



The technical Appendices to COTIF  
**International admission and use of rail vehicles**

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Part 1

# Admission of rail vehicles and their use and exchange in cross-border traffic

Principles



# APTU and ATMF: Important principles and aims

## International harmonisation

- Develop and adopt harmonised technical requirements for the admission of vehicles to international traffic

## Separation of powers

- Set the competence for approving vehicles at government level (not railway companies)

## International admission of vehicles

- A vehicle approved by one Contracting State can be used internationally

## Definition of responsibilities

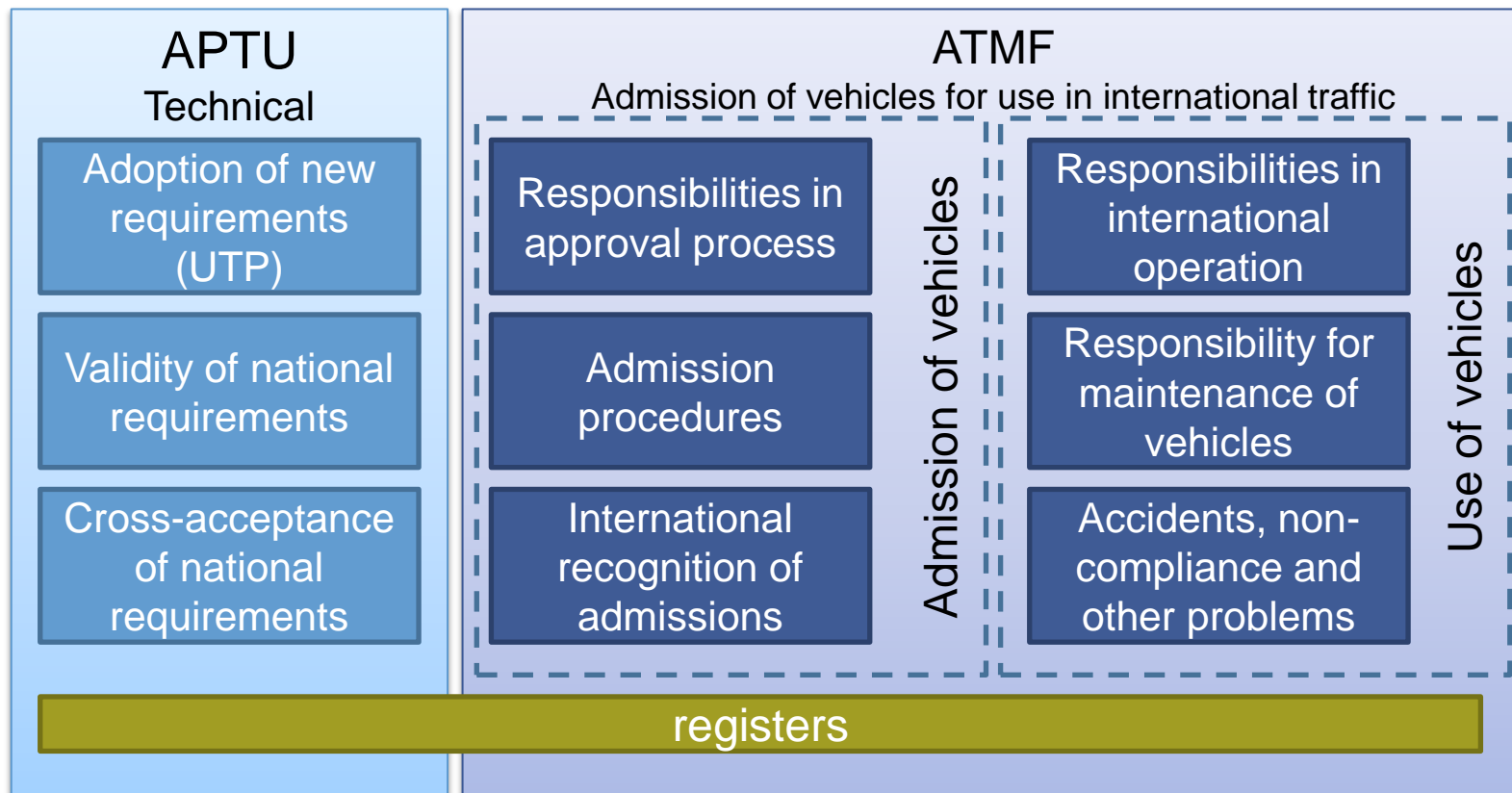
- Definition of responsibilities for the use of vehicles; in particular for railway undertakings (RU), entities in charge of maintenance (ECM) and keepers

