriage of dangerous goods by rail between the 44 existing RID Contracting States in Europe, Asia and North Africa. In the Member States of the European Union, RID also applies to national, as well as international transport.

RID is harmonised with the United Nations’ Recommendations on the Transport of Dangerous Goods, which serve as the basis for all the modal dangerous goods regulations. There is also close coordination with the dangerous goods regulations for road (ADR) and inland waterways (ADN). This process ensures simple transport by all transport modes.

RID 2019 contains various new provisions to take account of technical and scientific progress, which contribute to the further improvement of safety in the clean and energy-efficient rail mode.

12 new UN numbers have been included for articles containing dangerous substances of the individual classes of dangerous goods. Together with a new packing instruction and new labelling provisions for these articles, these new UN numbers simplify the assignment and carriage of a wide variety of articles that contain dangerous goods in their internal assembly. The classification codes for corrosive substances (dangerous goods Class 8) have been completely revised. In particular, they now contain alternative methods for assigning mixtures to packing groups. In the past, this had always caused difficulties for the industry.

Two new packing instructions have been included for damaged or defective lithium batteries which, under normal conditions of carriage, might react dangerously, and which could previously only be carried in accordance with the conditions of carriage laid down by the competent authority. For gas cylinders which, because of their particular design, could not be subjected to the existing visual inspections and pressure tests, destructive testing together with statistical evaluation has been introduced. This may lead to an entire batch being phased out.

RID 2019, which is published in the official languages of OTIF (German, English and French), is available on OTIF’s website (www.otif.org). During 2019, a Russian version will also be published on the website.

Two publishers will also issue printed editions of the English and French versions. The addresses where they can be obtained are also available on OTIF’s website.

Jochen Conrad
Last year, OTIF celebrated the 125th anniversary of the Uniform Rules concerning the Contract of International Carriage of Goods by Rail (CIM), which at that time, as Annex 1, contained the so-called "Provisions for articles conditionally permitted for carriage". At that time, CIM was called the "International Convention on rail freight transport" and was signed by Austro-Hungary, Belgium, Denmark, France, Germany, Italy, Luxembourg, the Netherlands, Russia and Switzerland.

The Regulation concerning the International Carriage of Dangerous Goods by Rail (RID) is now applied in 44 of OTIF’s Member States, i.e. in four times more states than the then signatory states. This includes all the Member States of the European Union that have a railway network, the Maghreb States and some states in Asia. While RID usually only applies to international transport, since the 1990s it has also been applicable to domestic transport in all the EU Member States.

At that time, the dangerous goods provisions were published in German and French and only covered 34 pages per language. The provisions were divided into sections with Roman numerals (from I to LIII). Each section governed the conditions of carriage for a single substance, except number XXXV, which contained provisions for the mixed packing of various dangerous goods. The number of dangerous goods permitted for carriage in those days was therefore very manageable.

The 34 pages also contained an alphabetical list of "articles excluded from international carriage or conditionally permitted for carriage", from which the section containing the respective conditions of carriage could be determined. Another column indicated whether mixed loading with other articles was permitted. Now that RID covers more than 1200 different substances, for which many entries also cover a whole group of substances, this type of layout would no longer be conceivable.

Among the various substances that were then considered dangerous were, for example, "amusement sparklers", described in brackets as Bengali shellack preparations, unpacked bark, unpacked gypsum, fresh, unsalted skins, yeast, fresh calf stomachs and malodorous and nauseating articles. Many of these substances are no longer classified as dangerous or are no longer carried in international transport.

For many substances, it must be remembered that at that time, the railways used steam locomotives, which presented a high risk because of flying sparks. There was therefore one section that dealt with "articles that can easily be ignited by sparks from the locomotive". Among these articles were, in particular, hay, straw, peat, wood flour, or even "vegetable fibres".

When reading these provisions, one also notices substances that were very important for operating the railways in those days, which had to get by without signalling technology and radio communication: "explosive device for acoustic stop signals on the railways". These were exploding capsules that were fixed to the rails by means of a metal strip that were activated when the train went over them. The resulting report signalled to the driver that he had to stop the train immediately. In the first RID, serial number I was even reserved for these exploding capsules.

On the other hand, some other substances have made it into the present day, albeit in a slightly different form, and have been assigned a globally applicable UN number.

The conditions of carriage primarily contained packing provisions and, in certain cases, requirements for the railway wagons. However, in certain cases they also contained contractual conditions, e.g. that in the event of decomposing animal waste or mure "and other faecal matter and latrine substances", the railways could probably for good reason – demand advance payment of the carriage charges. For liquid or solid yeast, the consignor had to undertake "to pay for any damage caused to other goods or material as a result of this type of carriage upon submission of a simple cost calculation, which shall be acknowledged in advance as correct in every respect once and forever."

