

Proposed amendment to Appendix 9 to the GCU

Record of amendments

Amended by	Date	Paragraph	Amendment
Stefan Zebracki	17/09/2021	Ann9, points 2, 3 a. 5	First draft
Stefan Zebracki	14/01/2022	Ann9, points 2, 3 a. 5	Input of remarks from TTI WG 2021_10
TTI WG decision	22/03/2022	Ann9, points 2, 3 a. 5	Input of remarks from TTI WG 2022_03
WU SG decision	16/05/2022	Ann9, points 2, 3 a. 5	In accordance with WU SG minutes
GCU JC decision	09/06/2022	Ann9, points 2, 3 a. 5	Approved

Title	Harmonisation of the structure of checklists for examination of wagons' ability to run
Proposed amendment made by RU/keeper/other:	DB Cargo AG
Proposed amendment to:	<input checked="" type="checkbox"/> Appendix 9 <input type="checkbox"/> Appendix 11
Proposer:	Stefan Zebracki
Location, date:	17/09/2021
Concise description:	The structure of the checklists in Appendix 9, Annex 9 will be harmonised, following the example of points 1 and 4 of Appendix 9, in order to guide the inspector going through the checklists toward the result of the examination of fitness to run, indicating the corresponding measure to be taken. The checklists in points 2 and 3 of the annex will be merged.

1. Starting point (current situation):

1.1. Introduction																																							
Appendix 9, Annex 9 contains checklists for examination of ability to run. The checklists describe the steps to be taken or visual checks to be conducted when processing wagons, e.g. in the event of an expired overhaul period or overloading. Appendix 9, Annex 8 outlines the cases in which the use of a checklist is obligatory.																																							
1.2. Mode of operation																																							
-																																							
1.3. Anomaly/description of problem																																							
The checklists listed in Appendix 9, Annex 9 differ as follows in terms of structure:																																							
- In the case of the checklists in Appendix 9, points 1 and 4, operational personnel are guided by means of questions towards the result of the examination of ability to run and the corresponding measure to be taken.																																							
<table border="1"> <thead> <tr> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th>5</th> </tr> <tr> <th>Numéro</th> <th>Question</th> <th>Réponse</th> <th>Se reporter au numéro</th> <th>Observations</th> </tr> </thead> <tbody> <tr> <td colspan="5" style="text-align: center;">Dispositions communes aux véhicules à essieux individuels et à bogies</td> </tr> <tr> <td>1</td> <td>Le véhicule porte-t-il un signe d'interopérabilité selon code 6.1.1.2 ou 6.1.1.3 de l'appendice 1 ?</td> <td>Oui Non</td> <td>2 13.2</td> <td></td> </tr> <tr> <td>2</td> <td>Le gabarit des EF concernées est-il respecté ?</td> <td>Oui Non</td> <td>3 2.1</td> <td></td> </tr> <tr> <td colspan="2">Résultat du contrôle d'aptitude à circuler</td> <td colspan="3">Mesures</td> </tr> <tr> <td>13.1</td> <td>Le wagon ne peut être acheminé à sa vitesse de</td> <td colspan="3">Établissez le modèle I et déclarez le véhi.</td> </tr> </tbody> </table>					1	2	3	4	5	Numéro	Question	Réponse	Se reporter au numéro	Observations	Dispositions communes aux véhicules à essieux individuels et à bogies					1	Le véhicule porte-t-il un signe d'interopérabilité selon code 6.1.1.2 ou 6.1.1.3 de l'appendice 1 ?	Oui Non	2 13.2		2	Le gabarit des EF concernées est-il respecté ?	Oui Non	3 2.1		Résultat du contrôle d'aptitude à circuler		Mesures			13.1	Le wagon ne peut être acheminé à sa vitesse de	Établissez le modèle I et déclarez le véhi.		
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<table border="1"> <tr> <td rowspan="2">Contrôle du wagon après déclenchement du DET</td> <td>1. Corps de roue</td> <td>Contrôler visuellement l'éventuelle présence d'avaries</td> </tr> <tr> <td></td> <td>Contrôler visuellement l'éventuelle présence d'avaries, de déformations et de fissures sur la surface de roulement et du boudin</td> </tr> </table>					Contrôle du wagon après déclenchement du DET	1. Corps de roue	Contrôler visuellement l'éventuelle présence d'avaries		Contrôler visuellement l'éventuelle présence d'avaries, de déformations et de fissures sur la surface de roulement et du boudin																														
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The visual checks for the “Checklist for wagons with exceeded concentrated load” are all contained in the “Wagon checklist for overloading”. The wagon checklist for overloading may also be partially applied in the event of exceeded concentrated load. Irrespective of the level of exceedance of concentrated load, it is possible to refer to a checklist applied in full or in part (up until now, reference has been made to two different checklists depending on the level at which concentrated load is exceeded).																																							
<pre> graph LR A[Exceeded concentrated load] --> B[Rectify load] B --> C{ } C -- "≤ 5%" --> D[Exceeded concentrated load checklist] C -- "≤ 20%" --> E[Rectify load + K] E --> F[Overload checklist] F --> G[Unload, empty wagon + K] </pre>																																							

