



Safe operation of trains in international traffic






principles for a draft new Appendix H to COTIF

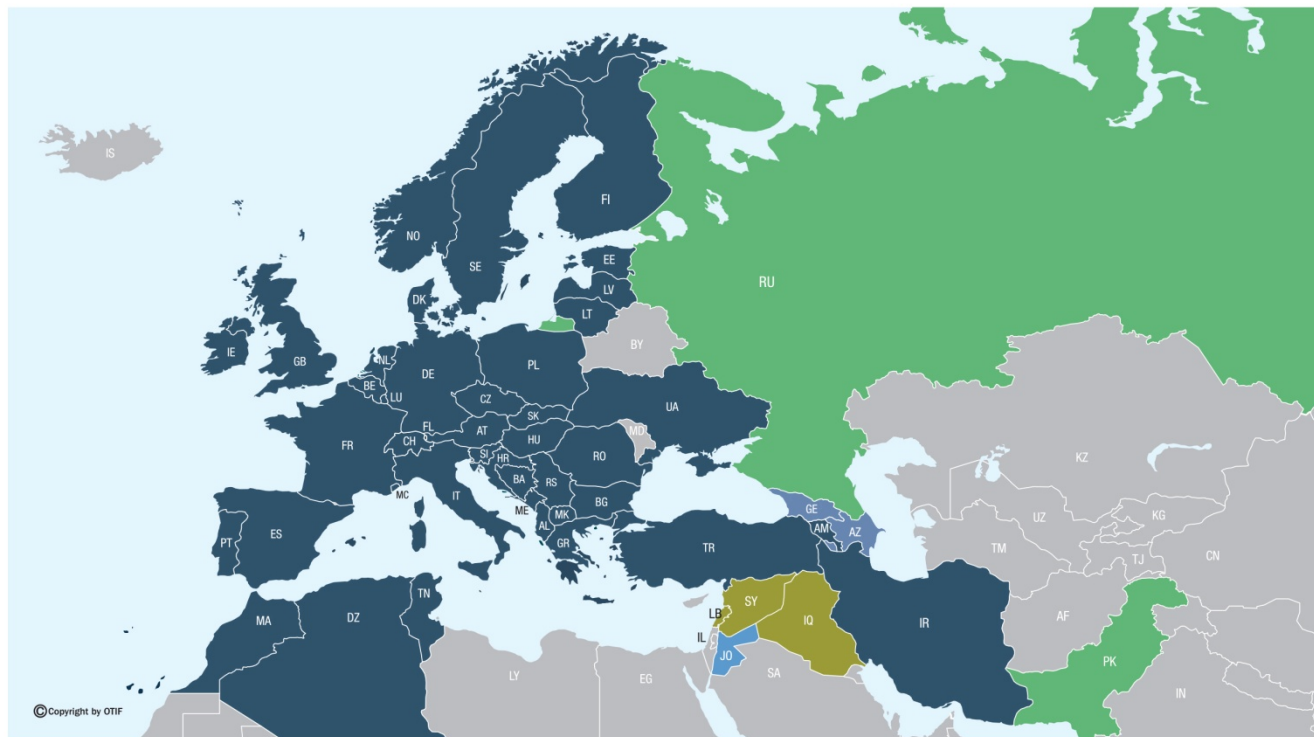
F. Davenne / B. Leermakers
OECD – 23 of March 2017

État au 15 août 2016
Stand 15. August 2016
Situation on 15th August 2016



Champ d'application géographique de la COTIF et ses appendices Geografischer Anwendungsbereich des COTIF und dessen Anhänge Geographical scope of COTIF and its appendices

