



Procedure file

Basic information	
COD - Ordinary legislative procedure (ex-codecision procedure) Directive	2006/0273(COD) Procedure completed
Rail transport: interoperability of the Community rail system. Recast	
Repealing Directive 96/48/EC 1994/0112(SYN) Repealing Directive 2001/16/EC 1999/0252(COD) Repealed by 2013/0015(COD) Repealed by 2013/0016(COD)	
Subject 3.20.02 Rail transport: passengers and freight 3.20.11 Trans-European transport networks	

Key players			
European Parliament	Committee responsible	Rapporteur	Appointed
	TRAN Transport and Tourism	ALDE ORTUONDO LARREA Josu	23/01/2007
Council of the European Union	Committee for opinion	Rapporteur for opinion	Appointed
	ITRE Industry, Research and Energy	The committee decided not to give an opinion.	
European Commission	Council configuration	Meeting	Date
	Economic and Financial Affairs ECOFIN	2866	14/05/2008
	Transport, Telecommunications and Energy	2821	01/10/2007
	Transport, Telecommunications and Energy	2805	06/06/2007
	Commission DG Energy and Transport	Commissioner BARROT Jacques	

Key events			
17/01/2007	Committee referral announced in Parliament, 1st reading		
06/06/2007	Debate in Council	2805	
11/09/2007	Vote in committee, 1st reading		Summary
25/09/2007	Committee report tabled for plenary, 1st reading	A6-0345/2007	
01/10/2007	Debate in Council	2821	Summary
28/11/2007	Debate in Parliament		
11/12/2007	Results of vote in Parliament		
11/12/2007	Decision by Parliament, 1st reading	T6-0597/2007	Summary
14/05/2008	Act adopted by Council after Parliament's 1st reading		

17/06/2008	Final act signed		
17/06/2008	End of procedure in Parliament		
18/07/2008	Final act published in Official Journal		

Technical information

Procedure reference	2006/0273(COD)
Procedure type	COD - Ordinary legislative procedure (ex-codecision procedure)
Procedure subtype	Recast
Legislative instrument	Directive
	Repealing Directive 96/48/EC 1994/0112(SYN) Repealing Directive 2001/16/EC 1999/0252(COD) Repealed by 2013/0015(COD) Repealed by 2013/0016(COD)
Legal basis	EC Treaty (after Amsterdam) EC 156; EC Treaty (after Amsterdam) EC 071
Stage reached in procedure	Procedure completed
Committee dossier	TRAN/6/44060

Documentation gateway

Legislative proposal	COM(2006)0783	13/12/2006	EC	Summary
Document attached to the procedure	SEC(2006)1641	13/12/2006	EC	
Document attached to the procedure	SEC(2006)1642	13/12/2006	EC	
Committee draft report	PE388.558	02/07/2007	EP	
Economic and Social Committee: opinion, report	CES0987/2007	11/07/2007	ESC	
Amendments tabled in committee	PE390.640	24/07/2007	EP	
Committee report tabled for plenary, 1st reading/single reading	A6-0345/2007	25/09/2007	EP	
Text adopted by Parliament, 1st reading/single reading	T6-0597/2007	11/12/2007	EP	Summary
Commission response to text adopted in plenary	SP(2008)0411	23/01/2008	EC	
Draft final act	03701/2007/LEX	17/06/2008	CSL	
Follow-up document	SEC(2009)1157	08/09/2009	EC	
Follow-up document	COM(2009)0464	08/09/2009	EC	Summary
Follow-up document	COM(2013)0032	30/01/2013	EC	Summary

Additional information

National parliaments	IPEX
European Commission	EUR-Lex

Final act

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Rail transport: interoperability of the Community rail system. Recast

PURPOSE: to merge the interoperability Directives on high-speed and conventional rail systems.

PROPOSED ACT: Directive of the European Parliament and of the Council.

BACKGROUND: national procedures for the approval of locomotives are currently regarded as one of the biggest barriers to the creation of new railway companies in the freight sector and a major obstacle to the interoperability of the European railway system. Since no Member State can decide on its own that the authorisation for placing in service which it issues will be valid on the territory of other Member States, a Community initiative is needed to harmonise national procedures, simplify them and apply more systematically the principle of mutual recognition. Furthermore, with a view to simplifying and modernising the present legal framework, the consolidation and merging of the interoperability directives is proposed.