1.4. Does this concern a recognised code of practice* (e.g. DIN, EN)?

No Yes (state which):

* "a written set of rules that, when correctly applied, can be used to control one or more specific hazards." (Source: Regulation EC 352/2009, Article 3)

"Technical provisions laid down in writing or conveyed verbally and pertaining to procedures, equipment and modes of operation which are generally agreed by the populations concerned (specialists, users, consumer and public authorities) to be suitable for achieving the objective prescribed by law, and which have either proven their worth in practice or, it is generally agreed, are likely to within a reasonable period of time". (Source: BMJ Handbuch der Rechtsförmlichkeit – guide published by German Ministry of Justice)

2. Target situation**2.1. Elimination of anomaly/problem (goal)**

A uniform structure for the checklists, the same as that of the checklists in Appendix 9, Annex 9, points 1 and 4:

- Uniform structure

- Recording of the possible results of the examination of ability to run, along with the corresponding measures

Merging of the checklists for overloaded wagons and for exceeded concentrated loads (Appendix 9, Annex 9, points 2 and 3).

3. Amendments/additional texts (relate only to proposed amendments to GCU Appendix 9):

Colour codes for changes:

Black: currently applicable text; provides information and remains unchanged

Red: New text

Blue (may be crossed out): Text to be deleted

[The checklists in GCU Appendix 9, Annex 9, points 2 & 3 become the new point 2; point 3 is reserved.]

2. Inspection of fitness to run for an overloaded wagon (exceeded load limit) or **exceeded concentrated loads**

➤ Reference:

- Annex 8, point 2: procedure for onward conveyance following identification of overloading and for taking the necessary corrective measures.
- **Annex 8, point 3: procedure for onward conveyance following identification of exceeded concentrated loads and for taking the necessary corrective measures.**

➤ **The measured values of the wheelsets must be documented for the purpose of traceability (Annex 12).**

Wagon checklist for overloading **and exceeded concentrated loads**

1	2	3	4	5
Number	Question	Answer	Go to number	Comments
Inspection of wagon overloading or exceeded concentrated loads				
Inspection of wagon overloading				
1.1	Wheelset: > 2% and ≤ 10% overload	Yes No	2.1 1.2	
Inspection of wagon overloading or exceeded concentrated loads				
1.2	Wheelset: > 10% overload or > 20% exceeded concentrated loads	Yes No	2.2 1.3	
Exceeded concentrated loads				
1.3	Has the registered concentrated load been exceeded by more than 5% or less than/equal to 20%?	Yes No	5 8	
Axles/running gear				
2.1	Axle free of visible damage that would necessitate detachment of the wagon?	Yes No	2.3 9.2	Visual check
2.2	Axle free of visible damage that would necessitate detachment of the wagon and E value within permissible tolerance range?	Yes No	2.3 9.2	Visual check; for the E value, measure at 3 points
2.3	Bogie frame free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	3 9.2	Visual check

Springs				
3	Suspension springs and spring suspension free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	4 9.2	Visual check
Brake				
4	Brake rigging free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	5 9.2	Visual check
Draw/pushing device				
5	Draw/pushing device free of damage, deformation and cracks that would necessitate detachment of the wagon and buffer height within permissible tolerance range?	Yes No	6 9.2	Visual check and measurement
Underframe				
6	Underframe free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	7 9.2	Visual check
Wagon body				
7	Vehicle superstructure free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	9.1 9.2	Visual check
Other irregularities				
8	Is the wagon otherwise free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	9.3 9.2	Visual check
Results of the examination of fitness to run		Measures		
9.1	a) The wagon is fit to run in the event of overloading exceedance $>2\%$ and $\leq 10\%$ or exceeded concentrated loads $>5\%$ and $\leq 20\%$ b) The wagon is fit to run in the event of: overloading exceedance $>10\%$ or exceeded concentrated loads $> \%$	a) Loading adjustment, affix K label and report the wagon as being fit to run b) Unload the wagon, affix K label, transport the wagon to a workshop in close geographical proximity		
9.2	The wagon is not fit to run and, in its present state, cannot be added to a train.	Report the wagon as being unfit to run and provide the reasons		
9.3	No significant overload or exceedance of the concentrated load to justify application of the checklist	Indicate that there is no relevant overload as per the checklist		

Inspection of wagon overloading	1. Wheelsets / running gear	<ul style="list-style-type: none"> Wheelset: > 2% and ≤ 10% overload Perform visual check for damage Wheelset: > 10% overload Perform visual check for damage and measure the three points after unloading the wagon (empty). Running gear: Perform visual check for damage, deformation and cracks on the bogie frame.
	2. Springs	Perform visual check for damage, deformation and cracks on the suspension springs and spring suspension.
	3. Brake	Perform visual check for damage, deformation and cracks on the brake rigging
	4. Underframe	Perform visual check for damage, deformation and cracks on the underframe.
	5. Draw/pushing device	Perform visual check for damage, deformation and cracks on the draw and pushing device. Measure the height of the buffers.
	6. Wagon body	Perform visual check for damage, deformation and cracks on the wagon body.