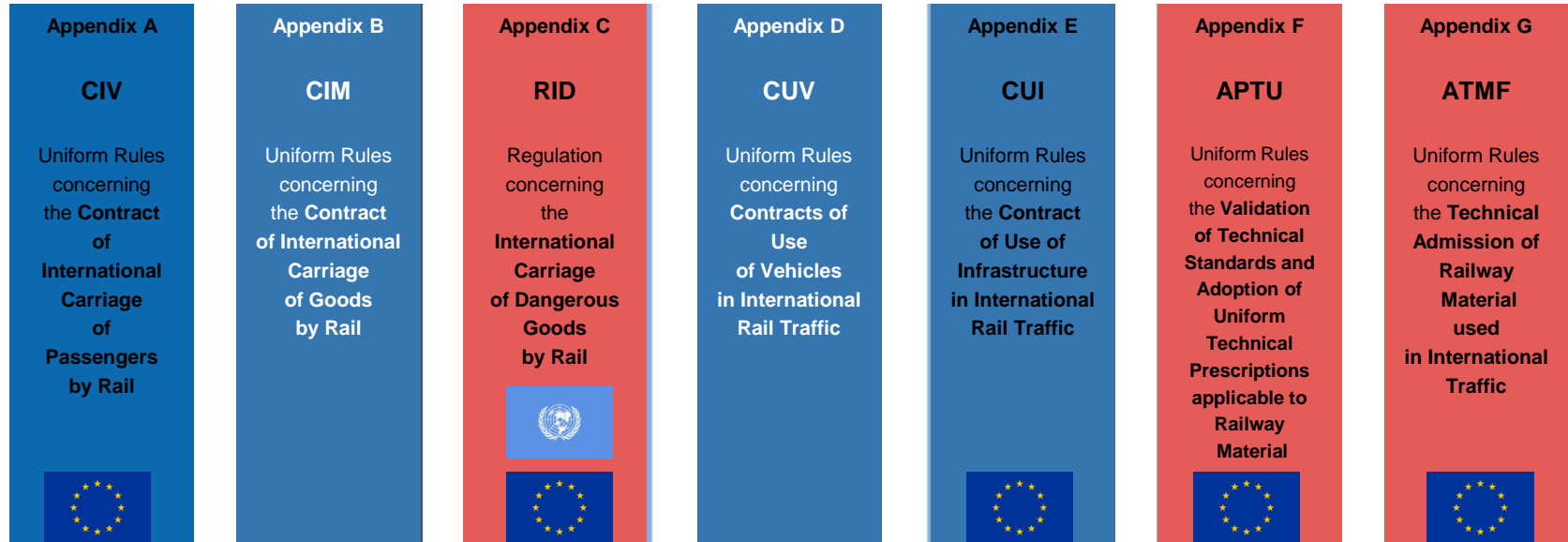
-  Tous les appendices de la COTIF (42)*
Alle Anhänge des COTIF (42)*
All COTIF appendices (42)*
 -  Sans CUV/CUI/APTU/ATMF (2)
Ohne CUV/CUI/APTU/ATMF (2)
Without CUV/CUI/APTU/ATMF (2)
 -  Membres associés (1)
Assoziierte Mitglieder (1)
Associate Members (1)
 -  Sans CIV/RID/UV/CUI/APTU/ATMF (2)
Ohne CIV/RID/UV/CUI/APTU/ATMF (2)
Without CIV/RID/UV/CUI/APTU/ATMF (2)
 -  Suspension de la qualité de membre (3)
Ruhen der Mitgliedschaft (3)
Membership suspended (3)
- *GB:
Ohne CUI
Without CUI



