

IMPLEMENTATION GUIDE

FOR THE

STRUCTURED INFORMATION EXCHANGE (SIE)

Joint Sector Group



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- 1.0 first draft version 19.01.2011
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This version replaces all previous versions of the Implementation Guide for the Structured Information Exchange (SIE)

Brussels, 18.02.2011

1 Definitions

EC	European Commission
ECM	Entity in Charge of Maintenance
ERA	European Railway Agency
EU	European Union
GCU	General Contract of Use for wagons (CUU, AVV)
KSD	Keeper's Self Declaration
MoU	Memorandum of Understanding
MS	Member State (of the European Union)
NSA	National Safety Authority
NVR	National Vehicle Register
RU	Railway Undertaking
SIE	Structured Information Exchange
SMS	Safety Management System

2 Scope of the document

The purpose of this document is to explain the provisions made related to the structured exchange of safety related information in the Sector.

It should be understood as a joint recommendation from the publishing Associations for their members and all other parties involved to follow the outlined provisions. Together with the already published Implementation Guides for the ECM- and Keeper-Self Declarations this Implementation Guide is the last key component of the Joint Sector proposal for an intermediate solution for problems existing during the transition period until the ECM certification system under the EU legislation is fully implemented.

This document however does not bear any legal responsibility and it does not replace the relevant information from the original sources, namely the respective national and international legal provisions in force.

This document is addressed to all

- **Freight Wagon Keepers** domiciled in the European Union and Switzerland and outside if wagons belonging to them are operated in or through EU Member States;
- **Freight Railway Undertakings** operating in EU Member States and Switzerland;
- **Entities in Charge of Maintenance** of Freight Wagons.

whether they are GCU signatories or not.

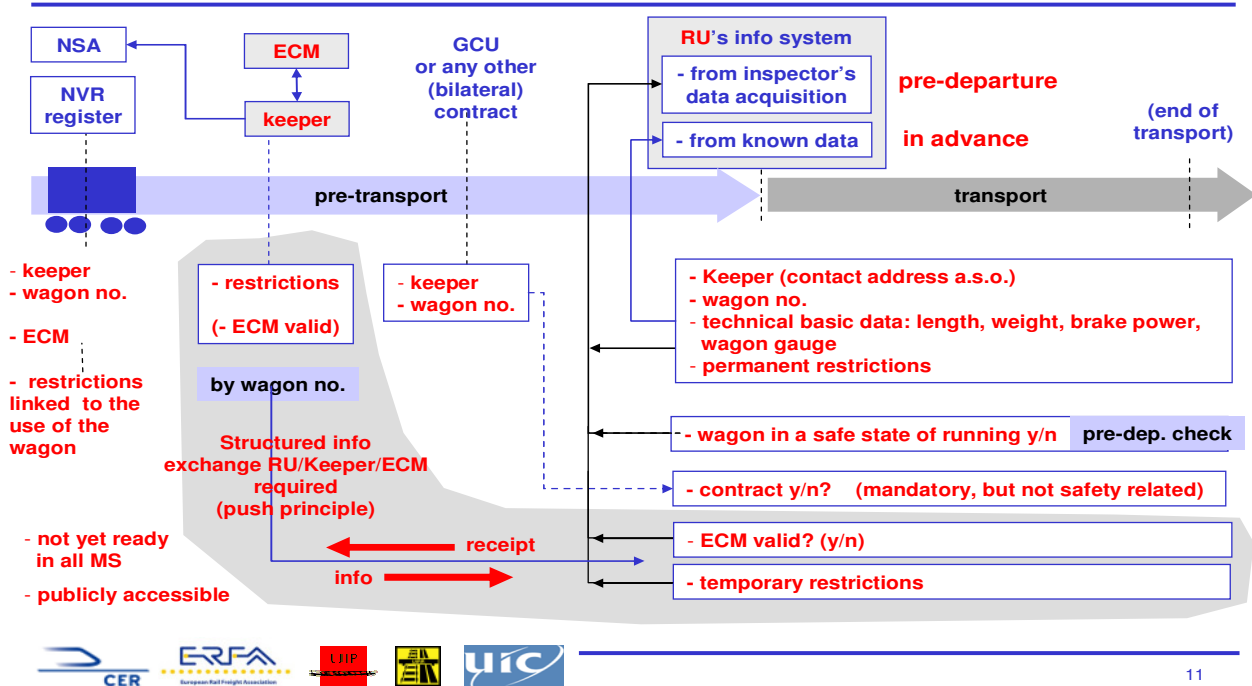
3 Structured exchange of safety related information between RU, Keeper, ECM

