# Annex to TECH-21002-CTE13-8.1

**Questionnaire concerning monitoring of implementation of the APTU and ATMF Uniform Rules by Contracting States**

Please write answers in the blue shaded rectangles alongside each question and send responses to:

[secretary.general@otif.org](mailto:secretary.general@otif.org)

Questionnaire filled out by:

|  |  |
| --- | --- |
| Name: |  |
| Position/function: |  |
| Organisation: |  |
| State: |  |

**PART 1**

**IMPLEMENTATION AND APPLICATION OF PROVISIONS OF APTU UR AND ATMF UR BY CONTRACTING STATES**

The following provisions of the APTU Uniform Rules (APTU) and ATMF Uniform Rules (ATMF) lay down obligations that are directly incumbent upon Contracting States, public bodies or state authorities and require direct and unilateral action to implement.

**Question 1**

**National technical requirements**

**Objectiv**e: assess whether for each Contracting State the Secretary General is informed of the national technical requirements applicable to railway vehicles. If there are no national technical requirements, please confirm that this is the case.

In accordance with Article 12 APTU, Contracting States have to ensure that the Secretary General is informed of their national technical requirements which apply to railway vehicles. Every time a Uniform Technical Prescription (UTP) has been adopted or amended, the Contracting State has to check whether the national technical requirements are still needed in order to ensure technical compatibility between the vehicles and its network.

All national technical requirements that have been notified to the Secretary General and meet the requirements of APTU are published on OTIF’s website.

**Is the information published on** <http://otif.org/en/?page_id=196> **complete and up-to-date?**

|  |
| --- |
| Response: |

To update or renew the information published on OTIF’s website, the Secretary General should be notified. Notification can be made in accordance with part C, point 6 of the [Guidelines on treaty acts under COTIF](http://otif.org/fileadmin/new/3-Reference-Text/3A-COTIF99/Guidelines_on_treaty_acts_under_COTIF_RGB.pdf):

<http://otif.org/fileadmin/new/3-Reference-Text/3A-COTIF99/Guidelines_on_treaty_acts_under_COTIF_RGB.pdf>

**Question 2**

**Competent authority and other entities**

**Objective:** assess whether for each Contracting State a competent authority and, where relevant, other entities have been notified and whether they comply with the independence criteria.

In accordance with Article 5 ATMF, each Contracting State has to notify the Secretary General of their competent authority, the assessing entities and, if applicable, the accreditation body or the competent national body. Assessing entities must be independent from any rail transport undertaking, infrastructure manager, keeper, entity in charge of maintenance (ECM) in accordance with Article 15 ATMF and designer or manufacturer of railway material participating directly or indirectly in the manufacture of railway material.

All competent authorities and other bodies that have been notified to the Secretary are published on OTIF’s website.

**Is the information published on** <http://otif.org/en/?page_id=200> **complete and up-to-date?**

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| --- |
| Response: |

To update or renew the information published on OTIF’s website, the Secretary General should be notified. Notification can be made in accordance with part C point 6 of the [Guidelines on treaty acts under COTIF](http://otif.org/fileadmin/new/3-Reference-Text/3A-COTIF99/Guidelines_on_treaty_acts_under_COTIF_RGB.pdf):

<http://otif.org/fileadmin/new/3-Reference-Text/3A-COTIF99/Guidelines_on_treaty_acts_under_COTIF_RGB.pdf>

**Question 3**

**Vehicle registers**

**Objective:** assess whether the data on vehicles admitted to international traffic of each Contracting State are accessible through a vehicle register.

In accordance with Article 13 ATMF, Contracting States have to ensure the availability of a vehicle register in which vehicle data can be stored and retrieved in accordance with the OTIF specifications.

Vehicle registers are intended to enable the following:

* to check whether a vehicle is duly registered and the status of the registration;
* to retrieve information on the admission to operation, including the authorising entity, the area of use, the conditions for use and other restrictions;
* to identify the type of construction according to which the vehicle is built;
* to identify the keeper, the owner and the entity in charge of maintenance.

Furthermore, in accordance with Article 6 of the OTIF specifications for vehicle registers (<http://otif.org/fileadmin/new/3-Reference-Text/3D-Technical-Interoperability/3D1-Prescriptions-and-other-rules/Vehicle-registers-2021_e%20In-force.pdf>), each Contracting State has to designate a Registration Entity and notify the Secretary General without delay of the location of the vehicle register and how to request access rights to it.

**Has a vehicle register fulfilling the requirements been established or is such a register being established?**

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| Response: |

**Does a Registration Entity exist? If so, please provide contact details.**

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| Response: |

**How can access to the register be requested?**

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| Response: |

**Question 4**

**Accidents, incidents and severe damage reporting**

**Objective:** assess whether the requirements of Article 16 ATMF are relevant and whether it is necessary to revise them.

In accordance with Article 16 § 4 ATMF, Contracting States should inform the Organisation of the causes of accidents, incidents and severe damage in international traffic that have occurred on their territory. On the basis of the information, the Committee of Technical Experts may take action, including instructing Contracting States to suspend the Certificate of Operation of a vehicle or vehicle type.

In practice, Contracting States are not sharing their reports and findings related to accidents, incidents and severe damage in accordance with Article 16 § 4 ATMF.

