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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 PROVISIONS<sup>1</sup>

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 ~~be made up as~~ contain the follows following:

~~to include:~~

~~a description of the subsystem  
(vehicle/movable railway material);~~

- technical characteristics linked to the design including general and detailed drawings in line with respect to execution, electrical and hydraulic diagrams, control-circuit diagrams, description of data-processing and automatic systems, documentation on operating and maintenance, etc., relevant for the subsystem concerned,

~~the system as built~~

~~execution,~~

~~— electrical and hydraulic diagrams, control-circuit diagrams, description of data-processing (hardware and software) and automatic systems, operating and maintenance manuals, etc.;~~

- ~~a list of interoperability constituents,~~

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

interoperability constituents as referred to in Article **5(3)(d)**,

<sup>1</sup> For the full width and the right-hand column the corresponding text in the EU regulations is Section 2.4 of Annex VI 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, 02/03/2011



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to as constituents.

incorporated into the subsystem;

~~if existing,~~

~~copies of the~~

~~declarations of conformity or suitability for use~~

of the constituents, if existing.

“EC”

with which the abovementioned constituents must be provided in accordance with Article 13 of the Directive.

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 assessment of subsystems.

- ~~if-where~~ available, the “EC” ISV certificate(s) and, in such a case, where relevant the “EC” ISV declaration(s) of intermediate subsystem conformity that accompany the “EC” certificate of verification, including the result of verification by the notified body of ~~their~~ the certificates validity,

- ~~Certificate of verification, the type-examination report/certificate, and certificate of conformity from the assessing entity~~

- ~~certificate from the notified body responsible for~~ “EC” certificate of verification

accompanied by corresponding calculation notes and ~~countersigned by itself~~ signed by the,

assessing entity,

notified body

responsible for

the type-examination report/certificate verification of the subsystems

“EC” verification

stating that the ~~project-subsystem~~ complies with the requirements of the relevant

~~the APTU Uniform Rules UTP(s),~~ and if appropriate RID,

TS|thi(s)-Directive

and mentioning any reservations recorded during performance of the activities and not withdrawn; the

type-examination report/certificate Certificate of

“EC” certificate of verification

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verification

~~certificate~~ should also be accompanied by the inspection and audit reports drawn up by the same body in connection with its task

assessing entity, regarding audits related to the building process at the manufacturer.

body in connection with its task as specified in Sections 2.5.3 and 2.5.4.

- Relevant statements and certificates related to compliance with national or international regulations other than UTPs.

- “EC” certificates issued in accordance with other legislation deriving from the Treaty,

- when safe integration is required pursuant

UTP GEN-D section 5 and UTP GEN-G,

Commission Regulation (EC) No 352/2009,

the applicant shall include in the technical file the assessors’ report on the Common Safety Methods (CSM) on risk assessment

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