COTIF : Convention concerning International Carriage by Rail

INTEROPÉRABILITÉ JURIDIQUE

INTEROPÉRABILITÉ TECHNIQUE



EU and OTIF regulations: complementary regulations

EU



OTIF



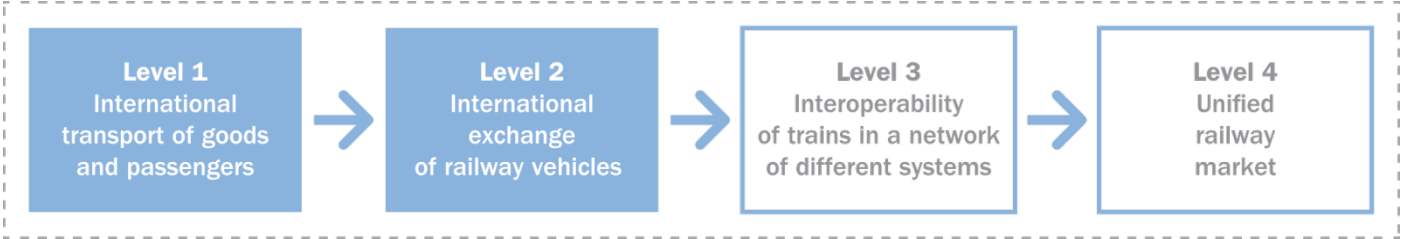
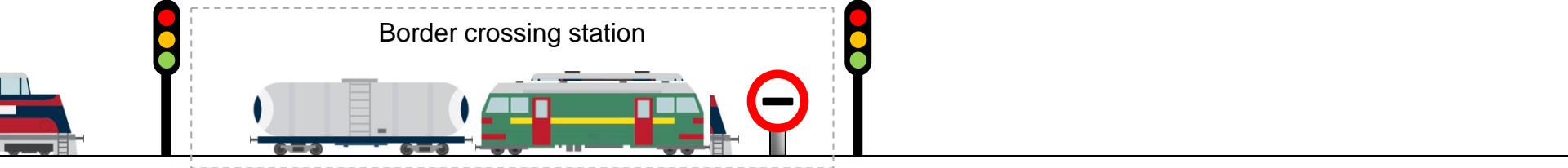
Objectives	Improve efficiency and market share of rail	Promote, improve and facilitate international traffic
Scope of regulation	Domestic and international traffic in EU	International traffic between OTIF Member States
Market model	EU Member States are required to open their rail markets to competition	OTIF does not have requirements imposing a particular market model
Scope of application	Interoperability and safety Organisation of railways Competition regulation Passengers' rights Dangerous goods regulation	Interchangeable vehicles Uniform contract law: <ul style="list-style-type: none">• passengers/freight• use of vehicles• use of infrastructure Dangerous goods regulation

Exchange of vehicles

The classical model for international rail transport

Requires, e.g.:

- Wagons and passenger coaches approved for international operation
- Harmonised vehicle interfaces
- Clear responsibilities concerning vehicle maintenance
- Multiple railway undertakings to bring vehicle to its destination

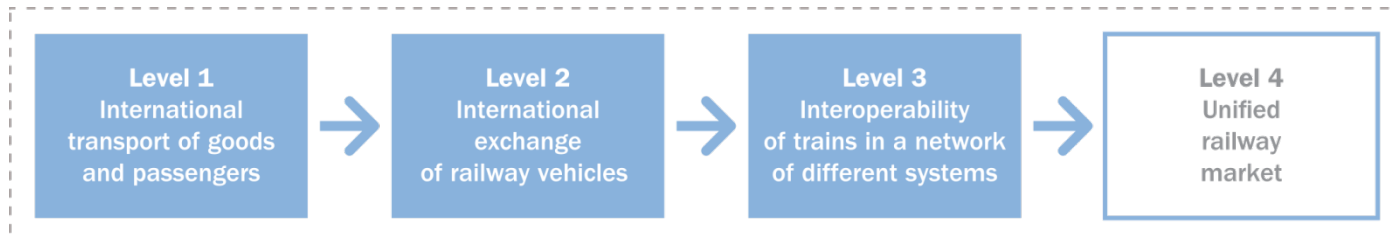


Technical interoperability

Running complete trains safely across borders from departure to destination

Requires, e.g.:

- Rolling Stock approved for international operation
- Railway undertakings certified to operate in multiple States
- Infrastructure managers capable of working with different RUs
- Clearly define responsibilities at interfaces between RUs and IM
- Separation between State Authorities and national railway operator