## Equivalence with EU

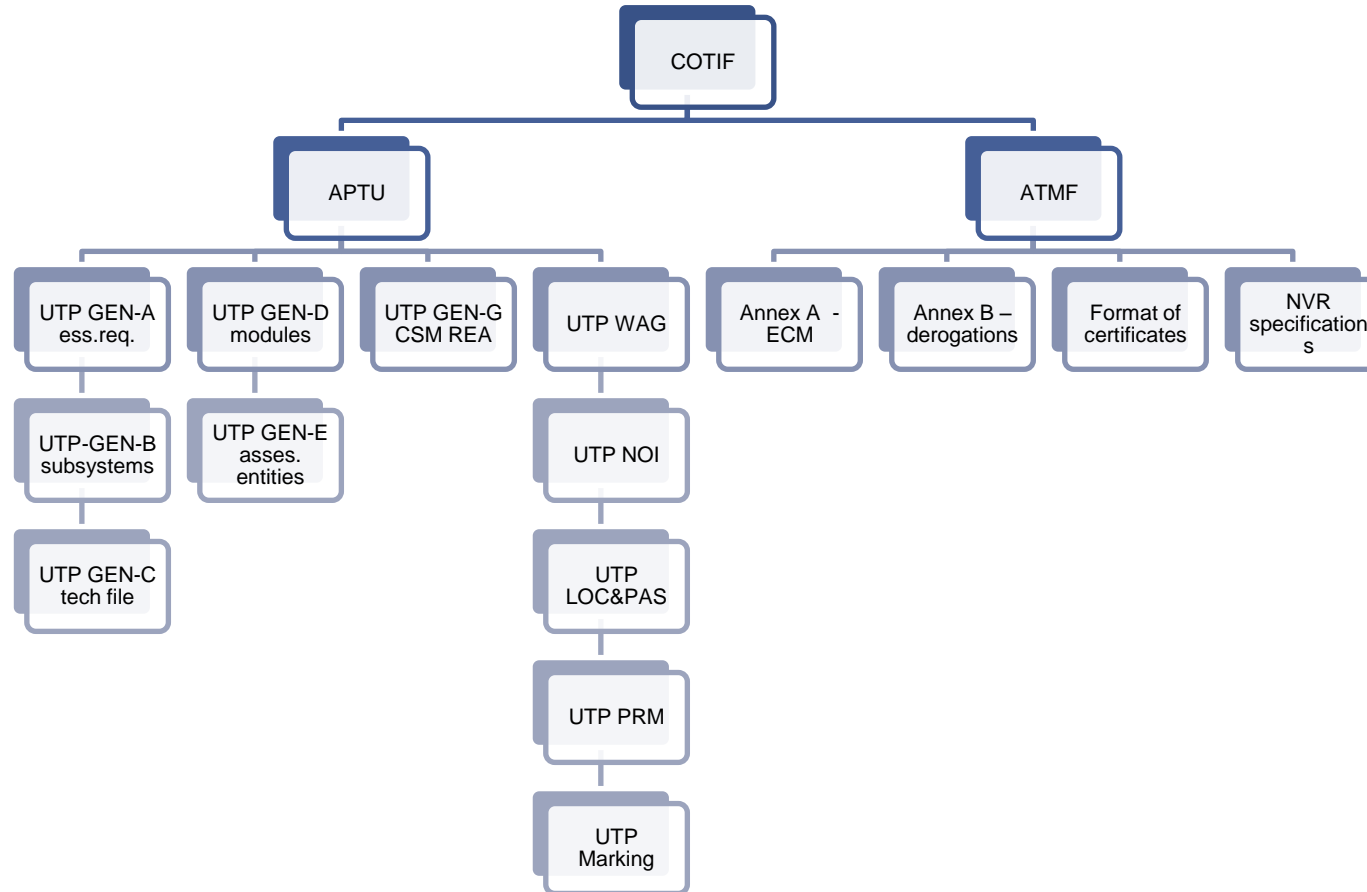
- Establish compatibility with EU railway regulations for all of the above