For the safe operation of vehicles, it is indispensable to exchange safety related information between RU, Keeper and ECM before a train departure ("pre-transport"), e.g. an ECM informs the carrying RU about any restrictions or specific operating conditions of the wagon prior its transport.

- The information flow **during** the "transport phase" is managed by intra-RU processes: the RU shall provide the Keeper / ECM with safety related information (incidents concerning the wagon during the transport and about the kilometers operated in its train according to TSI WAG § 4.2.8.1.2 and GCU Art. 15 .2),
- All information required by a RU (**before train departure**) can be obtained from existing standard sources (see picture below).

The most important safety related information are (temporary) restrictions for the use of a wagon. This information must be exchanged between **Keeper, ECM and RU**.

Transport planning / execution process Place where information is required, flow/source of information



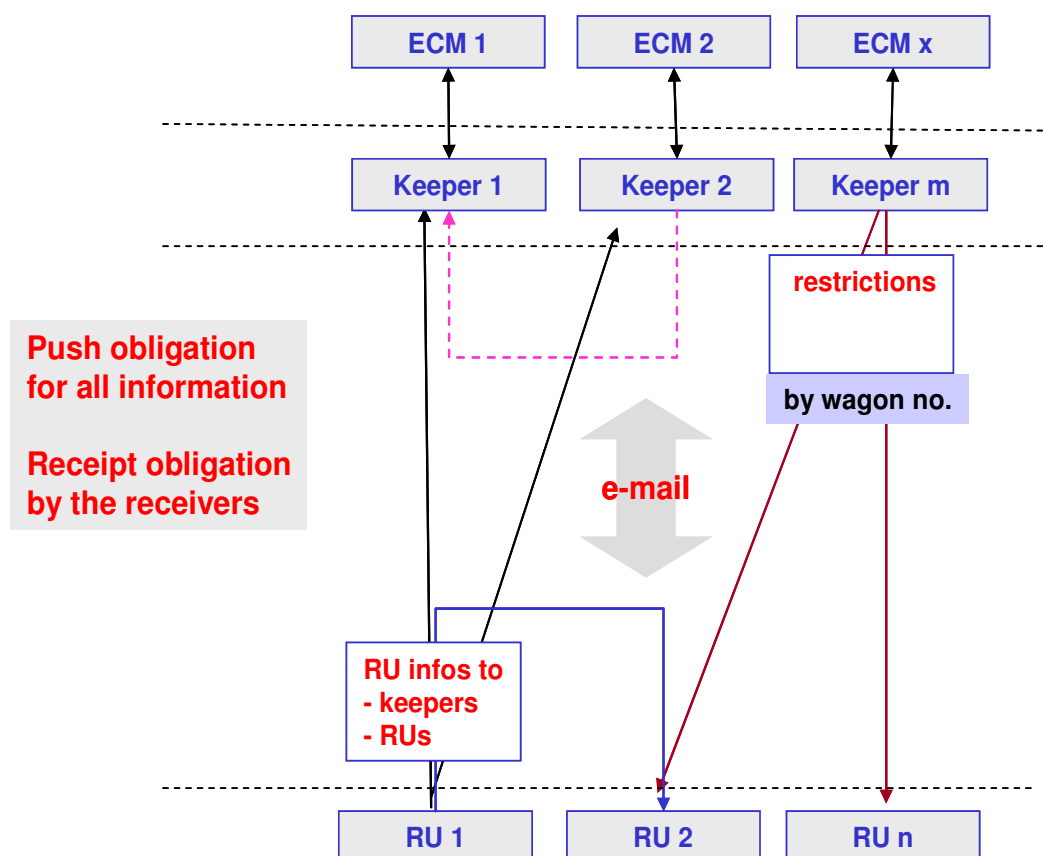
In order to ascertain the exchange of the information shown in the picture above, the following conditions must be fulfilled:

- **The contact data (i. e. contact persons, mail addresses a.s.o.) of RUs and Keepers are known and recorded**
 - in the GCU database (see chapters 4 & 5 below) or
 - through other bilateral agreements.

