Unified railway law to connect Europe, Asia and Africa

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DIARY OF EVENTS
2015 sees the completion of OTIF’s first work programme adopted in 2013 following my election. A new period is starting for the Organisation and I would like here to thank all the Member States for the continued trust they placed in my activities at the General Assembly on 29 September 2015. It is an exciting task to lead an organisation such as OTIF, with its rich cultural diversity, recognised expertise and the expectations of those working in the rail sector.

At this time of the year, with its good wishes and time to take stock, I should like to highlight what is expected of our railway law.

Structuring international freight and passenger transport around the railways, which is the least polluting mode in terms of emitting greenhouse gases, is a priority of which the States and their citizens are increasingly aware. What could be more effective and economic in terms of physical investments than the development of uniform law to enable optimum usage of the existing infrastructure?

Collectively, we have highlighted here the future of international rail transport, which must be dealt with as a connected, uniform and interoperable network. OTIF will therefore continue to play its role as a bridge between concepts and different organisations to become a key element in the development of Euro-Asian rail transport. It will enhance its technical regulations and ensure that its contract law remains modern and in touch with the sector’s expectations.

The General Assembly in September adopted all the amendments proposed by the Secretariat. This demonstrates the teams’ open-minded and innovative attitude, which they have used to find the best solution for each issue, with the help of experts from the various Member States, without whom nothing would be possible.

This edition reflects the variety of topics that have been dealt with. As this is the last edition of the Bulletin this year, I should like to take this opportunity to wish you, your friends and family all the very best for 2016.

François Davenne
The 12th General Assembly of the Intergovernmental Organisation for International Carriage by Rail (OTIF) was held in Berne on 29 and 30 September. 42 of the 49 Member States attended, including 17 non Member States of the European Union. The very diverse Member States of OTIF took an interested part in the discussions. The European Union, Azerbaijan (whose accession procedure was still underway), Saudi Arabia, the United Nations Economic Commission for Europe (UNECE), the Organization for Cooperation between Railways (OSJD), the International Rail Transport Committee (CIT) and the International Federation of Freight Forwarders Associations (FIATA) also provided their own input.

The General Assembly was chaired by Mr Mats Andersson. It decided:

- to fix a maximum amount of expenditure for the OTIF Secretariat for the periods 2016-2018 and 2019-2021,
- to approve OTIF and its Secretariat taking on the task of secretariat of the Supervisory Authority of the Luxembourg Protocol,
- adopted amendments to Articles 3, 12, 14, 15, 20, 24, 25, 26 and 33 of COTIF,
- adopted the amendments to Article 9 of Appendix D, Article 3 of Appendix F and Articles 1 and 3 of Appendix G to COTIF.

There were two main highlights of the 12th General Assembly. Firstly, on 29 September 2015, the delegation of Azerbaijan showed participants a short film. The film was fast-paced and enthusiastic and charted the construction of the railway line between Baku, Tbilisi and Kars, underlining the major role of rail transport in creating social and geographical links between Asia and Europe. The General Assembly gave a warm welcome to the delegation of Azerbaijan, which was to become a member of OTIF on 1 November 2015.
On Wednesday, 30 September, Mrs Eva Molnar, the Director of the Transport Division of the United Nations Economic Commission for Europe (UNECE) gave a speech in which she called for unified railway law to be established as a matter of urgency, reminding the Assembly that the rail sector is the only sector not to benefit from a harmonised legal framework. The existence of several legal frameworks impairs the competitiveness of the railways compared to other modes of transport. Unified railway law is therefore vital. Mrs Molnar then explained the UNECE’s approach in the project to achieve unified Euro-Asian transport law. In this context, she underlined the important work of OSJD and OTIF and their experts.

OTIF’s General Assembly approved the position of the Director of the UNECE’s Transport Division. The Assembly therefore encouraged the Secretary General of OTIF to support the UNECE’s efforts to find a solution quickly to the question of how to manage the future uniform law. In conclusion, the Assembly asked the Secretary General to submit a report to the next Assembly on the progress of work relating to the UNECE’s project.

Two candidates for the election of the Secretary General appeared before the General Assembly: Mrs Leodolter and Mr Davenne.

Mr Davenne was re-elected as head of the OTIF Secretariat by a large majority. His re-election is an endorsement of the activities he has been carrying out since 2013 and enables the changes that have taken place within the Secretariat to be continued.

The General Assembly designated the members of the Administrative Committee for the period from 1 October 2015 to 30 September 2018:

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OSJD/OTIF: ACTIVE AND PRODUCTIVE COOPERATION

On 13 October 2015, Mr Tadeusz Szozda, chairman of the OSJD Committee, and Mr Viktor Zhukhov, vice-chairman of the OSJD Committee, were welcomed to OTIF by the Secretary General of OTIF, Mr François Davenne. This annual meeting between the heads of the two organisations takes place in the framework of the cooperation agreement signed between OSJD and OTIF in 2003. This was the first time the meeting was held at OTIF’s headquarters in Berne. In line with the busy agenda, the heads of the two organisations reviewed the various issues in which they are jointly involved, ranging from unified railway law to technical specifications for interoperability, via the digitalisation of information exchanges and harmonisation of the rules concerning the carriage of dangerous goods.

OSJD and OTIF, which were set up within two distinct railway systems to promote international traffic, are working more closely together to facilitate Euro-Asian trade.

THE TRAINING PROGRAMME WITHIN THE SECRETARIAT:
A REWARDING EXPERIENCE

Since the beginning of 2015, the training programme for people working in OTIF Member States’ national authorities has welcomed interns with previous experience in railway technology so that they can become more familiar with COTIF and share their newly acquired knowledge when they return home. (See Bulletin No.2 2015, page 8).

After Mr Sinan Oguz, Mr Ömer Tangül has just spent eight weeks working in the Secretariat’s technical department. Mr Tangül is an expert assistant from the Directorate General of Railway Regulation (DDGM) in the Turkish Ministry of Transport, Maritime Affairs and Communication. He trained as an economist. During these two months, there has been a great deal of good quality information exchange.

For more information on the programme, contact: bas.leermakers@otif.org
On 27 and 28 August 2015 respectively, Slovakia and the United Kingdom submitted instruments to withdraw their reservations with immediate effect. The instruments were sent to the Secretary General of the Intergovernmental Organisation for International Carriage by Rail (OTIF).

On 29 June 2006, the United Kingdom declared that it would not apply Appendices E, F and G to COTIF 1999 and on 31 January 2007, Slovakia also declared that it would not apply these Appendices either. The reason for these reservations was the process of harmonising EU law and the Convention concerning International Carriage by Rail (COTIF), which had raised some difficult questions. However, the EU’s accession to COTIF in 2011 and the partnership policy that has been followed since 2013 have made it possible to resolve these issues. Thus in an instrument dated 6 August 2015, Slovakia fully withdrew its reservations and in an instrument dated 18 August 2015, the United Kingdom withdrew its reservations against Appendices F and G.

Since the end of August 2015, the APTU and ATMF Uniform Rules have therefore been applicable on a further 20,016 km of railway lines in Slovakia and the United Kingdom. The Secretariat of OTIF welcomes this step forward towards unified law for international rail carriage over a homogeneous area from the Maghreb to the Middle East via Europe.
### SUMMARY OF THE SCOPE OF APPLICATION OF COTIF AND ITS APPENDICES

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<td>Reservations against the APTU/ATMF lifted with effect from 28 August 2015</td>
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<td>EU</td>
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<td>Reservations against the APTU/ATMF lifted with effect from 28 August 2015</td>
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As at 1st November 2015
The 12th General Assembly of the Intergovernmental Organisation for International Carriage by Rail (OTIF), which met on 29 and 30 September in Bern (Switzerland), adopted amendments to COTIF and its Appendices. Full details are set out in the Final Document.

