Partial revision of the ATMF UR

Draft texts from the Committee of Technical Experts
1. PREPARATORY WORK

The provisions of the ATMF UR are compatible with the provisions of the European Union’s Interoperability Directive 2008/57/EC and with part of the Safety Directive 2009/49/EC.

As all Member States of the European Union with a railway network are also Member States of OTIF, and because of the substance of the provisions of the agreement on the European Union’s accession to COTIF, it is important for international traffic that the provisions applicable in the EU and COTIF are harmonised.

With the adoption of the fourth railway package and in particular the recast Interoperability Directive (EU) 2016/797 and the recast Safety Directive (EU) 2016/798, the EU changed several provisions which were harmonised with ATMF. The European Commission kept the Committee of Technical Experts and its standing working group TECH informed about these changes, both before and after they entered into force. On the basis of an analysis by the European Commission and the Secretariat, the WG TECH prepared modifications to ATMF to ensure continued harmonisation with EU law.

The modifications are necessary in order to harmonise some terminology with new EU provisions and to take into account some procedural changes within the EU, particularly the fact that the EU Agency for Railways will be competent to issue vehicle authorisations. The basic concept of ATMF is not the subject of the proposed changes.

The changes were presented and discussed at the 10th session of the Committee of Technical Experts, which convened on 13 and 14 June 2017 in Bern. The Committee of Technical Experts is not competent to decide on these subjects, but on the basis of its expertise, it is a suitable organ to advise the Revision Committee of its opinion. The Committee of Technical Experts did not identify any critical issues and supported the proposed changes.

Part 2 of this document describes the proposed modifications and their justification. In accordance with Articles 17 and 33 COTIF, the Revision Committee is competent to decide on these modifications.

Part 3 of this document proposes modifications to the Explanatory Report corresponding to the proposed modifications to the ATMF UR.

Note: the 12th session of the General Assembly decided to amend the provisions of Articles 1 and 3 of the ATMF UR. The entry into force of these amendments is still pending Member States’ approval in accordance with Article 34 COTIF.
2. PROPOSAL FOR MODIFICATION OF THE ATMF UR

2.1. MODIFICATION OF ARTICLE 2

Article 2
Definitions

For the purposes of these Uniform Rules and their (future) Annex(es), the APTU Uniform Rules and their Annex(es) and the APTU Uniform Technical Prescriptions (UTP) the following definitions shall apply:

a) “accident” means an unwanted or unintended sudden event or a specific chain of such events which have harmful consequences; accidents are divided into the following categories: collisions, derailments, level-crossing accidents, accidents to persons involving caused by rolling stock in motion, fires and others;

[...]

g) “element of construction”, also called “interoperability constituent”, means 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, railway vehicle, or infrastructure; the concept of an “element of construction” covers, including both tangible objects and intangible objects such as software;

[...]

w) “railway vehicle” means 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;

[...]

gg) “upgrading” means any major modification work on a subsystem or part of it which results in a change to the technical file relating to the subsystem, if that technical file exists, subsystem and which improves the overall performance of the subsystem;

hh) “area of use of a vehicle” means the networks located within two or more Contracting States in which a vehicle is intended to be used.

Justification

The aim of the changes to the definitions in this Article is to align them with the terminology used in the European Union.
2.2. MODIFICATION OF ARTICLE 3a

Article 3a
Interaction with other international agreements

§ 1 Railway vehicles which have been placed in service or on the market according to applicable European Union (EU) and corresponding national legislation shall be deemed as admitted to operation by all Contracting States according to these Uniform Rules

a) in the case of full equivalence between the provisions in the applicable TSIs and the corresponding UTP and

b) provided the set of applicable TSIs, against which the railway vehicle was authorised, cover all aspects of the relevant subsystems that are part of the vehicle and

c) provided these TSIs do not contain open points related to the technical compatibility with infrastructure and

d) provided the vehicle is not subject to a derogation and

e) provided the vehicle is not subject to specific cases which limit the conditions of admission or authorisation for placing in service or on the market.

If the conditions of a) to e) are not fulfilled, the vehicle shall be subject to Article 6 § 4.

