



Organisation intergouvernementale pour les transports internationaux ferroviaires

Zwischenstaatliche Organisation für den internationalen Eisenbahnverkehr


Intergovernmental Organisation for International Carriage by Rail

Uniform Technical Prescription

General Provisions
TECHNICAL FILE

UTP GEN-C 2015x

Applicable from 1xx.xx4.2015x

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APTU Uniform Rules (Appendix F to COTIF 1999)

Uniform Technical Prescriptions (UTP) General Provisions

TECHNICAL FILE

Explanatory note:

The texts of this UTP which appear across two columns are identical to corresponding texts of the European Union regulations. Texts which appear in two columns differ; the left-hand column contains the UTP regulations, the right-hand column shows the text in the corresponding EU regulations. The text in the right-hand column is for information only and is not part of the OTIF regulations.

1. GENERAL PROVISIONS¹

The technical file must contain all the necessary documents relating to the characteristics of the subsystem and, where appropriate, all the documents certifying conformity of the interoperability constituents. It should also contain all the elements relating to the conditions and limits of use and to the instructions concerning servicing, constant or routine monitoring, adjustment and maintenance.

2. DETAILED REQUIREMENTS TO THE TECHNICAL FILE

The technical file

as defined in ATMF Article 2(ee),

accompanying the “EC” declaration of verification

~~must contain~~ shall be assembled by the applicant and must contain the following:

(a) technical characteristics linked to the design including general and detailed drawings with respect to execution, electrical and hydraulic diagrams, control-circuit diagrams, description of data-processing and automatic systems to the level of detail sufficient for documenting the verification of conformity carried out, documentation on operation and maintenance, etc., relevant for the subsystem concerned;

(b) a list of;

elements of construction, as defined in ATMF Article 2(g), also referred to as constituents,

interoperability constituents, ~~as~~ referred to in point (d) of Article 4(3) Article 5(3)(d),

incorporated into the subsystem;


(c) the files referred to in

ATMF Article 10 § 6,

Article 15(4).

compiled by each of the

¹ For the full width and the right-hand column the corresponding text in the EU regulations is Section 2.4 of Annex ~~VII~~ to Interoperability Directive 2008/57/EC, published in the EU Official Journal L 191, 18.07.2008, as amended by the Directive 2011/18/EU, published in the EU Official Journal L 57, 02.03.2014, (EU) 2016/797 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 May 2016 on the interoperability of the rail system within the European Union

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assessing entities

notified bodies

involved in the verification of the subsystem, which shall include:

- copies of the

“EC”

declarations of verification conformity

. if such declarations have been issued ²,

and ₂ where applicable,

“EC”

declarations of suitability for use established for

~~of the constituents, if existing elements of construction referred to in ATMF Article 2(g)~~

~~with which the abovementioned constituents must be provided in accordance with Article 13 of the Directive, interoperability constituents referred to in point (d) of Article 4(3)~~

and accompanied, where appropriate, by the corresponding calculation notes and a copy of the records of the tests and examinations carried out by the

assessing entities;

notified bodies

on the basis of ~~the basis of the~~ common technical specifications,

- where available,

~~where available,~~

Intermediate Statements of Verification (ISV) issued by an assessing entity competent for the assessment of subsystems.


the ~~“EC”~~ ISV ~~certificate(s)~~

~~and, in such a case, where relevant~~

~~the UTP declaration(s) of intermediate statement of verification (ISV)~~

the ~~“EC”~~ ISV ~~declaration(s)~~

² In accordance with UTP GEN-D, a declarations of verifications may be drawn up on a voluntary or mandatory basis, depending on the applicable law in the Contracting State.

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that accompany the certificate of verification, including the result of verification by the
~~the UTP Certificate of verification~~ | ~~the “EC” certificate of verification,~~
~~including the result of verification~~
~~by the~~ assessing entity | ~~by the~~ notified body
of the ISV certificate’s validity,

- the certificate of verification, accompanied by corresponding calculation notes and signed by the

~~— Certificate of verification~~ | ~~— “EC” certificate of verification~~
~~accompanied by corresponding calculation notes and signed by the~~
~~assessing entity,~~ | notified body

responsible for the verification, stating that the subsystem complies with the requirements of the relevant

~~verification of the subsystems~~ | ~~“EC” verification~~
~~stating that the subsystem complies with the requirements of the relevant~~

UTP(s), and if appropriate RID, | TSI(s)


and mentioning any reservations recorded during performance of the activities and not withdrawn; the certificate of verification should also be accompanied by the inspection and audit reports drawn up by the same

~~Certificate of verification~~ | ~~“EC” certificate of verification~~
~~should also be accompanied by the inspection and audit reports drawn up by the same~~

assessing entity, regarding audits related to the building process at the manufacturer. | body in connection with its task as specified in Sections points 2.5.32 and 2.5.4.3;

~~— Relevant statements and certificates related to compliance with international regulations other than UTPs.~~ | ~~— “EC” certificates issued in accordance with other legislation deriving from the Treaty;~~

~~— Certificate of verification of a subsystem and the accompanying documentation in the case of applicable national rules.~~ | ~~(Section 3.3. Technical file)~~
~~The technical file accompanying the certificate of verification in the case of national rules must be included in the technical file referred to in point 2.4 and shall contain the technical data relevant for the assessment of the conformity of the sub-~~

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~~system with the national rules.²~~

~~(d) certificates of verification issued in accordance with other~~

~~provisions in force in the State of application;~~

~~legal acts of the Union;~~

~~(e) when verification of safe integration is required pursuant~~
~~when safe integration is required pursuant~~

~~to UTP GEN-D section 5 and UTP GEN-G~~

~~Commission Regulation (EC) No 352/2009³ to in point (c) of Article 18(4) and in point (c) of Article 21(3)~~

~~the applicant shall include in the the relevant technical file shall include the assessors' report(s) on the Common Safety Methods (CSM)s on risk assessment~~

~~.~~

~~referred to in Article 6(3) of Directive 2004/94/EC.~~

³ published in the EU Official Journal L 108, 22.4.2009, p 4.