CONTENT: this proposal concerns amendments to i) Directive 96/48/EC and 1882/2003/EC on the interoperability of the trans-European high speed rail systems ii) Directive 2001/16/EC on the interoperability of the trans-European conventional rail systems and iii) Directive 2004/50/EC, which amends both of the aforementioned Directives. In particular, it aims to merge the two interoperability Directives on high speed and conventional rail systems is being presented alongside two other initiatives, namely a proposal to amend the Railway Safety Directive ([COD/2006/0272](#)) and a proposal to extend the mission of the European Railway Agency ([COD/2006/0274](#)). The Commission is proposing amendments to all of these acts for three reasons: firstly, to simplify and streamline legislation for the sake of clarity; secondly, to facilitate the free movement of trains across the EU; and thirdly, to propose several technical improvements.

This initiative is part of a set of proposals aimed at resolving the problem of rolling stock for which placing in service has been authorised in one Member State but which is not automatically accepted in another Member State. To this end, it is proposed to simplify the procedure for placing in service. For wagons and passenger carriages placed in service after this Directive has entered into force, a single authorisation for placing in service issued by one Member State of the Community should suffice. In the case of rolling stock placed in service before this Directive enters into force and not bearing an "EC" declaration of verification, it should be made clear that the Railway Safety Directive applies. In the case of rolling stock bearing an "EC" declaration of verification as provided for in Article 18, the only criteria which a safety authority may check with a view to issuing an authorisation for placing in service should be comprehensively identified. In the case of vehicle series produced from a type, Member States should be allowed to issue batch authorisations for placing in service. Furthermore, it makes it possible to reduce the administrative costs associated with the

activities of the national safety authorities.

Other changes are being proposed. They relate to:

The geographical scope of the new Directive and its extension:

- When the proposed new single Directive comes into force it will cover both high speed and conventional rail networks across Europe. The proposed scope will, therefore, need to be progressively extended to cover the entire network and all rolling stock. Any new TSI's will be dependent on an Agency Impact Assessment.

Definitions:

- A number of new definitions are proposed including: contracting entity; keeper and project at an advanced stage of development.

Derogations:

- Amendments are being proposed which allow the Commission to verify whether a derogation, based on the notion of 'at an advanced stage of development?', are indeed justified.

Transition periods:

- The Commission is proposing a transition period for a number of interoperability constituents that are already being applied when a new TSI comes into force.

Technical annexes of TSIs:

- An amendment is being proposed whereby the Agency will be able to publish technical annexes in the case of rapid technological advances. This is being proposed in a bid to shorten the time of TSI adoptions particularly in the case of rapid changes, such as control, command and signalling subsystems.

Operation and maintenance requirements:

- Allowing Member States to check that operators are in compliance with provisions set out in the Railway Safety Directive.

Procedure for placing rolling stock in service (Article 14):

- A proposed simplification of the procedure for placing rolling stock into service. (See also COD/2006/0272 and 0274).

Urgent amendments of a TSI:

- This is being proposed in a bid to speed up approval for urgent changes to TSIs, which is currently a cumbersome and lengthy procedure. The Commission proposes that in future the Agency should request a 'Technical Opinion' and that the Commission should decide whether or not a Technical Opinion can be used pending review of the TSI.

Certificate for intermediate verification:

- This proposed amendment would make it possible to acknowledge the procedure for verifying a subsystem.

Infrastructure and rolling stock registers:

- The Commission is proposing a clarification of the scope of the various registers including their scope; their contents; how they interconnect and how they are used by the various players such as national safety authorities; infrastructure managers; railway companies; keeper; manufacturers etc.

Rail transport: interoperability of the Community rail system. Recast

The Committee on Transport and Tourism adopted - at 1st reading of the codecision procedure - the report drawn up by Josu ORTUONDO LARREA (ALDE, ES) amending the proposal for a directive of the European Parliament and of the Council on the interoperability of the Community rail system.