§ 2 For the exclusive purpose of providing railway services, railway vehicles which have been admitted to operation according to these Uniform Rules shall be deemed as authorised for placing in service on the market in the Member States of the European Union and in the States which apply European Union legislation as a result of international agreements with the European Union in the case of

a) full equivalence between the provisions in the applicable UTP and the corresponding TSIs and

b) provided the set of applicable UTP against which the railway vehicle was authorised covers all aspects of the relevant subsystems that are part of the vehicle and

c) provided these UTP do not contain open points related to the technical compatibility with infrastructure and

d) provided the vehicle is not subject to a derogation and

e) provided the vehicle is not subject to specific cases which limit the conditions of admission or authorisation for placing in service or on the market.

Railway vehicles which have been admitted to operation according to this paragraph are subject to Article 23 of Directive (EU) 2016/797 before being used in Member States of the European Union.

If the conditions of a) to e) are not fulfilled, the vehicle shall be subject to authorisation according to the law applicable in the Member States of the European Union and in the States which apply European Union legislation as a result of international agreements with the European Union.
§ 3 The authorisation for placing in service on the market, the operation and the maintenance of railway vehicles intended to be used only in Member States of the European Union are regulated by the applicable European Union and national legislation. This provision is also applicable to Contracting States which apply relevant European Union legislation as a result of international agreements with the European Union.

For Railway Undertakings and Infrastructure Managers, when operating within the EU, EU legislation takes precedence over the provisions in these Uniform Rules.

[...]

Justification

The new EU concept of ‘authorisation for placing on the market’ should be referred to in ATMF.

In § 2 the reference to Article 23 of Directive (EU) 2016/797 concerns the checks to be performed by railway undertakings before using a vehicle. These checks aim at ascertaining the vehicle is compatible with the route on which it will be operated and that the vehicle is properly integrated in the train composition. Article 6 § 2 and Article 15a § 1 ATMF have similar objectives.

2.3. MODIFICATION OF ARTICLE 5

Article 5

Competent authority

[...]

§ 5 Each Contracting State shall ensure, by notification or where appropriate by the means provided for in the law of the European Union or in the law of the States which apply European Union legislation as a result of international agreements with the European Union, that the Secretary General is informed of the competent authority, the assessing entities and, if applicable the accreditation body, or the competent national body referred to in Article 2 wa (1), indicating each body’s area of responsibility. The Secretary General shall publish a list of competent authorities, assessing entities and accreditation bodies or competent national bodies, their identification numbers, if applicable, and areas of responsibility, and shall keep the list updated.

Notifications may be made by Regional Organisations which have acceded to COTIF on behalf of Contracting States which are members of the Regional Organisation concerned.

[...]

Justification

In order to implement the ATMF UR correctly, it is important that the competent authority of each Contracting State is notified and that the Secretary General publishes this information so that other States, authorities, applicants, etc. can access this information.

Each Contracting State should notify its competent authority. The national safety authority (NSA) of each Member State of the European Union has so far also been considered as its competent authority.
and the same applied to States which apply European Union legislation as a result of an agreement between the European Union and the State concerned (e.g. Switzerland and Norway).

The new European Union legalisation set out in Directive (EU) 2016/797 gives the European Union Agency for Railways (ERA) the competences, under certain conditions, to issue authorisations for placing on the market of vehicles, particularly if the area of use of the vehicle covers the networks of more than one State. This makes ERA, de facto, the competent authority for OTIF Contracting States that are also members of the European Union.

Assuming both parties agree, it is possible that ERA might also be designated as the competent authority of States which are not members of the European Union. In such case, it should be the State concerned that notifies the Secretary General accordingly.

The aim of these modifications is to clarify these responsibilities.

2.4. MODIFICATION OF ARTICLE 6

Article 6
Validity of technical certificates

[...]

§ 2 An admission to operation allows the rail transport undertakings to operate a vehicle **within its area of use, meaning** only on infrastructures compatible with the vehicle according to its specifications and other conditions of the admission; it is the responsibility of the rail transport undertaking to ensure this.

