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**TABLE OF CORRESPONDENCE BETWEEN COTIF AND EU
TERMINOLOGY**

For terms used in the APTU and ATMF UR and EU legislation

1. INTRODUCTION

This is a working document of OTIF's Committee of Technical Experts' working group WG Tech. This document will be regularly analysed, improved, and updated. The table at annex was initially prepared on the basis of OTIF documents, the EU Directives on Interoperability and Safety and the two comparison tables prepared by the European Commission for the 30th session of the WG Tech (16-17 November 2016)¹.

The information presented in this document is solely for information purposes and has no legal effect.

2. TERMINOLOGY IN EU LEGISLATION AND COTIF

As far as required for their purposes, the APTU and ATMF UR have been based on the concepts of the European Union's interoperability and safety directives; these concern in particular the elements relating to vehicle authorisation, vehicle maintenance and roles and responsibilities.

At present, the technical requirements for rolling stock applicable in OTIF and the EU are fully equivalent. However, the objectives and scope of COTIF/the EU are not identical and it has therefore been necessary to use different terminology for concepts that have a (slightly) different meaning, e.g. admission (COTIF) vs authorisation (EU). The table at annex lists several different terms and their respective meanings.

The purpose of this document is to act as an aid to those who work with COTIF and EU law, especially on interoperability and technical harmonisation in the railway field and in the vehicle admission and maintenance processes.

¹http://www.otif.org/fileadmin/user_upload/otif_verlinkte_files/06_tech_zulass/03_Doks_WG_TEC_H/09_2016_WG_TECH/Draft_Table_of_comparison_APTU-4th_RP27.10.16.pdf

The table of correspondence between COTIF and EU law

Please note that this document is a working document of OTIF's Committee of Technical Experts' working group WG TECH. This document is currently available in English only and is solely for information purposes. This document will be updated regularly. However, to find the applicable law in force, please consult the OTIF website, the Official Journal of the European Union and the relevant national laws of OTIF's Member States.

Explanatory note:

The text *in italics* quotes the provisions from the source document. Unless indicated otherwise, the source documents are:

- The APTU and ATMF UR as last revised by the Revision Committee in 2022² by using the written procedure and entering into force on 1 November 2023.
- All other COTIF provisions adopted under the APTU or ATMF UR, such as UTPs and Annexes to the ATMF UR.
- [Directive 2012/34/EU of the European Parliament and of the Council of 21 November 2012 establishing a single European railway area as last amended by Directive \(EU\) 2016/2370 of 14 December 2016; hereinafter referred to as SERA Directive.](#)
- Directive (EU) 2016/797 of the European Parliament and of the Council of 11 May 2016 on the interoperability of the rail system with the European Union, as last amended by Directive (EU) 2020/700; hereinafter referred to as **Interoperability Directive**.
- Directive (EU) 2016/798 of the European Parliament and of the Council of 11 May 2016 on railway safety, as last amended by Regulation (EU) 2020/1530; hereinafter referred to as **Safety Directive**.
- Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process pursuant to Directive (EU) 2016/797, as last amended by Commission Implementing Regulation (EU) 2020/781; [hereinafter referred to as Vehicle Authorisation Regulation.](#)
- Regulation (EU) 2016/796 of the European Parliament and of the Council of 11 May 2016 on the European Union Agency for Railways, hereinafter referred to as the **ERA Regulation**.
- Regulation (EC) No 765/2008 of the European Parliament and of the Council of 9 July 2008 setting out the requirements for accreditation and market surveillance relating to the marketing of products.
- Commission Implementing Regulation (EU) 2019/779 of 16 May 2019 laying down detailed provisions on a system of certification of entities in charge of maintenance of vehicles pursuant to Directive (EU) 2016/798; hereinafter referred to as **ECM Regulation**.
- Commission Implementing Regulation (EU) No 402/2013 of 30 April 2013 on the common safety method for risk evaluation and assessment; hereinafter referred to as **CSM for risk evaluation and assessment**.

² The 2022 revision concerned provisions related to entities in charge of maintenance in Articles 3a and 15 of the ATMF UR.

- ~~• Directive 2012/34/EU of the European Parliament and of the Council of 21 November 2012 establishing a single European railway area, as last amended by Commission Delegated Decision (EU) 2017/2075.~~
- Commission Decision 2010/713/EU of 9 November 2010 on modules for the procedures for assessment of conformity, suitability for use and EC verification to be used in the technical specifications for interoperability adopted under Directive 2008/57/EC; hereinafter referred to as the **Modules Decision**.
- Commission Implementing Decision (EU) 2018/1614 of 25 October 2018 laying down specifications for the vehicle registers referred to in Article 47 of Directive (EU) 2016/797; hereinafter referred to as **EVR Decision**.
- ~~• Commission Implementing Regulation (EU) 2019/250 of 12 February 2019 on the templates for ‘EC’ declarations and certificates for railway interoperability constituents and subsystems, on the model of declaration of conformity to an authorised railway vehicle type and on the ‘EC’ verification procedures for subsystems in accordance with Directive (EU) 2016/797 of the European Parliament and of the Council; hereinafter referred to as **Templates Regulation**.~~

