

## Design guidelines

# Change management procedure

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# 1. General

The following situations may occur impacting the content or applicability of certain requirement or design criteria of the Design Guidelines:

- Legislation changes on EU and national level,
- Changes in cross-border agreements on Rail Baltica implementation,
- Situation changes throughout the design, e.g. specific constraints preventing the designer to achieve Design Guidelines requirements,
- Additional requirements,
- Requirements from additional study,
- Deficiencies in the Design Guidelines.

The change management procedure is applicable for the following cases:

- Request of Design Guidelines change by an applicant;
- Update of Design Guidelines resulting from a technical study, including design works;
- Update of Design Guidelines resulting from change in EN standards or TSIs (Technical Specifications for Interoperability);
- Elimination of Design Guidelines clauses in case deficiencies or mistakes are identified.

The change management procedure is not applicable for following cases:

- Request for derogation (for a specific section or facility or situation);
- Request for clarification.

However, for the purpose of simplifying administrative processes and ease the application, the process description of a request for derogation and request for clarification is integrated in change management process description.

A request for derogation and request for clarification do not automatically change the Design Guidelines. The request for derogation and request for clarification procedures are described in this Design Guidelines part.

The request for derogation is documented and made available to all relevant parties. RB Rail maintains register of issued derogations from Design Guidelines requirements.

The request for clarification is documented and made available to all relevant parties. RB Rail maintains register issued Design Guidelines clarifications.

## The applicant

The applicant for change management procedure may be RB Rail, National Safety Authority, Beneficiary or Implementing Body of the Rail Baltica project.

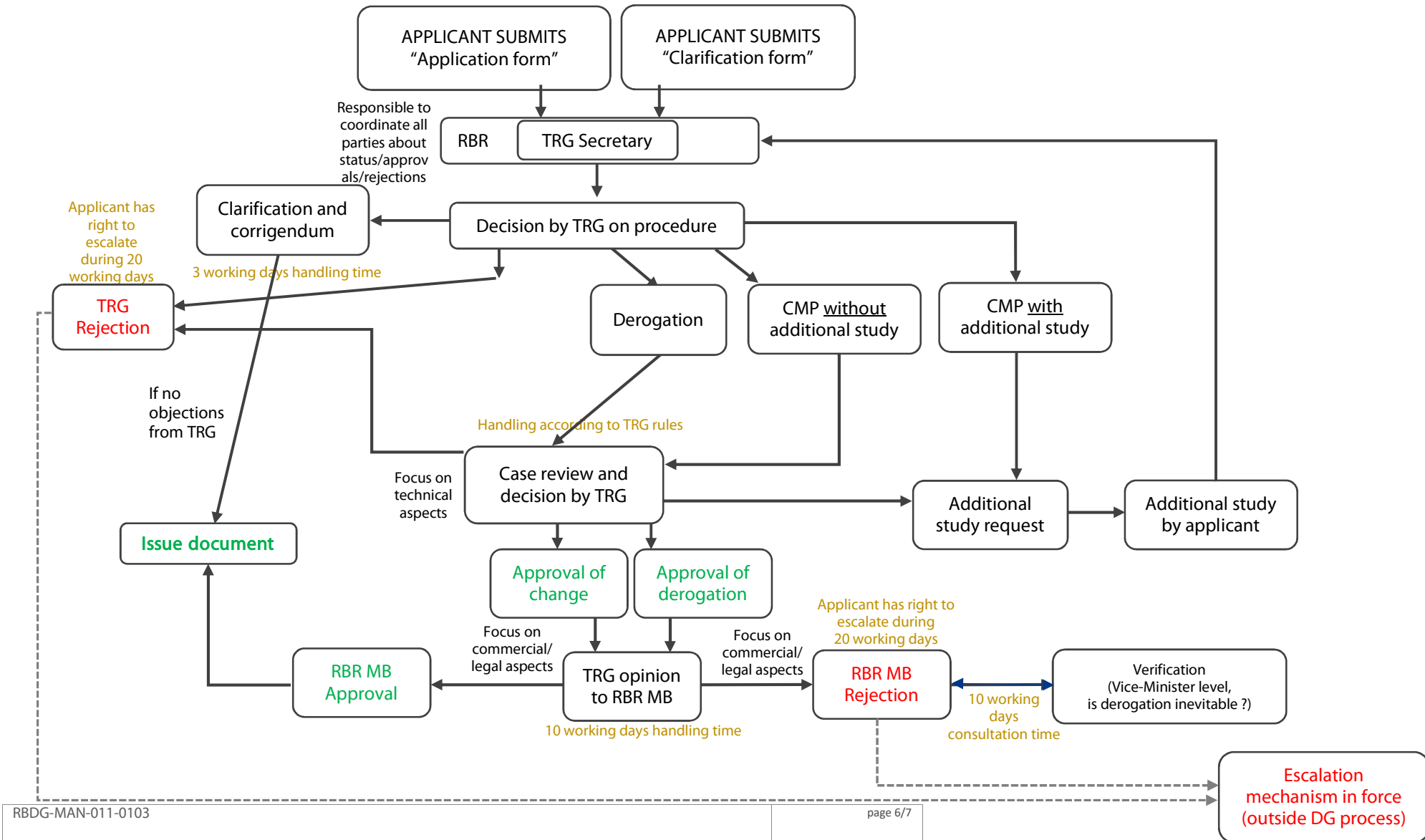
## 2. Change management procedure process