§ 3 Without prejudice to Article 3a an admission to operation issued for a vehicle which is in conformity with all applicable UTP shall be valid on the territories of other Contracting States provided that

a) all essential requirements are covered in these UTP and

b) the vehicle is not subject to

- a specific case which affects the technical compatibility with the network of the Contracting State concerned, or

- open points **in the UTP** that are related to technical compatibility with the infrastructure, or

- a derogation.

The conditions for the free circulation may also be specified in the relevant UTP.

§ 4 a) Where in a Contracting State an admission to operation has been issued for a vehicle which is

- subject to a specific case which affects the technical compatibility with the network of the Contracting State concerned, an open point which is related to the technical compatibility with the infrastructure or a derogation, or
- not in conformity with all the UTPs concerning rolling stock the vehicle and all other relevant provisions, or

b) where not all essential requirements are covered in the UTPs,

**The area of use concerning the initial admission shall be limited to the issuing State(s).**
The competent authority or authorities of the other States may ask the applicant for additional technical information such as risk analysis and/or vehicle tests before granting a complementary admission to operation and extending the vehicle’s area of use.

For the part of the vehicle which is compliant with a UTP or part of it, the competent authorities have to accept verifications that have been made by other competent authorities or assessing entities according to the UTP. For the other part of the vehicle the competent authorities shall take full account of the equivalence table referred to in Article 13 of the APTU Uniform Rules.

The fulfilment of

- identical provisions and provisions declared equivalent,
- provisions not related to a specific case which affects the technical compatibility with the network of the Contracting State concerned and
- provisions not related to the technical compatibility with infrastructure,

shall not be assessed again.

[...]

**Justification**

Introduction of the concept of “area of use” as an indication of where the vehicle can be used. ‘Area of use of a vehicle’ means the networks within two or more States in which a vehicle is intended to be used.

The concept of ‘area of use’ of a vehicle should be harmonised between EU law and ATMF in order to avoid ambiguities. However, the process linked to assigning an ‘area of use’ to a vehicle may be different, because the processes for EU authorisation for placing on the market and the AMTF admission to operation are different.

In the context of ATMF, a vehicle will either be admitted in accordance with Article 6 § 3 and have an area of use that includes all Contracting States, or will be admitted on the basis of Article 6 § 4 on a State-by-State basis. In the latter case, the area of use is gradually extended with each admission.

The modification of § 3 is to clarify that the open points relate strictly to UTPs. Although Article 8 § 7 of the APTU UR sets out the meaning of an open point in the context of UTPs, it is important to make explicit that what is meant here is only the open points in UTPs and not, for example, open points in other (national) provisions.

The change of reference from ‘rolling stock’ to ‘vehicle’ is relevant because a vehicle may consist of the subsystem rolling stock and an on-board part of the subsystem ‘command control and signalling’. See also the amendment to Article 2 w) of the ATMF UR.
2.5. MODIFICATION OF ARTICLE 7

Article 7
Prescriptions applicable to vehicles

[...]

§ 1a Vehicles shall comply with the UTPs applicable at the time of the request for admission, upgrading or renewal, in accordance with these Uniform Rules; this compliance shall be permanently maintained while each vehicle is in use.

[...]

Justification

Article 4(2) of European Union Directive (EU) 2016/797 refers to the time of the request for authorisation instead of the time of authorisation itself.

The “time of the request for admission” is the moment the applicant’s application for admission is received by Competent Authority.

This modification increases legal certainty for the applicant.

2.6. MODIFICATION OF ARTICLE 10

Article 10
Application and granting of technical certificates and declarations and related conditions

[...]

§ 4 If Article 6 § 4 applies to the vehicle, the applicant shall indicate the area of use, defining the Contracting States (if applicable the lines) for which the technical certificates are required to permit free circulation; in this case the competent authorities and assessing entities involved should cooperate in order to make the process easier for the applicant.

**If Article 6 § 3 applies to the vehicle, the area of use shall cover all Contracting States.**

Where the applicant wishes to extend the area of use of a vehicle which has already been admitted to operation, it shall update the vehicle’s documentation concerning this additional area of use and apply for the process defined in Article 6 § 4.