REQUIREMENTS AND SPECIFICATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Network	Means <i>the lines, stations, terminals, and all kinds of fixed equipment needed to ensure safe and continuous operation of the rail system;</i> Article 2 (q) of the ATMF UR	Network	Means <i>the lines, stations, terminals, and all kinds of fixed equipment needed to ensure safe and continuous operation of the Union rail system;</i> Article 2 (4) of the Interoperability Directive	
Uniform Technical Prescriptions (UTP)	A specification other than a technical standard prepared and adopted in accordance with the APTU UR.	Technical Specifications for Interoperability (TSI)	Means <i>a specification adopted in accordance with this Directive by which each subsystem or part of subsystem is covered in order to meet the essential requirements and ensure the interoperability of the Union rail system</i> Article 2 (11) of the Interoperability Directive	Where possible, UTPs and TSIs for subsystems are equivalent. The (extent of the) equivalence is indicated in the UTP.
National technical requirements (NTR)	Means those requirements of which the Secretary General of OTIF has been informed by a Contracting State and which have been made public in accordance with Article 12 of the APTU UR. Article 12 of the APTU UR	Notified National Technical Rules (NNTR)	<u>Consistent with</u> Article 14 (1) <u>and Article 13 (2)</u> of the Interoperability Directive	Process of notification, validity of provisions and requirements concerning exhaustiveness of notified provisions are not identical.
Essential requirements	Means <i>all the conditions set out in the relevant UTP, which must be met by the rail system, the</i>	Essential requirements	Annex III to the Interoperability Directive <u>Means all the conditions set out in Annex III which must be met by the Union rail system, the</u>	Essential requirements (ERs) are harmonised as far as required for the scope of COTIF. ERs for

REQUIREMENTS AND SPECIFICATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
	<i>subsystems and the interoperability constituents, including interfaces;</i> Article 2 (i) of the ATMF UR, and UTP GEN-A 2015		<i>subsystems and the interoperability constituents, including interfaces.</i> Article 2 (9) of the Interoperability Directive.	infrastructure in COTIF are limited to the interfaces with vehicles.
Technical prescription	<i>Means a rule, other than a technical standard, included in the UTP, relating to the construction, operation, maintenance or safety aspects, or relating to a procedure concerning railway material;</i> Article 2 d) the APTU UR	Basic Parameter	<i>Means any regulatory, technical or operational condition which is critical to interoperability and is specified in the relevant TSIs;</i> Article 2 (12) of the Interoperability Directive	“Technical prescription” in the context of UTPs may be considered equivalent to “basic parameter” in the context of TSIs. However, “basic parameter” is also used in the context of UTPs and for this purpose should be considered synonymous to “technical prescription”.

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Competent authority	<p>Means <i>the national or international authority competent in the matter in accordance with the laws and prescriptions in force in each Contracting State</i> for the technical admission.</p> <p>Article 5 of the ATMF UR</p>	National Safety Authority	<p>Article 3 (7) of the Safety Directive Means:</p> <p><i>(a) the national body entrusted with the tasks regarding railway safety in accordance with this Directive;</i></p> <p><i>(b) any body entrusted by several Member States with the tasks referred to in point (a) in order to ensure a unified safety regime;</i></p> <p><i>(c) any body entrusted by a Member State and a third country with the tasks referred to in point (a) in order to ensure a unified safety regime, provided that the Union has concluded an agreement to this effect with the third country concerned or that that Member State has concluded such agreement in accordance with an empowerment granted by the Union to that effect;</i></p> <p>Article 3 (7) of the Safety Directive</p>	<p>Based on the ATMF UR, the NSAs are notified as competent authorities for the EU MS. The EU has more strictly defined competences for NSAs than COTIF has for CAs. For example, in COTIF the competent authority and the assessing entity can be the same entity.</p>

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
		The European Union Agency for Railways (ERA)	<p>Article 3 (7) of the Safety Directive and Article 12 of the ERA Regulation Recital 12 and Art.4 of</p> <p>ERA Regulation defines the establishment, legal status, and tasks of the ERA.</p>	From 16 June 2019, ERA is the Competent Authority for the European Union responsible for the issuing /suspending and revoking of Vehicle Authorisation and Single Safety Certificate for Railway Operators and vehicles running in more than one EU Member State. In the context of EU law, ERA can also be the Competent Authority for purely national projects, depending on the choice of the applicant.
		Notifying Authority	<p><i>Notifying Authorities are responsible for setting up and carrying out the necessary procedures for the assessment, notification and monitoring of conformity assessment bodies, including compliance with Article 34.</i></p> <p>Consistent with Article 27 (1) of the Interoperability Directive</p>	

