Item 7

4th Session of the Committee of Technical Experts
Berne, 14 - 15 September 2011

Uniform format of certificates
(Design Type Certificate & Certificate of Operation)

Status: PROPOSAL
According to Article 12 § 1 of the revised Appendix G (ATMF) of the Convention, which entered into force on 1 December 2010, the Committee of Technical Experts shall adopt and prescribe the uniform formats of certificates which verify the technical admission of a vehicle or of a type of vehicle.

The formats of the “Certificate of Operation” and of the “Design Type Certificate” are annexed to this document.

After the entry into force of this regulation, only these uniform certificate formats shall be used by the Contracting States when they issue technical admissions in accordance with COTIF 1999, i.e. for vehicles admitted to international traffic between the OTIF Contracting States.

This regulation is not mandatory for authorisation of vehicles which are restricted to domestic traffic or restricted to traffic between the Member States of the European Union. However, the formats may also be used for such vehicles provided they fully meet the COTIF regulations.

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The Certificate of Operation and the Design Type Certificate are legal documents giving proof of a technical admission in accordance with the COTIF convention.

The Certificate of Operation with its annexes shall be issued to the applicant, but in case that the applicant is not the registered keeper, it shall be handed over to the registered keeper before the vehicle starts its operations. If there is a later change of keeper, the former keeper shall hand over the Certificate to the new registered keeper without delay.

The Design Type Certificate shall be issued to the applicant and remain with him.

If the regulations on the basis of which a Design Type Certificate has been granted have been changed, a Design Type Certificate can, in accordance with APTU Article 10 § 10, loose its validity in spite of an “until date” or no “until date” is indicated in the certificate.

In the case of misuse, unauthorised used of the formats or even fraud, this should be reported without delay to the Secretary General; if fraud is suspected, it should be prosecuted by the State where the fraud has taken place.

**Rules for the use of the uniform formats:**

**Obligatory fields:**

All fields are obligatory, except if the field title begins with “If” or include the wording “(if any)”.

In fields and “tick boxes” which are not used shall be written “---” (three hyphens); in a “tick box” which applies shall be written “X” (capital X).

**Data formats:**

- Dates shall be written using this format: dd.mm.yyyy;
- If two dates indicate an interval, both dates shall be considered as included;
- EIN (European identification number), see Appendix 2 of document A 94-20/3.2011 concerning National Vehicle Registers;
- State names shall be written in full text and NOT as abbreviations;
- Vehicle identification: the unique 12 digit vehicle number shall be used;
- Type identification: the unique 12 digit vehicle number of the prototype or a unique name used by the applicant shall be used
Group of vehicles:
If a single certificate is issued for a group of vehicles, the unique vehicle numbers must be consecutive in the serie (of course the check digit may vary according to the rules for check digits). The first and last number in the serie shall be indicated.

Category and index
As specified for freight wagons in the section PP.12 of annex UTP WAG-PP. For other vehicles, see TSI OPE Annex P.

Corrections:
Corrections may not be made to the Certificate, neither before nor after the issue. In the case of a typing error by the preparation of the certificate, a new clean certificate should be prepared.

Annexes to a certificate concerning additional admissions from other Contracting States may be added also after the issue of the Certificate.

Lacking space in a field:
If there is not sufficient space in a text field, an annex with the full text should be added to the certificate; the annex should be given a number according to the rules below and a reference to that annex should be made in the field in question.

Language in text fields:
The language shall be the same as the certificate format used, i.e. English, French or German.

Annexes to the certificate:
All annexes shall bear a reference to the certificate of which they are annexed. The reference shall be the EIN followed by a hyphen and the number of the annex.
Example: CH 53 2011 0004 – 3, i.e. annex 3 (the technical file) of the 4th Certificate of Operation to a freight wagon (53) issued by Switzerland (CH) in the year 2011.

All annexes must also bear the stamp or seal of the issuing authority and be signed by a competent authority staff member.

All pages in an annex must bear a page number indicating the current page and the total number of pages in the annex: Example 3/15, where 15 is the total number of pages in the annex. The page numbers shall be consecutive in order that it can be seen if a page is added or removed later.