In general, the report welcomes the new initiative of the Commission. The proposed amendments to the revision of the existing regulatory framework on interoperability aim to boost the free movement of trains and to reduce the administrative and technical burdens for the approval of locomotives and rolling stock, whilst a high level of safety is to be ensured. In particular, the proposed amendments are subscribed towards the simplification of the regulatory environment regarding the approval procedures to be applied for locomotives and traction units.

More specifically, the main amendments adopted by the committee are as follows:

Scope: thereport specifies that this Directive sets out to establish the essential conditions to be met in order to achieve interoperability within the Community territory of the rail system in a manner compatible with the provisions of Directive 2004/49/EC on safety on the Community's railways. In this regard, the transfer of the Article 14 of the European Safety Directive and its relevant provisions ?classification of the national rules? and ?reference document? in this proposed Directive was considered necessary for the coherence of the new legislative text.

According to the MEPs, the proposed Directive should contribute to the development of the entire rail network within the European Union and with third countries. The Members propose to define the concept of ?railway vehicle? which is basic to the text. It shall mean a railway vehicle able to move on its own wheels on railway lines, by its own traction or otherwise, including locomotives, trainsets (multiple units), passenger coaches, wagons and other moving devices used for the construction and maintenance of rail line infrastructures. A vehicle consists of one or more structural or functional subsystems or parts of such subsystems.

Technical Specifications of Interoperability (TSI): an amendment states that subsystems shall comply with the TSIs in force at the time of their entry into service, upgrading or renewal; such compliance shall be permanently maintained while each subsystem is in use. An updated TSI shall be compatible with the previous version; should this not be possible, the new TSI shall indicate the transitional process to be applied to the subsystems put into operation under the rules of the previous version of the TSI. Lastly, the TSIs must be published in all the official languages of the EU.

According to the report, a Member States need not apply one or more TSIs, including those relating to rolling stock for a proposed new line or for the proposed renewal or upgrading of an existing line in the territory of that Member State when its rail network is separated or isolated as a result of special geographical conditions (and not only isolated from the sea) from the rail network of the rest of the Community. All Member States shall be informed of the results of the analyses and of the acceptance or rejection of the request for exemption.

In cases provided by the Directive, all Member States shall, during the first year that each TSI is in force, send the Commission a list of the projects within its territory that are in an advanced state of development. Where necessary, it shall draw up a recommendation concerning the specifications to be applied. In the absence of such a decision the request shall be deemed to have been accepted.

Interoperability constituents: MEPs adopted an amendment stipulating that spare parts for any interoperability constituent belonging to a series or type whose use has already been authorised may be installed in existing subsystems without having to undergo a new evaluation or certification procedure.

Chapter IV (Sub-systems): the report introduces a new division in Chapter IV: part ?A? refers to subsystems and part B to the placing in service of railway vehicles:

a) sub-systems: according to the report, the Commission should be able to consult the Agency on matters concerning the conformity or suitability of interoperability constituents. Each Member State shall check when they put into service any subsystem, that the TSI rules devised to ensure that these subsystems are operated and maintained in accordance with the essential requirements concerning them, are complied with. To that end, the assessment and verification procedures laid down in the respective structural and functional TSIs shall be used before any authorisation is granted for placing them in service.

The renewal or upgrading of any subsystem shall be provided for in the corresponding TSI, which shall indicate the conditions and circumstances that may necessitate a new evaluation or authorisation.

The Member State shall examine this file and decide whether the size of the works means that a new authorisation for placing in service within the meaning of this Directive is needed. This decision shall be taken within three months of the date of submission of the file by the applicant.

According the report, Member States shall consider as being interoperable and meeting the essential requirements concerning them, those structural subsystems authorised to be placed in service in any other Member State, except as regards their compatibility with infrastructure characteristics specific to the Member State concerned. Similarly, Member States shall consider as being interoperable and meeting the essential requirements concerning them, those structural subsystems constituting the rail system which are covered by the 'EC' declaration of verification. Member States should also check the compatibility of subsystems with the existing system into which they are integrated if that system is not consistent with the corresponding TSIs. Member States shall send the Commission, for each subsystem, a list of the rules in use for implementing the essential requirements. In addition, in the framework of the certification of sub-systems, it is necessary to pay particular attention to ergonometry, safety and health protection.