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
		Authorising Entity	Means <i>the entity that issues the vehicle type authorisation and/or vehicle authorisation for placing on the market;</i> Article 2 (1) of the Commission Implementing Vehicle Authorisation Regulation (EU) 2018/545 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.	
Keeper	Means <i>the person or entity that, being the owner of a vehicle or having the right to use it, exploits the vehicle as a means of transport and is registered as such in the vehicle register referred to in Article 13 the ATMF UR;</i> Article 2 (n) of the ATMF UR	Keeper	Means <i>the natural or legal person that, being the owner of a vehicle or having the right to use it, exploits the vehicle as a means of transport and is registered as such in a vehicle register referred to in Article 47 of Directive (EU) 2016/797;</i> Article 2 (21) of the Interoperability Directive	

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Manufacturer	Means <i>any natural or legal person who manufactures a product in the form of interoperability constituents, subsystems or vehicles, or has it designed or manufactured, and markets it under his name or trademark</i> UTP GEN-D Article 1.2 j)	Manufacturer	Means <i>any natural or legal person who manufactures a product in the form of interoperability constituents, subsystems or vehicles, or has it designed or manufactured, and markets it under his name or trademark</i> Article 2 (36) of the Interoperability Directive	
Authorised Representative	Means <i>any natural or legal person established within a Contracting State who has received a written mandate from a manufacturer or a contracting entity to act on their behalf in relation to specified tasks.</i> 1.2. (h) of UTP GEN-D	Authorised Representative	Means <i>any natural or legal person established within the Union who has received a written mandate from a manufacturer or a contracting entity to act on behalf of that manufacturer or contracting entity in relation to specified tasks.</i> Article 2 (37) of the Interoperability Directive	
Contracting Entity	Means <i>any entity, whether public or private, which orders the design and/or construction or the renewal or upgrading of a subsystem. This entity may be a railway undertaking, an infrastructure manager or a keeper, or the</i>	Contracting Entity	Means <i>a public or private entity which orders the design and/or construction or the renewal or upgrading of a subsystem;</i> Article 3 (30) of Safety Directive and recital (37) and Article 2 (20) of the Interoperability Directive	

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
	<i>concession holder responsible for carrying out a project;</i> Article 2 (da) of the ATMF UR			
Assessing Entity	Means <i>a competent authority or a suitable body competent to carry out assessments as a whole or partly, including the issuing of the corresponding certificates of verification.</i> Article 5 § 2 and § 3 of the ATMF UR, and UTP GEN-E Assessing Entity – qualifications and independence	Notified Body	Recitals (59) and (60), Articles 9, 10, 15, 34, 38 to 44 and Annex IV of the Interoperability Directive Conformity Assessment Body, could be classified as: A notified body, following notification by a MS; or A designated body, following designation by a MS Articles 2 (42), 30 to 33 of the Interoperability Directive <u>Means a body that has been notified or designated to be responsible for conformity assessment activities, including calibration, testing, certification and inspection;</u> <u>A conformity assessment body is classified as a ‘notified body’</u>	“Notified Body” (NoBo) notified to the EU by a Contracting State in accordance with EU Interoperability Directive, thus meeting the provisions of that Directive, in particular the criteria set out in Annex VIII, and insofar as the body is registered in the EU’s public, so-called NANDO database ³ , shall be considered as a “Suitable Body” with the competence to carry out assessments... Point 1.3.2 of UTP GEN-D Assessment Procedures (Modules)
		Conformity Assessment Body		

³ <http://ec.europa.eu/growth/tools-databases/nando/>

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			following notification by a Member State; A conformity assessment body is classified as a 'designated body' following designation by a Member State; Article 2 (42) of the Interoperability Directive and Article 3(17) of the Safety Directive	
Accreditation Body	<p>Means <i>the sole body in a CS that performs accreditation with authority derived from the State. It confirms that a conformity assessment body meets the requirements set by harmonised standards and, where applicable, any additional requirements including those set out in relevant sectoral schemes, to carry out a specific conformity assessment activity;</i></p> <p>Article 2 ab) and ac) of the ATMF UR</p>	National Accreditation Body	<p>Means <i>the sole body in a EU MS that performs accreditation with authority derived from the State. It confirms that a conformity assessment body meets the requirements set by harmonised standards and, where applicable, any additional requirements including those set out in relevant sectoral schemes, to carry out a specific conformity assessment activity;</i></p> <p>Article 2 (10, 11) of Regulation (EC) 765/2008</p>	<p>Accreditation is a concept used globally and not only in the EU. Accreditation is not specifically limited to railways.</p> <p>Many, if not all, OTIF CSs have accreditation bodies.</p>