Amendments adopted by the 12th General Assembly to the Convention itself enter into force twelve months after they have been approved by two thirds of the Member States in accordance with their national law. In addition, the amendments to Appendices D (CUV), F (APTU) and G (ATMF) adopted by the 12th General Assembly will enter into force twelve months after they have been approved by half the Member States in accordance with their national law.

In both cases, when the amendments to the Convention itself and the amendments to Appendices D, F and G enter into force, they will enter into force not just for those States that have approved them in accordance with their applicable national procedures, but also for all the other Member States, except those which, before their entry into force, have made a declaration not to apply them.

Owing to the relatively modest extent of the amendments adopted by the 12th General Assembly compared with the amendments to COTIF in the version of the Vilnius Protocol adopted by the 5th General Assembly, the Secretary General of OTIF hopes that the legal procedures will be simple enough to ensure rapid entry into force of the various amendments.

Carlos del Olmo
The VIII Interdepartmental Conference “Practice in border crossing by international rail transport” was held in Gdansk (Poland) on 22 and 23 September 2015, under the auspices of the OSJD Commission on Transport Policy and Strategy Development.

Representatives from ministries of transport and railway administrations and national state border control and customs authorities of the OSJD states participated in the meeting. International organisations such as UNECE, UNESCAP, EU and OTIF were also represented.

OTIF was represented by Mr Davenne, the Secretary General and Mr Del Olmo, head of the legal service.

During the conference, participants presented and detailed the improvements introduced in their countries and on their own railway networks over the last two years in the field of railway facilitation. Information was also provided on the improvements that have been achieved in the cross-border movement of goods and passengers between the OSJD Member States, thus minimising border crossing delays. Such improvements are, for example, the innovative technologies applied in border railway stations and the implementation of Annex 9, “Facilitation of border crossing procedures for international railway traffic” of the 1982 Convention on Harmonisation, application of the CIM/SMGS common consignment note, the electronic flow of documents, electronic data exchange between real administrations, etc.

The OTIF secretariat had the opportunity to give a presentation and to inform this important rail transport document in their own transport operations. During this presentation, Mr. Del Olmo also spoke about OTIF’s participation in the UNECE Group of Experts towards Unified Railway Law, and to conclude, he gave a report on OTIF’s Study on Rail Facilitation.

At the end of the meeting and as usual at OSJD meetings, the participants agreed a final declaration.

This declaration requests Governments, ministries in charge of the railway sector, state border control authorities, customs and other control authorities that carry out controls at border points and railways of OSJD Member States:

“to promote implementation of the provisions of Annex 9 to the 1982 International Convention on the coordination of conditions for monitoring cargo procedures at borders;

to strengthen the interaction of OSJD railway corridors, EU rail freight corridors and the Trans-Asian railway network, including matters of facilitation of border crossing, with possible application of the UNESCAP recommendations;

to promote the adoption and implementation of the joint comprehensive measures of railway, border control and customs departments, which are aimed at reducing of the time spent on rail border crossing, particularly on the OSJD railway corridors;

to turn their attention to the need to organise joint coordinated actions for border control, customs and other control authorities and railway organisations in order to reduce the amount of time spent on border crossing by passenger and freight trains;

to strive for the carrying out of border and customs controls within the shortest possible time;

to introduce and apply more energetically advanced technologies for carrying out controls;

to assist and take measures on the creation of a single information space for railway transport systems of the OSJD Member States, including border control, customs structures and other control authorities, by connecting the communications networks of telecommunications companies in these countries;

to activate the application of the common CIM/SMGS consignment note for international rail freight transport;

to contribute to organising the transport of postal consignments by rail, using the most simplified procedures (including customs formalities) to deliver them.”

Carlos del Olmo

Carlos del Olmo. Photo : Ion Cutieru - OSJD
Mr Bas Leermakers, head of the OTIF Secretariat’s technical department, was invited to give a presentation to the European Railway Agency (ERA). The objective of the ERA seminar was to present OTIF’s work, so that project leaders in the Agency can take better account of OTIF’s work.

The seminar brought together around twenty of the Agency’s key people. All those who attended – engineers, lawyers, interoperability and safety specialists – were receptive and active throughout the four hour presentation. This was a genuinely interactive and successful seminar where questions and answers were exchanged and mutually appreciated.

ON THE SILK ROAD

The Secretary General of OTIF was invited to take part in the “Silk Road” forum in Tbilisi, Georgia, on 15 and 16 October 2015.

The “Silk Road” forum was organised by the Georgian Ministry of Economy and Sustainable Development, the Georgian Ministry of Foreign Affairs, the People’s Republic of China, the Asian Development Bank and the Entrepreneurship Development Agency (LEPL). It brought together a large number of distinguished participants and speakers from Asia and Europe, the Gulf States and the United States (http://www.tbilisisilkroad.ge/en/speakers/).

Over two days, ministers and ministerial delegations, directors and representatives of international organisations, directors of railway undertakings and civil society had the opportunity to take part in discussions aimed at developing and envisaging future solutions for the Silk Road.

This route, which in future will link Beijing to Brussels, is entering a new era and continues to mobilise the countries it crosses. It offers a real opportunity for international rail transport; the Baku-Tbilisi-Kars line is testament to this. The Secretary General had the pleasure of presenting OTIF and the bridging role it plays between its Member States. In particular, he emphasised the added value of OTIF’s uniform law in the context of the increasing investment in infrastructure and new rolling stock generated by this project. He took part in the panel discussion on “Transport and infrastructure: keeping up with the demands of cross-border trade”, reminding participants that the Organisation’s raison d’être is to develop uniform law for Europe, Asia and Africa. Such law is crucial in terms of enabling seamless Euro-Asian rail transport that can really compete with maritime transport. The Silk Road forum concluded with a joint declaration, which is available under the following link: http://tbilisisilkroad.ge/uploads/Tbilisi-JointDeclaration.pdf
COOPERATION BETWEEN THE OTIF SECRETARIAT AND THE EU INSTITUTIONS

In order to ensure efficiency, consistency and to give all parties a voice, cooperation between the EU and OTIF is of the utmost importance. The administrative arrangements of 2013 between the OTIF Secretariat, DG MOVE and ERA laid the foundation for productive cooperation. As a result of this cooperation, the non-EU Member States’ interests are placed in the spotlight during the earliest phases of the development of technical provisions. When developing its regulations, this enables the EU to consider the OTIF dimension. It also allows OTIF to make use of the expertise available at EU level, without having to duplicate this expertise (and associated costs). All this helps to ensure that rules are both suitable and useful in all the OTIF Contracting States.

The aims of OTIF include the promotion and facilitation of international traffic. As one of the building blocks for achieving these aims, harmonised technical rules are being developed so that, based on these rules, vehicles can be admitted to international railway traffic. The development of these rules is closely harmonised with the development of technical rules in the EU, which are contained in TSIs. The need for equivalence between the EU and OTIF technical rules is expressed in ATMF Articles 3a and 6. As a consequence, both the EU and OTIF are committed to extending equivalence as far as new rules are concerned and maintaining this equivalence as far as existing rules are concerned.

The development of these technical rules in the EU is driven by the European Railway Agency (ERA). ERA, assisted by its working parties consisting of experts from European Union Member States and from the railway sector, drafts and submits to the European Commission its recommendations for adopting or amending TSIs. Before adopting these TSIs, the European Commission asks for the opinion of the EU Member States.

In order to avoid duplicating discussions, it has been agreed among OTIF’s technical experts that it would not be efficient to re-discuss everything that has been developed within the EU. This means that OTIF technical experts mainly discuss how best to transpose the EU provisions into COTIF. For this transposition, adaptations may be required in order to make the provisions suitable for COTIF. This may be necessary because of differences between EU law and COTIF. The EU provisions relating to market opening and competition, for example, require the separation of responsibilities between the railway undertaking and the infrastructure manager. In COTIF the same separation of responsibilities is not always required.