- All actors (RUs, Keepers, ECMs) must install a process which ascertains the involvement of each single actor into the **structured processes of information flows**. This means a “push process” for the information which needs to be provided and a “pull process” for the information needed (for further explanation refer to chapter 5, page 10). A structure for the information itself is not needed (due to the potential variety of information).
- The hand over of relevant information **from the RU to the Keeper** is regulated in Article 15 of the GCU; if wagons are operated under the provisions of the GCU information must be exchanged between the Keeper and the RUs (and vice versa).
- The exchange between ECMs and RUs could be facilitated if the Keeper and the ECM are identical; in cases where Keeper and ECM are different entities the hand over of information from the Keeper to its designated ECM(s) and vice versa must be regulated through bilateral contracts / agreements .

To realize a feasible and reliable access from the ECM through the Keeper to the RUs (and vice versa or between the involved parties in general), the Joint Sector Associations have, after analysis of appropriate solutions, defined the following system for a structured exchange of information, based on email addresses and rules¹:

Proposed system: correct and regularly updated email addresses and common information principles



¹ The Sector Associations fully believe that operable and accessible NVRs will further support the efficient and reliable exchange of information. Respective requirements will be discussed with the competent authorities.

4 GCU Wagon Database and GCU Signatory Data

The GCU Wagon Database application is **operational since October 1st 2010** and is built into the application CRM (Customer Relationship Manager), the software tool already used by the GCU Bureau for gathering and managing the data of the signatories.

GCU signatories being Keepers were obliged to upload all wagon numbers allocated to them by 1st of October 2010 in the new Wagon Database; updating these data since then in a timely manner is mandatory, thus enabling all parties interested to retrieve the actual status.

The GCU Wagon Database is fully accessible not only for the signatories but for all interested companies, authorities and third parties 24 hours, each day. It is envisaged to realize a nearly 100% availability; nevertheless, temporary non-accessibility of the database due to technical problems cannot be excluded. The GCU Bureau therefore does not guarantee 100% accessibility nor does it accept liability for temporary non-accessibility:

<http://www.gcubureau.org/index.php?lang=en&pageid=40>.

After a wagon number is entered, the Wagon Database checks whether this wagon is allocated to a Keeper being a signatory of the GCU; if the check is positive the Wagon Database provides the following information:

- 12-digit Wagon number
- Keepers full company name
- Keepers (Unique) Vehicle Keeper Marking (VKM) – *in the process of being added to the Database*
- Name of contact person
- E-Mail Address
- Link to the complete HTML-File containing all Signatory Data (Addresses, contact persons etc).

The picture below shows an example how the information is provided once the wagon number entered could be linked to a GCU signatory:

GCU Bureau — General Contract of Use for wagons
Contrat Uniforme d'Utilisation des wagons
Allgemeiner Vertrag für die Verwendung von Güterwagen

EN FR DE

WAGON DB

WELCOME - HOME
CONTACTS ADMINISTRATION
UPDATED CONTRACT
HISTORY - PREVIOUS AMENDMENTS
NOTIFICATION OF AMENDMENTS
FORMS - TEMPLATES
LIST OF SIGNATORIES
MEMBERSHIP APPLICATION
MEMBERSHIP TERMINATION
INFORMATION, RECOMMENDATIONS
WAGON DB

Consultation of the Wagon Database - users note

SEARCH

Wagon number:

SEARCH **RESET**

Wagon Number: 336845573003 **VKM Unique:** AAEC

Keeper: AAE Ahaus Alstätter Eisenbahn Cargo AG **Contact:** Claudio Boschetti

Phone: **Email:** vehiclekeeper@aae.ch

Link to signatories HTML-File

For further information regarding the GCU signatories data an individual file (“HTML-File – GCU Signatory Data”) will be opened after clicking on the link; the picture below shows an (shortened) example:

