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Draft proposals by the Secretariat for the revision of ATMF with regard to Entities in Charge of Maintenance (ECM)

1. INTRODUCTION

The ATMF Uniform Rules (Appendix G to COTIF and further referred to as ATMF) sets out general rules concerning entities in charge of maintenance (ECMs). Further detailed provisions concerning ECMs are set out in Annex A to ATMF.

At the time of writing this document, the rules for the certification and auditing of ECMs, Annex A to ATMF are subject to revision by a vote using the written procedure. If adopted, the new provisions are expected to enter into force on 1 April 2021.

Compared with the existing rules, the proposed new rules would extend the scope of certification beyond its current scope, which is limited to the certification of freight wagon ECMs. As a general rule, under the future rules, ECMs of all types of vehicles should be certified. Every ECM would have to comply with the general requirements and criteria set out in Annex II of the proposed future rules.

At the 40th session of WG TECH, the question was raised as to whether the ECM related provisions in ATMF needed updating. This document analyses the current ATMF provisions and discusses the need for possible modifications.

2. RELEVANT EXISTING PROVISIONS IN ATMF

The current texts in ATMF (in force since 1 March 2019) related to the certification and auditing of ECMs and the tasks and responsibilities of ECMs are as follows:

Article 3a

Interaction with other international agreements

[...]

§ 5 An entity in charge of maintenance² (ECM) for a freight wagon, certified according to Article 15 § 2, shall be deemed as certified according to applicable European Union and corresponding national legislation and vice versa in the case of full equivalence between the certification system adopted under Article 14a (5) of the EU Railway Safety Directive 2004/49/EC and rules adopted by the Committee of Technical Experts according to Article 15 § 2. These adopted rules are set out in Annex A to these Uniform Rules.

Footnote 2: The requirements relating to the entity in charge of maintenance are set out in Article 15.

Article 15

Maintenance of vehicles

§ 1 Vehicles must be in a good state of maintenance in such a way that they comply with the provisions as defined in Article 7. The condition of vehicles must not in any way compromise operational safety and must not harm the infrastructure, environment and public health by their circulation or their use in international traffic. To that end, vehicles shall be made available for and undergo the service, inspections and maintenance as prescribed in the Maintenance File. It shall be the responsibility of the keeper to designate an ECM for this purpose.

§ 2 Each vehicle, before it is admitted to operation or used on the network, shall have an ECM assigned to it and this entity shall be registered in the data bank referred to in Article 13. The ECM shall ensure that the vehicles for which it is in charge of maintenance are in a safe state of running by means of a system of maintenance. The ECM may make use of contractors including maintenance workshops.

The Committee of Technical Experts shall be competent to adopt and amend rules for certification and auditing of ECM and maintenance workshops. The rules are set out in Annex A to these Uniform Rules.

The ECM for a freight wagon shall be certified by an ECM Certification Body accredited or recognised in one of the Contracting States in accordance with Annex A to these Uniform Rules.

§ 3 The keeper shall make available to the ECM, as far as necessary for maintenance, the elements relating to the instructions concerning servicing, constant or routine monitoring, adjustment and maintenance.

The ECM must ensure, either directly or via the keeper, that reliable information about maintenance and restrictions affecting operations, necessary and sufficient to support safe operations are available for the operating railway undertaking.

The operating railway undertaking must in due time, either directly or via the keeper, provide the ECM with information on operation of the vehicles (including mileage, type and extent of activities, incidents/accidents) for which the ECM is in charge.

§ 4 The ECM of an admitted vehicle shall keep and update the Maintenance File and Maintenance Record File for that vehicle. The ECM shall inform the keeper of updates to the Maintenance Record File. The files shall be available for inspection by the competent national authority.

Article 15a **Train composition and operation**

§ 1 The rail transport undertaking shall control the risks associated with its activities and especially those related to the operation of trains. To that end it shall ensure that these trains comply with the essential requirements and shall in particular:

- a) ensure correct and safe train composition and preparation, including pre-departure checks,
- b) take into account information necessary for the safe operation of each vehicle, including possible operating restrictions,
- c) only use vehicles within their limit and conditions of use,
- d) be required to comply with the prescriptions relating to operation in international traffic, such as those specified in the relevant UTPs,
- e) ensure that each vehicle carried has an ECM assigned to it and when required that the ECM has a valid certificate.

[...]

Article 16 **Accidents, incidents and severe damage**

§ 1 In case of accident, incident or severe damage to vehicles, all parties involved (the infrastructure managers, the keepers, the ECM, the railway undertakings concerned and possible others), shall be required

- a) to take, without delay, all necessary measures to ensure the safety of railway traffic, respect for the environment and public health and
- b) to establish the causes of the accident, the incident or the severe damage.

[...]

3. ANALYSIS

There are two main reasons for modifying the current texts.

Firstly, the scope of certification of ECMs in the new Annex A to ATMF extends beyond freight wagons. This should be reflected, particularly in Article 15 of ATMF, which currently mandates the certification of ECMs of freight wagons only.