The process for change management procedure is as follows:

1. **Application:** The applicant identifies that a change is required in the Design Guidelines, the Design Guidelines requirements or text needs clarification, or that some requirements cannot be achieved for specific part of the railway line, facility or situation. The applicant shall prepare a request by filling the form RBDG-TPL-010 where necessary, attaching also the results of technical study compliant with the template RBDG-TPL-011 and submit it to RB Rail (represented by TRG Secretary).
2. **Technical study accompanying the application:** If deemed necessary by the applicant or requested by TRG, the applicant or a designated body by the applicant shall prepare a technical study compliant with the template RBDG-TPL-011. The study shall provide clear, consistent and well-grounded identification of the impacts, related interfaces, life-cycle cost calculations and project implementation schedule considerations. To accelerate review and decision processes, the applicant is advised to prepare and submit a technical study along with the change management application form. If a study is not provided or deemed insufficient, the TRG may request the applicant to provide such a study or additional analysis with identified topics to be analyzed more thoroughly in due time, but not later than in 1 month's time. In cases agreed by the TRG submission deadline may be extended.
3. **Application approval:** The TRG shall review the application and approve it for further processing. If TRG rejects the application, the applicant shall receive a letter explaining the grounds for rejection and reference to further procedures to update the application for repeated submission. TRG may reclassify the procedure to be taken in the following cases:
  - a. Where clarification or corrigendum deems to be insufficient and a change in the Design Guidelines text is necessary or vice versa – there is no need for a text change, where a clarification or corrigendum is sufficient;
  - b. Where requested change concerns only one specific case and derogation may be granted, or vice versa – requested derogation may be required also in other cases and in such case changes in the Design Guidelines are more appropriate.
4. **RB Rail technical study:** In parallel, if the applicant has submitted a technical study or if requested changes may have impact on ongoing projects, RB Rail shall prepare a technical study for on-going projects and completed projects compliant with the template RBDG-TPL-012. As this task is related to the applicant's technical study, RB Rail shall issue its technical study within 1 month after submission of the technical study by the applicant.
5. **Case review and decision by the Rail Baltica Technical Reference Group:** RB Rail shall distribute the submitted documents and, if applicable, also the RB Rail technical study to the Rail Baltica Technical Reference Group (TRG) members for review and approval. In general, for submission of documents, review and decisions, the Technical Reference Group internal rules of procedure shall be followed.
6. **Issues of clarification and corrigendum:** Where a clarification is requested, and this is not a result of Design Guidelines deficiency, RB Rail prepares a clarification, and sends to TRG members for review. If no proposals or objections are received within three (3) business days, this clarification is sent to the applicant and other parties concerned. During this three (3) days period, a TRG member may request extension of this deadline, but not more than 10 (ten) business days. In case proposals or objections are received, RB Rail shall evaluate them and send the amended clarification to the applicant and other parties concerned. In case the clarification concerns a case of obvious mistake in the design guidelines (typo, arithmetical error, incorrect

reference etc.), a corrigendum of the relevant Design Guidelines part is prepared and issued using the above-mentioned procedure.