[...]

§ 10 If relevant provisions in the prescriptions according to Article 7 on the basis of which a type of construction has been admitted have been changed, and if no relevant transitional provisions are defined in the UTP or National Technical Requirements valid in accordance with Article 12 APTU can be applied, the Contracting State in which the corresponding Design Type Certificate has been issued, and after consultation of the other States where the Certificate is valid according to Article 6, shall decide whether the Certificate may remain valid or need to be renewed for the admission of new vehicles.
§ 11 In the event of renewal or upgrading of existing vehicles, a new admission to operation shall be required if:

a) the changes result in exceeding or falling below the limit values of the parameters set out in the UTPs and, where applicable, National Technical Requirements valid in accordance with Article 12 APTU, for checking the technical compatibility between the vehicle and the area of use, or

b) the changes result in a decrease of the overall safety level of the subsystem concerned, or

c) it is required by the relevant UTP.

If a new admission is required, the applicant contracting entity or the manufacturer shall send the Contracting State concerned a file describing the project. The Contracting State shall examine this file and, taking account of the implementation strategy indicated in the applicable UTP, shall decide whether the extent of the work means that a new admission to operation within the meaning of these Uniform Rules is needed. Such a new admission to operation shall be required whenever the overall safety level of the subsystem concerned may be adversely affected by the work envisaged. If a new admission is needed, the Contracting State shall decide to what extent the provisions in the related UTP need to be applied to the project.

The Contracting State shall take its decision not later than four months after submission of the complete file by the applicant.

When a new admission is required and if the UTP are not fully applied the vehicle shall be subject to a new admission to which the conditions of Article 6 §4 apply and the Contracting States shall notify to the Secretary General

a) the reason why a UTP is not fully applied,

b) the technical characteristics applicable in place of the UTP and

c) the bodies responsible for the assessment of the technical characteristics referred to under b).

The Secretary General shall publish the notified information on the website of the Organisation.

[...]

Justification

Article 21(2) of European Union Directive (EU) 2016/797 requires the applicant to include evidence that the technical compatibility between the vehicle and the network of the area of use has been checked.

European Union Directive (EU) 2016/797, Article 21(2): In its application for a vehicle authorisation for placing on the market, the applicant shall specify the area of use of the vehicle. The application...
shall include evidence that the technical compatibility between the vehicle and the network of the area of use has been checked.

European Union Directive (EU) 2016/797, Article 21(13): Where the applicant wishes to extend the area of use of a vehicle which has already been authorised, it shall supplement the file with the relevant documents referred to in paragraph 3 concerning the additional area of use. The applicant shall submit the file to the Agency, which shall, after following the procedures laid down in paragraphs 4 to 7, issue an updated authorisation covering the extended area of use.”

It is not obvious that these principles can be carried over into the ATMF UR, as the applicant may not be able to provide this information because, depending on the provisions applicable in the States concerned, this information may only become available during the checks performed by the competent authority. It is for this reason that the proposal to extend the area of use should be linked to the process for additional admission in accordance with Article 6 § 4. The applicant would be responsible for updating the vehicle’s documentation for this purpose.

The modifications to § 11 are required to reflect the new procedure in Article 21(12) of European Union Directive (EU) 2016/797. This clarification ensures legal certainty for keepers and owners of vehicles who wish to upgrade or renew the vehicle, as it makes more precise the conditions under which a new admission for an existing vehicle is required.

2.7. MODIFICATION OF ARTICLE 10b

Article 10b
Rules for assessments and procedures

[...]

§ 2 In addition to, but not in contradiction with the provisions set by the Committee of Technical Experts according to § 1, Contracting States or regional organisations may adopt (or maintain) provisions for non-discriminatory detailed mandatory procedures for the assessments and requirements concerning declarations. These provisions shall be notified to the Secretary General, who shall inform the Committee of Technical Experts, and they shall be published by the Organisation.

Justification

The technical requirements, as well as the methods for assessing compliance with them, are a cornerstone for the functioning of ATMF. It would be contrary to the procedural harmonisation established by ATMF if specific provisions concerning assessments and declarations were to be developed or used.