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
ECM Certification Body	Means <i>a body, responsible for the certification of entities in charge of maintenance or for certification of the entity or organisation that fulfils maintenance functions or parts of those functions;</i> Article 2 (b) of Annex A of the ATMF UR	ECM Certification Body	Means <i>a body, responsible for the certification of entities in charge of maintenance or for certification of the entity or organisation that fulfils maintenance functions referred to in points (b), (c) or (d) of Article 14(3) of Directive (EU) 2016/798, or parts of those functions.</i> Article 2 (b) of the ECM Regulation	Similar meaning. Both in EU and COTIF the ECM CB can be public (NSA/CA) or (semi-) private.
CSM Assessment body	Means <i>the independent and competent external or internal individual, organisation or entity which undertakes investigation to provide a judgement, based on evidence, of the suitability of a system to fulfil its safety requirements.</i> Section 3 of UTP GEN-G Risk evaluation and assessment In addition, the CSM assessment body must meet the criteria set out in Annex II.	CSM Assessment Body	Means <i>the independent and competent external or internal individual, organisation or entity which undertakes investigation to provide a judgement, based on evidence, of the suitability of a system to fulfil its safety requirements.</i> Article 3 (14) of CSM for risk evaluation and assessment	The technical competences of these bodies are harmonised between EU law and COTIF. The legal framework under which the CSM Assessment body is accredited or recognised defines its scope of activities and the acceptance of its work.
Rail transport undertaking	Means <i>a private or public undertaking which is authorised or licensed by applicable law to</i>	Railway undertaking	<u>Means any public or private undertaking licensed according to this Directive, the principal</u>	The rules which rail transport undertakings or railway undertakings have to comply with to be permitted

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
	<p><i>provide services for the transport of goods and/or passengers by rail with a requirement that the undertaking must ensure traction; this includes undertakings which provide traction only;</i></p> <p>Article 2 (t) of the ATMF UR</p>		<p><u><i>business of which is to provide services for the transport of goods and/or passengers by rail with a requirement that the undertaking ensure traction; this also includes undertakings which provide traction only."</i></u></p> <p>Article 2 (45) of the Interoperability Directive, and Article 3 (1) of <u>the SERA Directive 2012/34/EU (as amended) establishing the single European railway area.</u></p>	to offer services in a particular state are not harmonised in COTIF or between COTIF and EU law.
<u>Applicant</u>	<p>The applicant is not defined; however Article 10 of the ATMF UR refers to the applicant as the entity applying for technical certificates to the competent authority.</p> <p>Article 11 § 7 of the ATMF UR sets out that technical certificates are issued to the applicant by the competent authority. § 8 of the same article requires that as soon as the vehicle is in operation, the holder of the certificate of operations is the keeper.</p>	The a <u>Applicant</u>	<p>Means <i>a natural or legal person requesting an authorisation, be it a RU, an IM or any other person or legal entity, such as a manufacturer, an owner or a keeper; for the purpose of Article 15 of Interoperability Directive 2016/797 the applicant means a contracting entity or a manufacturer, or its authorised representatives; for the purpose of Article 19 of Interoperability Directive 2016/797 it means a natural or legal person requesting the ERA's decision for the approval of the technical solutions envisaged</i></p>	<p>The concepts <u>of applicant in the context of the ATMF UR and as defined in the Interoperability Directive</u> are not identical. In the EU an applicant has responsibilities which are more detailed.</p> <p><u>The concept of applicant as defined in the SERA Directive has no equivalent in the ATMF UR, as procurement of infrastructure capacity is not in the scope of the ATMF UR.</u></p>

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			<p>for the ERTMS track-side equipment projects;</p> <p>Article 2 (22) of the Interoperability Directive</p> <p><u>means a railway undertaking or an international grouping of railway undertakings or other persons or legal entities, such as competent authorities under Regulation (EC) No 1370/2007 and shippers, freight forwarders and combined transport operators, with a public-service or commercial interest in procuring infrastructure capacity;</u></p> <p><u>Article 3 (19) of the SERA Directive</u></p>	
Infrastructure Manager	<p>Means <i>an undertaking or an authority which manages railway infrastructure;</i></p> <p>Article 2 (k) of the ATMF UR</p>	Infrastructure Manager	<p>Means any body or firm responsible in particular for establishing, managing and maintaining railway infrastructure, including traffic management and control command and signalling; the functions of the infrastructure manager on a network or part of a network may</p>	<p><u>The meaning of the terms is equivalent for the purpose of the APTU and ATMF UR.</u></p>

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			<p>be allocated to different bodies or firms;</p> <p><u>any body or firm responsible for the operation, maintenance and renewal of railway infrastructure on a network, as well as responsible for participating in its development as determined by the Member State within the framework of its general policy on development and financing of infrastructure;</u></p> <p>Article 3 (2) of Directive 2012/34/EU (as amended) establishing the single European railway area <u>the SERA Directive.</u></p>	
Entity in charge of maintenance <u>(ECM)</u>	No definition, but its role is mentioned as competent authority in Article 5 and Article 15 of the ATMF UR	Entity in charge of maintenance <u>(ECM)</u>	<p>Means <i>an entity in charge of maintenance as defined in point (20) of Article 3 of Directive (EU) 2016/798;</i></p> <p>Article 2 (28) of Interoperability Directive</p>	Article 3a §5 of the ATMF UR defines the conditions according to which ECM certified according to EU law are deemed certified according to COTIF as well, and vice versa.
Holder of the Design Type Certificate	The Design Type Certificate is issued to the applicant. Article <u>10 and Article</u> -11 § 7 of the ATMF UR	Holder of the vehicle type authorisation	Means <i>the natural or legal person that has applied for and received</i>	<u>Similar but not identical. Both are recipients of the design type</u>