This working method allows the OTIF Secretariat to work with a relatively small team and keep Member States’ financial contributions low, as it is not necessary to maintain expertise in all technical areas.

A coordinated approach

As indicated before, the technical provisions developed in the EU are in principle taken over in COTIF without re-discussing the technical details. This is referred to as a “stepped approach”; the first step is development within the EU, and the second step is transposition into COTIF. This means that technical developments under the aegis of ERA represent a shared interest for both the EU and OTIF. The stepped approach requires the EU also to think about the consequences for COTIF in the early stages of development.
Administrative arrangements between OTIF Secretariat – ERA – DG MOVE

In order to assist the EU and to represent the interests of non-EU Member States, the OTIF Secretariat works closely together with the relevant EU institutions and in particular with ERA and the Directorate-General for mobility and transport of the European Commission (DG MOVE). In October 2013 an agreement, referred to as the administrative arrangements, was signed between the three parties. The agreement, which is available on the OTIF website, sets out the basis for cooperation on several levels. In this way, the technical know-how of ERA and of the bodies representing the sector also benefits the further development of COTIF.

Based on this agreement:

• Designated OTIF experts are invited to take part in ERA meetings to represent the interests of all non-EU OTIF Contracting States. The OTIF representative is usually a member of the OTIF Secretariat staff, but may also be an expert from one of the OTIF Member States.

• ERA and EU Commission representatives are invited to present the latest developments in the EU to OTIF’s standing working group technology. The aim of this is to make non-EU OTIF Contracting States aware of these developments and to allow them to make comments or ask questions.

• The Secretary General is invited to attend himself or to delegate an OTIF official to attend RISC as an observer. RISC reviews ERA recommendations before they become EU law, so attending RISC is a good way of following the legal development of subjects on which ERA and its working party have finalised their activities.

• ERA and the OTIF Secretariat set up joint registers for the vehicle keeper marking (VKM register) and for entities in charge of maintenance (ECM register).

• The three organisations have regular management meetings in order to coordinate and discuss subjects of mutual interest. In this forum new developments can be initiated and strategic issues can be addressed.

Engaging non-EU Member States

The OTIF Secretariat is highly committed to working together with non-EU Contracting States in order to understand their interests in the best possible way. To this end the OTIF Secretariat takes part in seminars and workshops, where it is possible to create synergies with, for example, UIC. One recent development in this light is the expert training programme, in which a representative of the competent authority of a Contracting State receives several months training at OTIF’s headquarters. The terms and conditions are published on the internet and Member States are encouraged to suggest candidates.

Bas Leermakers
PROCEDURES FOR ASSESSING CONFORMITY AND THE SUITABILITY FOR USE OF STRUCTURAL SUBSYSTEMS AND INTEROPERABILITY CONSTITUENTS IN ACCORDANCE WITH COTIF

According to the UTP GEN-D\(^1\) annexed to COTIF\(^2\), the manufacturer or its authorised representative established within a Contracting State of COTIF requests the UTP verification procedure from an assessing entity of its choice.

The article first describes the conformity assessment of structural subsystems\(^3\) and interoperability constituents. There is then a brief overview of the assessment of the safe integration of a subsystem. The conclusion looks at the choice of modules.

The following diagram shows the general sequence of a UTP verification procedure:

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1 UTP GEN-D: Uniform Technical Prescriptions “ASSESSMENT PROCEDURES” (MODULES)
2 COTIF 1999: Convention concerning International Carriage by Rail as amended by the Vilnius Protocol, in force since 1.7.2006
3 UTP GEN-B: contains the definition of subsystems according to COTIF
Conformity assessment of structural subsystems

The following diagram shows the structure of the verification modules that apply to subsystems:

Module SH1 may be used for the verification of a subsystem on its own. Modules SD and SF may only be used following the application of module SB.

Verification concludes with a certificate of verification or a declaration of verification.

A UTP declaration of verification may be drawn up on a voluntary or mandatory basis (if it is required by law in the Contracting State where the application for assessment according to this module has been made). In this case the provisions of the UTP relating to a UTP declaration of verification apply.

\[\text{Diagram 2: Overview of verification modules by subsystem}^4\]

Structural subsystem:

According to the legal definition a subsystem means the result of the division of the rail system, as shown in the UTP; these subsystems, for which essential requirements must be laid down, may be structural or functional. In other words, a subsystem is a part of the rail system that has to be able to work together with other subsystems in order for the complete rail system to function. It is for this reason that the requirements applicable to subsystems include interface specifications with other subsystems. The subsystems are defined in UTP GEN-B.

The structural subsystems include:

- infrastructure,
- energy,
- trackside control-command and signalling,

- onboard control-command and signalling,
- rolling stock.

The functional subsystems are:

- operation and traffic management,
- maintenance,
- telematics applications for passenger and freight services.

A vehicle may consist of one subsystem (rolling stock) or two subsystems (rolling stock + onboard control-command and signalling). The former concerns, e.g., freight wagons and passenger coaches, the latter, e.g., locomotives and train sets. In order for a vehicle to be accepted for international traffic, the vehicle must fulfil the applicable technical requirements applicable to it in accordance with APTU, ATMF and the UTPs.

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Documents issued by assessing entities
Contracting States which are also members of the European Union apply European law concerning EC declarations of verification.

Verification module SB “Type examination”

The type examination is part of the UTP conformity process in which an assessing entity examines the technical design of a subsystem and examines and confirms that the technical design of the subsystem accords with the requirements of the relevant UTP.

The type examination includes:

- assessment of the adequacy of the technical design through examination of the technical documentation and supporting evidence
- examination of a specimen of the complete subsystem, representative of the production envisaged.

In order to conclude the UTP verification, one of the following verification modules has to be carried out subsequently:

- SD: UTP verification based on quality management system of the production process.
- SF: UTP verification based on product verification.

Verification module SD “Quality management system of the production process”

The module concerns compliance with the quality system in the production of the subsystem.

Verification module SF “Verification based on product verification”

This verification module is based on product verification. Unlike the verification module referred to previously (focus on the quality system), here each subsystem is examined individually.

Verification module SH1 “Verification based on full quality management system plus design examination”

The UTP verification based on the full quality management system plus design examination is part of the UTP conformity process in which the subsystem to be examined meets the requirements of the UTP. SH1 is based on a fully implemented QMS and the tasks of the assessing entity relate to the assessment and surveillance of the QMS and the assessment of information provided by the applicant. It requires a very high level of responsibility and quality culture of the manufacturer.

- Manufacturing
- Quality management system
- Verification of conformity

For this, the assessing entity is asked to demonstrate the conformity of the subsystem with the currently applicable UTP on the basis of a full quality management system plus design examination.

Continuous monitoring under the responsibility of the assessing entity. The purpose of surveillance is to make sure that the manufacturer duly fulfils the obligations arising out of the approved quality management system.

Assessing entity:

The assessing entity assesses that before it is used in international traffic, a new structural subsystem complies with the provisions of the applicable UTPs. The assessing entity can be the national competent authority itself or another entity recognised or accredited by a Contracting State according to Article 5 of ATMF. In Member States of the EU and other States that apply EU law, the role of the assessing entity is fulfilled by so called Notified Bodies.

The assessing entity has to work in accordance with the processes described in the assessment modules set out in UTP GEN-D. The types of modules that are used depend firstly on what is permitted by the structural UTP in question and secondly on what is agreed between the applicant and the assessing entity. The assessing work starts during the design phase of a project and continues until the last unit is produced. This means that the assessing entity should be involved from the start of a project.

The result of these checks should be valid and recognised in all other Contracting States for subsequent admissions in accordance with Article 6a ATMF.
Conformity assessment of interoperability constituents

According to UTP GEN-D, the certification of interoperability constituents is not mandatory. However, in those cases where certification is desired, the provisions that apply are that the interoperability constituents integrated into a subsystem are assessed together with the subsystem. The following diagram shows the verification modules that apply to the certification of interoperability constituents.