# APTU and ATMF

## Summary of scopes

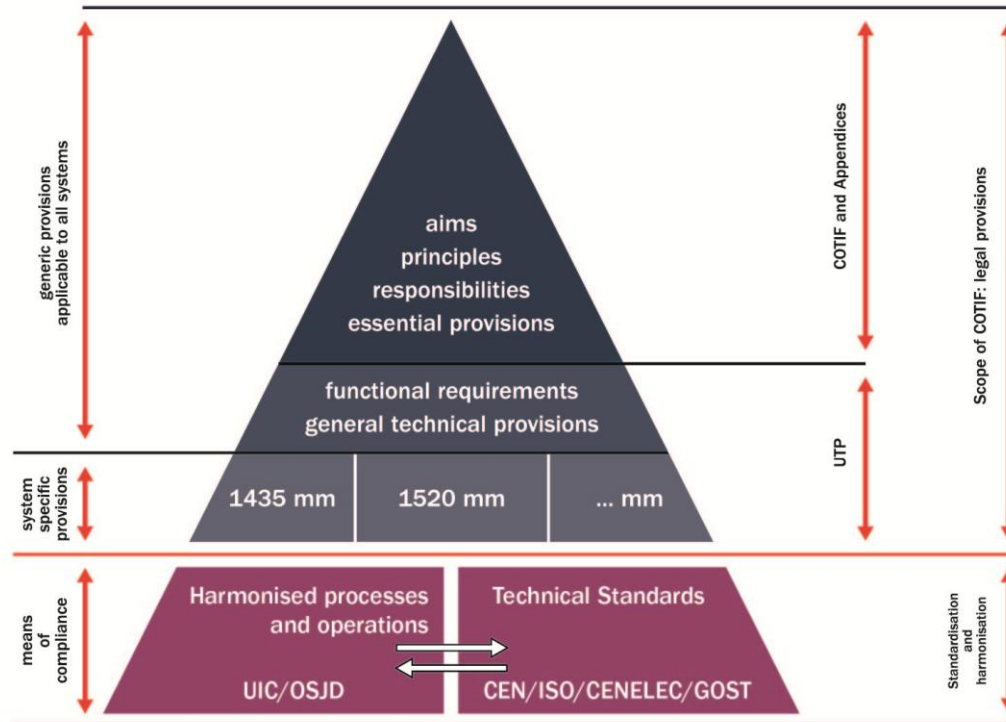


# APTU and ATMF: technical Appendices and their subsidiary rules



# Legal pyramid

## Structuring principle of the Convention, regulations and standards



The UTP/TSI set as many functional requirements as possible, leaving room for innovation and business choices.

However, at the level of interfaces, detailed technical solutions are required.

Standardisation is the task of standardisation bodies such as ISO, CEN, CENELEC.

Additional harmonisation may be decided at the business level, e.g. UIC.

An aerial view of a large railway station with multiple tracks and high-speed trains. The station has a complex network of tracks and a large, modern building with a glass facade. The image is overlaid with a blue semi-transparent filter.