7. **Issue of a change:** Where a request for change is submitted, TRG shall evaluate whether the application and results of the technical study submitted by the applicant are sufficient and, in duly justified cases, may require an additional study or information. Based on the RB Rail technical study, the provisions concerning applicability of the changes to on-going projects are prepared by RB Rail. The request for change shall be discussed in the TRG and accepted or declined by the TRG. Based on the acceptance by the TRG, the overall impact of change to Rail Baltica is reviewed by the RB Rail management in 10 (ten) working days and decision is communicated to the applicant and other parties concerned.
8. **Issue of a derogation:** Where a derogation is requested, TRG shall evaluate whether the application and results of the technical study are sufficient and, in duly justified cases, may require an additional study or information. The request for derogation shall be discussed in the TRG and accepted or declined by the TRG. Based on the acceptance by the TRG, the overall impact of derogation to Rail Baltica is reviewed by the RB Rail management and decision is communicated to the applicant and other parties concerned. Examples of derogations can be situations, where project timeline and/or budget is exposed to critical risks due to limitations in urban nodes, restrictions in sites of environmental or cultural heritage, physical limitations etc.
9. **Guidelines for escalation:** Applicant has a right to escalate decisions related to changes or derogations during twenty (20) working days after RBR Management Board decision was issued. Common understanding is, that there must be a decision body, consisting of member from (a) Ministry of Economic Affairs and Communications of the Republic of Estonia, (b) Ministry of Transport of the Republic of Latvia, (c) Ministry of Transport and Communications of the Republic of Lithuania (d) European Commission, (e) chairman of TRG, and (f) CEO of RB Rail. Applicant will present the reason for the escalation and relevant argumentation. RB Rail CEO and TRG will present argumentation for the rejection. Basis for eventually overruling RBR Management Board decision must be inevitability of the derogation. Such a decision must be based on consensus between three BEN's and European Commission. Time to process the claim is suggested to be maximum 40 working days. Decision will be binding for all parties.
10. Contracting authorities shall ensure application of the changes for on-going projects using change requests to contractors (with the exception described under point 11). The contracting authorities responsible shall notify RB Rail of such an initiated change request.
11. In case inconsistencies with Design guidelines are identified for completed (or those in an advanced stage when changes are unreasonable or not feasible) design and/or works projects, the contracting authority(ies) in charge shall inform RB Rail of such case without undue delay. RB Rail shall engage with the contracting authority to define a clear roadmap for next steps to be taken to be approved by RB Rail.



# 3. Encoding procedure for change management

## 3.1. Change management form

Reference of the study	RBDG			
Type of document		CMP		
Document Number			0000	
Number of Revision				X0

\*0 means that a digit will be provided

\*\* X means that a letter will be provided (according to the step of the document from A to F)

## 3.2. Request for derogation form

Reference of the study	RBDG			
Type of document		RFD		
Document Number			0000	
Number of Revision				X0

\*0 means that a digit will be provided

\*\* X means that a letter will be provided (according to the step of the document from A to F)

## 3.3. Technical study by applicant

Reference of the study	RBDG			
Type of document		TSA		
Document Number			0000	
Number of Revision				X0

\*0 means that a digit will be provided

\*\* X means that a letter will be provided

## 3.4. Technical study by RB Rail

Reference of the study	RBDG			
Type of document		TSR		
Document Number			0000	
Number of Revision				X0

\*0 means that a digit will be provided

\*\* X means that a letter will be provided