<table>
<thead>
<tr>
<th>CA</th>
<th>CA1</th>
<th>CA2</th>
<th>CH</th>
<th>CB</th>
<th>CH1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal production control</td>
<td>Internal production control plus product verification by individual examination</td>
<td>Internal production control plus product verification at random intervals</td>
<td>Conformity based on full quality management system</td>
<td>Type examination</td>
<td>Conformity based on full quality management system</td>
</tr>
<tr>
<td>Certificate of conformity</td>
<td>Certificate of conformity</td>
<td>Approval and monitoring of the quality management system</td>
<td>Type examination certificate</td>
<td>Certificate of conformity</td>
<td></td>
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</tbody>
</table>

The following combinations are possible for certification:

- Modules CA, CA1, CA2, CH and CH1 may be used for the conformity assessment of an interoperability constituent on their own
- Modules CC, CD and CF may only be used following the application of module CB
- Module CV is always complementary to application of modules CB+CC, CB+CD, CB+CF or CH1

The interoperability constituent may be placed on the market only after the declaration of suitability for use and the declaration of conformity have been issued.

Interoperability constituent (IC):

According to the legal definition an IC is an elementary component, group of components, subassembly or complete assembly of equipment incorporated or intended to be incorporated into a subsystem upon which the interoperability of the rail system depends directly or indirectly. The concept of an IC covers both tangible objects and intangible objects such as software. In other words, an IC is a product which can be developed, produced and sold separately from a subsystem. Examples of ICs for railway vehicles are: wheel, pantograph and automatic coupler. At least one of the parameters of ICs can be assessed and certified separately from the subsystem, subsequent assessments and certification concern the correct integration of the IC into the subsystem. A list of constituents considered as ICs included in a subsystem is contained in the UTP applicable to the subsystem. The requirements of chapter 5 of these UTPs specify the requirements for ICs. Even though ICs are suitable for assessment separate from the subsystem, such separate assessment is not mandatory in COTIF as set out in chapter 2 of UTP GEN-D. In the EU, such separate assessment of ICs is mandatory.

CV Type validation by in-service experience  
Certificate of suitability for use  
Declaration of suitability for use


Documents issued by assessing entities;  
Documents issued by manufacturers or by their authorised representatives
According to the UTP GEN-D, before issuing a technical admission, the competent national authority must have ascertained that the level of safety in the rail system will not be reduced by the placing into service of the structural subsystem in question.

In particular, the contracting state has to check:
- the technical compatibility of these subsystems with the systems into which they are being integrated,
- that the safe integration of the subsystem into its environment is ensured.

Where there is no relevant UTP covering the essential requirements of technical compatibility (e.g. the interface with legacy signalling/train protection systems, non-UTP conform infrastructure, energy, and CCS subsystems), national rules apply. The requirement for “safe integration” is also part of the essential requirements and should be covered by the applicable UTP(s) and/or notified national rules.

If neither the UTPs nor the applicable notified national rules provide an adequate basis for full assessment of compliance with the essential requirements in accordance with the above, the applicant must perform an explicit risk assessment and evaluation in accordance with UTP GEN-G “Risk evaluation and assessment”.

Choice of modules

Each UTP indicates which modules may be used for the conformity assessment of an interoperability constituent or verification of a subsystem. It is up to the manufacturer of the IC or applicant for the verification of the subsystem to choose, from those indicated in the UTPs, the module or combination of modules.

Some of the modules have higher fixed costs (e.g. application of SB+SD or SH1 implies costs before the first unit is produced) and smaller marginal costs for each new unit. The bigger the size of serial production, the more suitable these modules are.

The choice of the module may have an important impact from the cost and time points of view. It is not possible to give a general straightforward rule on which module to select. The choice depends on the particular situation of each company and specific characteristics of the products.

Maragarethe Koschmider
The 47th session of the UN Sub-Committee of Experts on the Transport of Dangerous Goods was held from 22 to 26 June 2015 under the chairmanship of Mr Duane Pfund (United States of America). 22 States entitled to vote and more than 30 non-governmental organisations were represented at the session. As all the decisions of the UN Sub-Committee of Experts have repercussions for the dangerous goods provisions of the various modes, the Intergovernmental Organisation for International Carriage by Rail (OTIF) was represented as a modal organisation, along with the International Maritime Organization (IMO).

As this was the first session of the 2015/2016 biennium, many topics were discussed for the first time and further discussion and decisions were postponed to future sessions. After the end of the biennium, in the context of harmonising RID/ADR/ADN with the UN Recommendations on the Transport of Dangerous Goods, OTIF will take its decisions over into the 2019 edition of RID and the UNECE will do the same for the 2019 editions of ADR and ADN.

Some of the interesting issues dealt with at this meeting are looked at below.

**Classification**

Dangerous goods in machinery, apparatus or articles

The question of the classification and carriage of various dangerous goods contained in machinery, apparatus or articles for which there is no proper shipping name in the dangerous goods list in Chapter 3.2 was already discussed several times in the previous biennium.

Special provision 301 in the UN Model Regulations, which is assigned to UN number 3363 (Dangerous goods in machinery or dangerous goods in apparatus), restricts the scope of this entry to machinery and apparatus which only contain dangerous goods permitted to be carried in limited quantities. The quantity of dangerous goods contained may not exceed the quantity given in column 7a of Table A.

At this meeting, the United Kingdom submitted a more developed proposal aimed at including thirteen new UN numbers in the dangerous goods list for dangerous goods contained in machinery, apparatus or articles that do not meet the conditions for carriage in limited quantities and for which no proper shipping name is otherwise available. Assignment to the individual entries would be made on the basis of which class(es) the substances concerned belonged to. A new special provision specifying the classification amongst these entries and a new packing instruction should also be assigned to the new UN numbers.

The majority of the UN Sub-Committee of Experts supported this approach. As this was an informal document, the United Kingdom will prepare for the next session a revised official document which will take account of the comments and suggestions made at this session.

**Packagings**

Temperature during the internal (hydraulic) pressure test on packagings and IBCs

6.1.5.5 and 6.5.6.8 deal with the internal hydraulic pressure test on packagings and IBCs and lay down the minimum value and duration of the hydraulic excess pressure to be applied. The regulations are silent with regard to the temperature of the water during the test. However, the temperature has a major influence on the mechanical behaviour of plastics, with the mechanical properties deteriorating as the temperature increases. A series of tests carried out on plastics jerricans at Germany’s Federal Institute of Materials Research and Testing showed that there are big differences in the times to failure of the packaging depending on the temperature of the water. This can mean that at a water temperature of 10 or 15°C, the packagings pass the test, but at 21°C, they do not.

In order to be able to compare the test results of different testing laboratories, Germany proposed that the lower threshold for the water temperature should be set at 12°C. Otherwise, if no temperature value was set, this might mean that tests are carried out at lower temperatures in order to cut down on packaging material. Norway supported this proposal, but asked that it be extended to include composite packagings made of plastics and wanted the possibility of using a correction factor for the pressure to be applied when the water temperature is above 12°C.

While some delegations welcomed these additional requirements in order to make test results comparable, others did not think there were any safety problems that would make such specifications necessary. However, the UN Sub-Committee of Experts agreed to...
Examples of rechargeable lithium metal batteries

Lithium batteries
Rechargeable lithium metal batteries
As in past biennia, lithium batteries are again on the agenda in this two year period.

For this session, the Republic of Korea submitted an initial paper on rechargeable lithium metal batteries, which have been on the market for some time, but which constitute a relatively small segment of the lithium battery market. However, as a result of technical improvements and a broader range of applications, it is expected that this segment of the market will grow considerably in the next five to ten years.

Rechargeable lithium metal batteries use lithium for the anode instead of the graphite that is typically used in lithium ion batteries. The positive electrode is comprised of an oxide, sulphur composite or other material. The electrolyte used is a non-flammable, partial solid. The main advantage of this type of battery is its considerably higher mass and volume-related energy density compared with lithium ion batteries.

