Principles of APTU and ATMF
Operational actors for the international use of vehicles
Equivalence between COTIF and EU provisions
Vehicle admission
Interoperability: the cross-border operation of trains
CTE: workflow for the development of rules
Part 1

Admission of rail vehicles and their use and exchange in cross-border traffic

Principles
APTU and ATMF: Important principles and aims

- **International harmonisation**
  - Develop and adopt harmonised technical requirements for the admission of vehicles to international traffic

- **Separation of powers**
  - Set the competence for approving vehicles at government level (not railway companies)

- **International admission of vehicles**
  - A vehicle approved by one Contracting State can be used internationally

- **Definition of responsibilities**
  - Definition of responsibilities for the use of vehicles; in particular for railway undertakings (RU), entities in charge of maintenance (ECM) and keepers

- **Equivalence with EU**
  - Establish compatibility with EU railway regulations for all of the above
APTU and ATMF

Summary of scopes

APTU

Technical

Adoption of new requirements (UTP)

Validity of national requirements

Cross-acceptance of national requirements

ATMF

Admission of vehicles

Responsibilities in approval process

Admission procedures

International recognition of admissions

Responsibilities in international operation

Responsibility for maintenance of vehicles

Accidents, non-compliance and other problems

Use of vehicles

registers
APTU and ATMF: technical Appendices and their subsidiary rules

- APTU
  - UTP GEN-A ess.req.
  - UTP GEN-B subsystems
  - UTP GEN-C tech file
  - UTP GEN-D modules
  - UTP GEN-E assess. entities
- ATMF
  - Annex A - ECM
  - Annex B - derogations
  - Format of certificates
  - NVR specifications

COTIF

UTP WAG

UTP NOI

UTP LOC&PAS

UTP PRM

UTP Marking
Legal pyramid

Structuring principle of the Convention, regulations and standards

The UTP/TSI set as many functional requirements as possible, leaving room for innovation and business choices.

However, at the level of interfaces, detailed technical solutions are required.

Standardisation is the task of standardisation bodies such as ISO, CEN, CENELEC.

Additional harmonisation may be decided at the business level, e.g. UIC.
Part 2

Operational actors and their responsibilities in the international use of vehicles
COTIF provisions related to the vehicle and its use

As defined in ATPU and ATMF

COTIF/UTP vehicle requirements which allow compliant vehicles to be used in international traffic:

- Vehicle **technical requirements** set out in TSI/UTP related to rolling stock (WAG/LOC&PAS/PRM)
- Vehicle **marking**

Provisions which concern the ‘ecosystem’ of the vehicle:

- ECM for **maintenance**
- **Documentation** such as the technical file
- **Information exchanges** between keeper, ECM and railway undertakings

Provisions which concern the **correct use** of the vehicle:

- Requirements related to train composition, conditions and limits of use of vehicles, etc., as set out in the TSI OPE, for example
Principle relations and tasks for the exchange of vehicles

- The RU must ascertain that an ECM is assigned to each wagon - ATMF Art.15
- The RU and the keeper have a contractual relation - CUV
- The RU and ECM must exchange data about operation and maintenance - ATMF Art. 15
- The ECM is a servant of the keeper on a contractual relationship - CUV and ATMF Art. 15
Part 3

Equivalence with EU provisions
Equivalence principle
Vehicle admission according to ATMF Articles 3a and 6
<table>
<thead>
<tr>
<th>EU TSI and COTIF UTP</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name</strong></td>
</tr>
<tr>
<td>TSI – Technical Specification for Interoperability</td>
</tr>
<tr>
<td>UTP – Uniform Technical Prescription</td>
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<tr>
<td><strong>Application for vehicles</strong></td>
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<tr>
<td>Mandatory to comply with before selling or using a new railway product on the EU market</td>
</tr>
<tr>
<td>Compliance not mandatory in itself</td>
</tr>
<tr>
<td><strong>Treatment of interoperability constituents</strong></td>
</tr>
<tr>
<td>IC are assessed separately, so they can be marketed in the EU</td>
</tr>
<tr>
<td>Depending on applicable national law, IC may also be assessed as part of the subsystem. (COTIF is not a market regulation)</td>
</tr>
</tbody>
</table>
Conceptual differences

Between COTIF and the EU operational safety provisions

Safety and Interoperability in a single system
- Responsibilities for safe operation for the system shared by IM and RU (plus tasks and responsibilities attributed to other actors, such as ECM)
- Safety Management Systems for RU and IM
- Roles and duties of authorities (NSA, NIB)
- Common Safety (levels) Targets
- Interface arrangements between RU and IM set out in operational provisions (OPE TSI)

Exchange of vehicles between different networks
- Applies to international rail traffic → interface between different rail systems
- Provisions for the admission and use of vehicles
- Harmonised conditions under which the vehicles can be used and trains can be operated in different railway networks
- Overall safety management not in scope of COTIF

EU has a risk-based system approach, where RU and IM share the responsibility of safe operation and each of them must have an SMS.