1) Nom et coordonnées de l'adhérent		
Name	AAE Ahaus Alstätter Eisenbahn Cargo AG	
Statut	Keeper	
Country	Switzerland	
Complete Address	Neuhofstrasse 4	
	Postfach 1067	
	6341 Baar	
N° de TVA intracommunautaire	CH456874	
Données pour le contact avec le bureau CUI		
3) Données concernant les détenteurs de wagons		
3a) Sigle utilisé pour le marquage du détenteur sur les wagons selon fiche UIC 438-2(facultatif)		
VKM	AAEC	
3b) Nombre de wagons		

The information provided could then be used to check whether the Keeper’s Self Declaration was issued and published on the ERA Homepage²:

- Link to Keeper Self Declarations:
 - www.era.europa.eu/Core-Activities/Safety/Pages/Keepers-Self-Declarations.aspx

If the Keeper issued his Self Declaration (KSD) and did send it to ERA, the KSD is published by ERA and its content is fully accessible. The KSD must contain the name of the ECM / ECMs the Keeper has chosen for his fleet; it is also clearly visible if the Keeper is identical with the ECM. This information is needed in order to check whether the ECM / ECMs notified by the Keeper are certified under the Memorandum of Understanding (ECM MoU) or if they have issued a Self Declaration (SD). ECM MoU Certificates and ECM SD are published on the ERA Homepage once the ECM has sent its respective certificate or SD to ERA and its content is fully accessible³:

- Link to ECM MoU Certificates:
 - www.era.europa.eu/Core-Activities/Safety/Pages/ECM-MoU-Certificates.aspx
- Link to ECM Self Declarations:
 - www.era.europa.eu/Core-Activities/Safety/Pages/ECM-Self-Declarations.aspx

ERA envisages to realize a nearly 100% availability of the respective websites; nevertheless, temporary non-accessibility of the webpage / databases due to technical problems cannot be excluded. ERA therefore does not guarantee 100% accessibility nor does it accept liability for temporary non-accessibility


² For further information with regard to the concept of the KSD refer to the “Implementation Guide for the Keepers Self Declaration”, Version 1.1, published by the Joint Sector Group on November 9th 2010.

³ For further information with regard to the concept of the ECM Self Declaration refer to the “Implementation Guide for the Entity in Charge of Maintenance (ECM) European Intermediate Solution”, Version 1.4, published by the Joint Sector Group on August 18th 2010.

Each Keeper needs his own Vehicle Keeper Marking Code (VKM); such code will be assigned upon the request from the Keeper only by ERA (for companies domiciled in a EU MS) or OTIF (for companies domiciled in a Non EU MS).


VKM information for each GCU Keeper – Signatory is in the process of being added to the GCU Waggon Database; if a specific VKM can not be found there yet, such VKM is available on the official list published by ERA and OTIF⁴:

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Vehicle Keeper Marking Register

Alphabetical list



	VKM	UNIQUE	STATUS
Explanation:	Codes shown on vehicles	Combination for uniqueness check	Blocked In use Revoked

