

Mr. Paul Carter
Design Assurance and Authorisation Manager
Bombardier Transportation UK Ltd.
Registered Office: Litchurch Lane,
Derby,
DE24 8AD

Your Ref

Case Ref PRM-IOP-0328

EIN Number
UK/51/2020/0054

1st October 2020

Contact: Paul Fray
HM Inspector of Railways
25 Cabot Square
London
E14 4QZ

Dear Mr.Carter

**THE RAILWAYS (INTEROPERABILITY) REGULATIONS 2011, AS AMENDED
AUTHORISATION OF CLASS 701/0 AND 701/5**

UNIT NUMBERS (INCLUSIVE):

CLASS 701/5 DV 701501-701502
CLASS 701/5 DC 701503-701530
CLASS 701/0 DV 701001
CLASS 701/0 DC 701002-701062

I refer to your application for authorisation, received on the 22nd September 2020.

Following review of your application, I can confirm that ORR grants authorisation under regulation 4 (1) (a) of the Railways (Interoperability) Regulations 2011, as amended. This authorisation is for the placing into service Class 701/0 and 701/5 vehicles as per Appendix 1.

I also refer to your EC Declaration of Verification, reference 3EER400031-8751 dated 21st September 2020 and Article 16 Declaration dated 21st September 2020.

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 3EER400031-6591

The conditions are summarised below:

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

Restrictions are summarised below:

1. Class 701/0 and 701/5 units can only operate as single units.
2. Configuration are in accordance with the 3EER400031-2437
3. The Unit's interface with Energy TSI compliant wayside energy metering equipment is not demonstrated for AC.
4. The Units are intended for use on GB Mainline AWS/TPWS equipped infrastructure.
5. Rescue of the units with electrical coupling is not permitted with another unit.
6. All recommendations as identified in the Safety Assessment Report AES_1593_R02_Iss_01 are adhered to before putting into use of the CL701/0 and 701/5 trains.

Risk Management by the Operator:

7. 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.

8. 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.

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 will be issued with a determination of type in accordance with Commission Implementing Decision 2011/665/EC. The person who applied for the authorisation to place in service will receive the type authorisation after providing the data to the Registration Entity in accordance with Annex II of Commission Implementing Decision 2011/665/EC.

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

A handwritten signature in black ink, appearing to read 'Steve Fletcher', with a large, stylized initial 'S'.

Steve Fletcher
Deputy Director, Engineering & Asset Management

Cc

Ian Prosser	Director, Railway Safety Directorate, ORR
Ian Jones	Head of Interoperability, DfT
National Vehicle Register	nvr@networkrail.co.uk
Karen Barnes	HM Inspector of Railways, ORR
Pete Gracey	Head of Interoperability, ORR
Dave Galloway	Professional Head of System Compatibility, NR

