



Organisation intergouvernementale pour les
transports internationaux ferroviaires

Zwischenstaatliche Organisation für den
internationalen Eisenbahnverkehr

Intergovernmental Organisation for
International Carriage by Rail


Uniform Technical Prescriptions

General Provisions

TECHNICAL FILE

UTP GEN-C
Consolidated version

Applicable from xx.xx.201x

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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

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, referred to in point (d) of Article 4(3),

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 IV to Interoperability Directive (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 conformity

, if such declarations have been issued ²,

and, where applicable,

“EC”

declarations of suitability for use established for

elements of construction referred to in
ATMF Article 2(g)

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 common technical specifications,

- where available,

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

the ISV

that accompany the certificate of verification, including the result of verification by the

assessing entity

notified body


of the ISV validity,

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

assessing entity

notified body

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

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responsible for the 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

assessing entity, regarding audits related | body in connection with its task as specified
to the building process at the | in points 2.5.2 and 2.5.3;
manufacturer.

(d) certificates of verification issued in accordance with other
provisions in force in the State of | legal acts of the Union;
application;

(e) when verification of safe integration is required pursuant
to UTP GEN-D section 5 and UTP | to in point (c) of Article 18(4) and in point
GEN-G | (c) of Article 21(3)

the relevant technical file shall include the assessors' report(s) on the CSMs on risk assessment

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