Part 2

# Operational actors and their responsibilities in the international use of vehicles

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## COTIF provisions related to the vehicle and its use

As defined in ATPU and ATMF

COTIF/UTP vehicle requirements which allow compliant vehicles to be used in international traffic:

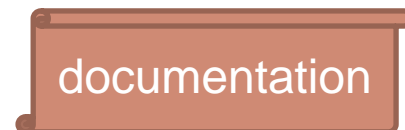
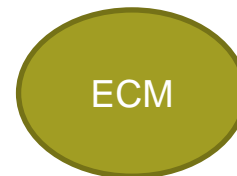
- Vehicle **technical requirements** set out in TSI/UTP related to rolling stock (WAG/LOC&PAS/PRM)
- Vehicle **marking**

Provisions which concern the 'ecosystem' of the vehicle:

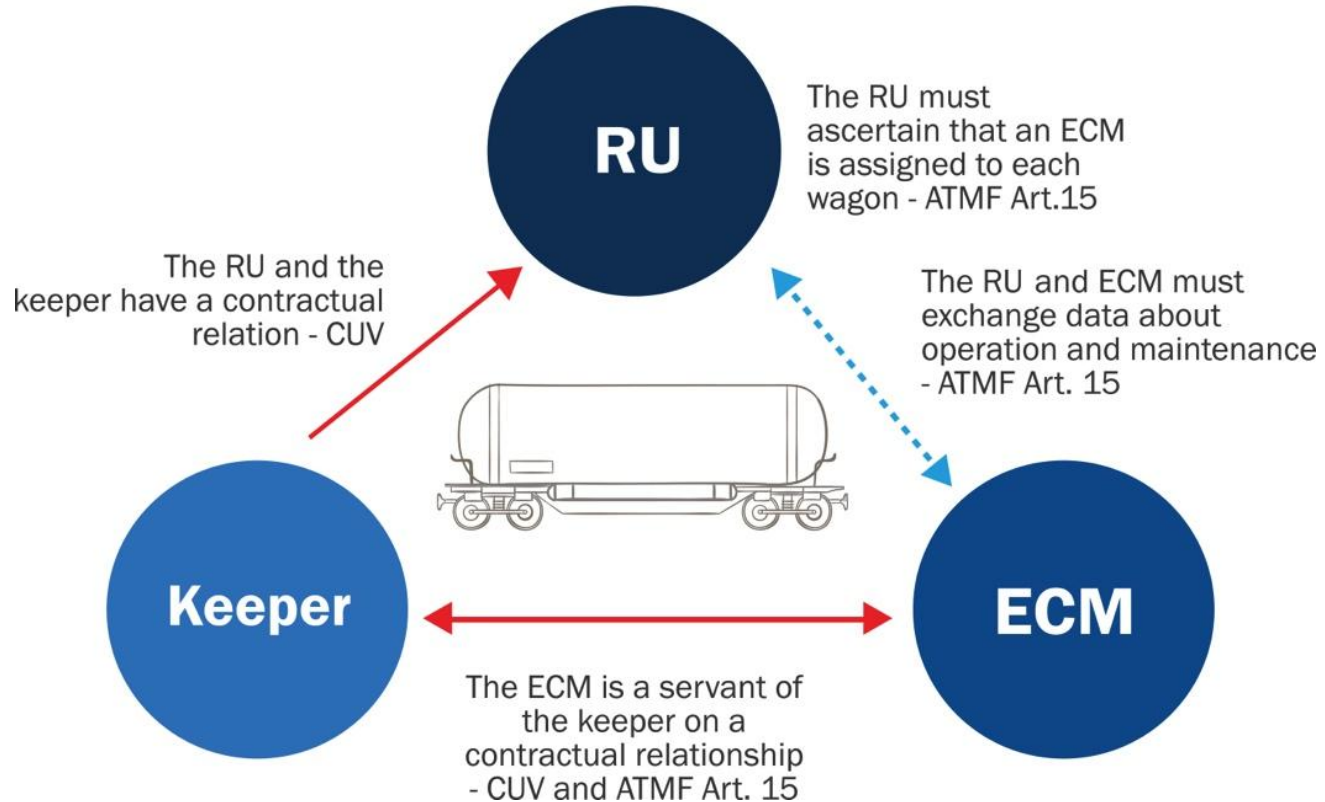
- ECM for **maintenance**
- **Documentation** such as the technical file
- **Information exchanges** between keeper, ECM and railway undertakings