b) authorisation for placing in service of vehicles: a vehicle shall be authorised to be placed in service in each Member State , unless otherwise stated. A contracting entity that intends to place in service a railway vehicle in a Member State shall submit a request to the competent national safety authority. An authorisation granted by one Member State shall be recognised in all the other Member States. The committee also introduced new articles concerning the placing in service of TSI conform vehicles, additional authorisations for placing in service of TSI conform vehicles, initial authorisation for placing in service of non-TSI conform vehicles, additional authorisations for placing in service of non-TSI conform vehicles, authorisation for types of vehicle and classification of national rules.

Notified bodies: if it is to take a decision, it is essential that the Commission should be able to consult and seek the opinion of the Agency on matters relating to the officially approved status of notified bodies.

Vehicle numbering system: a new article stipulates that any vehicle placed in service on the Community's railway system shall be assigned a European Vehicle Number (EVN) at the time of being granted the initial authorisation for placing in service. The applicant for initial authorisation shall be responsible for marking the vehicle in question with the EVN assigned to it.

National vehicle register: each Member State shall keep a register of authorised railway vehicles on its territory. The register shall be kept and updated by a body independent of any railway undertaking and shall be accessible to the safety authorities and investigating bodies.

European Register of Authorised Types: the Agency shall establish and keep a European register of the vehicle types authorised by the Member States for placing in service on the European Community's rail system. That register shall be public and accessible to everyone electronically. The Agency shall make a compilation at European level of the national registers of infrastructure and rolling stock. This compilation shall be published on its website or in another appropriate form.

Role of the European Railway Agency: before 1 January 2015, the Agency shall be entrusted with the task of granting authorisations for vehicles that conform with the TSI and which are to be placed in service on the Community rail system. This transfer of competences shall be done with the cooperation of Member State national authorities. Member States may promote the retrofitting of rolling stock already placed in service and railway infrastructure that meet the requirements of interoperability.

Reports: every 2 years the Commission shall report to the European Parliament and the Council on the progress made towards achieving interoperability of the rail system and on the impact of relative measures or actions adopted in Member States. Every 2 years Member States shall communicate to the Agency and the Commission a report on the progress made towards achieving interoperability, including quantitative and qualitative aspects of its implementation. The report shall also include an analysis of the possible extension of the Agency's tasks, with the aim of further simplifying and centralising the procedures relating to the authorisation of vehicles that conform with the TSI. This review process shall be carried out in cooperation with Member States.

Comitology: the report includes amendments necessary to bring the Directive into line with the changes made by Council Decision 2006/512/EC laying down the procedures for the exercise of implementing powers conferred on the Commission (new comitology procedure with scrutiny). These amendments make the necessary adjustments and add transparency.

Annexes: amendments have been made to the annexes in order to specify that rolling stock will also comprise all the stock capable of travelling on all or part of the trans-European high-speed network whose maximum speed is less than 190 km/h (200km/h according to the proposal).

Lastly, a new annex has been introduced concerning the parameters of brake equipment must guarantee the maximum authorised speed and stopping in the given brake distance in an emergency.

Rail transport: interoperability of the Community rail system. Recast

The Council reached a general approach on a draft directive on the interoperability of the Community rail system. This directive is part of a set of proposals adopted by the Commission in December 2006 which aim at improving cross-acceptance of railway vehicles in the Community.

The Council bodies introduced two important changes compared to the Commission's proposal:

- 1) all the provisions of the Safety Directive on authorisation of vehicles that are already in use are transferred to the interoperability directive. As a result, the directive applies to all existing rolling stock. At its June 2007 session, the Council already supported the concentration of all provisions on authorisation of vehicles in a single legislative act;
- 2) the principle that, once a Member State has authorised a type of vehicle, all vehicles of the same type will automatically be authorised to be put in service in that Member State, is incorporated in the directive. In addition, in order to facilitate the identification of vehicle types that have already been authorised in Member States, the Council proposes to establish a European register of authorised types of rolling stock. This register is to be set up and kept by the European Railway Agency.

The European Parliament's first-reading opinion is scheduled for adoption in November 2007.