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			<p><i>the vehicle type authorisation, or its legal successor</i></p> <p>Article 2 (6) of the Implementing Regulation (EU) 2018/545 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.</p>	<p>certificate/ vehicle type authorisation.</p> <p>Concerns the authorisation/admission related to a vehicle type.</p>
Holder of the Certificate of Operation	<p><i>Once the vehicle is in operation the holder of the Certificate of Operation (including the Technical File), if not the current keeper, shall without delay hand it over to the current keeper together with the Maintenance File and make available all instructions for maintenance and operations that are still in his possession.</i></p> <p>Article 11 § 8 of the ATMF UR</p>			<p><i>The Certificate of Operation is related to the object. Concerns the certificate of operation of a vehicle or group of vehicles of the same type (see Article 11 § 4 of the ATMF UR).</i></p> <p>In EU law there is no requirement for the keeper to have possession over the documents which provide evidence of authorisation and the technical file.</p> <p>In the EU framework there is no similar concept, because the holdership of a vehicle type authorisation or placing on the market covers vehicle types only, while a certificate of operation in ATMF covers vehicles.</p>

ENTITIES AND ROLES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Registration Entity	<p>Means <i>the national entity designated by each CS, which is responsible for adding, editing, and removing data from the vehicle register on behalf of that CS.</i></p> <p>Article 2 b) and Article 6 of OTIF vehicle register Specifications of 1 April 2021</p>	Registration Entity (“RE”)	<p><u>Means <i>the body designated by each Member State</i></u></p> <p>Article 5 of the EVR Decision</p>	<p>The Registration Entity (“RE”) is the entity designated by each Contracting State, for keeping and updating the Vehicle Register. The Role of the RE according to the new EU Decision would mean that the RE will update vehicle registration data in the European Vehicle Register.</p>

PRODUCTS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Railway Vehicle	Means <i>a vehicle suitable for circulation on its own wheels on railway lines with or without traction; a vehicle is composed of one or more structural and functional subsystems;</i> Article 2 (w) of the ATMF UR	Vehicle	Means <i>a railway vehicle suitable for circulation on wheels on railway lines, with or without traction; a vehicle is composed of one or more structural and functional subsystems;</i> Article 2 (322) of the Interoperability Directive	The meaning is similar
Element of Construction , also called the Interoperability Constituents	Means <i>an elementary component, group of components, complete assembly or subassembly of equipment incorporated or intended to be incorporated into a subsystem, upon which the interoperability of rail systems depends directly or indirectly , including both tangible objects and intangible objects such as software;</i> Article 2 g) of the ATMF UR	Interoperability Constituents – IE	Means <i>any elementary component, group of components, subassembly or complete assembly of equipment incorporated or intended to be incorporated into a subsystem, upon which the interoperability of the rail system depends directly or indirectly, including both tangible objects and intangible objects</i> Article 2 (7) of the Interoperability Directive	Separate Assessment of the Interoperability Constituents € is mandatory in EU. However, <i>the assessment of Interoperability Constituents * as components and the manufacturer's issue of Declarations of conformity are <u>not</u> mandatory in COTIF. Such assessments may be carried out on a voluntary basis.</i> Note in Section 2 of UTP GEN-D
Subsystem	Means <i>the result of the division of the rail system, as shown in the UTP; for which an essential requirements must be laid down, may be structural or functional.</i> Article 2 g) of the ATMF UR, and UTP GEN-B Subsystems	Subsystems	Means <i>the structural or functional parts of the Union rail system, as set out in Annex II.</i> Article 2 (5) of and Annex II to the Interoperability Directive	The meaning is similar.

PRODUCTS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Type of construction	Means <i>the basic design characteristics of the railway vehicle as covered by a type examination certificate or design examination certificate described respectively in assessment modules SB and SH1 of the UTP GEN-D</i> ; Article 2 ff) of the ATMF UR	Vehicle Type	Means <i>a vehicle type defining the basic design characteristics of the vehicle as covered by a type or design examination certificate described in the relevant verification module</i> ; Article 2 (26) of the Interoperability Directive	The meaning is similar.

PROCEDURES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Assessment procedures (modules)	The assessment of conformity with provisions of the UTPs, applicable to structural subsystems, ICs and national technical requirements.	The modules	Commission Decision 2010/713/EU of 9 November 2010 on modules	The EU term ‘modules’ can also be used in OTIF. However, the formal reference is ‘assessment procedures’
Assessment procedures for the verification of subsystems	UTP GEN-D Assessment Procedures (Modules)	Modules for EC verification of subsystems Modules for assessment of conformity and suitability for use of the interoperability constituents and for EC verification of subsystems.	Article 1 of the Modules Decision.	The COTIF and EU provisions have been harmonised. The terms have the same meaning concerning the process of checking conformity as far as vehicles are concerned. The responsibilities of the different actors are not identical.
Renewal and upgrading	<i>Renewal means any major substitution work on a subsystem or part subsystem which does not change the overall performance of the subsystem.</i> <i>Upgrading means any major modification work on a subsystem or part subsystem which improves the overall performance of the subsystem.</i>	Renewal or upgrading	The same wording as in COTIF Recitals (22) and (37), Article 2 (14) and (15), Articles 7, 15 and 21 of the Interoperability Directive “renewal” means any major substitution work on a subsystem or part of it which does not change the overall performance of the subsystem	