Like lithium ion batteries, rechargeable lithium metal batteries can be used in mobile telephones, tools, bicycles, electric vehicles and energy storage systems.

Some experts did not think it was necessary to introduce new UN numbers and that it was sufficient to improve the description of the existing UN numbers. In view of the rapid technical development in this area, a more generally worded special provision could also be provided to authorise different technical battery designs.

Provisions concerning carriage
Use of ethoxyquin to stabilise fish meal
Dried and ground fish or parts of fish used as an admixture in feedstuffs is described as fish meal. As a substance liable to spontaneous combustion, UN 1374 Fish meal (fish scrap), unstabilized, is assigned to Class 4.2. If fish meal is stabilised for transport, it is assigned to Class 9 as UN 2216 Fish meal (fish scrap), stabilized.

Stabilising fish meal by addition of the antioxidant, ethoxyquin has been done for many years to prevent spontaneous heating of fish meal during transport. As an additive to animal feedstuffs, ethoxyquin enters the food chain, but there has not yet been any research on the effects of this substance and its decomposition products on the human body.

Because of its antioxydizing effect, ethoxyquin was formerly used to treat fruit against blight. Owing to the lack of toxicity data, since 2011 this substance has not been allowed as a pesticide in the European Union. Its use as an animal feedstuff additive is therefore highly controversial. In the UN Model Regulations, UN number 2216 Fish meal (fish scrap), stabilized is assigned special provision 308, which prescribes that this substance must contain at least 100 ppm of antioxidant (ethoxyquin) at the time of consignment. Special provision 945 of the IMDG Code (International Maritime Dangerous Goods Code) prescribes even higher values for the concentration of ethoxyquin (between 400 ppm and 1000 ppm). In addition, the IMDG Code also authorises butylhydroxytoluene (BHT) as an antioxidant.

The “International Fishmeal and Fish Oil Organisation” (IFFO) informed the UN Sub-Committee of Experts of its project to carry out various trials to test lower concentrations of ethoxyquin to determine its effectiveness as a protective agent and to test alternative synthetic and natural antioxidants. At future meetings, the representative of IFFO will inform the UN Sub-Committee of Experts of the progress of the work and the test results.
Transport of gases
Transport of gas tanks for motor vehicles
In connection with the development of alternative vehicle drive systems, the use of vehicles driven by flammable gases has increased in recent years. In the context of servicing and maintenance work, quality assurance activities for vehicles and components and environmentally friendly disposal, used gas containment systems filled to various levels have to be carried. As these gas containers are not used, in accordance with the regulations, for the purpose of carrying the gas, they are not considered or authorised as pressure receptacles under Chapter 6.2 of the UN Model Regulations. In European transport, a new special provision 660 was included in the 2013 editions of RID, ADR and ADN to deal with the carriage of gas containment systems which are designed to be used in motor vehicles and which contain this gas. The UN Model Regulations, the IMDG Code and the ICAO Technical Instructions do not provide for the possibility of carrying such gas containment systems on a regular basis and in accordance with the law. In order to enable such carriage globally, France and Germany submitted a proposal to the UN Sub-Committee of Experts to include an identical special provision in the UN Recommendations on the Transport of Dangerous Goods. The UN Sub-Committee of Experts supported the proposal, but provided some useful comments and suggested some amendments which will be taken into account in a revised proposal for the next meeting.

Next meeting
The 48th session will be held from 30 November to 9 December 2015 in Geneva and will continue the work on the 20th revised edition of the UN Model Regulations.

Katarina Guricová

The first session of the 2015/2016 biennium dealt with a number of issues that will have to be discussed further. These include the classification and transport of various dangerous goods contained in machinery, apparatus or articles, specification of the water temperature for the internal hydraulic pressure test for packagings and the carriage of gas tanks for motor vehicles. On the other hand, it was decided not to pursue the approach of introducing new danger label models to improve hazard communication for substances of Class 9.

Gas container built into a car

RID/ADR/ADN Joint Meeting (Geneva, 15 – 25 September 2015)

Harmonisation of RID/ADR/ADN with the UN Recommendations on the Transport of Dangerous Goods
Traditionally, the Joint Meeting’s last session of a biennium deals with the question of harmonisation with the latest (currently the 19th) edition of the UN Recommendations on the Transport of Dangerous Goods. This work was prepared by an ad hoc working group which met for three days in April.

With regard to this harmonisation work, the following amendments should be highlighted. These will be included in the 2017 edition of RID/ADR/ADN.

Substance mentioned by name which does not meet the classification criteria
Dangerous goods must be assigned to UN numbers and proper shipping names on the basis of their hazards and composition. The most frequently carried goods are referred to in the dangerous goods list. The consignor no longer has to classify these substances on the basis of their hazardous properties. Instead, the classifications and conditions of carriage shown in the list of dangerous goods

The last RID/ADR/ADN Joint Meeting of the 2014/2015 biennium was held in Geneva from 15 to 25 September 2015. At the spring session in March 2016 though, it will still be possible to discuss some outstanding issues that will be incorporated into the 2017 edition of RID, ADR and ADN. 24 States, the European Union, the Central Commission for Navigation on the Rhine (CCNR), the Committee of the Organization for Cooperation of Railways (OSJD) and 17 non-governmental organisations were represented at this meeting.
can be used. It is not possible to derogate from this classification unless this is explicitly permitted by a special provision.

If it is established on the basis of available data that the hazards of a substance mentioned by name are not sufficiently reflected by the entry in the dangerous goods list, a proposal to change the classification and adapt the conditions of carriage must be submitted to the UN Sub-Committee of Experts on the Transport of Dangerous Goods. Once the UN Sub-Committee of Experts has adopted the proposal, the entry is amended in the next edition of the UN Recommendations and subsequently in the modal regulations. This approach, which is set out in the introduction to the UN Model Regulations, together with a model data sheet, was practised in the past, e.g. for UN 2381 Dimethyl disulphide and UN 2809 Mercury, when these two substances were assigned the subsidiary hazard of Class 6.1.

In future, in the period between the emergence of additional properties and modification of the dangerous goods list, either the most suitable collective entry that reflects all the hazards, or the current UN number and name, with further information on the hazard, can be used for such substances, with the approval of the competent authority. The competent authority that issues such approval should submit a proposal to the UN Sub-Committee of Experts on the Transport of Dangerous Goods to amend the dangerous goods list in the UN Model Regulations.

Polymerizing substances
The investigation of the accident involving the container ship MSC Flaminia on 14 July 2012 revealed that the polymerization of divinylbenzene and the associated heat release had played a significant role in the accident. The MSC Flaminia was sailing from Charleston (USA) to Antwerp (Belgium) when, on the open sea between Canada and the UK, there was a fire and an explosion which killed three crew members and seriously injured two of them. Unloading of the ship could only begin three months after the accident at the Jade-Weser Port in Wilhelmshaven (Germany), after several states had refused entry to their ports.

Polymerization is a chemical reaction in which low-molecular compounds (monomers, oligomers) are converted into high-molecular compounds. The increase in pressure and heat of reaction that result from polymerization can pose a risk during transport.

The dangerous goods list contains around 45 substances mentioned by name which can polymerize and which therefore have to be stabilised. These substances can have the main hazard of Class 2, 3, 5.1, 6.1 or 8. Examples of such substances are UN 1086 Vinyl chloride, UN 1301 Vinyl acetate, UN 1303 Vinylidene chloride and UN 3073 Vinylpyridines. The word “stabilized” always appears in the proper shipping name of these substances.

“Stabilized” means that the substances have been conditioned so as to exclude uncontrolled polymerization. Examples of stabilization include the addition of an inhibitor (a chemical substance which prevents polymerization), degassing of the substance to remove dissolved oxygen and to make the empty space in the package inert, or carriage under temperature control.

