



Organisation intergouvernementale pour les
transports internationaux ferroviaires

Zwischenstaatliche Organisation für den
internationalen Eisenbahnverkehr

Intergovernmental Organisation for
International Carriage by Rail

Uniform Technical Prescriptions

General Provisions

**ESSENTIAL
REQUIREMENTS**

UTP GEN-A

Applicable from 1.12.2017

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APTU Uniform Rules (Appendix F to COTIF 1999)

Uniform Technical Prescriptions (UTP) General Provisions

ESSENTIAL REQUIREMENTS

Explanatory note:

The texts of this UTP which appear across two columns are identical to corresponding texts of the European Union regulations. Texts which appear in two columns differ; the left-hand column contains the UTP regulations, the right-hand column shows the text in the corresponding EU regulations. The text in the right-hand column is for information only and is not part of the OTIF regulations.

0. INTRODUCTION

In order to ensure the interoperability and safety of the COTIF rail system, the essential requirements specified in this UTP must be met by the subsystems and the interoperability constituents, including interfaces.

The provisions set out in the UTPs and the annexes to them must specify the essential requirements relevant to the subject, including the interfaces with other subjects.

“Essential requirements” means all the conditions set out in Annex III (to the Interoperability Directive¹) which must be met by the rail system, the subsystems, and the interoperability constituents, including interfaces.

If certain technical aspects corresponding to the essential requirements cannot be explicitly covered in

a UTP,

a TSI,

they shall be clearly identified in an annex to the

UTP,

TSI

as open points.

1. GENERAL REQUIREMENTS

1.1. Safety

1.1.1. The design, construction or assembly, maintenance and monitoring of safety-critical components, and more particularly of the components involved in train movements must be such as to guarantee safety at the level corresponding to the aims laid down for the network, including those specific degraded situations.

1.1.2. The parameters involved in the wheel/rail contact must meet the stability requirements needed in order to guarantee safe movement at the maximum authorised speed. The parameters of

¹ Annex III to Directive (EU) 2016/797 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 11 May 2016 on the interoperability of the rail system within the European Union

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brake equipment must guarantee that it is possible to stop within a given brake distance at the maximum authorised speed.

1.1.3. The components used must withstand any normal or exceptional stresses that have been specified during their period of service. The safety repercussions of any accidental failures must be limited by appropriate means.

1.1.4. The design of

fixed installations and

rolling stock and the choice of the materials used must be aimed at limiting the generation, propagation and effects of fire and smoke in the event of fire.

1.1.5. Any devices intended to be handled by users must be designed in such a way as not to impair the safe operation of the devices or the health and safety of users if used in a foreseeable manner, albeit not in accordance with the posted instructions.

1.2. Reliability and availability

1.2.1. The monitoring and maintenance of fixed or movable components that are involved in train movements must be organised, carried out and quantified in such a manner as to maintain their operation under the intended conditions.

1.3. Health

1.3.1. Materials likely, by virtue of the way they are used, to constitute a health hazard to those having access to them must not be used in trains

and railway infrastructure.

1.3.2. Those materials must be selected, deployed and used in such a way as to restrict the emission of harmful and dangerous fumes or gases, particularly in the event of fire.

1.4. Environmental protection

1.4.1. The environmental impact of establishment and operation of the rail system must be assessed and taken into account at the design stage of the system in accordance with the

provisions in force in the State of application. Union law.

1.4.2. The materials used in the trains

and infrastructures

must prevent the emission of fumes or gases which are harmful and dangerous to the environment, particularly in the event of fire.

1.4.3. The rolling stock and energy-supply systems must be designed and manufactured in such a way as to be electromagnetically compatible with the installations, equipment and public or private networks with which they might interfere.

1.4.4. The design and operation of the rail system must not lead to an inadmissible level of noise generated by it:

–in areas close to railway infrastructure

and , as defined in point (3) of Article 3 of

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Directive 2012/34/EU, and

– in the drivers’ cab.

