



OFFICE OF **RAIL AND ROAD**

Ms Theresa Hofecker  
Stadler Altenrhein AG  
Industrie- und Gewerbepark  
CH-9423 Altenrhein  
Switzerland

Your Ref

Our Ref

Case Ref PRM-IOP-0253  
EIN UK/51/2019/0016

16 September 2019

**Contact: Giles Turner**

HM Inspector of Railways  
One Kemble Street  
London  
WC2B 4AN

Dear Theresa,

**THE RAILWAYS (INTEROPERABILITY) REGULATIONS 2011, AS AMENDED  
AUTHORISATION OF STADLER CLASS 755/3 BI-MODE MULTIPLE UNITS  
755325 TO 755338**

I refer to your application for authorisation, received on 20 August 2019. Following review of your application, ORR grants a first authorisation under regulation 4(1)(a) of the Railways (Interoperability) Regulations 2011, as amended. This authorisation is for the placing in service of the Stadler Class 755/3 Regional BMU vehicles composed of individual vehicles numbered in accordance with Appendix 1.

The conditions and constraints of use on the structural subsystem are those referred to by the EC Declaration of Verification dated 19 August 2019, reference CH/00000101468464/2019/000403, and contained in section 7.5.3 of safety assessment report reference RTUKR-T38495-013 issue 3, dated 15 August 2019.

The applicable constraints are:

*To be closed prior to entry into service*

1. LOCPAS 4.2.3.3.1 In respect of clause 4.2.3.3.1 of the LOC+PAS TSI, compliance with clause 3.2.1.2 of ERA/ERTMS/033281 Issue 3 has not been verified. Therefore, the rolling stock has not been demonstrated to be compatible with equipment covered by these requirements, as permitted by the LOC+PAS TSI guide published by the ERA

Providing that a suitable Summary of Compatibility allowing passenger operation over the full set of AEA routes is issued by NR there are no additional controls or restrictions required by this Constraint.

2. Compatibility between vehicle and infrastructure

Network Rail Summary of Compatibility (NRSC) shall be issued in accordance with RIS-8270-RST Issue 1 prior to trains being Put Into Use.

*Requiring management by operator until removal:*

3. RIS-2747-RST Compliance to part 4 of RIS-2747-RST not yet confirmed by VeBo

There are no suitable train controls or workarounds that will enable the train to be used on short platforms. AEA will therefore place a restriction into their operational procedures that stop units being used to embark or disembark passengers from short platforms.

4. RIS-2703-RST Compliance to RIS-2703RST not yet confirmed for DOO CCTV

There are no suitable train controls or workarounds that will enable the train to be used in Driver Only Operation (DOO). AEA will therefore place a restriction into their operational procedures that stop units being used in DOO until the matter is resolved by the provision of evidence based on testing (and confirmed by BU\_3492874\_.\_ Compliance Checklist to RIS 2703 RST).

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



**Steve Fletcher**  
**Deputy Director, Engineering & Asset Management**

cc

Ian Prosser	Director, Railway Safety Directorate ORR
Ian Jones	Head of Interoperability, DfT
David Galloway	Head of Vehicle Compatibility, Network Rail
National Vehicle Register	<a href="mailto:nvr@networkrail.co.uk">nvr@networkrail.co.uk</a>
Karen Barnes	HM Inspector of Railways, ORR
Paul Hooper	Interoperability Manager ORR

## Appendix 1: Unit and vehicle numbering

Unit	Vehicle A (DMS1)	Vehicle A EVN	Vehicle PP (PP)	Vehicle PP EVN	Vehicle C (PTSW)	Vehicle C EVN	Vehicle D (DMS2)	Vehicle D EVN
755325	911325	90700911325-5	971325	90700971325-2	981325	90700981325-0	912325	90700912325-4
755326	911326	90700911326-3	971326	90700971326-0	981326	90700981326-8	912326	90700912326-2
755327	911327	90700911327-1	971327	90700971327-8	981327	90700981327-6	912327	90700912327-0
755328	911328	90700911328-9	971328	90700971328-6	981328	90700981328-4	912328	90700912328-8
755329	911329	90700911329-7	971329	90700971329-4	981329	90700981329-2	912329	90700912329-6
755330	911330	90700911330-5	971330	90700971330-2	981330	90700981330-0	912330	90700912330-4
755331	911331	90700911331-3	971331	90700971331-0	981331	90700981331-8	912331	90700912331-2
755332	911332	90700911332-1	971332	90700971332-8	981332	90700981332-6	912332	90700912332-0
755333	911333	90700911333-9	971333	90700971333-6	981333	90700981333-4	912333	90700912333-8
755334	911334	90700911334-7	971334	90700971334-4	981334	90700981334-2	912334	90700912334-6
755335	911335	90700911335-4	971335	90700971335-1	981335	90700981335-9	912335	90700912335-3
755336	911336	90700911336-2	971336	90700971336-9	981336	90700981336-7	912336	90700912336-1
755337	911337	90700911337-0	971337	90700971337-7	981337	90700981337-5	912337	90700912337-9
755338	911338	90700911338-8	971338	90700971338-5	981338	90700981338-3	912338	90700912338-7