Lead standards committee:	Rolling Stock	**Date:**	18 January 2024
Support standards committee:	Energy	**Date:**	11 January 2024
Support standards committee:	Infrastructure	**Date:**	9 January 2024
Support standards committee:	Traffic Operation & Management	**Date:**	30 January 2024
Support standards committee:	Control Command & Signalling	**Date:**	11 January 2024
Subject:	Five-year review of RIS-2003-RST issue one, Certification and Registration of Heritage Rail Vehicles Operating on the GB Mainline Railway		
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1. Purpose of the paper

1.1 This paper sets out the outcome of the five-year review of RIS-2003-RST issue one, Certification and Registration of Heritage Rail Vehicles Operating on the GB Mainline Railway. Standards committees approval and support is sought for the recommendation and way forward.

2. Background

2.1 RIS-2003-RST sets out the initial and ongoing requirements for certification and registration of heritage rail vehicles on R2 (the rolling stock library) and thus permit operation on the GB mainline railway. Heritage rail vehicles are excluded from the scope of the Rail Interoperability Regulations (RIR) 2011 (as amended), and so a document is needed to set out the approach to certification for these vehicles. The need for the document was identified as a result of the review of standards for heritage rail vehicles arising from recommendation one of the Wootton Basset SPAD incident report (RAIB 08/2016).

2.2 RIS-2003-RST identifies where compliance with contemporary railway industry standards is necessary, and where a risk-based approach based on proven, historic design performance is more appropriate. In this latter area, the standard draws heavily on the engineering requirements set out in RIS-4472-RST. Prior to publication of RIS-2003-RST issue one, certification of heritage rail vehicles was supported by a deviation to GMRT2000, resulting in duplication of work for each vehicle certified and the risk of an inconsistent approach to assessment.

2.3 The standard is aimed at owners and operators of heritage vehicles and the independent bodies assessing their and the vehicles' compliance. The regulator (ORR) and infrastructure managers have an interest in the standard, in being the target audience for the deliverables generated as a result of compliance with the standard. To this end, certification under RIS-2003-RST is cited by the Department for Transport (DfT) as the relevant criteria for vehicles reserved for a historical or touristic use (Approved List of Exclusions from the scope of the Railways (Interoperability) Regulations 2011, DfT 15 December 2021).

2.4 RIS-2003-RST codified the approach previously adopted by the mainline heritage sector to certification, drawing on common domain documents and GMRT2003. To publicise the introduction of the standard a series of roadshow events were held, attended by representatives of the sector as well as the ORR, DfT and Network Rail.

3. Impacts on the standard(s) following publication/entering into force

3.1 Consideration has been given to the following during the review:

a Business case for change – Drafting of the current issue of the standard pre-dates the current business case for change process. The impact assessment produced at the time covers both the production of RIS-2003-RST and RIS-4472-RST. However, by interpolation, the objective relating to RIS-2003-RST was:

> To set out the process of the certification of all heritage vehicles, expanding upon that provided for steam locomotives in GMRT2003. This should employ a proven, risk-based approach to ensuring a vehicle is in a fit state to operate on the GB mainline network, equivalent to that set out in GMRT2000 for rail vehicles generally and acceptable to the regulator, avoiding the need for deviations to the latter standard for heritage rail vehicles.

This objective has been met, as evidenced by the specification of RIS-2003-RST as the standard for certification of rail vehicles by the regulator and the absence of deviations required for heritage rail vehicles since publication. The safety record of vehicles certified since publication indicates that the certification process set out in RIS-2003-RST is not deficient in this regard.

b Current projects or proposals being processed – no projects affecting heritage rail vehicles are currently underway or proposed.

c Deviations – No deviations have been raised since the standard was issued which pertain to the certification of heritage vehicles, either against this standard or other relevant standards (for example, RIS-2700-RST).

d Amendments and clarifications – RIS-2003-RST has not been subject to amendment or clarification since publication.

e Enquiries – Case ID CAS-04889-T9X9K5: This pertained only to access to the RIS from the Standards Catalogue, rather than the content, and thus no change to the standard is indicated.

Case ID CAS-00658-Z4T8R3: This pertained to modifications to a class 117 DMU for use on the Swanage Railway service to Wareham. The enquirer was referred to the standard, and in due course the vehicles have been certified.

f Research projects – There are no research projects completed since the publication of issue one or currently in progress that would affect the content in RIS-2003-RST.

g Regulations – Changes to RIR since Brexit have not affected RIS-2003-RST, the references still remaining valid.