VKM	UNIQUE	VK Name	Country	Status	www.
ALRO	ALRO	ALRO S.A.	RO	In use	
AMBRO	AMBRO	AMBRO S.A.	RO	In use	ambro.ro
AAE	AAE	AAE GmbH	DE	In use	aae.ch
AAEC	AAEC	AAE Cargo AG CH-6340 Baar	Switzerland	In use	aae.ch
AB	AB	Appenzeller Bahnen	Switzerland	In use	appenzellerbahnen.ch
ABB	ABB	ABB AB	SE	In use	abb.se
ABG	ABG	Anhaltische Bahngesellschaft	DE	In use	abg.dwe-web.info
ABRN	ABRN	Abellio Rail NRW GmbH	DE	In use	abellio-rail.de
ABRRS	ABRRS	Road & Rail Service	DE	In use	road-rail-service.com
ABT	ABT	AB Tankvagnar	SE	In use	tankvagnar.se
ABTR	ABTR	AB Transitio	SE	In use	transitio.se
ABVT	ABVT	AB Vagon Trans s.r.o.	CZ	In use	
ACH	ACH	AlzChem Hart GmbH	DE	In use	
ACTS	ACTS	ACTS Abroll-Container-Transport System AG	Switzerland	Revoked	actsaq.ch/
ACTS	ACTS	ACTS Nederland B.V.	NL	In use	acts-nl.com
ACTSB	ACTSB	ACTS Abroll-Container-Transport-Service AG	Switzerland	In use	actsaq.ch
ACTSL	ACTSL	ACTS Luxembourg	LU	In use	
AD	AD	Freunde des Schienenverkehrs Flensburg e.V	DE	In use	angelner-dampfeisenbahn.de
ADAM	ADAM	Sylvia & Uwe Adam Transport	DE	In use	uwe-adam-transporte.de
ADT	ADT	Adria Transport D.O.O.	SI	In use	adria-transport.com
AE	AE	Alpine-Energie Österreich GmbH	AT	In use	alpine-energie.com
AED	AED	Alpine-Energie Deutschland GmbH	DE	In use	alpine-energie.de
AEV	AEV	Achertaler Eisenbahn Verein e.V	DE	In use	
AF	AF	Albert Fischer GmbH	DE	In use	albert-fischer.de
AFG	AFG	Andreas Forster	DE	In use	achertalbahn.eu
AGC	AGC	AGC Flat Glass Czech a.s., člen AGC Group	CZ	In use	
AGE	AGE	Arbeitsgemeinschaft Geesthachter Eisenbahn e.V	DE	In use	eisenbahn.geesthacht.de
AGIL	AGIL	Agilis Verkersgesellschaft mbH & Co KG	DE	In use	
AGJ	AGJ	Anten-Gräfsnäs Jämväg	SE	In use	agj.net

Each party concerned is able to download the EXCEL-File “List of GCU Signatories” from the GCU website; and – by using the various tools provided by EXCEL establish individual lists of RUs and or Keepers with whom safety related information by E-Mail (or other means) need to be exchanged. The EXCEL-File is updated constantly, retrieving the data automatically from the individual Signatory Data Sheets.

The following obligations apply:

- Companies (RU and / or Keeper) not being signatories of the GCU must establish and update individual registers with the contracted Keepers/RUs;
- As from February 1st 2011 Signatories of the GCU must provide and update in a timely manner all relevant addresses / contacts in their GCU Signatory Data Sheet using the CRM-Tool.

⁴ For further information with regard to the actual VKM List please refer to:

- <http://www.era.europa.eu/Document-Register/Pages/list-VKM.aspx> (and then click on the link “Related Documents”) or
- <http://www.otif.org/en/technology/registers.html> (and then click on the word “Register” in the text “Vehicle Keeper Marking (VKM) Register”)

The GCU Bureau however has no responsibility for the correctness and timely updating of the addresses. Each GCU signatory is solely responsible for his own data and must ensure that all information received is handled in the appropriate way internally!

For ensuring the reliability of the (email) information exchange, the following general principles shall apply:

- **Push obligation for all information** by the senders
- **Obligation to confirm receipt** by the receivers

Information flow from Keeper/ECM to RUs is necessary in case of:

- safety related or other information regarding the freight wagons covered by the Keeper / ECM;
- changes with regard to the ECM certificate / self declaration;
- changes with regard to the Keeper Self Declaration.

Information flow from RU to Keepers/ECM is necessary in case of:

- incidents regarding the freight wagons;
- mileage information regarding the freight wagon.

Keepers / ECMs must organize themselves to assure:

- instant information to RUs about safety related (or other) issues on wagons;
- instant information to RUs in case of changing the ECM;
- instant information to RUs in case the certificate / self declaration is withdrawn.

RUs must organize themselves to carry out during operation:

- regular checks on the ERA website (KSDs and ECM MoU certificates or ECM SDs).

Actors not being signatories of the GCU:

- must conclude bilateral agreements
 - as a Keeper with all RUs who are operating their wagons
 - as a RU with all Keepers whose wagons they operate
- should consider to become a GCU signatory in order to facilitate their relationship with Keepers and RUs.

6 Further information and contact persons

- Eric Peetermans eric.peetermans@b-holding.be UIC / CER
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