**Please indicate if the requirement of Article 16 § 4 ATMF is relevant and, if so, how Contracting States could be encouraged to share the required information, for example by actively requesting it?**

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| Response: |

**PART 2**

**QUANTITATIVE MEASURE OF RELEVANCE OF APTU UR AND ATMF UR**

**Objective:** assess the extent of application of APTU, ATMF, their Annexes and UTPs.

**Please answer the questions below by typing in the blue rectangles. If no exact numbers are available, please provide an estimate and indicate between brackets that it is an estimate.**

**Question 5**

**Freight wagons**

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| a) Number of freight wagons registered in your state which are used in international traffic: |
| Response: |
| b) Of these freight wagons, how many are suitable for free circulation (this concerns freight wagons for which the vehicle number in accordance with the UTP Marking starts with digit 0, 1, 2 or 3): |
| Response: |
| c) Of the freight wagons referred to under a), how many are not suitable for free circulation (this concerns freight wagons for which the vehicle number in accordance with the UTP Marking starts with digit 4 or 8): |
| Response: |
| d) Of the freight wagons referred to under a), the number that were admitted to international operation on the basis of APTU and ATMF (this should concern freight wagons admitted after December 2012, as from then a complete set of UTPs for freight wagons was available): |
| Response: |

**Question 6**

**Locomotives and passenger rolling stock**

|  |  |
| --- | --- |
| a) The number of locomotives or passenger rolling stock registered in your state which are used in international traffic. Please specify the number of vehicles per category (e.g. thermal/electric locomotive, passenger coach, thermal/electrical trainset): | |
|  | Responses: |
| Thermal (e.g. diesel) locomotive: |  |
| Electric locomotive: |  |
| Passenger coach: |  |
| Thermal (e.g. diesel) trainset: |  |
| Electric trainset: |  |
| Other (please specify): |  |
| b) Of these vehicles, the number of RIC passenger coaches that are suitable for free circulation (these are coaches admitted before 1.1.2011 in accordance with the provisions of Article 19 § 2 of ATMF): | |
| Response: | |
| c) Of the vehicles referred to under a), the number that were admitted to international operation on the basis of APTU and ATMF (this should only concern vehicles admitted after January 2015, as from then a complete set of UTPs for locomotives and passenger rolling stock was available): | |
| Response: | |

**Question 7**

**Traffic between EU and non-EU ATMF Contracting States**

Article 3a ATMF lays down the interactions between ATMF and other international agreements, and more specifically the interaction with European Union law. If the conditions in Article 3a ATMF are fulfilled, vehicles authorised according to European Union law are deemed admitted to operation in accordance with ATMF and vice versa.

**For ATMF Contracting States which are also Member States of the European Union, please indicate the number of vehicles registered in your state that are (also) used in international traffic beyond the European Union.**

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| Response: |

**For ATMF Contracting States which are not Member States of the European Union, please indicate the number of vehicles registered in your state that are (also) used in international traffic into the European Union.**

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| Response: |

**For all ATMF Contracting States, please specify the number of vehicles per category that are used between EU and non-EU ATMF Contracting States.**

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|  | Responses: |
| Thermal (e.g. diesel) locomotive: |  |
| Electric locomotive: |  |
| Passenger coaches: |  |
| Thermal (e.g. diesel) trainset: |  |
| Electric trainset: |  |
| Other (please specify): |  |

**PART 3**

**PERCEIVED RELEVANCE OF APTU UR AND ATMF UR**

**Question 8**

**Relevance of APTU and ATMF for international traffic**

**Please indicate the perceived relevance of APTU, ATMF and their Annexes and UTPs together. If possible, please also provide comments to explain your response.**

Please use a scale from 1 (totally irrelevant) to 10 (extremely important).

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| a) for international freight traffic |
| Score (1-10):  Explanation: |
| b) for international passenger traffic |
| Score (1-10):  Explanation: |

**Question 9**

**Relevance of the Annexes and UTPs for international traffic**

**Please indicate the perceived relevance of the following. If possible, please also provide comments to explain your response.**

Please use a scale from 1 (totally irrelevant) to 10 (extremely important).

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| --- |
| a) Uniform technical prescriptions (UTPs) |
| Score (1-10):  Explanation: |
| b) Procedures for the admission of vehicles |
| Score (1-10):  Explanation: |
| c) Specifications for vehicle registers |
| Score (1-10):  Explanation: |
| d) Transparency of national technical requirements for vehicles |
| Score (1-10):  Explanation: |
| e) Mutual recognition of entity in charge of maintenance (ECM) certificates (Annex A to ATMF) |
| Score (1-10):  Explanation: |
| f) Equivalence between EU rules, such as TSIs and COTIF rules, such as UTPs |
| Score (1-10):  Explanation: |

**Question 10**

**Future development of APTU, ATMF and their Annexes and UTPs**

**What should be the main focus of future developments of APTU, ATMF and their Annexes and UTPs to make them more relevant?**

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| Response: |

**Question 11**

**Role of the OTIF Secretariat**

**How could the OTIF Secretariat support the Contracting States better in the application of COTIF and involve them more in further development of COTIF?**

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| Response: |

**Question 12**

**Any other remarks**

**Are there any other remarks which may be relevant with regard to the next steps for monitoring and assessment of the implementation of APTU, ATMF and their Annexes and UTPs?**

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| Response: |

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