Rail transport: interoperability of the Community rail system. Recast

The European Parliament adopted a legislative resolution on the proposal for a on the interoperability of the Community rail system. Based on the report drafted by Josu ORTUONDO LARREA (ALDE, ES), it approved the Commission's proposal, subject to several amendments. The text adopted in plenary was the result of an agreement negotiated with the Council.

The main elements of the compromise were as follows:

Objective and scope: all the provisions of Directive 2004/49/EC (the Safety Directive on authorisation of vehicles) that are already in use are transferred to the Interoperability Directive. As a result, the directive applies to all existing rolling stock.

Member States may exclude from the measures they adopt in implementation of the Directive: (a) metros, trams and other light rail systems;(b) networks that are functionally separate from the rest of the railway system and intended only for the operation of local, urban or suburban passenger services, as well as railway undertakings operating solely on these networks; (c) privately owned railway infrastructure and vehicles exclusively used on such infrastructure that exist solely for use by the owner for its own freight operations; (d) infrastructure and vehicles reserved for a strictly local, historical or touristic use.

Vehicles: Parliament introduced a new definition of 'vehicle' which means a railway vehicle suitable to circulate on its own wheels on railway lines, with or without traction. A vehicle is composed of one or more structural and functional subsystems or parts of such subsystems.

Technical specifications for interoperability (TSIs): when developing new TSIs the aim should always be to ensure compatibility with the

existing authorised system. The text states that if certain technical aspects corresponding to the essential requirements cannot be explicitly covered in a TSI, they are identified in an Annex to the TSI as "open points". When a TSI conform vehicle has already been authorised in one Member State, additional authorisations should only consider those open points that relate to the technical compatibility between the vehicle and the network. The list of parameters to be checked in conjunction with the placing in service of non TSI conform vehicles is a key element in order to achieve interoperability of railway systems, in particular with regard to existing vehicles. This list takes into account experience across a limited number of networks. Therefore, the European Railway Agency will review the parameters in Annex VIa and make the recommendations it considers appropriate to the Commission. Moreover, TSI will be revised at regular intervals. However, when critical errors are discovered, an ad hoc rapid procedure will be set up in such a way that a provisional corrigendum is first agreed in the context of the Committee and then published by ERA. This will allow an earlier use of this corrigendum by all stakeholders, pending a formal revision of the TSI by the Commission.

Authorisation procedure: the draft directive establishes an authorisation procedure for placing in service which will apply to existing or new rolling stock, whether these conform to the TSIs or not. Members aimed to simplify and clarify the procedures for authorising vehicles, based on the following four principles:

- (1) the general principle that one authorisation is sufficient for the whole Community rail network;
- (2) the procedure for authorising vehicles which are TSI conform should be simpler and quicker than in the case of non TSI conform;
- (3) the principle of mutual recognition should be applied as far as possible: when a vehicle has already been placed in service in one Member State, other Member States should not invoke national rules for imposing unnecessary requirements and redundant verifications, unless these are strictly necessary for verifying technical compatibility of the vehicle with the relevant network. To this end national rules should be classified and compared according to a check-list in order to determine to which extent national rules can be declared as equivalent in terms of requirements, performances and safety;
- (4) the principle of legal certainty of the outcome of the procedure will be pursued. To this end in the absence of a decision of a national safety authority in the prescribed time limits an applicant should be authorised to place in service a vehicle. Such an authorisation would only be possible if the vehicle has already been authorised in another Member State. In addition the use of such a vehicle would only be possible by a railway undertaking or by an infrastructure manager duly certified according to the railway safety directive, and under their full responsibility.

Furthermore, with a view to facilitating the placing in service of vehicles and reducing the administrative burden, a procedure for authorisation of vehicle types is added.

Registers of network and vehicles: any vehicle placed in service in the Community rail system shall carry a European vehicle number (EVN) assigned when the first authorisation of placing in service was issued. The compromise text states that each Member State shall keep a National Vehicle Register (NVR) of the rail vehicles authorised in its territory. In addition, the Agency will set up and keep a register of types of rail vehicles authorised by the Member States for placing in service on the European Community's rail network. That register shall be public and accessible to everyone electronically. Each Member State shall ensure that a register of infrastructure is published and updated.

