 OTIF	GENERAL PROVISIONS TECHNICAL FILE			UTP GEN-C Page 1 of 3
	Status: ADOPTED	Version: 09	Ref.: A 94-01C/1.2011	Original: EN

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

must contain the following:

- 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, documentation on operation and maintenance, etc., relevant for the subsystem concerned,

- list of,

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

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

incorporated into the subsystem,


- copies of the

“EC”

declarations of conformity and where applicable

“EC”

¹ 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.

 OTIF	GENERAL PROVISIONS TECHNICAL FILE			UTP GEN-C Page 2 of 3
	Status: ADOPTED	Version: 09	Ref.: A 94-01C/1.2011	Original: EN

declarations of suitability for use

of the constituents, if existing,

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.

- the “EC” ISV certificate(s)

and, in such a case, where relevant

the UTP declaration(s) of intermediate statement of verification (ISV)

the “EC” ISV declaration(s)

that accompany

the UTP Certificate of verification

the “EC” certificate of verification,

including the result of verification

by the assessing entity

by the notified body

of the certificate’s validity,

- Certificate of verification

- “EC” certificate of verification

accompanied by corresponding calculation notes and signed by the

assessing entity,

notified body

responsible for the

verification of the subsystems


“EC” 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

 OTIF	GENERAL PROVISIONS TECHNICAL FILE			UTP GEN-C Page 3 of 3
	Status: ADOPTED	Version: 09	Ref.: A 94-01C/1.2011	Original: EN

Certificate of verification

“EC” certificate of verification

should also be accompanied by the inspection and audit reports drawn up by the same

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 international regulations other than UTPs.
- Certificate of verification of a subsystem and the accompanying documentation in the case of applicable national rules.

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

(Section 3.3. Technical file)

The technical file accompanying the certificate of verification in the case of national rules must be included in the technical file referred to in point 2.4 and shall contain the technical data relevant for the assessment of the conformity of the subsystem with the national rules.’

- when safe integration is required pursuant

UTP GEN-D section 5 and UTP GEN-G

Commission Regulation (EC) No 352/2009⁽²⁾,

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.

² published in the EU Official Journal L 108, 22.4.2009, p 4.