Provisions which concern the **correct use** of the vehicle:

- Requirements related to train composition, conditions and limits of use of vehicles, etc., as set out in the TSI OPE, for example



# Principle relations and tasks for the exchange of vehicles



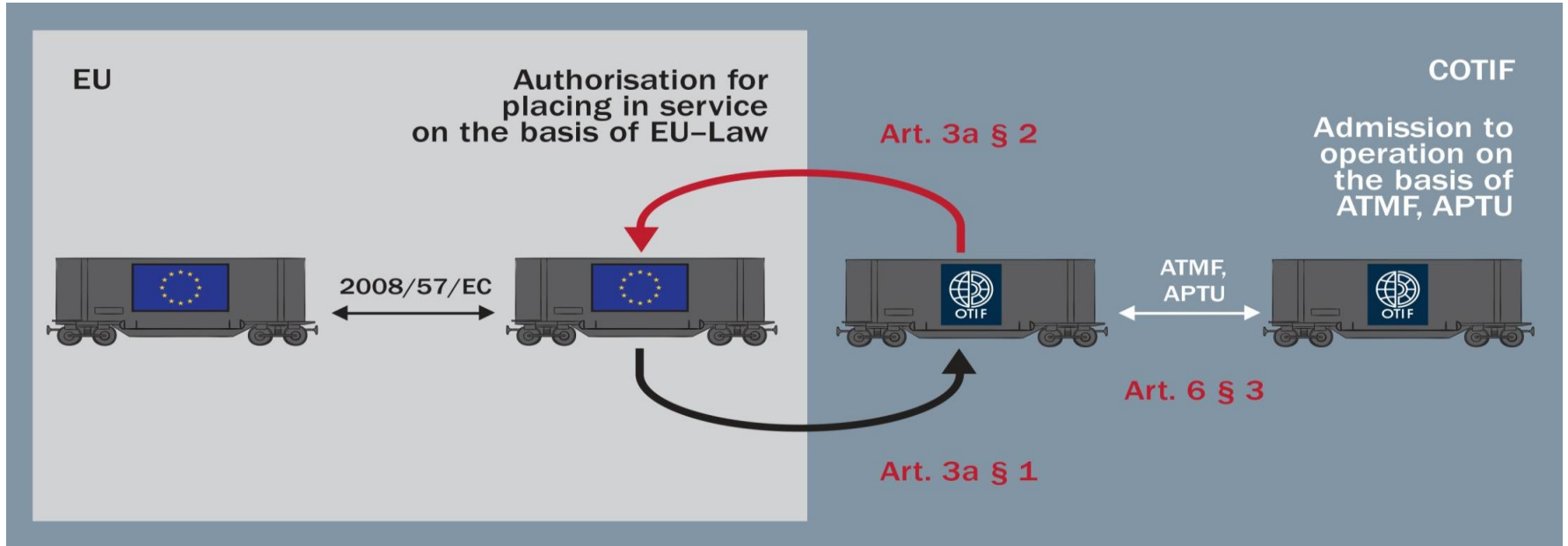
Part 3

# Equivalence with EU provisions



# Equivalence principle

Vehicle admission according to ATMF Articles 3a and 6





Name

TSI – Technical Specification for Interoperability

UTP – Uniform Technical Prescription

Application for vehicles

Mandatory to comply with before selling or using a new railway product on the EU market

Compliance not mandatory in itself

Compliance with UTP results in the right to admit or use a vehicle in international traffic

Treatment of interoperability constituents

IC are assessed separately, so they can be marketed in the EU

Depending on applicable national law, IC may also be assessed as part of the subsystem.  
(COTIF is not a market regulation)