Reports: every three years and for the first time three years after entry into force of the Directive the Commission shall report to the European Parliament and the Council on the progress made towards achieving interoperability of the rail system. The Commission shall publish within 5 years from the entry into force of this Directive, a report including an analysis of the application of chapter V (Vehicles) and of the improvements in the cross-acceptance of railway vehicles in the Community in terms of length and costs of the procedures for the applicants. Where appropriate, the report shall also assess the impact of various options for the further simplifying of procedures relating to the authorisation of vehicles. In this case several options concerning the cooperation between national safety authorities and the Agency shall be analysed.

Rail transport: interoperability of the Community rail system. Recast

PURPOSE: codification and recast of directives relating to the interoperability of high-speed and conventional rail systems.

LEGISLATIVE ACT: Directive 2008/57/EC of the European Parliament and of the Council on the interoperability of the rail system within the Community (Recast).

CONTENT: following agreement in 1st reading with the European Parliament, this directive sets out to establish the conditions to be met to achieve interoperability within the Community rail system in a manner compatible with the provisions of Directive 2004/49/EC. These conditions concern the design, construction, placing in service, upgrading, renewal, operation and maintenance of the parts of this system as well as the professional qualifications and health and safety conditions of the staff who contribute to its operation and maintenance.

In order to lower barriers to the placing in service of railway vehicles, the Directive establishes an authorisation procedure for placing in service which will apply to existing or new rolling stock, whether these conform to the TSIs or not. These procedures are based on the following four principles:

- 1) the general principle that one authorisation is sufficient for the whole Community rail network;
- (2) the procedure for authorising vehicles which are TSI conform should be simpler and quicker than in the case of non TSI conform;
- (3) the principle of mutual recognition should be applied as far as possible: when a vehicle has already been placed in service in one Member State, other Member States should not invoke national rules for imposing unnecessary requirements and redundant verifications, unless these are strictly necessary for verifying technical compatibility of the vehicle with the relevant network. To this end national rules should be classified and compared according to a check-list in order to determine to which extent national rules can be declared as equivalent in terms of requirements, performances and safety;
- (4) the principle of legal certainty of the outcome of the procedure will be pursued. To this end in the absence of a decision of a national safety authority in the prescribed time limits an applicant should be authorised to place in service a vehicle. Such an authorisation would only be possible if the vehicle has already been authorised in another Member State. In addition the use of such a vehicle would only be possible by a railway undertaking or by an infrastructure manager duly certified according to the railway safety directive, and under their full responsibility.

In order to facilitate the identification of vehicle types that have already been authorised in Member States, a register of authorised types of

rolling stock will be set up by the European Railway Agency. This register will be public and accessible to everyone electronically.

Every 3 years and for the first time 19 July 2011, the Commission shall report to the European Parliament and the Council on the progress made towards achieving interoperability of the rail system. The Agency shall develop and regularly update a tool capable of providing, at the request of a Member State or the Commission, a chart of the interoperability level of the rail system.

ENTRY INTO FORCE: 19/07/2008.

TRANSPPOSITION: 19/07/2010.

Rail transport: interoperability of the Community rail system. Recast

This progress report on the implementation of the Railway Safety Directive and of the Railway interoperability Directives describes the stage reached so far in implementing the Railway Safety Directive and in achieving interoperability of the European rail system since the first report adopted by the Commission in November 2006 (see [COM\(2006\)0660](#)). It responds to Article 31 of the [Railway Safety Directive](#), Article 24 of the [high-speed Interoperability Directive](#) and Article 28 of the [conventional rail Interoperability Directive](#).

Moreover, it builds on the findings of the first biennial report on the development of railway safety in the European Community issued by the European Railway Agency in 2008.

To prepare for this report, the European Commission commissioned a study analysing the degree of implementation of rail interoperability and safety legislation and progress in the field, and carried out a public consultation. The results of the consultation are summarised in the annex to this report.

It should be noted that recent amendments to the legal framework for railway safety and interoperability have not been considered in this report as they are still being transposed at national level.