The applicant for the certificate must provide the informations and documents (certificates, declarations, quality management approvals, etc.) required to be included in the annexes 1-4. The additional admitting Contracting States shall communicate to the certificate issuing authority the evidence of their admissions (including possible restrictions, conditions.) to be included as annex 5.

Design Type Certificate – Identification of the type
If the prototype has no vehicle number, the 4 digit numerical code XXXX for the category and index of vehicles of this type should be indicated as in this example: •• XXXX ••••

Other identification of the type: This can be a name for the type (project) used by the applicant.
CERTIFICATE OF OPERATION

proving that this vehicle has been technically admitted according to COTIF 1999 (APTU & ATMF)

TYPE OF VEHICLE:  
Freight wagon ☐  Carriage ☐  Locomotive ☐  Trainset (passenger) ☐  Other ☐

CERTIFICATE ID:  (EIN format) __________________________

Identification of the vehicle(s):
Unique vehicle number __________________________
If group of objects, until number __________________________

Category and index (e.g. Hbis) __________________________

Registered in NVR on date: __________________________

If this Certificate is based on a Design Type Certificate, its ID: __________________________

APPLICANT:
Name __________________________  Phone __________________________ (incl. international prefix)
Address __________________________  Fax __________________________
Post code __________________________  www (web) __________________________
City __________________________  e-mail __________________________
Country __________________________  application reference __________________________
Business No. __________________________

REGISTERED KEEPER:  (at the time of issue)
Name __________________________  Phone __________________________ (incl. international prefix)
Address __________________________  Fax __________________________
Post code __________________________  www (web) __________________________
City __________________________  e-mail __________________________
Country __________________________
Business No. __________________________  VKM __________________________

REGISTERED ENTITY IN CHARGE OF MAINTENANCE (ECM):  (at the time of issue)
Name __________________________  Phone __________________________ (incl. international prefix)
Address __________________________  Fax __________________________
Post code __________________________  www (web) __________________________
City __________________________  e-mail __________________________
Country __________________________  If a freight wagon: ECM certificate ID __________________________
Business No. __________________________

MANUFACTURER (of the assembly)
Name __________________________  Phone __________________________ (incl. international prefix)
Address __________________________  Fax __________________________
Post code __________________________  www (web) __________________________
City __________________________  e-mail __________________________
Country __________________________  If a freight wagon: ECM certificate ID __________________________
Business No. __________________________

OPERATING LIMITATIONS (if any):
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
CERTIFICATE OF OPERATION

CONDITIONS FOR THIS CERTIFICATE (if any):

________________________________________________________________________________________

OBLIGATORY ANNEXES: (integrated parts of the certificate)

(Each of the annexes must be clearly marked with the applicants application reference, the ID of this certificate and must be stamped and signed by the certificate issuing competent authority)

1. Name and full address of the designer(s) and manufacturer(s) of parts of the assembly
2. A list of the assessing entities and the assessment modules applied
3. The Technical File (with the content specified in UTP GEN-C)
4. Signed copies of related certificates and declarations (verifications of conformity with UTP and applicable national rules), the quality management system approval (if any) and assessment reports insofar these documents are not included in or annexed to the Technical File
5. Signed copies of the additional admissions of this vehicle issued by other Contracting States

REMARKS (if any):

________________________________________________________________________________________

________________________________________________________________________________________

________________________________________________________________________________________

If this Certificate is issued due to a renewal, upgrade or re-registration of the vehicle, reference to the previous Certificate of Operation:

Date:  Issuing State:  ID:

________________________________________________________________________________________

VALIDITY:

This certificate grants circulation on the territories of the following OTIF Contracting States:

FROM DATE:  UNTIL DATE:  IN

ALL OTIF Contracting States (ATMF Art 6 § 3), i.e. TEN marked []

or in the OTIF Contracting State(s) indicated in the NVR (ATMF Art 6 § 4), i.e. grid marked []

Note: The indications in the national vehicle register (NVR) are according to ATMF Article 13 § 6 only “prima facie” evidence; the formal evidence are the annexed copies of the additional national admissions as required above