§ 2 has not been used since its introduction, which suggests there is no obvious need for it. There is a risk that the mutual acceptance of assessment results might be jeopardised if national or regional mandatory requirements are used in parallel with the APTU UR and ATMF UR. This could lead to vehicles that were already admitted having to be re-assessed. This would contradict Article 6 and in this respect, deleting § 2 would ensure consistency with Article 6.

If special provisions are required which are currently in the scope of Article 10b § 2, the following options remain available:
Where it refers to EU provisions, the accession agreement and Article 3a ensure that EU rules can be applied between EU States and actors. It may not be desirable for these to apply to relations between EU and non-EU OTIF MSs, because one of the aims of COTIF is to harmonise these provisions.

Where it refers to possible future regional organisations acceding to COTIF, an accession agreement could include provisions similar to the EU accession agreement, allowing the States that are members of the regional organisation to apply differing rules to their mutual relations (only).

2.8. MODIFICATION OF ARTICLE 11

Article 11
Technical Certificates

[...]

§ 3 The Certificate of Operation shall include

a) all the information indicated in § 2, and

b) the area of use of the vehicle;

c) the values of the parameters set out in the UTPs and, where applicable, in the national requirements in accordance with Article 12 APTU, for checking the technical compatibility between the vehicle and the area of use;

d) the vehicle's compliance with the relevant UTPs and sets of national requirements in accordance with Article 12 APTU, relating to the parameters referred to in letter c);

e) the conditions for use of the vehicle and other restrictions;

f) the identification code(s) of the vehicle(s) covered by the certificate;

g) information on the keeper of the railway vehicle(s) covered by the certificate on the day of its issue;

h) if appropriate, its period of validity.

[...]

Justification

§ 3 is amended in accordance with Article 21 (10) of European Union Directive (EU) 2016/797. The modifications should result in more uniform documentation related to the vehicle, which could be particularly useful for the railway undertaking operating the vehicle when managing its responsibilities as set out in Article 6 § 2 and Article 15a § 1.
2.9. MODIFICATION OF ARTICLE 13

Article 13

Registers

§ 1 A national vehicle register (NVR) shall be set up according to the specifications adopted by CTE in the form of one or more electronic national or regional data banks containing information concerning the railway vehicles in respect of which a Certificate of Operation has been issued. The register shall also include railway vehicles admitted according to Article 19; it may contain railway vehicles admitted for national traffic only.

The register or registers shall:

a) comply with the specifications adopted by CTE;

b) be kept updated;

c) be accessible by the competent authorities of all Contracting States, by railway undertakings and infrastructure managers, as well as those persons or organisations registering vehicles or identified in the register.

[...] Justification

These modifications will enable joint vehicle registers to be set up by a group of States, i.e. a single European Vehicle Register in the EU, which is provided for in Article 47 of European Union Directive (EU) 2016/797, provided that the information it contains is accessible to other Contracting States.
3. PROPOSAL FOR MODIFICATION OF THE EXPLANATORY REPORT

The Explanatory Report should be adapted to take account of the modifications to be adopted. The following text takes into account the modifications to ATMF set out in section 2 of this document, assuming they are adopted, as well as some points of clarification suggested by Member States. Only the points and paragraphs which are new or subject to modification are shown.

General Remarks

18. At its 26th session (Bern, 27.2-1.3.2018), the Revision Committee adopted modifications to Articles 2, 3a, 5, 6, 7, 10, 10b, 11 and 13 of the ATMF UR in order to align the rules with the changes brought about in the EU by European Union Directive (EU) 2016/797.

Article 3a
Interaction with other international agreements

3. § 2 deals with the authorisation of placing into service use in international traffic in EU Member States and in Contracting States which apply EU law as a result of international agreements with the European Union of a railway vehicle approved in accordance with ATMF. The reference to Article 23 of Directive (EU) 2016/797 concerns the checks to be performed by railway undertakings before using a vehicle. The aim of these checks is to ascertain that the vehicle is compatible with the route on which it will be operated and that the vehicle is properly integrated in the train composition. Article 6 § 2 and Article 15a § 1 ATMF have similar objectives.