The main findings are as follows:

- Transposition by Member States: all Member States have notified the Commission of their national measures implementing the Railway Safety Directive, except for Luxembourg, against which infringement proceedings are still open. However, in several cases transposition has been delayed and did not meet the legal deadline specified in the Directive (30 April 2006). The next step is to check that all provisions of the Directive have been correctly implemented; this includes conformity checks and detailed analyses to verify, for example, the capacity of the national bodies to perform the tasks required by the Directives. These analyses are still in hand and it is therefore too early to draw final conclusions on this issue. However, some initial results are available on the notification of national safety rules and the setting up of national bodies.
- National safety rules and notification: almost 5000 national safety rules have been notified. On request of the Commission the Agency has examined these notifications and recommended asking for clarification or renotification of national safety rules by most Member States. As for the question of publishing the national safety rules, in 2009 the Agency is expected to propose ways to improve access.
- Setting up of national authorities and bodies: the role of the national safety authorities (NSA) is critical both in maintaining safety and in ensuring that safety is not a barrier to market opening when developing interoperability. Most of the NSAs were established in 2006 and 2007. At the end of 2008 there was only one Member State that had not yet established its NSA. Member States must also set up independent investigation bodies charged with investigating serious railway accidents. By April 2009, only one Member State had not yet set up its national investigation body (NIB). The Agency has established networks to facilitate cooperation and sharing of views and experience by these national bodies.
- Development and implementation of secondary legislation at European level: the Railway Safety Directive provides for a large amount of secondary legislation to be adopted by the Commission and drafted by the Agency based on mandates issued by the Commission. In 2007 the first instrument was adopted: Commission Regulation (EC) No 653/2007 on the use of a common European format for safety certificates and application documents in accordance with Article 10 of Directive 2004/49/EC and on the validity of safety certificates delivered under Directive 2001/14/EC. Common safety methods for risk assessment and to assess achievement of safety targets were respectively adopted on 24 April 2009 and 5 June 2009 while further legislation is in preparation.
- Safety Certification: further information on the status of safety certification, and a proposed strategy for migration towards a single Community safety certificate, will be produced by the Agency in 2010 based on an evaluation of the safety certification procedures in the Member States.
- Safety Reporting: NSAs must publish annual reports giving information on the railway safety situation. The Agency uses these reports to continuously monitor the development of railway safety in the EU. Overall, initial figures confirm that railways are very safe for rail users, with fewer than 100 fatalities annually compared to about 40 000 on EU roads. Furthermore, the development of railway safety in the EU Member States can be regarded as very positive, as the number of passenger fatalities went down from around 400 in 1970 to only 58 in 2006. However, figures show that there is high representation of third parties in fatal railway accidents such as trespassers and level crossing users (together around 1 500 fatalities per year). Suicides constitute another particular feature of rail accidents: these fatalities are not reported as accidents and they are seldom subject to press reports. In 2006 they accounted for about 2 300, i.e. more than 60% of all fatalities.
- Implementation of the Interoperability Directives: all Member States have notified national measures implementing the Interoperability Directives 96/48/EC (High-Speed), Directive 2001/16/EC (Conventional Rail) and Directive 2004/50 (alignment of High-Speed and Conventional Rail Directives and extension of the scope).

Main conclusions: the Commission considers that the progress made thanks to the Community regulatory framework for railway safety and interoperability should encourage further development of the internal rail market, helping the emergence of new businesses, the cutting of entry costs and, ultimately, the competitiveness of rail as compared to other modes of transport. The analyses carried out in this report show mixed results for the time being.

1) As for rail safety, statistics indicate that the railway system in the Community is safe and the organisational changes stemming from the Community framework not only had no negative impact on safety but are expected to raise safety levels in the short and medium terms. From the market perspective, safety requirements still impose significant entry barriers. These relate mainly to the cost and the duration of the

procedures involved at national level, their disparity across Europe and the lack of transparency/predictability. Substantial progress in this field is expected, partly due to the harmonisation of safety certificates for railway undertakings and the introduction of Common Safety Methods, and partly due to the cross-acceptance of national rules when authorising the placing into service of rail vehicles.