# Conceptual differences

## Between COTIF and the EU operational safety provisions



### Safety and Interoperability in a single system

- Responsibilities for safe operation for the **system** shared by IM and RU (plus tasks and responsibilities attributed to other actors, such as ECM)
- Safety Management Systems for RU and IM
- Roles and duties of authorities (NSA, NIB)
- Common Safety (levels) Targets
- Interface arrangements between RU and IM set out in operational provisions (OPE TSI)



### Exchange of vehicles between different networks

- Applies to international rail traffic → interface between different rail systems
- Provisions for the admission and use of vehicles
- Harmonised conditions under which the vehicles can be used and trains can be operated in different railway networks
- Overall safety management not in scope of COTIF

EU has a **risk-based system approach**, where RU and IM share the responsibility of safe operation and each of them must have an SMS.

COTIF is **rule-based** and works on the concept that **compliant vehicles** can be operated in different (national/regional) railway networks.

The background image shows a truck with a large cylindrical tank, likely a tanker, stopped at a toll booth. The truck is positioned on a road, and the toll booth structure is visible in the foreground. The entire image is overlaid with a semi-transparent red color. The truck's license plate is visible and reads 'WKSX 30680'.

Part 4

# Vehicle admission

Tasks, responsibilities and procedures

A decorative horizontal bar consisting of five colored segments: blue, red, yellow, white, and purple.



## APTU and ATMF

### Required division of competences

- Member States of OTIF that apply ATMF are required to have:
  - **A competent authority**
- And may designate, recognise or accredit:
  - **An assessing entity**
  - **An ECM Certification body**
  - **CSM assessment body**
- Or make use of the latter services from entities in other Member States



# Main actors for verification, admission and operation

## Verification

### Applicant

- Entity that asks for the Certificate to operation for a vehicle
- Not defined which entity; could be RU, manufacturer, or other entity.

### Assessing entity

- Entity that performs the conformity assessment of a vehicle

### Manufacturer

- The end responsible for the design and production of a vehicle

## Admission

### Competent authority

- Government body that issues Certificates of Operation
- Supervises activities of all actors

## Operation

### Keeper

- Holds the Certificate of Operation
- Designates an ECM

### Railway undertaking

- Is responsible for the correct use of the vehicle
- Provides the ECM with information on the operation of the vehicle

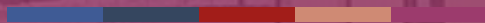
### ECM

- Ensures that the vehicle is in a safe state of running

Part 5

# Interoperability: the cross-border operation of trains

The next step for COTIF?



# What is a train

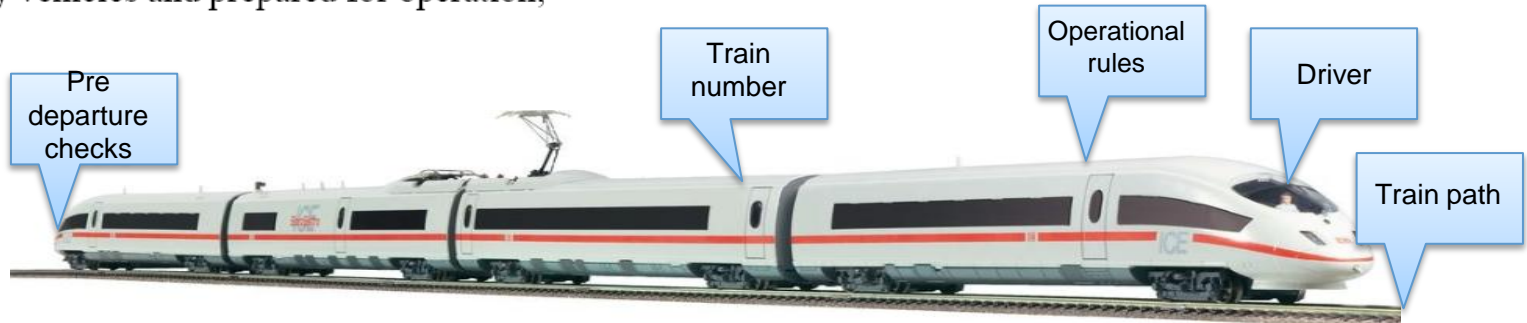
## The difference between a railway vehicle and a train