The first edition of RID dates from a time when no other transport mode had mandatory requirements for the international carriage of dangerous goods. When the European Agreement concerning the International Carriage of Dangerous Goods by Road was signed in 1957, RID, which had undergone considerable development between 1893 and 1957, served as the basis.

In order to maintain the harmonisation that existed at that time, the RID/ADR Joint Meeting was set up in the 1970s. Inland waterways transport was subsequently added, and the task of the Joint Meeting is to develop common provisions for all the land transport modes.

In addition to ADR, RID also provided the foundation stone for Annex 2 to the Agreement concerning International Goods Traffic by Rail (SMGS) of the Organisation for the Cooperation of Railways (OSJD). The impact of RID is therefore felt not just in OTIF’s traditional Member States, but also far into Asia.

Originally, RID only applied to international rail transport. As a result, there were in the past a large number of national provisions for the carriage of dangerous goods which, although based on RID, included various additional rules. It was only in 1996 that RID also became directly applicable...
law for domestic transport in the EU Member States under Directive 96/49/EC of the European Community. As a result, RID is now available not just in the working languages of OTIF (German, English and French), but in all the official languages of the EU.

Various states that are not themselves Member States of OTIF intend to use RID as the basis for their own national dangerous goods transport regulations. Other states are aiming to accede to COTIF, not least because of the international dangerous goods provisions that are very well harmonised with the dangerous goods provisions of the other transport modes.

RID now has more than 1000 pages reflecting economic developments in the last 125 years. This rapid development has led to RID having to be revised much more frequently than previously. Today, a list of amendments of at least 100 pages is published every two years, whereas in the past, a decade went by between each revision.

The large number of Member States that take part in the meetings on dangerous goods transport organised by the Secretariat of OTIF underline the importance of these provisions that ensure the safe transport of dangerous goods by rail.

Jochen Conrad
10th SESSION OF THE RID COMMITTEE OF EXPERTS’ STANDING WORKING GROUP (KRAKOW, 21 TO 23 NOVEMBER 2018)

The 10th session of the RID Committee of Experts’ standing working group was held in Krakow directly after the 16th session of the RID Committee of Experts’ working group on “tank and vehicle technology”. 21 States, the European Union, the European Union Agency for Railways (ERA), the Committee of the Organization for Cooperation of Railways (OSJD) and six non-governmental organisations were represented at this meeting.

Pending issues

Early application of standards

RID contains provisions that allow the competent authority to approve a standard which has been adopted for reference in a future edition of RID for early application without notifying the OTIF Secretariat. The standing working group discussed the question of whether a corresponding decision by the RID/ADR/ADN Joint Meeting was sufficient to apply a standard early, or whether the standard has to be submitted to the RID Committee of Experts for adoption using a written procedure.

The standing working group agreed that adoption of a standard by the Joint Meeting was not sufficient for it to be approved for application without notifying the OTIF Secretariat, because for the individual transport modes, Joint Meeting decisions could only serve as recommendations.

However, it was pointed out that RID already allowed the competent authorities to recognise a technical code to reflect scientific and technical progress or where no standard is referenced in RID or to deal with specific aspects not addressed in a standard referenced in RID. In these cases, the competent authority must notify the OTIF Secretariat that such a technical code has been recognised and the Secretariat then publishes this information on OTIF’s website.

New proposals

Marking of trailers in piggyback transport

In the provisions for piggyback transport, for trailers that become separated from their tractor unit and that are carrying packages, it is required that the orange-coloured plate also has to be affixed to the front of the trailer or the corresponding placards must also be affixed to both sides of the trailer.

One of the reasons this additional requirement was included was to avoid any orange-coloured plate affixed to the back of a trailer potentially being obscured by a second road vehicle being carried on the same carrying wagon. However, marks for dangerous goods packed in limited quantities are not mentioned at this point in the regulations, even though there might also be a case here in which the mark only appears on the back of a trailer that has become separated from its tractor unit.

The standing working group adopted an amendment to the provisions to prescribe that in addition to the orange-coloured plate, the mark for dangerous goods packed in limited quantities must also be affixed to the front of trailers carrying packages when these trailers become separated from their tractor units, if this mark is shown on the back of the trailer.

Carriage of dangerous goods as express goods

The standing working group dealt with the question of whether dangerous goods not approved for carriage in limited and exempted quantities should also be excluded from carriage as express goods.

It was established that the current situation with regard to the carriage of dangerous goods as express goods differed in the various RID Contracting States. In some states, no carriage as express goods has taken place for several years, whereas in other states, this type of carriage is still used. Carriage as express goods is particularly the preferred choice for the carriage of infectious substances of Class 6.2 between laboratories or of radioactive material of Class 7 for pharmaceutical purposes. It was also pointed out that, unlike limited or exempted quantities, carriage as express goods did not enjoy any relaxations with regard to the packagings.