For polymerizing substances that do not come within the definition of another Class, four new UN numbers were included. For these substances, the risk that has to be taken into account is limited to the risk of excess pressure and the associated loss of stabilization, together with the generation of heat. The uncontrolled generation of heat and build up of pressure can lead to fire and explosion or, in very serious cases, to destruction of the container. An increase in temperature caused by solar radiation or storage near sources of heat can lead to degradation of the inhibitor and encourage such reactions. In order to control this risk, it is important to ensure that the means of containment is sufficiently ventilated in order to avoid excess pressure if there is a loss of stabilization. Precautionary measures also have to be taken to ensure that the effects of heat sources are avoided.

Fuels in machinery or apparatus
In addition to vehicles and fuel cell vehicles powered by flammable gas or flammable liquid, similarly powered internal combustion engines or fuel cell engines also come under UN number 3166. In land transport, this UN number has not so far been subject to the provisions.

There is also UN number 3363, which covers dangerous goods in machinery or apparatus and which, in land trans-
port, is also exempt from the provisions.

Special provision 363, which in RID/ADR/ADN is assigned to various fuels, exempts fuels in means of contain-
ment integral to equipment or machinery from the other provisions of RID/ADR/ADN if the fuel containers meet cer-
tain conditions.

The distinction between UN number 3166, UN number 3363 and special provision 363 is not clear, as engines of UN number 3166 can also be sub-
sumed under the description “apparatus/equipment or machinery” and can therefore come under UN number 3363 or special provision 363 as well.

This has now been clarified with the following measures:

Distinguish between vehicles and ma-
achinery and restrict UN number 3166 to vehicles;

- Include three new UN numbers (UN 3528, UN 3529 and UN 3530) for engines or machinery, internal combustion, flammable liquid powered, engines or machinery, internal combustion, flammable gas powered and other engines or machinery, internal combustion;
- Delete the reference to special pro-
vision 363 for UN numbers 1202, 1203, 1223, 1268, 1863 and 3475 and instead assign spe-
cial provision 363 to the new UN numbers 3528, 3529 and 3530;
- Amend the wording of special pro-
vision 363. This new wording also contains explanations concerning the allocation of the various engines and machinery to individual UN numbers;
- Include a new packing instruction P 005 applicable to UN numbers 3528, 3529 and 3530 based on packing in-
struction P 907 that applies to UN number 3363 in the UN Model Regu-
lations.

The Joint Meeting also clarified mat-
ters in relation to UN numbers 3166 and 3171 (Battery-powered vehicle or Battery-powered equipment).

As both these UN numbers are en-
tirely exempt from the regulations, no minimum requirements apply ei-
ther, such as those in 1.1.3.2 (b) and 1.1.3.3 (b) for vehicles carried as a load, for example. It is also unclear as to whether the general exemption of vehicles from the regulations relates to all the dangerous goods contained in these vehicles. This is of particular significance for battery-powered vehi-
ciles of UN number 3171, as it must at least be ensured that any built-in lithium batteries meet the safety re-
quirements of 2.2.9.1.7.

In the end the Joint Meeting accept-
ed a proposal from France aimed at achieving closer harmonisation with the UN Model Regulations with re-
gard to UN numbers 3166 and 3171. This means that the basic exemption should be maintained, provided the minimum requirements of the newly assigned special provisions are met.

Overpacks
Up to now, 5.1.2.1, which deals with the marking of overpacks with the word “overpack” and with the UN numbers and danger labels of the dangerous goods contained in the overpack, has been worded diffe-
rently in the various mode-specific regulations. It is not clear whether an overpack has to be completely marked when only some, but not all UN numbers and danger labels are visible. There is also uncertainty as to whether the approval markings on packagings must also be visible through the overpack.

As the Joint Meeting was of the view that the new wording adopted by the UN Committee of Experts did not make the existing rules more strin-
gent and hence, in particular, infor-
mation on the proper shipping name and other markings not currently re-
quired on the overpack should not be prescribed, this new text was slightly ame-

New marking and danger label for packages containing lithium batteries
Class 9 includes miscellaneous dan-
gerous substances and articles for which only one danger label is used for the marking. In relation to lithium batteries, which present both electrical and chemical (flammable electrolyte) hazards, the Internation-
al Civil Aviation Organization (ICAO) in particular had raised the question of whether one danger label is suffi-
cient to communicate the hazards of the many substances and articles of Class 9.

A new uniform package marking for lithium batteries will be included in RID/ADR/ADN 2017. This will replace the marking according to special pro-
vision 188. In addition, no accompa-
nying document will in future be re-
quired for lithium batteries.

At the same time the new danger label model “9A” will be introduced. This will only be appli-cable to UN numbers 3090, 3091, 3480 and 3481 and indicates the fire risk of damaged lithium batteries.

A transitional provision allows the continued use of the existing marking and danger label model No. 9 until 31 December 2018.

During the meeting, the Joint Meeting was also informed that in the IMDG Code, the Interna-
tional Maritime Organization (IMO) still prescribes placards conforming to danger label model No. 9 for cargo transport units containing lithium batteries. In order to make intermodal trans-port easier, the Joint Meeting decided similarly, irrespective of the anomalies in the regula-
tions this causes. Another anomaly results from the fact that in the transport document, it is not the danger label model shown in column 5 of Table A that has to be entered, but likewise the Class number “9”.

Introducing the new danger label 9A also means that the instructions in writing will again have to be amend-
ed, but they only have to be replaced by 1 July 2020.

Gas cylinders made of composite ma-
terials
At present, gas cylinders made of composite materials have to be de-
signed for an unlimited lifespan. In the gas industry’s view, this causes
unnecessary and more stringent requirements in terms of the design and hence makes the materials thicker and the cylinders heavier. This would limit the technical and economic advantage compared with conventional cylinders.

The concept of limiting the lifespan that has so far been used in the standards for the design and construction of cylinders made of composite materials will now be carried over into the provisions of RID/ADR/ADN. This concept provides for the following markings for composite cylinders:

- for all composite gas cylinders:
  - the date of manufacture (already prescribed);

- for composite gas cylinders having a maximum design life of 15 years:
  - the design life by marking the word "FINAL", followed by the year and month of final use;

- for composite gas cylinders having a design life of more than 15 years:
  - the design life by marking the word "FINAL", followed by the year and month of final use;
  - the initial service life by marking the word "SERVICE", followed by a date (year and month) 15 years after the date of manufacture. This marking showing the initial service life is concealed as soon as the original design type has undergone the service life test programme, the marking showing the initial service life is no longer necessary;

- for composite gas cylinders with an unlimited design life:
  - the initial service life (see cylinders with a design life of more than 15 years).

Tanks
A working group on tanks was again set up to deal with issues relating to tanks. This group met in parallel to the plenary and was chaired by Mr Arne Bale (United Kingdom).

Transport of phosphorus
At its meeting in spring 2015, the working group on tanks came to the conclusion that three options offered a satisfactory level of safety for the carriage in tanks of UN 1381 phosphorus, white or yellow, under water or in solution and UN 2447 phosphorus, white, molten (see also Bulletin 2/2015):

a) using a 12 cm layer of water,
b) using only a blanket of nitrogen,
c) using a combination of water and a blanket of nitrogen.

The Joint Meeting adopted a proposal for text submitted by Latvia to clarify these three options in the regulations. At the same time, special provision TU 16, which had already been amended at the meeting in March, was adapted to say that for empty, uncleaned tanks, a combination of water and a blanket of nitrogen may also be used to prevent self-ignition of the phosphorus remaining in the tank.

Requirements to be met by MEGCs which consist of non-UN pressure receptacles
RID/ADR/ADN 6.8.3.6 does not refer to any standards for the construction of MEGCs (multiple-element gas containers). ADR 6.8.3.6 lists a standard for the construction of battery-vehicles, but this explicitly excludes MEGCs from its scope. However, this standard is currently being revised, among other things to extend its scope of application to include MEGCs.