Secondly, ATMF makes reference in Article 3a to EU legislation that is no longer in force (Directive 2004/49/EC has been repealed and replaced by Directive (EU) 2016/798).

4. DRAFT PROPOSALS AND JUSTIFICATIONS

The texts of Article 3a § 5 and Article 15 § 2 of ATMF should be modified as follows. The other texts of the existing ATMF Uniform Rules related to ECM do not need to be modified.

Proposed modifications to Article 3a § 5 of ATMF:

Article 3a

Interaction with other international agreements

§ 5 An entity in charge of maintenance² (ECM) ~~for a freight wagon~~, certified according to Article 15 § 2, shall be deemed as certified according to applicable European Union ~~and corresponding national~~ legislation and vice versa in the case of full equivalence between the certification system ~~adopted under Article 14a (5) of the EU Railway Safety Directive 2004/49/EC~~ applicable in the European Union and COTIF rules ~~adopted by the Committee of Technical Experts~~ according to Article 15 § 2. The Committee of Technical Experts shall be competent to declare such equivalence. ~~These adopted rules are set out in Annex A to these Uniform Rules.~~

Footnote 2: The requirements relating to the entity in charge of maintenance are set out in Article 15.

Justification of proposed modifications to Article 3a § 5 of ATMF:

1. The new rules for certification of ECMs in Annex A to ATMF are no longer specific to freight wagons, so the reference to freight wagons must be deleted.
2. Reference to national legislation should be deleted, as the rules on certification of ECMs for vehicles in international traffic are now exhaustively regulated at international level.
3. The precise reference to EU legislation should be removed and replaced by a general reference to avoid the need for modification of ATMF every time EU law changes.
4. Reference to “rules adopted by the Committee of Technical Experts” should be deleted. The adoption of rules alone does not give them legal force. The entry into force of decisions by the Committee is governed by Article 35 §§ 3 and 4 of COTIF (Base Convention). It is therefore better simply to refer to “COTIF rules”, which is an expression covering all legal provisions falling under COTIF.
5. As the precise reference to EU legislation is removed, it is important to establish competence for declaring equivalence between EU rules and OTIF rules. This competence should be given to the Committee of Technical Experts, by analogy with Article 13 § 3 letter b of the APTU Uniform Rules, which gives the Committee of Technical Experts competence to declare equivalence, in railway safety terms, between provisions in the UTP and the corresponding TSI.

6. The final sentence, which merely refers to Annex A, is not needed here as it is mentioned in Article 15 of ATMF.

Proposed modifications to Article 15 § 2 of ATMF:

**Article 15
Maintenance of vehicles**

§ 2 Each vehicle, before it is admitted to operation or used on the network, shall have an ECM assigned to it and this entity shall be registered in the data bank referred to in Article 13. The ECM shall ensure that the vehicles for which it is in charge of maintenance are in a safe state of running by means of a system of maintenance. The ECM may make use of contractors including maintenance workshops.

The Committee of Technical Experts shall be competent to adopt and amend rules for certification and auditing of ECM and maintenance workshops. The rules are set out in Annex A to these Uniform Rules.

~~The ECM certificates shall be issued only for a freight wagon shall be certified~~ by an ECM Certification Body accredited or recognised in one of the Contracting States in accordance with Annex A to these Uniform Rules.

Justification of proposed modifications to Article 15 § 2 of ATMF:

1. The new rules for certification of ECMs in Annex A to ATMF are no longer specific to freight wagons, so the reference to freight wagons must be deleted.
2. The provisions of ATMF should not go into detail as to which type of ECM must be certified or not. Details and exceptions are set out in Annex A to ATMF. Therefore, ATMF should no longer require that *the ECM for a freight wagon shall be certified* (even though this is true, as it is a requirement in Annex A to ATMF).
3. Issuing ECM certificates is the exclusive competence of ECM Certification Bodies.

5. DECISION-MAKING COMPETENCES

In accordance with Article 33 § 4 letter g of COTIF (Base Convention), it falls within the competence of the Revision Committee to modify the ATMF Uniform Rules, with the exception of Articles 1, 3 and 9 of ATMF (which are in the competence of the General Assembly).

According to established practice, modifications to the ATPU or ATMF Uniform Rules may be drafted, discussed and reviewed by the Committee of Technical Experts before being proposed for decision by the Revision Committee (for Articles 1, 3 or 9 of ATMF decisions are taken by the General Assembly, after consideration by the Revision Committee).

6. PLANNING

After review by WG TECH, the text proposals for modification of ATMF should be considered by the Committee of Technical Experts. This could be done in June 2021.

After consideration by the Committee of Technical Experts, the proposals can be proposed for adoption by the 27th session of the Revision Committee. At the time of writing this document, no date for the 27th session had yet been scheduled.

In accordance with Article 35 § 3 of COTIF (Base Convention), modifications of ATMF, decided upon by the Revision Committee, shall enter into force for all Member States on the first day of the twelfth month following that during which the Secretary General has given notice of them to the Member States.