

OTIF



**ORGANISATION INTERGOUVERNEMENTALE POUR
LES TRANSPORTS INTERNATIONAUX FERROVIAIRES**

**ZWISCHENSTAATLICHE ORGANISATION FÜR DEN
INTERNATIONALEN EISENBAHNVERKEHR**

**INTERGOVERNMENTAL ORGANISATION FOR INTER-
NATIONAL CARRIAGE BY RAIL**

**Commission d'experts techniques
Fachausschuss für technische Fragen
Committee of Technical Experts**

**A 93-01/2.2011
08.08.2011**

Original : EN

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

Par souci d'économie, le présent document a fait l'objet d'un tirage limité. Les délégués sont priés d'apporter leurs exemplaires aux réunions. L'OTIF ne dispose que d'une réserve très restreinte.

Aus Kostengründen wurde dieses Dokument nur in begrenzter Auflage gedruckt. Die Delegierten werden daher gebeten, die ihnen zugesandten Exemplare zu den Sitzungen mitzubringen. Die OTIF verfügt nur über eine sehr geringe Reserve.

For reasons of cost, only a limited number of copies of this document have been made. Delegates are asked to bring their own copies of documents to meetings. OTIF only has a small number of copies available.

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.

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, lose its validity in spite of an “until date” or no “until date” is indicated in the certificate.

In the case of misuse, unauthorised use 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

Issuing Contracting
State's symbol
(e.g. national flag)

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

TYPE OF VEHICLE:

- Freight wagon
Carriage
Locomotive
Trainset (passenger)
Other

If rake, number of units _____

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	_____	
Business No.	_____	reference	_____	

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:		
Business No.	_____	ECM certificate ID	_____	

MANUFACTURER (of the assembly)

Name	_____	Phone	_____	(incl. international prefix)
Address	_____	Fax	_____	
Post code	_____	www (web)	_____	
City	_____	e-mail	_____	
Country	_____	additional	_____	
Business No.	_____	information	_____	

OPERATING LIMITATIONS (if any):

please turn over



CERTIFICATE OF OPERATION

Issuing Contracting State's symbol (e.g. national flag)

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 **UNTIL** **IN**
DATE: **DATE:** _____ **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

Issuing Contracting State's symbol (e.g. national flag)

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

TYPE OF VEHICLE:

- Freight wagon
- Carriage
- Locomotive
- Trainset (passenger)
- Other

If rake, number of units _____

CERTIFICATE ID: (EIN format) _____

Identification of the type:

Prototype's Vehicle number _____

and/or _____

Other identification of the type _____

Category and index (e.g. Hbis) _____

Registered in RAT on date:

(register of authorised types) _____

APPLICANT:

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

DESIGNER:

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

MANUFACTURER OF PROTOTYPE:

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

OPERATING LIMITATIONS (if any):

CONDITIONS FOR THIS CERTIFICATE (if any):

please turn over



DESIGN TYPE CERTIFICATE

Issuing Contracting State's symbol (e.g. national flag)

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: IN
_____ 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: _____