In order to be able to build MEGCs in accordance with common standards until this revised standard is referenced, the Joint Meeting also decided to allow the relevant parts of standard EN 13807:2003 for the construction of MEGCs whose elements consist of pressure receptacles. To this end, the whole of ADR 6.8.3.6 will also be reproduced in RID.

Other amendments
Carriage of empty, uncleaned packagings
For the transport of empty, uncleaned packagings and IBCs for reconditioning, remanufacturing, routine maintenance or repair, in addition to the entry “empty packaging” or “empty IBC”, the transport document must indicate the main and subsidiary risks of the last goods loaded. In practice, this provision for the carriage of empty, uncleaned packagings and IBCs to reconditioning, remanufacturing, routine maintenance and repair installations has led to great difficulties, as one load may include several hundred packagings that have contained dangerous goods with different main risks and subsidiary risks. This can mean that up to 50 combinations of main and subsidiary risks are possible in one load, leading to an unnecessarily complex transport document. In Belgium and Germany therefore, there are national derogations allowing a more generalised entry in the transport document.

The Joint Meeting adopted a proposal by Belgium to amend the provisions to allow a list of the classes of the main and subsidiary risks of the various residues, as is already the case for packagings, discarded, empty, uncleaned of UN number 3509.

Electronic processes in the examination of safety advisers
RID/ADR/ADN prescribe that safety advisers must undergo a written test which may be supplemented by an oral examination. The Joint Meeting endorsed a proposal from Germany also to allow the written test in future to be carried out wholly or partly as an electronic test.

To this end, special requirements for such tests were included in 1.8.3.12. In particular, these concern competent authority approval of the hardware and software used, precautions to be taken against equipment and application failure, preventing the possibility of communicating with other devices and excluding the use of aids.

In addition, further requirements
were included in Chapter 1.8 which also apply to conventional tests, such as invigilating tests, excluding cheating and manipulation, authenti-
cating candidates and keeping exam-
ination documents.

Extending the dangerous goods safety adviser training certificate
According to Chapter 1.8, the danger-
ous goods safety adviser’s training 
certificate can be extended for anoth-
er five years.

In the past, training certificates for 
dangerous goods safety advisers 
have often been found on which the 
extension has been forged, so the 
Joint Meeting decided that once its 
five year period of validity has ex-
pired, the training certificate must be 
re-issued.

At the last Joint Meeting, a transition-
al provision was adopted to allow the 
old model of training certificates to 
be used up to 31 December 2018, 
which allows a reasonable period to 
change over to this amendment.

Precautionary measures for polymeric 
beads, expandable
Among other things, expandable poly-
meric beads are used as an industri-
al raw material for the manufacture 
of insulation and may contain pen-
tane or isopentane as the blowing 
agent, which may be released during 
transport and form a flammable at-
mosphere in the container. In order 
to minimise the potential risk during 
loading and unloading, transport and 
storage, safety data sheets for such 
products require the presence of a 
good ventilation system and protec-
tion against heat and any sources 
of ignition. In addition, the means of 
containment must be ventilated for at 
least one hour before unloading.

Based on a proposal from Russia, 
in order to align with SMGS Annex 
2 (the regulations on the carriage of 
dangerous goods in eastern Europe 
and Asia), it was decided to assign 
eexisting special provision CW 36/ 
CV 36 to UN number 2211 and UN 
number 3314 Plastics moulding 
compound. As the IMDG Code pre-
scribes different marking for these 
two substances, it was also decided 
that the marking according to special 
provision CW 36/CV 36 need not be 
affixed if the wagon, vehicle or con-
tainer already bears the marking 
prescribed in special provision 965, 
paragraph 4 of the IMDG Code (“CAU-
TION – MAY CONTAIN FLAMMABLE 
VAPOUR”).

Special provision 643
Special provision 643, which is as-
signed to UN numbers 3257 and 
3258, exempts the carriage of molten 
asphalt from the provisions of Class 
9. As the application of road mark-
ings is very similar to laying molten 
asphalt and as both these processes 
are closely linked, the Netherlands 
requested that special provision 643 
also be extended to cover road mark-
ings.

The Joint Meeting agreed to include 
a new special provision containing 
different requirements for boilers in 
which the thermoplastics used for 
road markings are carried at elevated 
temperatures.

Obliteration of markings
5.3.1.1.5 and 5.3.2.1.8 stipulate that 
placards and orange-coloured plates 
not relating to the dangerous goods 
or residues being carried must be 
removed or covered. The aim of these 
provisions is to avoid superfluous or 
unsuitable emergency measures. 
The Joint Meeting accepted a proposal 
from Switzerland and Austria also to 
include such a provision for wagons 
and transport units carrying dangerous 
goods packed in limited quantities. As 
a result of the rules on exemptions in 
Chapter 3.4, these are not currently 
covered by the above-mentioned pro-
visions.

On the other hand, the Joint Meeting 
rejected a more far-reaching proposal 
from Switzerland to include similar pro-
visions for the markings and danger la-

tabs on packages, as this would have 
caused major problems in the disposal 
of used dangerous goods packagings.

Next session
The next Joint Meeting will meet 
from 14 to 18 March 2016 to re-

solve the remaining issues in con-
nection with the 2017 amendments 
to RID/ADR/ADN and to start work 
on the next round of amendments, 
which are due to enter into force on 
1 January 2019.

Jochen Conrad
REVISION OF THE CUI HAS STARTED – PROBLEM OF THE SCOPE OF APPLICATION

Associating the scope of application of the Uniform Rules concerning the Contract of Use of Infrastructure in International Rail Traffic (CUI UR) with CIV/CIM contracts of carriage is turning out to be problematic and difficult to put into practice. Contracts of use are concluded so that trains can run on infrastructure operated by another legal entity. In the real world of train path contracts, contracts of carriage have no role to play. This is not a new insight. The Secretariat of OTIF has several times been confronted with the following question: is a single CIV passenger in the train sufficient to justify the scope of application of the CUI? This problem cannot be satisfactorily resolved by interpreting the rules; it is essential to revise the scope of application of the CUI UR. Since the end of 2014, a working group set up by the Secretary General has been working on a new solution by considering new criteria for the scope of application. The questions set out below form the the starting point of the discussions and concern both the scope of application and the liability regime of the CUI.

Currently, now that almost all the EU Member States have withdrawn their reservations against the CUI UR, the question again arises as to the interpretation of the provision concerning the scope of application of the CUI UR. Discussions on the interpretation finally led to the conviction that the definition of the scope of application has to be revised.

The current definition of the scope of application of the CUI UR is explained by the origins of the CUI UR when CO-TIF was revised in the 1990s, which concluded with the adoption of the Vilnius Protocol. It is well known that the catalyst for this was the idea launched by the EU at the beginning of the 1990s to separate the operation of railway infrastructure from the provision of rail transport services. The function that was previously carried out by an (integrated) railway was split into two different business areas. However that may be, rail traffic still has to function as a system. During the discussions on the revised Convention, which had to take this state of affairs into account, it was recognised that there are correlations between the two areas, which have to be regulated. A particularly desirable aim that emerged was to create a uniform legal basis for the right of recourse between carriers/rail transport undertakings (RUs) and infrastructure managers (IMs).

Against this background, the view at that time seemed to indicate that it was consistent and appropriate in terms of the system to link the scope of application of the new Appendix dealing with contracts of use of infrastructure to the performance of transport in accordance with CIV and CIM contracts of carriage. Accordingly, the CUI UR are applied to “any contract of use of railway infrastructure for the purposes of international carriage within the meaning of the CIV Uniform Rules and the CIM Uniform Rules” (see Art. 1 CUI).