Interoperability in COTIF

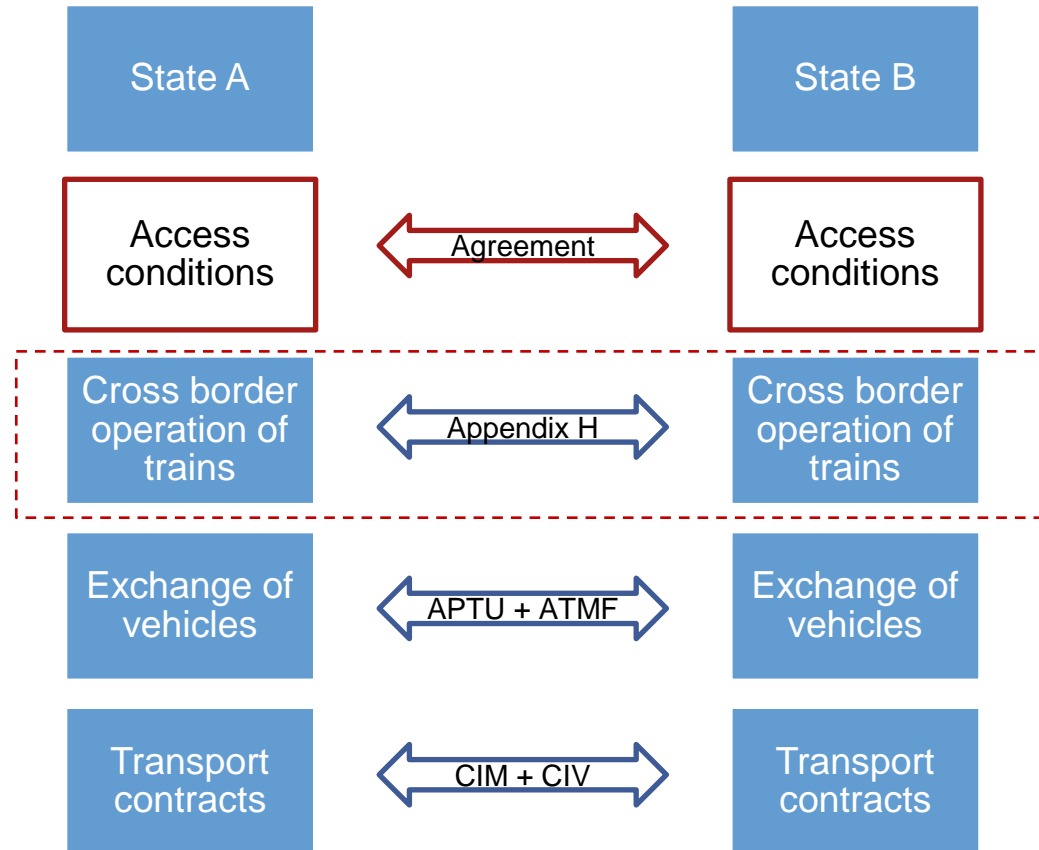
The objectives

1. Increasing efficiency of international railway transport by avoiding reconfiguration of trains at borders.
2. Without assumption of a market model; interoperability possible on a competitive or cooperative basis.
3. Infrastructure management and railway undertaking can be functions within one integrated organisation, or fully separate entities.
4. Compatible with railway systems in different States and regions, e.g. the European Union / the Gulf Cooperation Council / Silk road

Draft new Appendix H to COTIF concerning the safe operation of trains in international traffic