PROCEDURES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
	<p>Article 2 y) and gg) of the ATMF UR</p> <p>Article 10 § 11 of the ATMF UR</p>		<p>Article 2 (15) of the Interoperability Directive</p> <p><i>“Upgrading” means any major modification work on a subsystem or part of it which results in a change in the technical file accompanying the ‘EC’ declaration of verification, if that technical file exists, and which improves the overall performance of the subsystem.</i></p> <p>Article 2 (14) of the Interoperability Directive</p>	
Substitution in the framework of maintenance	<p><i>Means any replacement of components by parts of identical function and performance in the framework of preventive or corrective maintenance;</i></p> <p>Article 2 (c) of the APTU UR</p>	Substitution in the framework of maintenance	<p><i>Means any replacement of components by parts of identical function and performance in the framework of preventive or corrective maintenance;</i></p> <p>Article 2 (17) of the Interoperability Directive</p>	
Technical admission	<p><i>Means the procedure carried out by the competent authority to authorise a railway vehicle to operate in international traffic or to authorise a type of construction.</i></p> <p>Articles 2 cc) the ATMF UR</p>	The procedure (for authorisation) Vehicle Authorisation process	<p>Process defined in governed by Commission Implementing Regulation (EU) 2018/545 establishing practical arrangements for the railway vehicle authorisation</p>	

PROCEDURES				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			and railway vehicle type authorisation process.	

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Technical File	<p>Means <i>the documentation relating to the vehicle containing all its technical characteristics, including a user manual and the characteristics necessary to identify the object(s) concerned, as described in the relevant UTP</i></p> <p>Articles 2 ee) and 10 § 6 of the ATMF UR, and</p> <p>UTP GEN-C 2015 Technical file</p>	Technical file	<p>No definition of technical file of the Interoperability Directive, but it is described in Annex IV section 2.4 to the Directive. of the Directive.</p>	<p>In the EU the applicant is “responsible for compiling the technical file that is to accompany the ‘EC’ declaration of verification. [...]”</p> <p>Article 15(4) of the Interoperability Directive</p> <p>In COTIF the applicant “shall elaborate and attach to his application a Technical File containing the information required in the relevant UTPs. The assessing entity shall compile the technical file.”</p> <p>Article 10§6 of the ATMF UR.</p>

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Vehicle admission to operation (admission to international traffic)	<p><i>Means the right granted according to which the competent authority authorises a railway vehicle to operate in international traffic, as evidenced by a Certificate of Operation</i></p> <p>Articles 2 c), 3 and 4 of the ATMF UR</p>	Vehicle authorisation for placing on the market	<p><i>Means the first making available on the Union's market of an interoperability constituent, subsystem or vehicle ready to function in its design operating state;</i></p> <p>Article 2 (35) of the Interoperability Directive</p> <p><i>The applicant shall place a vehicle on the market only after having received the vehicle authorisation for placing on the market issued by the Agency in accordance with paragraphs 5 to 7 or by the national safety authority in accordance with paragraph 8.</i></p> <p>Article 21.1 of the Interoperability Directive</p> <p><u>Means the decision issued by the authorising entity based on a reasonable assurance that the applicant and the entities involved in the design, manufacture, verification and validation of the vehicle have fulfilled their respective obligations and responsibilities in order to ensure conformity with essential</u></p>	<p>The concepts of authorisation (EU) and admission (COTIF) are not equivalent. However, both confirm that a vehicle may be operated in its area of use.</p> <p>In the EU, a vehicle authorisation for placing on the market is based on a vehicle type authorisation.</p> <p>According to COTIF, when a vehicle is admitted, the vehicle type is admitted at the same time. For the admission of subsequent vehicles of the same vehicle type to the same area of use, it is sufficient to prove to the competent authorities that the vehicles are built in accordance with the vehicle type.</p> <p><u>The rights and obligations concerning vehicle admissions and vehicle authorisations are not equivalent. However, either may serve as a basis for the use of vehicles in international traffic in the scope of the ATMF UR.</u></p>

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			<u>requirements of the applicable legislation or to ensure conformity with the authorised type enabling that the vehicle may be placed on the market and may be used safely in the area of use according to the conditions for use and other restrictions, when applicable, specified in the vehicle authorisation and in the vehicle type authorisation.</u> Article 2(15) of the Vehicle Authorisation Regulation.	
Certificate to Operation	<p><i>Means the attestation issued by the competent authority of an admission to operation, including the conditions of the admission;</i></p> <p>Articles 2 ca) of the ATMF UR and</p> <p><i>The admission of [...] to operation shall be evidenced by [...]</i></p> <p><i>“Certificate of Operation”</i></p> <p>11 §§ 3, 8, 9 of the ATMF UR</p>		<p><i>Means the decision issued by the authorising entity based on a reasonable assurance that the applicant and the entities involved in the design, manufacture, verification and validation of the vehicle have fulfilled their respective obligations and responsibilities in order to ensure conformity with essential requirements of the applicable legislation or to ensure conformity with the authorised type enabling that the vehicle may be placed on the market and may be used safely</i></p>	<p>The Implementing Regulation 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process pursuant to the Interoperability Directive.</p>