Since then, the EU has clearly defined the duties under public law that influence train path contracts, which lay down the relationships between infrastructure managers and railway undertakings in a national or international context. However, those aspects relating to civil liability, the scope of application of the CUI, have not been given any such general framework, which would be extremely useful for rail transport.

Primarily therefore, it is a question of the scope of application of the CUI with a view to train path contracts (I) and of the place that a uniform international liability regime should take in the current relationship structure between infrastructure managers and railway undertakings (II).

Scope of application: CUI and train path contracts/international trains

Soon after COTIF 1999 entered into force, the question arose as to the interpretation of this provision which, as a criterion of the scope of application, foresaw the “use of railway infrastructure for the purposes of international carriage within the meaning of the CIV Uniform Rules and the CIM Uniform Rules”.

Shortly after COTIF 1999 entered into force, CIT quite rightly pointed out that a literal interpretation would mean that it is the relationships between the railway undertaking and its customers which determine the law that applies between railway undertakings and infrastructure managers.

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That is why, at the time, the Secretariat of OTIF emphasised that it is the purpose of the use of the railway infrastructure which determines the law that applies to the carrier-infrastructure manager relationship. This means that in terms of the transport of passengers by rail, the deciding factor should be whether the train is available to passengers for international CIV transport. The Secretariat of OTIF acknowledged that use may serve two purposes at the same time, which are difficult to separate from each other, i.e. 1. transport of passengers or goods in international transport and 2. national passenger or goods transport.

Discussions on the scope of application of the CUI UR took place initially in an ad hoc CUI group (EU-OTIF) and subsequently in the Revision Committee. The result of these discussions was that further explanations were incorporated into the Explanatory Report on the revision of COTIF, and in so doing it was also noted which issues (for a later revision) still remained open.

The question of whether it is sufficient if the train carries a single passenger with a CIV ticket or a single load with a CIM consignment note was not dealt with at that time. Other provisions that fall within the Revision Committee’s competence were revised. The actual purpose of this revision was to bring the CUI UR into line with EU law. Article 1 CUI, which can only be amended by a decision of the General Assembly, was not affected by this revision.

This has resulted in the problem linked to the scope of application of the CUI UR,

- that in order to carry out a single contract of carriage, the carrier need not necessarily conclude a contract of use of railway infrastructure. Contracts of use are concluded so that trains can run on infrastructure operated by another legal entity;
- that in using the railway infrastructure, it is difficult to differentiate between using it to perform national transport on the one hand and using it to perform international transport on the other.

A working group set up by the Secretary General of OTIF in accordance with the Revision Committee’s decision at its 25th session (25 – 26.6.2014) is currently working to achieve a solution to the problem with a longer term perspective than was the case in the OTIF-EU working group in 2008. The working group has already met twice on 10 December 2014 and 8 July 2015. The next meeting will be held on 24 November 2015.

In theory, the problem could be resolved if a single contract of use were provided for the purpose of performing both international and national transport. This solution is provided for in the European General Terms and Conditions of Use of Railway Infrastructure (E-GTC-I) negotiated by CIT and RNE. However, it appears at the moment that only a few infrastructure managers and railway undertakings apply these General Terms and Conditions. In practice, contracts of use of infrastructure are concluded at national level, so carriers are very interested in contracts that cover international and national transport, which, in the event of pecuniary loss, ensure not only the right of recourse arising from the CIV UR or CIM UR, but also the right of recourse under national law, insofar as the damage was caused by the infrastructure.

However, an explicit extension to contracts of use for the purpose of carriage in accordance with national law would not be compatible with the system and would go above and beyond the spirit and purpose of COTIF. For this reason, the “international transport” criterion must be maintained, as in the other Appendices to COTIF.

States may extend the application of international regulations to national transport (as is the case in some Member States for the CIM UR and the CMR, for example). The EU in particular could do this for its Member States (as is the case of the CIV UR, which form an Annex to the PRR).

In order to prepare the discussions at the first session of the working group, the Secretariat of OTIF framed the following questions:

- Can the performance of “international carriage within the meaning of the CIV/CIM UR” be maintained as a determining criterion of the scope of application of the CUI?
- Which other criteria could be considered?
- Should the scope of application of the CUI be linked to that of contracts for allocating train paths for international transport?
- If the scope of application were linked to the “use of international train paths”, would it not be much clearer and more practical than the criterion of the performance of “international carriage within the meaning of the CIV/CIM UR”?
- In this case, use of the infrastructure by “international”, i.e. cross-border trains, would be the new and sole criterion. With regard to compensating the carrier for indirect damages, the carrier’s recourse in the event of compensation paid to customers in accordance with national legislation would also be covered, to the extent that it would concern passengers or goods carried in domestic transport in “international” trains.
- Consequently, should/must the scope of application of the CUI be extended to all national networks within the framework of the EU?

**Liability**

Among experts, the view is often repeated that the rules governing liability in the currently applicable version of the CUI UR are not sufficient, because, for example, claims for recourse concerning the compensation of passengers on a legal basis other than the CIV UR (Regulation (EC) No. 1371/2007, national law) are excluded. Such views were expressed at the “Quo vadis CUI?” workshop organised by CIT (Berne, 8.4.2014). In addition, carriers have raised the question of whether the concept of
The question of the recourse of a carrier against the infrastructure manager when the carrier has paid compensation in accordance with CIV or CIM already existed when the CUI were first being developed. Once it had been ensured by Article 51 CIV and Article 40 CIM that there was no disadvantage for rail transport customers as a result of the separation of rail transport services and operation of the railway infrastructure, and that customers could still turn to their contracting partner, it had to be ensured that carriers could be indemnified when they were held liable for an operational area that was outside their sphere of influence. Damage caused by the infrastructure, for which the carrier bears liability in terms of its customers, becomes indirect damage in the relationship between the carrier and the infrastructure manager.

In addition to indirect damage, the liability provisions of CUI are supposed to cover direct damage occurring in railway operations, e.g. as a result of a railway vehicle damaging the infrastructure or being damaged by defective infrastructure.

However, in the case of direct damage, e.g. damage to wagons or infrastructure installations, it is difficult, if not impossible, to establish a link to a CIV or CIM contract of carriage, so that there is no clear answer to the question of the applicability of CUI, and hence the extent of liability. Each individual case might require further clarification. This problem also implies that the scope of application of the CUI should be redefined. In future, direct damage must be covered by the CUI without having to check and prove a link to a specific contract of carriage in each individual case.

It is up to OTIF to close any gaps in the CUI liability rules. In so doing, compatibility with EU law must be maintained. Before the first meeting of the working group was convened, the Secretariat formulated the following questions:

- Can the problem of direct damage be resolved by means of an amended definition of the scope of application of the CUI?
- With regard to indirect damage (right of recourse), should the provisions of CUI be broadened to cover other damage?
- If so, should recourse in the case of compensation paid by the carrier in accordance with legal texts other than the CIV/CIM UR be covered?
- Is it necessary to make Articles 8 § 1 and 9 § 1 parallel? Should a new letter c) in addition to the carrier’s liability for bodily loss or damage (a) and for loss or damage to the infrastructure manager’s property (b) be inserted in order to cover the infrastructure manager’s pecuniary loss (indirect damage) as well?

More generally, there is the question of the need at EU level for a uniform international liability regime based on train path contracts.

The working group has provisionally affirmed the question of the need to disassociate the scope of application of the CUI UR from CIV and CIM contracts of carriage and has considered new criteria for the scope of application. As the discussions have not yet been concluded, it would be premature to assess the results. All the working documents are published on OTIF’s website, together with the reports of both meetings.


Eva Hammerschmiedová
## CALENDAR OF OTIF’S MEETINGS IN 2016

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## EVENTS WITH OTIF PARTICIPATION IN 2015

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<td>RID experts group</td>
<td>UIC</td>
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<td>16 March</td>
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<td>CIT</td>
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<td>17 March</td>
<td>CIM Committee</td>
<td>CIT</td>
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The Bulletin editor