Scope

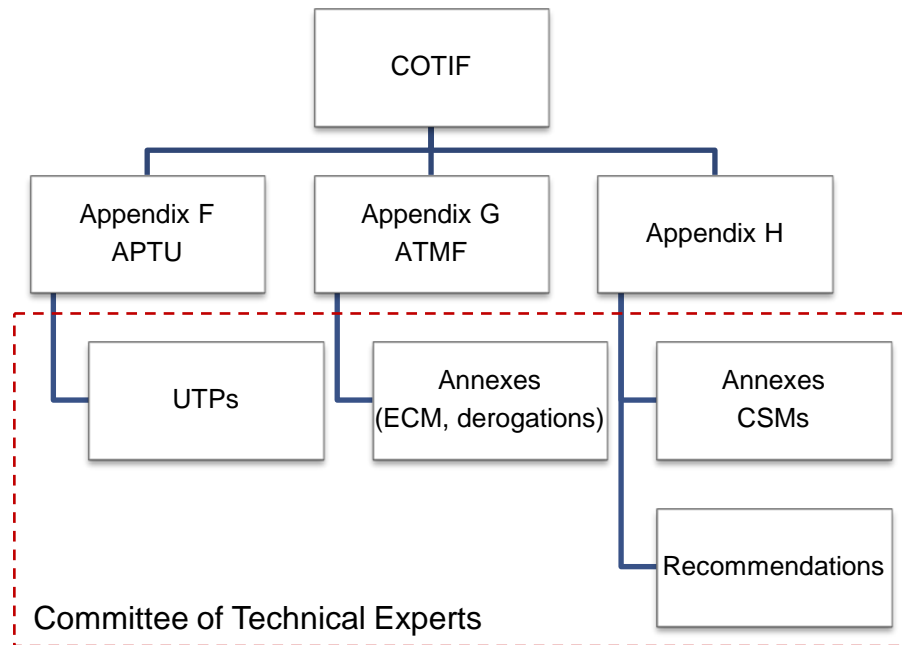
1. The new Appendix H sets out principles concerning the safe operation of trains
2. The new Appendix does not regulate access rights for RUs to a network
3. Granting right of access to a network is subject to rules applicable in each State
4. States may declare not to apply the new Appendix H, e.g. States which do not want foreign RUs operating on their network



Draft new Appendix H to COTIF concerning the safe operation of trains in international traffic

Structure within COTIF

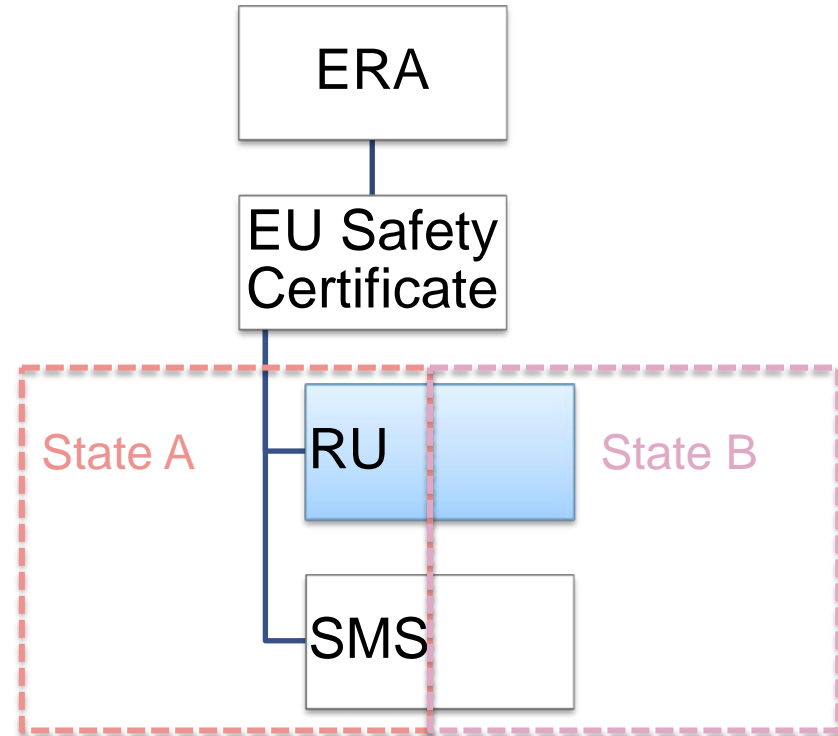
1. The new Appendix H sets out principles concerning the safe operation of trains
2. Appendix H is intended to be applied by States which apply APTU and ATMF as these set the provisions for rolling stock to cross the border
3. Detailed provisions should be developed as Annexes to the new Appendix
4. The Committee of Technical Experts would be competent to adopt Annexes or to recommend methods and practices



