



UTP/TSI Assessments and Technical admissions

Karl Erik Raff, MSc Eng
Head of OTIF section
Technology



Content of this presentation

- Assessing conformity
 - Where now, and in future ?
 - Who may do the conformity assessment?
 - The assessment procedures (Modules)
 - Requirements to be checked (ATMF Art 6)
- Technical admissions
 - Design Type Certificate
 - Certificate of Operation (placing into service)



Assessment procedures (Modules) where now, and in future?

These procedures are in TSI WAG **at present**:

- Annex Q for Interoperability Constituents
- Annex AA for Subsystem freight wagons

In future they will be included in ONE document to be used for ALL subsystems

- A separate UTP GEN-D in OTIF regulations
- A separate document adopted by EU Commission



Who? = Assessing entity

- **Assessing entities** are in charge of assessing the conformity with the UTPs/TSIs
 - The assessing entity can in COTIF be:
 - the competent national authority
 - a “suitable body” notified by the authority
(a “NoBo” notified by an OTIF Contracting State also being a member of EU is deemed to be a “suitable body”)
- **Contracting States** are responsible for the notification of suitable bodies in their State to the Organisation – the bodies shall be published with their area of responsibility/competence on the OTIF website
- An assessing entity must fulfill the requirements of ATMF Art. 5 concerning independence, equipment, staff qualifications, secrecy, etc.



Notified Bodies (NoBo) in EU



- Delta Rail NoBol Ltd 1127*
- Praxis Systems Ltd 1157*
- Bombardier Transportation Notified Body 1156
- Correl Rail Ltd 1144*
- Railway Approvals 1125*
- Interfleet Technology Ltd 1133*
- Lloyd's Register 0038*
- Mott MacDonald Ltd 1124*
- Atkins NoBo 1143
- Halcrow Rail Approvals 1675*
- Network Rail Infrastructure



- KEMA RTC 0930*
- Luxcontrol Netherland B.V. 1010*
- NedTrain Consulting B.V. 0967*
- Railcert B.V. 0941*
- Lloyd's Register 0676*

* *HS & CR*



- LLC Baltic centre 1696



- Vanaheim 1807*



- SNCH 0499



- CNTK 1467*
- Trans Dozor Tech 1468*
- Movares 1736*
- IPST 1940*



- VUD As 1358*



- Belgorail 1615*



- TECHN A 2106
- VERITAS 2129
- SIQM 1304
- ZAG 1404



- APNCF 2101



- ADAF 0986*



- EBC 0893*



- PQRS 2126



- AFER 1867*



Assessment procedures (Modules)

Interoperability constituents (voluntary) :

- CA Internal production control (IPC)
- CA1 IPC + product verification by **individual examination**
- CA2 IPC + product verification at **random intervals**
- CB Type examination + either
 - CC Conformity to type by **internal production control**
 - CD Conformity to type by **quality management system (QMS) of the production process**
 - CF Conformity to type by **product verification**
- CH Conformity based on full QMS
- CH1 Conformity based on full QMS with design examination
- CV Type validation by in-service experience (suitability for use)



Assessment of Interoperability Constituents

- **The Manufacturer**
 - chooses the assessing entity and the modules of assessment
- **The Assessing entity (if required by the modules)**
 - assess the IC
 - assess the Quality Management System if in module
 - issues a Certificate of conformity
- **The Manufacturer**
 - issues the (EC) Declaration of conformity
 - places the IC on the (EU) market



Assessment procedures (Modules)

Subsystems:

- SB** Type examination + either
- **SD** Conformity to type by quality management system of the production process, or
 - **SF** Conformity to type by product verification
- or
- SH** Conformity based on full QMS
- or
- SH1 *** Conformity based on full QMS with design examination

*SH1 is equivalent to SH2 in TSI WAG



Assessment of a Subsystem

The task of the assessing entity responsible for the assessment of a subsystem **begin at the design stage and cover the entire manufacturing stage through to the acceptance stage** before the subsystem is admitted (by the competent national authority) as a type of construction and/or admitted to operation (placed in service)



