

Mr. Franco Cataldo
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Bombardier Transportation UK Ltd. (trading as Alstom)
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Derby
DE24 8AD

Case Ref: PRM-IOP-0328

IN Number:
UK/51/2021/0044

28th June 2021

**Contact: Paul Frary
HM Inspector of Railways**

Office of Rail and Road
25 Cabot Square
London
E14 4QZ

Dear Mr. Cataldo

**THE RAILWAYS (INTEROPERABILITY) REGULATIONS 2011, AS AMENDED
AUTHORISATION OF CL 701/5 AVENTRA (DC & DV) UPGRADE FOR MULTIPLE
UNIT OPERATION**

UNIT NUMBERS (INCLUSIVE):

**CLASS 701/5 DV 701501-701502
CLASS 701/5 DC 701503-701530**

I refer to your application for authorisation, received on the 17th June 2021.

Following review of your application, I can confirm that ORR grants an Upgraded authorisation under regulation 4 (1) (a) of the Railways (Interoperability) Regulations 2011, as amended. This authorisation is for the placing into service Class 701/5 vehicles for multiple unit operation as per Appendix 1.

I refer to your UK Declaration of Verification, reference 3EER400031-8751 dated 16th June 2021 and Article 16 Declaration also dated 16th June 2021.

The restrictions or limitations of use on the structural subsystem are those contained in your Declaration of Verification 3EER400031-8751 dated 21st September 2020 and contained in your Technical File, reference 3EER400024-6591.

The conditions are summarised below:

Conditions of Use Inherent in the Vehicle Design are recorded in document 3EER400031-8530.

Restrictions are summarised below:

1. Configuration in accordance with the 3EER400031-2437.
2. The Unit's interface with Energy TSI compliant wayside energy metering equipment is not demonstrated for AC.
3. The Units are intended for use on GB Mainline AWS/TPWS equipped infrastructure.

Risk Management by the Operator:

4. The operator shall ensure that their safety management system is suitable and sufficient to ensure the Units can operate in normal and degraded modes before the units are put into use for passenger service.

Compatibility between the vehicle and the infrastructure:

5. Network Rail Summary of Compatibility (NRSC) shall be issued in accordance with RIS-8270-RST issue 1 prior to trains being put into use for each permitted variation.
6. The Technical File should be kept up to date.

The rolling stock subsystem(s) authorised by this letter must be operated and maintained in accordance with Regulation 20.

You should be aware that any future modifications to the authorised subsystem may constitute a 'renewal' or an 'upgrade' as defined in Regulation 2. If a project entity, in relation to the project, considers that the modification meets either of these definitions they may apply, in accordance with the provisions of Regulation 13, to the Department for Transport (DfT) for a decision on whether a new authorisation will be required. Should DfT decide that an authorisation is not required they must consult with ORR whether authorisation is required on safety grounds.

As the project entity you are responsible for retaining the technical file, keeping it up to date and making it available to the ORR in accordance with Regulations 18 and 19.

If you are not the owner of the authorised subsystem you shall within 60 days, in accordance with Regulation 19(3), transfer the technical file, certificate of verification and verification declaration to the owner of the subsystem and the owner shall then be regarded as the project entity. If the owner, in accordance with Regulation 19(4), disposes of his interest in the authorised subsystem, he shall within 60 days of the disposal transfer the technical file, certificate of verification and verification declaration to the person acquiring that interest and that person shall be regarded as the project entity.

Please note that under Regulation 36, the person who applied for the authorisation shall send particulars to the Registration Entity to enable the registration entity to enter the information on the National Vehicle Register. This will include such further information as the registration entity may reasonably require set out in the relevant standard.

The person who applied for the authorisation to place in service may apply to the ORR for a determination of type in accordance with Commission Implementing Decision 2018/1614 as amended by Regulation 20 of The Railways (Interoperability) (Miscellaneous Amendments and Revocations) (EU Exit) Regulations 2020.

If you are the operator, may I remind you of the need to have adequate arrangements within your Safety Management System to control the risks associated with this rolling stock subsystem(s).

This decision letter will be published on ORR website.

Yours sincerely



Steve Fletcher
Deputy Director, Engineering & Asset Management

Cc

Ian Jones	Head of Interoperability, Safety and Standards DfT
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