COTIF is rule-based and works on the concept that compliant vehicles can be operated in different (national/regional) railway networks.
Part 4

Vehicle admission

Tasks, responsibilities and procedures
APTU and ATMF

Required division of competences

- Member States of OTIF that apply ATMF are required to have:
  - A competent authority

- And may designate, recognise or accredit:
  - An assessing entity
  - An ECM Certification body
  - CSM assessment body

- Or make use of the latter services from entities in other Member States
Main actors for verification, admission and operation

**Verification**

**Applicant**
- Entity that asks for the Certificate to operation for a vehicle
- Not defined which entity; could be RU, manufacturer, or other entity.

**Assessing entity**
- Entity that performs the conformity assessment of a vehicle

**Manufacturer**
- The end responsible for the design and production of a vehicle

**Admission**

**Competent authority**
- Government body that issues Certificates of Operation
- Supervises activities of all actors

**Operation**

**Keeper**
- Holds the Certificate of Operation
- Designates an ECM

**Railway undertaking**
- Is responsible for the correct use of the vehicle
- Provides the ECM with information on the operation of the vehicle

**ECM**
- Ensures that the vehicle is in a safe state of running
Part 5

Interoperability: the cross-border operation of trains
The next step for COTIF?
What is a train

The difference between a railway vehicle and a train

w) “railway vehicle” means a vehicle suitable to circulate on its own wheels on railway lines with or without traction;

eel) “Train” is a formation provided with traction, consisting of one or more railway vehicles and prepared for operation;

Vehicles, e.g.:
- Locomotive
- Freight wagon
- Passenger coach
- Train sets
Operational concepts for international rail traffic

**Exchange of vehicles**

Reconfiguring and preparation of train at border crossing station; other locomotive, other driver, other operational rules.

**Interoperability**

Train preparation at point of departure

Uninterrupted train movement across border, without changing train configuration or driver.
## The four levels of international railway regulation

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
</table>
| **1** | **International carriage of goods or passengers by rail**  
Provide confidence for passengers and freight customers to use rail transport  
Contractual law CIM and CIV – contractual relations between carrier and their customers  
Regulations concerning the carriage of dangerous goods (RID) |
| **2** | **Admission of rail vehicles and their use and exchange in cross-border traffic**  
Ensure that rail vehicles can be operated across borders  
CUV: Contractual provisions between keeper and carrier  
APTU and ATMF: requirements and responsibilities for the construction, approval and maintenance of vehicles |
| **3** | **Interoperability: the cross-border operation of trains**  
Ensure that trains can be operated across borders without technical or operational barriers  
Means that a national infrastructure manager accepts foreign railway undertakings on its network  
Requires harmonised interfaces between infrastructure operation and train operation |
| **4** | **Market regulation**  
The conditions under which a State provides access for foreign railway undertakings to operate trains  
Can e.g. be based for market opening and competition, but also e.g. for reciprocity and cooperation  
Market regulation is not in the scope of COTIF |
Part 6

Committee of Technical Experts

Workflow for the development of rules
Working process of the CTE

Next CTE meeting 7 and 8 June 2016 in Bern

CTE n

WG TECH

WG TECH

WG TECH

CTE n+1

Strategy document

Working documents

Working documents

Working documents

OTIF secretariat

OTIF secretariat

OTIF secretariat

OTIF secretariat

Proposals

Adopted documents

Notification

Entry into force

Informal exchanges with Member States, ERA, EU Commission and representative bodies

Ad-hoc group

Ad-hoc group
Organisation intergouvernementale pour les transports internationaux ferroviaires
Zwischenstaatliche Organisation für den internationalen Eisenbahnverkehr
Intergovernmental Organisation for International Carriage by Rail

Thank you for your attention

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