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			<p><i>in the area of use according to the conditions for use and other restrictions, when applicable, specified in the vehicle authorisation and in the vehicle type authorisation;</i></p> <p>Definition in Art 2 (15) of the Commission Implementing Vehicle Authorisation Regulation (EU) 2018/545 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.</p>	
Admission of a type of construction	<p><i>Means the right granted according to which the competent authority authorises a type of construction of a railway vehicle, as a basis for the admission to operation for vehicles which correspond to that type of construction, as evidenced by a Design Type Certificate</i></p> <p>Article 2 b) of the ATMF UR <i>If the vehicle is admitted in a single stage, the type of construction of the vehicle is admitted at the same time.</i></p> <p>Article 4 of the ATMF UR</p>	Vehicle Type Authorisation	<p><i>Means the decision issued by the authorising entity based on reasonable assurance that the applicant and the entities involved in the design, manufacture, verification and validation of the vehicle type have fulfilled their obligations and responsibilities in order to ensure conformity with the essential requirements of the applicable legislation enabling that a vehicle manufactured according to this design may be placed on the market and may be used safely in</i></p>	<p>The identification of the basic design characteristics of the vehicle type are included in the type and/or design examination certificates.</p> <p>Article 48 of Implementing Regulation establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.</p>

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Design type certificate <i>(issued by the competent authority of a Contracting State to the applicant)</i>	<i>Means the attestation issued by the competent authority of the admission of a type of construction, including the conditions of the admission.</i> Article 2 f) and Articles 10 § 8 and 11 § 2 of the ATMF UR		<i>the area of use of the vehicle type according to the conditions for use of the vehicle and other restrictions, when applicable, specified in the vehicle type authorisation and to be applied to all vehicle authorised in conformity to this type</i> Article 2 (16) of the Vehicle Authorisation Commission Implementing Regulation (EU) 2018/545 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process. Information in the issued vehicle type authorisation is listed in Article 48 of this Regulation.	
Area of Use of a vehicle	<i>Means the network located within two or more CS in which a vehicle is intended to be used.</i> Article 2 hh) of the ATMF UR	Area of use of a vehicle	<i>Means a network or networks within a Member State or a group of Member States in which a vehicle is intended to be used;</i> Article 2 (32) of the Interoperability Directive	The meaning of the concept is similar, however as COTIF applies to international traffic only the ATMF UR area of use will per definition cover two or more states.

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
UTP certificate of verification (for subsystems)	<i>Means the attestation issued by an assessing entity that verification has been carried out with a positive result;</i> Article 2 cb) of the ATMF UR The Certificate is issued by the assessing entity to the applicant if the subsystem concerned meets the requirements of the relevant UTP(s) and in respect of the examinations and test carried out. UTP GEN-D	EC certificate of verification (for subsystems)	<i>The notified bodies responsible for the verification assess the design, production and final testing of the subsystem and draw up the certificate of verification intended for the applicant who in turn draws up the 'EC' declaration of verification.</i> <i>Annex IV section 2.3.1 of the Interoperability Directive</i> <u><i>Means the certificate delivered for a subsystem by the notified body regarding solely the verification of conformity with relevant TSIs;</i></u> <u><i>Article 2(i) of the Templates Regulation.</i></u>	The meaning is similar. The certificate is mandatory under COTIF.
		<u>Certificate of verification</u>	<i>The designated body draws up the certificate of verification intended for the applicant. The certificate shall contain a precise reference to the national rule(s) whose conformity has been examined by</i>	

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			<p>the designated body in the verification process.</p> <p>Annex IV section 3.2 of the Interoperability Directive</p> <p><u>Means the certificate delivered for a subsystem either by the notified body or by the designated body regarding the verification of conformity respectively with relevant TSIs or with relevant national rules from the design stage to the acceptance stage before the subsystem is placed on the market or in service and which covers verification of the interfaces of the subsystem in question with the system into which it is incorporated.</u></p> <p><u>Article 2 (h) of the Templates Regulation</u></p>	
UTP declaration of verification (for subsystems)	<p>The declaration is issued by the manufacturer on the basis of the certificate of verification for the subsystem issued by the assessing entity.</p> <p>UTP GEN-D</p>	EC declaration of verification (for subsystems)	<p>The manufacturer shall draw up a declaration for the subsystem on the basis of EC certificate of verification and keep it together with the technical documentation at the disposal of the national</p>	The declaration is not mandatory under COTIF.