- w) “railway vehicle” means a vehicle suitable to circulate on its own wheels on railway lines with or without traction;

Vehicles, e.g.:

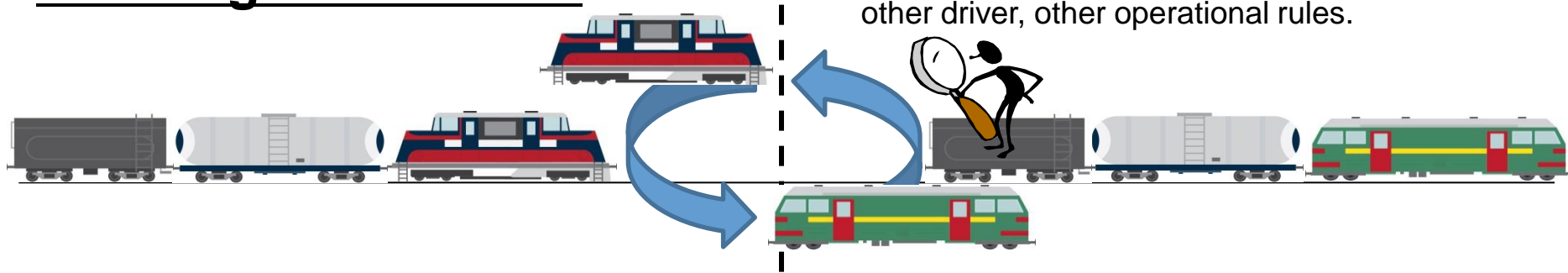
- Locomotive
- Freight wagon
- Passenger coach
- Train sets

- ee1) “Train” is a formation provided with traction, consisting of one or more railway vehicles and prepared for operation;



# Operational concepts for international rail traffic

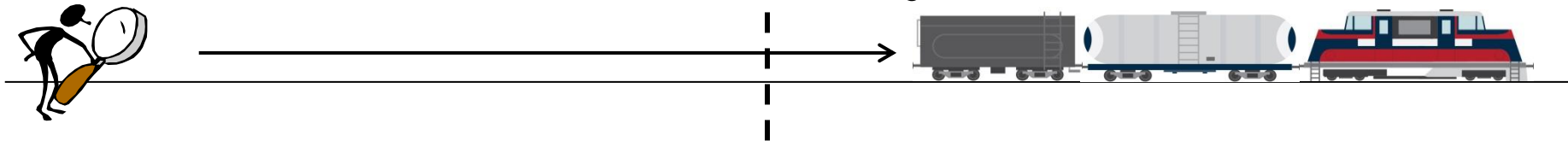
## Exchange of vehicles



Reconfiguring and preparation of train at border crossing station; other locomotive, other driver, other operational rules.

## Interoperability

Train preparation at point of departure



Uninterrupted train movement across border, without changing train configuration or driver

# The four levels of international railway regulation

<p>4</p>	<p><b>Market regulation</b></p> <p>The conditions under which a State provides access for foreign railway undertakings to operate trains Can e.g. be based for market opening and competition, but also e.g. for reciprocity and cooperation Market regulation is <u>not in the scope of COTIF</u></p>
	<p>3</p> <p><b>Interoperability: the cross-border operation of trains</b></p> <p>Ensure that trains can be operated across borders without technical or operational barriers Means that a national infrastructure manager accepts foreign railway undertakings on its network Requires harmonised interfaces between infrastructure operation and train operation</p>
<p>2</p>	<p><b>Admission of rail vehicles and their use and exchange in cross-border traffic</b></p> <p>Ensure that rail vehicles can be operated across borders CUV: Contractual provisions between keeper and carrier APTU and ATMF: requirements and responsibilities for the construction, approval and maintenance of vehicles</p>
	<p>1</p> <p><b>International carriage of goods or passengers by rail</b></p> <p>Provide confidence for passengers and freight customers to use rail transport Contractual law CIM and CIV – contractual relations between carrier and their customers Regulations concerning the carriage of dangerous goods (RID)</p>