For these reasons the standing working group agreed not to take a decision at this point in time, but did not rule out the possibility of dealing with this subject again in future.

Obligation of the participants involved in an occurrence to make a report

At its meeting in September 2018, the
RID/ADR/ADN Joint Meeting decided to add the unloader to the list of participants who are required to provide an accident report in the event of an accident or incident (see also Bulletin 4/2018, p. 22).

In this context, Spain requested clarification on whether all or only certain parties involved in an accident or incident should submit a report.

The standing working group agreed that only the participant during whose period of activity the accident or incident occurred is required to make a report. If the competent authority requires more information, it can still approach the other participants in the transport operation.

It was also discussed whether the railway infrastructure manager always has to submit a report if an accident or incident occurs during carriage on the network it manages. The standing working group noted that in this respect, the situation in the RID Contracting States differed. In some states the railway infrastructure manager is required to submit a report on every accident or incident that occurs on its network, whereas in other states the railway infrastructure manager is only involved in cases where the accident or incident has been caused by a component of the railway infrastructure.

The standing working group did not enlarge upon a request from Spain to extend the list of participants who are required to provide an accident report in the event of an accident or incident. However, it was agreed to await the findings of the RID/ADR/ADN Joint Meeting’s informal working group to improve the accident report (see also Bulletin 4/2018, p. 23) and if necessary, again to discuss the issue at a future session of the standing working group.

Checklists for the filling and emptying of tank-wagons

Revised checklists for the filling and emptying of tank-wagons for liquids were submitted to the standing working group at its session in May 2018 (see also Bulletin 3/2018, p. 23). As the European Association of the Oil Refining Industry had submitted extensive comments on these new checklists, the standing working group mandated the informal working group set up for this task to take account of the comments submitted as far as possible and, if necessary, to adapt the checklists for the filling and emptying of gas tank-wagons.

The chairman of the informal working group now submitted proposals to the standing working group for adoption to amend the filler’s and unloader’s safety obligations, in which reference is made to the checklists, as well as revised checklists for the filling and emptying of tank-wagons for liquids and gases. The standing working group adopted the proposals for amendments and the revised checklists for the 2021 edition of RID.

Working group on tank and vehicle technology

Extra-large tank-containers

The chairman of the working group on tank and vehicle technology presented the results of the preceding 16th session of the working group on tank and vehicle technology (Krakow, 19 and 20 November 2018), which had dealt mainly with the extra-large tank-containers used by BASF.

He summarised the presentation given by the representative of CEFIC on the ongoing risk assessment and the various work packages that would be dealt with in the framework of this risk assessment. The risk assessment will compare three different systems with each other:

• Carriage in conventional tank-wagons,
• Carriage in conventional tank-containers on conventional carrying wagons, and
• Carriage in extra-large tank-containers on innovative 5L carrying wagons, where “5L” stands for the five main improvements (in German): quiet, light, heavy-duty, logistics-capable and life cycle-cost oriented.

The final report should be available by the end of July 2019.

The standing working group decided to await the results of the final risk assessment report and to hold further discussions following the next session of the working group on tank and vehicle technology, which is planned for autumn 2019.

Harmonisation of RID and SMGS Annex 2

References to EU directives and EN standards

The unamended 2015 edition of SMGS Annex 2 has been applicable in the OSJD legal area since 2015. As some OSJD Member States did not wish to refer to EU directives and EN standards in SMGS Annex 2, the 2017 amendments to SMGS Annex 2 were not adopted.

Over the last two years, various proposals have been submitted to resolve this unsatisfactory situation. A breakthrough could only be achieved when the OSJD Member States were able to agree that the references to EU directives and EN standards should be segregated in a separate document (List of standardisation and technical documents). Where the text of SMGS Annex 2 refers to standards, it will only contain a sequential number under which each applicable standard appears in the List. For each standard, the List also indicates those states for which application of the standards is mandatory on the basis of other regulations. The next edition of the Bulletin will contain a more detailed report on this matter.

Thanks to this solution, it was possible in the OSJD decision-making bodies to adopt the 2017 and 2019 amend-
Revision of the provisions for tank-wagons of Chapter 6.8

The representative of Russia informed the standing working group of the amendments to Chapter 6.8 of SMGS Annex 2 for 1520 mm gauge tank-wagons, as adopted for the 2019 edition or which will be dealt with in the next biennium. Among other things, the value in special provision TE 22 for the minimum energy absorption of the energy absorption elements at each end of the wagon for tank-wagons with automatic coupling devices was increased from 130 kJ to 140 kJ. For the next session of the standing working group, the Secretariat was asked to draft a proposal for a corresponding amendment to special provision TE 22 in RID, together with a suitable transitional provision.