1.4.5. Operation of the rail system must not give rise to an inadmissible level of ground vibrations for the activities and areas close to the infrastructure and in a normal state of maintenance.

1.5. Technical compatibility

The technical characteristics of the infrastructure and fixed installations must be compatible with each other and with those of the trains to be used on the rail system. This requirement includes the safe integration of the vehicle's subsystem with the infrastructure.

If compliance with these characteristics proves difficult on certain sections of the network, temporary solutions, which ensure compatibility in the future, may be implemented.

1.6. Accessibility

1.6.1. The

“rolling stock” subsystem

“infrastructure” and “rolling stock” subsystems

must be accessible to persons with disabilities and persons with reduced mobility in order to ensure access on an equal basis with others by way of the prevention or removal of barriers, and by way of other appropriate measures. This shall include the design, construction, renewal, upgrade

and maintenance

, maintenance and operation

of the relevant parts

of the “rolling stock” subsystem

of the subsystems

to which the public has access.

1.6.2.

(reserved)

The “operations” and “telematics applications for passengers” subsystems must provide for the necessary functionality required to facilitate access for persons with disabilities and persons with reduced mobility on an equal basis with others by way of the prevention or removal of barriers, and by way of other appropriate measures.

2. REQUIREMENTS SPECIFIC TO EACH SUBSYSTEM

2.1. Infrastructure

As COTIF concerns infrastructure only to the extent related to interfaces with the vehicles and other movable railway material,

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there are no essential requirements for infrastructure other than those indicated in the General Requirements indicated in Chapter 1 above.

(reserved)

(reserved)

2.2. **Energy**

COTIF concerns the energy supply systems in relation to the vehicles and other movable railway materials; the fixed installations are only concerned in relation to their interfaces with the rolling stock.

2.2.1. Safety

Operation of the energy-supply systems must not impair the safety either of trains or of persons (users, operating staff, trackside dwellers and third parties).

2.2.2. Environmental protection

The functioning of the electrical or thermal energy-supply systems must not interfere with the environment beyond the specified limits.

2.2.3. Technical compatibility

The electricity/thermal energy-supply systems used must:

- enable trains to achieve the specific performance levels,
- in the case of electricity energy-supply systems, be compatible with the collection devices fitted to the trains.

2.1.1. Safety

Appropriate steps must be taken to prevent access to, or undesirable intrusions into, installations.

Steps must be taken to limit the dangers to which persons are exposed, particularly when trains pass through stations.

Infrastructure to which the public has access must be designed and made in such a way as to limit any human safety hazards (stability, fire, access, evacuation, platforms, etc.).

Appropriate provisions must be laid down to take account of the particular safety conditions in very long tunnels and viaducts.

2.1.2. Accessibility

Infrastructure subsystems to which the public has access must be accessible for persons with disabilities and persons with reduced mobility in accordance with point 1.6.

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2.3. **Control-command and signalling**

2.3.1. Safety

The control-command and signalling installations and procedures used must enable trains to travel with a level of safety which corresponds to the objectives set for the network. The control-command and signalling systems must continue to provide for safe passage of trains permitted to run under degraded conditions.

2.3.2. Technical compatibility

All new infrastructure and all new rolling stock manufactured or developed after adoption of

the UTP “Control Command and Signalling systems (CCS)” by the Committee of Technical Experts

compatible control-command and signalling systems

must be tailored to the use of those systems.

The control-command and signalling equipment installed in the train drivers’ cabs must permit normal operation, under the specified conditions, throughout the rail system.

2.4. **Rolling stock**

2.4.1. Safety

The rolling-stock structures and those of the links between vehicles must be designed in such a way as to protect passengers and driving compartments in the event of collision or derailment.

The electrical equipment must not impair the safety and functioning of the control-command and signalling installations.

The braking techniques and the stresses exerted must be compatible with the design of the tracks, engineering structures and signalling systems.

Steps must be taken to prevent access to electrically-live constituents in order not to endanger the safety of persons.

In the event of danger, devices must enable passengers to inform the driver and accompanying staff to contact them.