4. ~~Inspection of fitness to run for an overloaded wagon (concentrated loads)~~

~~– Reserved –~~

~~➤ Reference: Annex 8, point 3: procedure for onward conveyance following identification of overloading and for taking the necessary corrective measures. Wagon checklist for exceeded concentrated loads~~

~~Wagon checklist for exceeded concentrated loads~~

Inspection of wagon with exceeded concentrated loads	1. Underframe	Check visually for damage, deformation and cracks on underframe
	2. Draw/pushing device	Check visually for damage, deformation and cracks on draw and pushing device Measure the height of the buffers
	3. Wagon body	Check visually for damage, deformation and cracks on wagon body

[Checklist in GCU Appendix 9, Annex 9, point 5]

5. Examination of the ability to run of wagons equipped with det (derailment detector)

- **Reference:** Annex 8, point 5: procedure for onward carriage following the tripping of a DET

Checklist of wagon with DET

1	2	3	4	5
Num-ber	Question	Answer	Go to num-ber	Comments
Checklist of wagon with tripped DET				
Wheel centre				
1	Running surface and flange free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	2 5.2	Visual check
Axles/running gear				
2	Axles and axle boxes free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	3 5.2	Visual check
Bogie				
3	Bogie free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	4 5.2	Visual check
Connection between bogie and underframe				
4	Bogie suspension free of damage, deformation and cracks that would necessitate detachment of the wagon?	Yes No	5.1 5.2	Visual check
Results of the examination of fitness to run		Measures		
5.1	The wagon is fit to run.	Indicate that the wagon is fit to run and reset the DET		
5.2	The wagon is not fit to run and, in its present state, should not be added to a train.	Indicate that the wagon is not fit to run, providing the reasons		

Inspection of wagon after tripping of DET	1. Wheel	Perform visual check. Perform visual check for any signs of deformation or cracks on the running surface or on the flange
	2. Axles / running gear	Perform visual check for any signs of damage, deformation or cracks on the axles and the axle boxes
	3. Bogie	Perform visual check for any signs of damage, deformation or cracks on the bogies
	4. Connection between bogie and underframe	Perform visual check for any signs of damage, deformation or cracks on the connection between bogie and wagon body.

6. Reason:

The structure of the checklists in Appendix 9, Annex 9 has been harmonised, following the example of points 1 and 4 of Appendix 9, in order to guide the staff member going through the checklist toward the result of the examination of fitness to run, indicating the corresponding measure to be taken. The means that the checklists can be presented and applied in a manner that take practical requirements into account.

7. Assess potential positive/negative impacts

Assess the possible positive and negative effects (operations, costs, administration, interoperability, safety, competitiveness, etc.) on a scale of 1 (very low) to 5 (very high):
Reasoning behind amendment:

Impacts:

Interoperability, competitiveness, costs, administration (value: 1)

There is no change to the contents of the examination of ability to run; no impact in relation to the aspects listed above.

Operations, safety (value: 4)

Standardisation of checklists, including assigning names to measures, has a positive effect on processing quality and on training on examinations of ability to run.

8. Safety appraisal of proposed amendment

Description of actual/target system, and scope of change to be made (see points 1 and 2).

Performance of risk analysis is unnecessary where only recognised standards are implemented.

Risk analysis conducted by:

8.1. Does the change have an impact on safety?	<input type="checkbox"/> No <input checked="" type="checkbox"/> Yes
Reason: The inspection criteria include elements relating to safety.	
8.2. Is the change significant?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
Reason: The modifications shall be considered to be minor in terms of their complexity and innovative nature.	
8.3. Determining and classifying risk:	<input type="checkbox"/> N/A
<p>8.3.1. Effect of change in normal operation: The user reviews the inspection criteria in accordance with the usual checklist procedure if necessary.</p> <p>8.3.2. Effect of change in the event of disruption/deviation from normal operation: The user does not review the inspection criteria despite the checklists</p> <p>8.3.3. Potential misuse of system:</p> <p><input type="checkbox"/> No</p> <p><input checked="" type="checkbox"/> Yes (describe possible misuse): The user does not work on the basis of or only partially on the basis of the checklists</p>	
8.4. Have safety measures been applied?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
<p>For each type of risk, one of the following risk acceptance criteria is to be selected:</p> <ul style="list-style-type: none"> Use of reference system The checklist structure is harmonised with one of the two existing formats 	
8.5. Has a risk analysis been submitted to the assessment body?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes
<p>Assessment body:</p> <p>Attach the verdict reached by the assessment body:</p>	[Appendix]