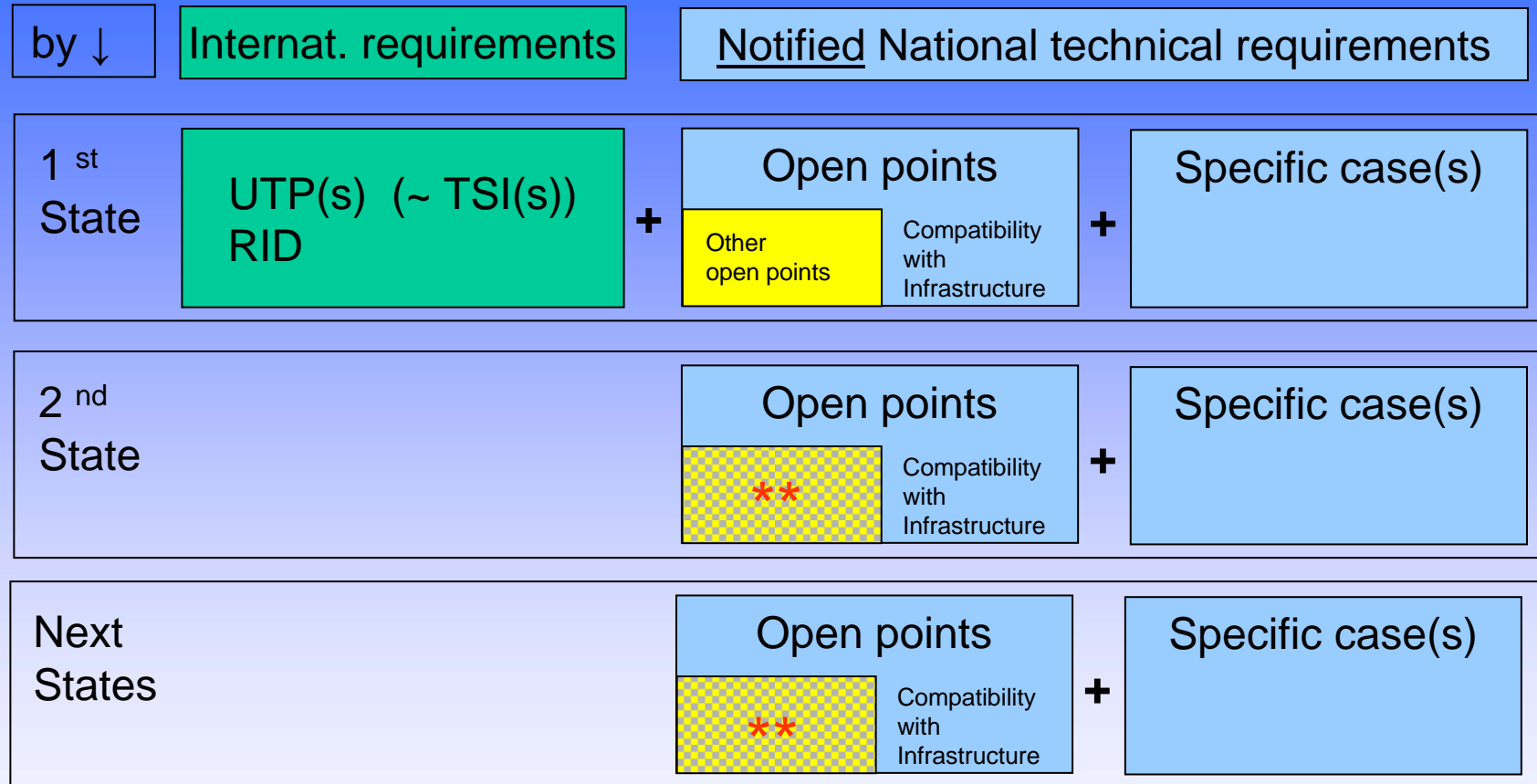
Assessment of a Subsystem

- **The applicant**
(the manufacturer, a rail transport undertaking, the keeper or the owner of the vehicle, or an infrastructure manager, ATMF Art.10)
➤ chooses the assessing entity and the modules of assessment
- **The assessing entity**
➤ carries out the assessment
➤ assess the Quality Management System if in module
➤ compiles the technical file
➤ issues an evaluation report (EU + certificate of conformity)
- **EU only: The Contracting Entity**
➤ issues the EC declaration of verification
- **The Contracting State**
➤ issues the technical admission - based on evaluation report and additional assessment of national requirements (**Design Type Certificate** and **Certificate of Operation**)

Before the issue of the **Certificate of Operation**, the vehicle must be registered in the NVR (National Vehicle Register) of the issuing Contracting State with an ECM ("Entity in Charge of Maintenance") registered.



COTIF technical admission – Requirements to be checked:



** = Requirements of 1st State for open points not relating to compatibility with infrastructure are cross accepted by all other Contracting States (OTIF/EU)

 Equivalence table to be applied, equivalent requirements shall only be assessed once !!!



General rules for assessments

- An assessing entity may – if agreed with the applicant – subcontract part of its task to another assessing entity within that subcontractor's competence
- The competent national authority may also delegate the assessment of notified national requirements (for open points and specific cases) to a “suitable body”
- The assessing entities shall cooperate (ATMF Art. 10 § 4)
- Assessments and tests may NOT be required repeated
- The declared equivalence shall be observed !
- Assessments may NOT be made for profit !
- An incompetent suitable body which do not meet the criteria (ATMF Art. 5) may be excluded and assessments made be nullified by decision of the Committee of Technical Experts



The Certificates

- Uniform Models
- Content specified in ATMF Art. 11
- A Certificate of Operation is, in principle, unlimited in time, except if issued as temporary
- It may cover production series of identical vehicles
- A Design Type Certificate may be made void or limited if relevant UTPs have been changed
- Conditions can be included for both types of Certificates
- Issued/added to only by the competent authority
- Can be suspended or withdrawn by the issuing authority
- Follows the vehicle – from keeper to keeper, not the owner



If the mandatory TSI/UTP does not meet your requirements ?

Later after the entry into force of the UTP, you have only 3 options for that case:

- Specific case (for your country)
- Derogation (very limited)
- Declaration of no/reduced APTU/ATMF use

But they all reduce/ruin the free circulation of the vehicle in other OTIF/EU Member States !

-

An option *might be* to have your requirement included in the UTP as an “alternative target system”