ISSUING COMPETENT AUTHORITY:

Name  Phone  (incl. international prefix)
Address  Fax  
Post code  www (web)  
City  e-mail  
Country

DATE:  Authority’s official stamp or seal:

SIGNATURE:

Name  Function/title:

**DESIGN TYPE CERTIFICATE**

proving that this design has been technically admitted according to COTIF 1999 (APTU & ATMF)

<table>
<thead>
<tr>
<th>TYPE OF VEHICLE:</th>
<th>CERTIFICATE ID: (EIN format)</th>
<th>Identification of the type:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Freight wagon</td>
<td></td>
<td>Prototype’s Vehicle number</td>
</tr>
<tr>
<td>Carriage</td>
<td></td>
<td>and/or</td>
</tr>
<tr>
<td>Locomotive</td>
<td></td>
<td>Other identification of the type</td>
</tr>
<tr>
<td>Trainset (passenger)</td>
<td></td>
<td>Category and index (e.g. Hbis)</td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If rake, number of units __

<table>
<thead>
<tr>
<th>APPLICANT:</th>
<th>Phone (incl. international prefix)</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Address</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Post code</td>
<td>www (web)</td>
<td></td>
</tr>
<tr>
<td>City</td>
<td>e-mail</td>
<td></td>
</tr>
<tr>
<td>Country</td>
<td>application reference</td>
<td></td>
</tr>
<tr>
<td>Business No.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DESIGNER:</th>
<th>Phone (incl. international prefix)</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
<td></td>
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<tr>
<td>Address</td>
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</tr>
<tr>
<td>Business No.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MANUFACTURER OF PROTOTYPE:</th>
<th>Phone (incl. international prefix)</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Address</td>
<td></td>
<td></td>
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<tr>
<td>Post code</td>
<td>www (web)</td>
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<tr>
<td>City</td>
<td>e-mail</td>
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</tr>
<tr>
<td>Country</td>
<td>application reference</td>
<td></td>
</tr>
<tr>
<td>Business No.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**OPERATING LIMITATIONS (if any):**

__________________________

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**CONDITIONS FOR THIS CERTIFICATE (if any):**

__________________________

__________________________

__________________________

Please turn over
OBLIGATORY ANNEXES:
(Each of the annexes must be clearly marked with the applicants application reference, the ID of this certificate and must be stamped and signed by the certificate issuing competent authority)
1. Name and full address of the expected manufacturer(s)
2. A list of the assessing entities and the assessment modules used
3. The Technical File (with the content specified in UTP GEN-C)
4. Signed copies of related certificates and declarations (verifications of conformity with UTP and applicable national rules), the quality management system approval (if any) and assessment reports insofar these documents are not included in or annexed to the Technical File
5. Signed copies of the additional type admissions issued by other Contracting States

REMARKS (if any):
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________

If this Certificate is issued due to a renewal or upgrade of the vehicle type, information of the previous Certificate:
Date: _____________________________ Issuing State: _____________________________ ID: _____________________________

VALIDITY:
Vehicles which are proved being manufactured as identical with this design type shall in their Certificates of Operation be granted circulation on the territories of the following OTIF Contracting States:
FROM _____________________________ UNTIL _____________________________ IN _____________________________
DATE: _____________________________ DATE: _____________________________

ALL OTIF Contracting States (ATMF Art 6 § 3), i.e. be TEN marked ☐
or in the Contracting State(s) which admissions are annexed (ATMF Art 6 § 4), i.e. be grid marked ☐

Note: The annexed copies of the additional national admissions as required above determine which Contracting States are covered by this Design Type Certificate

ISSUING COMPETENT AUTHORITY:
Name _____________________________ Phone _____________________________ (incl. international prefix)
Address _____________________________ Fax _____________________________
Post code _____________________________ www (web) _____________________________
City _____________________________ e-mail _____________________________
Country _____________________________

DATE: _____________________________ Authority’s official stamp or seal:

SIGNATURE: _____________________________ _____________________________
Name _____________________________ Function/title: _____________________________