The success of these activities will depend on two conditions:

- the full establishment of the newly created bodies, especially national safety authorities (NSAs), operating at similar levels of competence and efficiency. This is necessary to create mutual trust between NSAs. The Commission will therefore continue to check that Community legislation has been correctly transposed as far as new structures and tools are concerned;
- the leading role of the European Railway Agency in gradually harmonising safety rules and procedures and progressively replacing them with common methods. This role may evolve even further in the future towards complementing or supplementing the activities of NSAs in the certification and authorisation processes;

2) The secondary legislation on interoperability is expected to be completed in 2010 as far as the TEN-T network is concerned. This is certainly a priority for the Commission, as no real interoperability can be achieved without technical specifications for interoperability (TSIs) for all sub-systems. Another priority for the Commission is to manage the transition from the old regime to the new regime created by the TSIs and the registers of infrastructure and rolling stock.

Moreover, the increasing number of conformity certificates issued for sub-systems and the limited number of derogations indicate that, overall, the existing TSIs are being successfully applied. This also underlines the importance of Notified Bodies and their role in increasing competence and mutual trust. However, residual open points in TSIs and the limited geographical scope of the TSIs may hamper the future integration of the European rail system as they constitute obstacles to interoperability. Therefore it will be essential to close the open points and to extend the scope of TSIs in a reasonably short period of time.

The Commission also notes that progress towards interoperability is a slow process. Because of the long lifetime of rail infrastructure and rolling stock and the need to keep investment costs for the sector at an acceptable level, radical changes towards harmonised solutions are not possible. That is why the Commission intends to concentrate efforts on implementing those technical specifications that will deliver significant benefits in the short and medium term, namely the CCS, TAF, TAP and OPE TSIs.

Lastly, it will also be necessary for future revisions of TSIs to give a higher consideration to the principles developed under the strategy for simplifying the regulatory environment and to ensure the relevance, effectiveness and proportionality of the railway legislation. For example, more use of voluntary European standards will be considered.

The Commission will continue to check how the legal framework for railway safety and interoperability is implemented in practice, ensuring that all the secondary legislation is introduced (mainly TSIs for conventional rail and common safety methods) and the new Directives are transposed. It then intends to prepare a Communication reviewing its policies on interoperability and the safety of the Community railway system.

Rail transport: interoperability of the Community rail system. Recast

In accordance with the requirements of Directive 2008/57/EC, the Commission presents a report describing the stage reached in achieving interoperability of the European rail system since the report of 2009 (please refer to the summary of 08/09/2009).

Transposition of the interoperability Directives (Directives 2008/57/EC, 2009/131/EC and 2011/18/EU): the Commission departments, with the support of the European Railway Agency, are currently checking the conformity of the national implementing acts with these Directives. By 31 August 2012, the Commission had launched infringement procedures against five Member States for failure to communicate national implementing measures.

Secondary legislation on interoperability (technical specifications for interoperability (TSIs) and other legal measures): this is now complete as far as the trans-European rail system is concerned. The interoperability Directives envisage that this legal framework should be further developed by correcting errors and closing open points in TSIs, and extending the geographical scope of the TSIs to the whole European Union's rail system by 2015. Beyond this date, TSIs will be subject to regular revision to keep up with technical progress, market trends and social requirements. Future revisions of TSIs will consider greater use of voluntary European standards will be considered.

The report notes that the extension of TSIs and the closure of their open points will enable the European Railway Agency and Member States to identify and repeal national rules that are redundant or incompatible with the TSIs. The Commission proposals on the [Fourth Railway Package](#) will:

- simplify the extension of TSIs;
- put forward clarifications regarding the application of TSIs when existing subsystems are renewed or upgraded;
- emphasise the importance of the role and correct functioning of Notified Bodies by aligning the interoperability legislation with the new [legislative framework for the marketing of products](#);
- address the difficulties experienced in the current vehicle authorisation process, by introducing the notion of a single vehicle authorisation for placing on the market which will be valid throughout the EU. This will entail a reinforced [role for the Agency](#) and an increased focus by national safety authorities on supervision tasks.

The progress made thanks to the EU regulatory framework for railway interoperability will encourage the development of the internal rail market, helping new businesses to emerge, cutting entry costs and improving the competitiveness of rail.