EU 4th railway package basic principles concerning the safe operation of trains in international traffic

Safety Certification (from 2019):

1. Certificates are issued to RUs on an European basis by the EU Agency for railways (ERA). ERA cooperates with the National Safety Authorities to take into account national provisions.
2. RUs are responsible for the safe operation of trains and checking the compatibility between trains and routes (based on registers).
3. NSAs supervise the RUs
4. ERA monitors the performance of NSAs

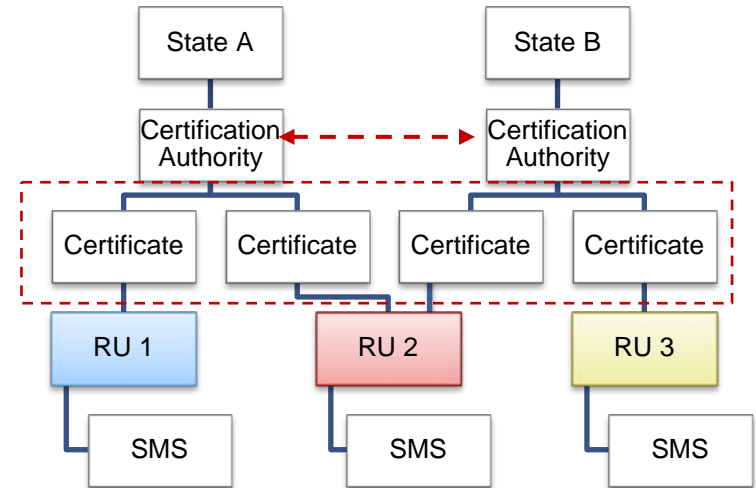


Draft new Appendix H to COTIF concerning the safe operation of trains in international traffic

Basic principles

Safety Certification:

1. Certificates are issued to RUs on a state-by-state basis by the Certification Authority competent for each State.
2. States may agree to mutually recognise safety certificates or parts thereof (such as is already the case in the EU)
3. Conditions for mutual recognition should be defined

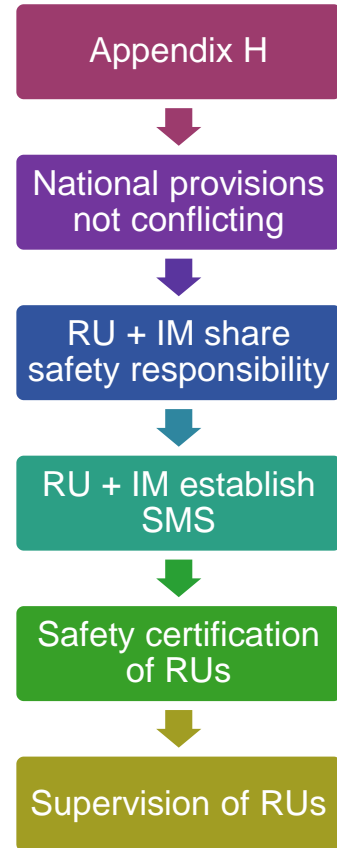


Draft new Appendix H to COTIF concerning the safe operation of trains in international traffic

Basic principles

States to ensure:

1. Trains are operated in international traffic in accordance with the new Appendix
2. National binding operational and safety rules are published (and must not conflict with COTIF rules, otherwise it would conflict with principle 1.)
3. RU and IM are responsible for safety and each must establish their SMS (even when part of one integrated railway organisation)
4. A Certification Authority is established
5. A Supervision Authority is established
6. These authorities must be independent from any RU or IM and can be national or international





Organisation intergouvernementale pour les transports internationaux ferroviaires
Zwischenstaatliche Organisation für den internationalen Eisenbahnverkehr
Intergovernmental Organisation for International Carriage by Rail

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