Article 5
Competent authority

6. § 5 requires that the Secretary General be notified of the bodies responsible for assessments, certifications and approvals and that he must publish this information in a list which must be kept up to date. The European Union legislation in Directive (EU) 2016/797 gives the European Union Agency for Railways (ERA) the competences, under certain conditions, to issue authorisations for placing on the market of vehicles, particularly if the area of use of the vehicle covers the networks of more than one State. This makes ERA, de facto, the competent authority for OTIF Contracting States that are also members of the European Union. Assuming all parties agree, it is possible that ERA might also be designated as the competent authority of States which are not members of the European Union. In such case, it should be the State concerned that notifies the Secretary General accordingly.

Article 6
Recognition of procedural documentation technical admission

8. At its 26th session, the Revision Committee added the concept of ‘area of use’ of a vehicle as an indication of where the vehicle can be used. ‘Area of use of a vehicle’ means the networks within two or more States in which a vehicle is intended to be used.

Article 7
Prescriptions applicable to vehicles

5. § 1a: To compensate for the modification made by the 25th Revision Committee in §1 (deleting ‘remain admitted’), a new § 1 a) is added to indicate that the entities responsible for the vehicle after admission, i.e. the keeper, the ECM and the railway undertaking, should keep the vehicle compliant with the UTPs. Due to the fact that the admission procedures can
take several months, it is recommended that the rules to be applied by the competent authority for a specific admission process are those that were in force at the moment the applicant’s application for admission is received by the Competent Authority the date of application and that no new rule should be imposed during the subsequent process. The definition of this moment was added by the 26th Revision Committee.

Article 10
Application and granting of Technical Certificates and declarations and related conditions

5. § 4 concerns technical certificates for vehicles which, because of their limited degree of conformity, require complementary admissions in accordance with Article 6 § 4. The scope of use applied for must be described precisely. If this results in the need for admissions/assessments by several competent authorities, these must coordinate in order to speed up the approval process and minimise the cost for the applicant. The area of use of a vehicle which has already been admitted to operation may be extended in accordance with the provisions of Article 6 § 4. The applicant is responsible for updating the vehicle’s documentation for this purpose.

12. At its 26th session, the Revision Committee decided to modify § 11 to reflect the procedure in European Union Directive (EU) 2016/797 Article 21(12). This clarification ensures legal certainty for keepers and owners of vehicles who wish to upgrade or renew the vehicle, as it makes more precise the conditions under which a new admission for an existing vehicle is required.

Article 10b
Rules for assessments and procedures

3. At its 26th session, the Revision Committee decided to delete § 2 because, since it entered into force, no such provisions had been notified and it would be contrary to the procedural harmonisation established by ATMF if specific provisions concerning assessments and declarations were to be developed or used.

Article 11
Technical Certificates

3. The details of what both certificates must contain are laid down in §§ 2 and 3. At its 26th session, the Revision Committee decided to clarify § 3 in accordance with Article 21 (10) of European Union Directive (EU) 2016/797. The modifications define documentation requirements related to the vehicle, which is particularly useful for the railway undertaking operating the vehicle when managing its responsibilities as set out in Article 6 § 2 and Article 15a § 1.

Article 13
Registers

3. At its 26th session, the Revision Committee decided to amend § 1 to enable joint vehicle registers to be set up by a group of States, i.e. a single European Vehicle Register in the EU, which is provided for in Article 47 of European Union Directive (EU) 2016/797, provided that the information it contains is accessible to other Contracting States.
4. PROPOSAL FOR DECISION

1. In accordance with Article 17 § 1 a) of COTIF, the Revision Committee adopts the modifications to Articles 2, 3a, 5, 6, 7, 10, 10b, 11 and 13 of Appendix G to the Convention (ATMF UR) as set out in this document [and as amended at the meeting].

2. The Revision Committee approves the modifications to the Explanatory Report and requests the Secretary General to include the approved text in the Explanatory Report.