In this context, attention was drawn to the fact that in some countries, innovative wagons fitted with automatic coupling devices are being tested. In view of the fact that special provision TE 22 prescribes an energy absorption of 800 kJ for each end of conventional tank-wagons, it will have to be checked in future whether the considerably lower value of 140 kJ with automatic coupling devices is suitable.

The representative of Russia also introduced the possibility in SMGS Annex 2 of transferring all the provisions for 1520 mm gauge tank-wagons to a new Chapter 6.X and of aligning both columns (for tank-wagons and tank-containers) of Chapter 6.8 of SMGS Annex 2 with Chapter 6.8 of RID. Some delegations were of the view that including a new Chapter 6.X with provisions for 1520 mm gauge tank-wagons might also be justified for RID, because in some RID Contracting States, tank-wagons of both gauges were in use. As this topic has to be examined in depth, the standing working group was not in a position to give an opinion on it at present.

Any other business

Departure of Mr Colin Bonnet and election of a new deputy chair

The standing working group was informed that the deputy chair, Mr Colin Bonnet (Switzerland) had decided to change his career path. The standing working group thanked Mr Bonnet for his pleasant and efficient cooperation and wished him every success in his future career.

On a proposal from the representative of Germany, Mr Othmar Krammer (Austria) was elected as the deputy chair until further notice.

Next session

The eleventh session of the RID Committee of Experts’ standing working group will provisionally be held from 25 to 29 November 2019.

Katarina Burkhard
## Calendar of OTIF’s Meetings in 2019

<table>
<thead>
<tr>
<th>DATE</th>
<th>EVENT</th>
<th>ORG</th>
<th>LOCATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>24 - 26 April</td>
<td>Ad hoc Working Group on the Harmonization of RID/ADR/ADN with the UN Recommendations on the Transport of Dangerous Goods</td>
<td>UNECE</td>
<td>Geneva - Switzerland</td>
</tr>
<tr>
<td>6 - 7 June</td>
<td>Informal working group on telematics</td>
<td>Germany</td>
<td>Tegernsee - Germany</td>
</tr>
<tr>
<td>12 - 13 June</td>
<td>Committee of Technical Experts, 12th session</td>
<td>Berne - Switzerland</td>
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<tr>
<td>19 - 20 June</td>
<td>Informal working group on the improvement of the accident report</td>
<td>France and Netherlands</td>
<td>The Hague - Netherlands</td>
</tr>
<tr>
<td>25 - 26 June</td>
<td>131st Session of the Administrative Committee</td>
<td>Berne - Switzerland</td>
<td></td>
</tr>
</tbody>
</table>

## Events with OTIF Participation in 2019

<table>
<thead>
<tr>
<th>DATE</th>
<th>EVENT</th>
<th>ORG</th>
<th>LOCATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 - 4 April</td>
<td>Group of Experts towards Unified Railway Law (GEURL)</td>
<td>UNECE</td>
<td>Geneva - Switzerland</td>
</tr>
<tr>
<td>9 - 11 April</td>
<td>Railway Interoperability and Safety Committee (RISC)</td>
<td>European Commission</td>
<td>Brussels - Belgium</td>
</tr>
<tr>
<td>15 April</td>
<td>Bern University law faculty visit to the OTIF Secretariat</td>
<td>Bern University</td>
<td>Berne - Switzerland</td>
</tr>
<tr>
<td>13 - 17 May</td>
<td>Working Party on the Transport of Dangerous Goods (106th session)</td>
<td>UNECE</td>
<td>Geneva - Switzerland</td>
</tr>
<tr>
<td>14 - 15 May</td>
<td>WP. 15 (ADR)</td>
<td>UNECE</td>
<td>Geneva - Switzerland</td>
</tr>
<tr>
<td>11 - 13 June</td>
<td>Working group “Risk and hazard”</td>
<td>International Union of Railways (UIC) and Romania</td>
<td>The Hague - Netherlands</td>
</tr>
<tr>
<td>25 - 26 June</td>
<td>CIM Working group</td>
<td>CIT</td>
<td>Berne - Switzerland</td>
</tr>
<tr>
<td>1 - 5 July</td>
<td>UN Sub-Committee of Experts on the Transport of Dangerous Goods (55th session)</td>
<td>UNECE</td>
<td>Geneva - Switzerland</td>
</tr>
<tr>
<td>9 - 11 July</td>
<td>Group of Experts towards Unified Railway Law (GEURL)</td>
<td>UNECE</td>
<td>Geneva - Switzerland</td>
</tr>
<tr>
<td>10 - 11 July</td>
<td>CIM/SMGS Group of Experts</td>
<td>CIT</td>
<td>Berne - Switzerland</td>
</tr>
</tbody>
</table>
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The Bulletin editor