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			<p>authorities throughout the service life of the subsystem...</p> <p><u>Means the declaration established for a subsystem by the applicant in which the applicant declares on its sole responsibility that the subsystem concerned, which has been subject to the relevant verification procedures, satisfies the requirements of the relevant Union law and any relevant national rules;</u></p> <p><u>Article 2 (c) of the Templates Regulation</u></p>	
UTP certificate of conformity (for ICs)	The certificate is issued by the assessing entity to the applicant if the IC concerned satisfies the requirements of the relevant UTP(s) and in respect of the examinations and test carried out.	EC certificate of conformity (for ICs)	<p>The notified body shall issue (to the manufacturer) an EC certificate of conformity in respect of the examinations and tests carried out.</p> <p>Commission Decision 2010/713/EU of 9 November 2010 on modules</p> <p><u>Means the certificate delivered for an interoperability constituent by the notified body of the conformity of an interoperability constituent, considered in isolation, with the</u></p>	<p>Separate Assessment of the IC is mandatory in EU.</p> <p><i>The assessment of ICs as components and the manufacturer's issue of Declarations of conformity are <u>not</u> mandatory in COTIF. Such assessments may be carried out on a voluntary basis, in which case the provisions in this UTP shall apply.</i></p> <p>NOTE IN SECTION 2 OF UTP GEN-D</p>

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			Union technical specifications to be met; Article 2 (f) of the Templates Regulation	
Declaration of conformity (for ICs)	<p>Means the result of the conformity assessment procedure whereby the manufacturer ensures and declares on his sole responsibility that the IC concerned satisfies the requirements of the relevant UTP.</p> <p>UTP GEN-D, annex 3</p>	EC declaration of conformity (for ICs)	<p>The manufacturer shall draw up a written EC declaration of conformity for the IC and keep it together with the technical documentation at the disposal of the national authorities...</p> <p>Commission Decision 2010/713/EU of 9 November 2010 on modules</p> <p>Means the declaration established for an interoperability constituent by the manufacturer or its authorised representative in which the manufacturer or its authorised representative declares on its sole responsibility that the interoperability constituent concerned, which has been subject to the relevant verification procedures, complies with the relevant Union law;</p> <p>Article 2 (a) of the Templates Regulation</p>	See the explanation in the cell above.

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
Type examination certificate	Means the attestation issued by the assessing entity in which it verifies that the technical design of the IC/subsystem meets the requirements of the relevant UTP(s), or other applicable regulations, that apply to it. Modules CB/SB of UTP GEN-D	EC type examination certificate	Means attestation issued by the NoBo in which it verifies that the technical design of the IC/subsystem meets the requirements of the relevant TSI(s) and other applicable regulations that apply to it. <u>Module CB. EC-type examination</u> <u>EC-type examination is the part of a conformity assessment procedure in which a notified body examines the technical design of an interoperability constituent and verifies and attests that the technical design of the interoperability constituent meets the requirements of the technical specification for interoperability (TSI) that apply to it.</u> <u>Where the type meets the requirements of the TSI that apply to the interoperability constituent concerned, the notified body shall issue an EC-type examination certificate to the manufacturer.</u>	

CERTIFICATES, PERMISSIONS, FILES AND DECLARATIONS				
OTIF		EU		Equivalence/Clarification
The term	Legal reference	The term	Legal reference	Clarification
			Commission Decision 2010/713/EU of 9 November 2010 on modules According to the Modules Decisions	
Admission (of infrastructure)	<p>The admission of infrastructure is subject to the provisions in force in the state in which the infrastructure is located (see Article 8 § 2 of the ATMF UR).</p> <p>States may decide on a line-by-line basis whether or not to apply the UTP INF.</p>	Authorisation (of infrastructure)	<p>As part of fixed installations, infrastructure should be authorised by the Competent Authority (NSA)</p> <p>Article 18 (1) and Article 18 (2) of the Interoperability Directive</p>	<p>The EU legislation defined the geographical scope within the Single European Railway Area of the types of infrastructure that would require authorisation.</p> <p>The equivalence of the UTP and the TSI concerning infrastructure is limited to the technical provisions in chapters 4 and 5 of the UTP INF and the particular assessment procedures in point 6.2.4 of the UTP INF.</p>

**EU terminology which has no corresponding term or concept in the APTU and ATMF UR
however potentially relevant for COTIF**

Configuration management	<p><i>Means a systematic organisational, technical and administrative process put in place throughout the lifecycle of a vehicle and/or vehicle type to ensure that the consistency of the documentation and the traceability of the changes are established and maintained so that:</i></p> <ul style="list-style-type: none"> <i>a) requirements from relevant Union law and national rules are met;</i> <i>b) changes are controlled and documented either in the technical files or in the file accompanying the issued authorisation;</i> <i>c) information and data is kept current and accurate;</i> <i>d) relevant parties are informed of changes, as required.</i> <p><u>Article 2 (3), Commission Implementing Regulation (EU) 2018/545 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.</u></p>	
Pre-engagement	<p><i>Means a procedural stage preceding the submission of an application for authorisation performed upon request of the applicant;</i></p> <p><u>Article 2 (9), Commission Implementing Regulation (EU) 2018/545 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.</u></p>	
Requirements capture	<p><i>Means the process of identification, assignment, implementation and validation of requirements performed by the applicant in order to ensure that relevant Union and</i></p>	

	<p><i>national requirements are complied with. Requirements capture may be integrated in the product development processes;</i></p> <p><u>Article 2 (11), Commission Implementing Regulation (EU) 2018/545 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.</u></p>	
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