The safety of passengers boarding and alighting from trains must be ensured. The access doors must incorporate an opening and closing system which guarantees passenger safety.

Emergency exits must be provided and indicated.

Appropriate provisions must be laid down to take account of the particular safety conditions in very long tunnels.

An emergency lighting system having a sufficient intensity and duration is an absolute requirement on board trains.

Trains must be equipped with a public address system which provides a means of communication to the public from on-board staff.

Passengers must be given easily understandable and comprehensive information about rules applicable to them both in railway stations and in trains.

2.4.2. Reliability and availability

The design of the vital equipment and the running, traction and braking equipment as well as the control-command system must, in a specific degraded situation, be such as to enable the train to continue without adverse consequences for the equipment remaining in service.

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2.4.3. Technical compatibility

The electrical equipment must be compatible with the operation of the control-command and signalling installations.

In the case of electric traction, the characteristics of the current-collection devices must be such as to enable trains to travel under the energy-supply systems for the rail system.

The characteristics of the rolling stock must be such as to allow it to travel on any line on which it is expected to operate, taking account of relevant climatic conditions.

2.4.4. Controls

Trains must be equipped with a recording device. The data collected by that device and the processing of the information must be harmonised.

2.4.5. Accessibility

Rolling stock subsystems to which the public has access must be accessible for persons with disabilities and persons with reduced mobility in accordance with point 1.6.

2.5. Maintenance

2.5.1. Health and safety

The technical installations and the procedures used

| in the centres

must ensure the safe operation of the subsystem and not constitute a danger to health and safety.

2.5.2. Environmental protection

(reserved)

The technical installations and the procedures used in the maintenance centres must not exceed the permissible levels of nuisance with regard to the surrounding environment.

2.5.3. Technical compatibility

The maintenance installations for rolling stock must be such as to enable safety, health and comfort operations to be carried out on all stock for which they have been designed.

2.6. Operation and traffic management

2.6.1. Safety

Alignment of the network operating rules and the qualifications of drivers and on-board staff and of the staff in the control centres must be such as to ensure safe operation, bearing in mind the different requirements of cross-border and domestic services.

The maintenance operations and intervals, the training and qualifications of the maintenance and control centre staff and the quality assurance system set up by the operators concerned in the control and maintenance centres must be such as to ensure a high level of safety.

2.6.2. Reliability and availability

The maintenance operations and periods, the training and qualifications of the maintenance and control centre staff and the quality assurance system set up by the operators concerned in the control and maintenance centres must be such as to ensure a high level of system reliability and availability.

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2.6.3. Technical compatibility

Alignment of the network operating rules and the qualifications of drivers, on-board staff and traffic managers must be such as to ensure operating efficiency on the rail system, bearing in mind the different requirements of cross-border and domestic services.

2.6.4. Accessibility

2.6.4.1.

(reserved)

Appropriate steps must be taken to ensure that operating rules provide for the necessary functionality required to ensure accessibility for persons with disabilities and persons with reduced mobility.

2.7. Telematics applications for freight and passengers

2.7.1. Technical compatibility

The essential requirements for telematics applications guarantee a minimum quality of service for passengers and customers of carriers of goods, particularly in terms of technical compatibility.

Steps must be taken to ensure:

- that the databases, software and data communication protocols are developed in a manner allowing maximum data interchange between different applications and operators, excluding confidential commercial data,
- easy access to the information for users.

2.7.2. Reliability and availability

The methods of use, management, updating and maintenance of these databases, software and data communication protocols must guarantee the efficiency of these systems and the quality of the service.

2.7.3. Health

The interfaces between these systems and users must comply with the minimum rules on ergonomics and health protection.

2.7.4. Safety

Suitable levels of integrity and dependability must be provided for the storage or transmission of safety-related information.

2.7.5. Accessibility

2.7.5.1.

(reserved)

Appropriate steps must be taken to ensure that telematics applications for passengers subsystems provide for the necessary functionality required to ensure accessibility for persons with disabilities and persons with reduced mobility.