Part 6

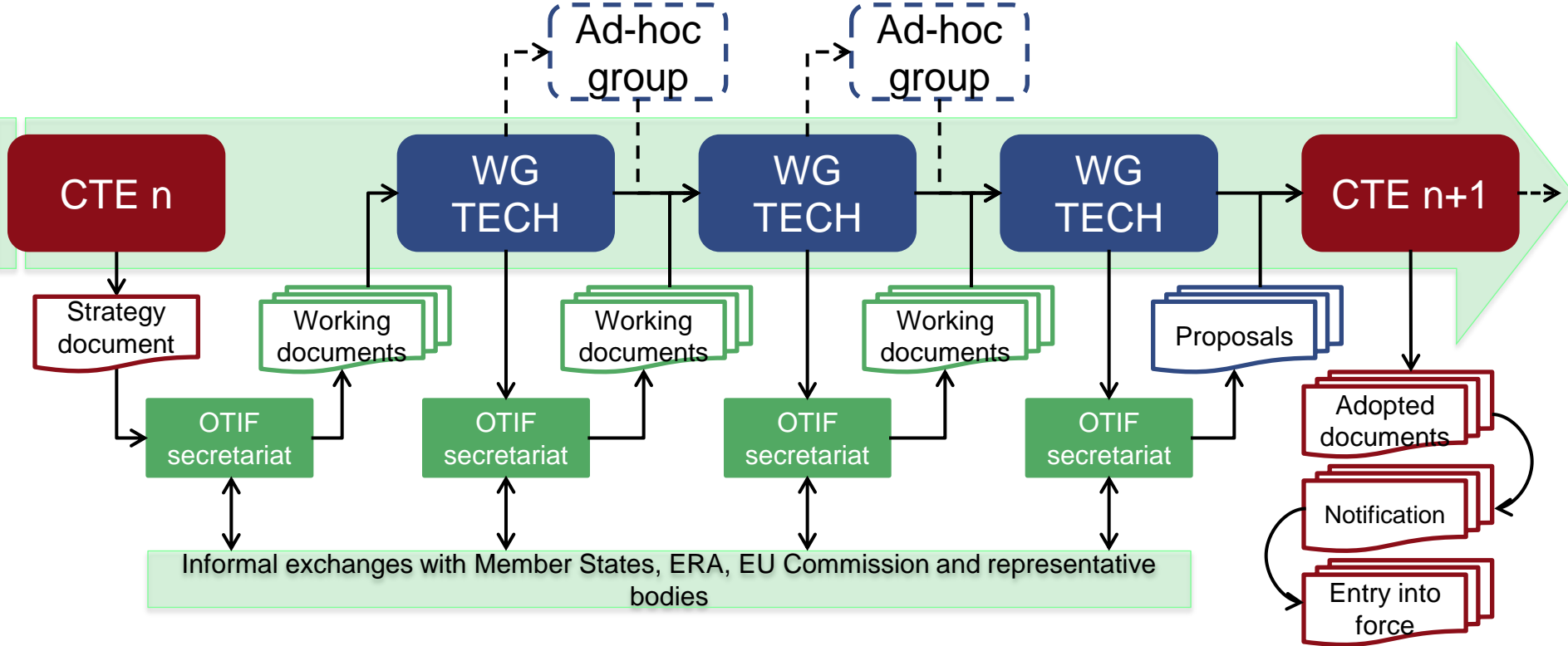
# Committee of Technical Experts

Workflow for the development of rules



# Working process of the CTE

Next CTE meeting 7 and 8 June 2016 in Bern



Thank you for your attention

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Organisation intergouvernementale pour les transports internationaux ferroviaires  
Zwischenstaatliche Organisation für den internationalen Eisenbahnverkehr  
Intergovernmental Organisation for International Carriage by Rail

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