The approach of the ORR to exemptions to the Railway Safety Regulations (RSR) 1999 for Mark 1-type vehicles has changed since the publication of issue one of RIS-2003-RST. However, this has been addressed in the recent update of RIS-4472-RST, and is supported by the code of practice set out in Technical Note TN106. The change in approach does affect the validity of the content in RIS-2003-RST, and as there is no need to update the standard in response.

h National technical specification notices (NTSNs) and European standards – NTSNs (TSIs) and EN standards are not referred to in RIS-2003-RST, and changes currently proposed to the NTSNs do not affect heritage rail vehicles, which are outside the scope of those instruments.

i Changes in technology – No changes to technology that affect the certification of heritage rail vehicles have been identified.

j Stakeholder views on the document, barriers to adoption – RIS-2003-RST as published was based on typical practice in the certification of heritage rail vehicles; as such adoption was relatively seamless. Engagement with the Heritage Train Risk Group indicates stakeholders do not consider the document to have any significant shortcomings.

k Any other observations – There are currently no outstanding considerations for future revision held against the standard on the Requirements Management Database (RMDB).

RIS-4472-RST is the companion document to RIS-2003-RST, setting out the engineering requirements for heritage vehicles. Issue one of both documents was drafted and published together, with comprehensive cross-referencing throughout both documents. RIS-4472-RST issue two was published in September 2023. Cross-references in RIS-2003-RST have been reviewed against issue two of RIS-4472-RST, and all have been found to be valid still.

Some of the referenced standards in RIS-2003-RST have been since publication:

- GEGN8642, Guidance on Hazard Identification and Classification. Superseded by GEGN8646, Guidance on the Common Safety Method for Risk Evaluation and Assessment.

- GERT8270, Assessment of Route Compatibility of Vehicles and Infrastructure. Superseded by RIS-8270-RST, Route Level Assessment of Technical Compatibility between Vehicles and Infrastructure.

Reference to GEGN8642 is given in a note in guidance only, and thus the change is not material. GERT8270 is set out as the criteria for demonstration of network compatibility (4.4.3.1), as well as being given as guidance in a number of locations, and so update of the reference is proposed.

A number of other documents referenced in RIS-2003-RST have been updated since publication of the standard. However, in most cases the content remains sufficiently similar to mean that references that occur in RIS-2003-RST are still valid. One deep reference to RIS-2700-RST has been broken, G 4.3.1.6 in issue one of that document having become G 4.3.1.8 in issue two (RIS-2003-RST G 2.3.6) and it is proposed to correct this at the same time as the other references.

Review of RIS-2003-RST indicates that substitution of the references alone would suffice to update the document, the surrounding content being equally applicable to the standards which have superseded those withdrawn and thus does not require redrafting.

The drafting of RIS-2003-RST does not conform to the latest version of the RSSB style guide in some instances. In addition, it is not published in the current corporate images with corresponding cover page. However, these non-conformities do not affect the understanding of the document.

4. Discussion

4.1 Review outcome

4.1.1 RIS-2003-RST issue one is still fit for purpose and has fulfilled the objective set out for it. However, some updating of references is proposed to reflect the current status of the standards catalogue. As there is no substantive change to the referenced content itself there is no need for consequent change in the content of RIS-2003-RST surrounding the reference; that is, it is a non-material change. A limited change (point) release is therefore proposed to be issued.

4.2 Industry consultation

4.1.2 The outcome of this review of RIS-2003-RST issue one was issued for industry consultation in October 2023.

4.1.3 Three organisations responded to the consultation; one supported the findings of the review without comment and two others offered no comment.

4.1.4 From the consultation responses received it is concluded that industry is supportive of the recommendation to issue a limited change release.

5. Recommendations

5.1 The Rolling Stock Standards Committee is asked to:

a DISCUSS the outcome of this five-year review and the proposed recommendation:

i. Action required: Issue a point release (RIS-2003-RST issue 1.1), replacing references to GEGN8642 and GERT8270 with GEGN8646 and RIS-8270-RST respectively and updating the reference to RIS-2700-RST in G 2.3.6.

b APPROVE the above recommendation, and the next review date of 2 December 2028 (second five-year review).

c APPROVE conclusion of the review process.

5.2 The Energy, Infrastructure, Traffic Operation & Management, and Command Control & Signalling Standards Committees are asked to:

a DISCUSS the outcome of this five-year review and the proposed recommendation:

i. Action required: Issue a point release (RIS-2003-RST issue 1.1), replacing references to GEGN8642 and GERT8270 with GEGN8646 and RIS-8270-RST respectively and updating the reference to RIS-2700-RST in G 2.3.6.

b SUPPORT the above recommendation.

RSSB completion:

Standards committee	Meeting date	Decision	Minute numbers		Next review date approved by the lead standards committee
				Post-consultation review	2 December 2028
Rolling Stock	18 January 2024	Approved			
Energy	11 January 2024	Supported			
Infrastructure	9 January 2024	Supported			
Traffic Operation & Management	30 January 2024	Supported			
Command Control & Signalling	11 January 2024	Supported			