

Railway Group Standard

GM/RT2453

Issue Two

Date September 2011

Registration, Identification and Data to be Displayed on Rail Vehicles

Synopsis

This document mandates the requirements for the identification of rail vehicles, the requirements for the registration of rail vehicles in the rolling stock library and the data to be displayed on rail vehicles.

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Railway Group Standard**GM/RT2453****Issue Two****Date** September 2011**Registration, Identification and
Data to be Displayed on Rail Vehicles****Issue record**

Issue	Date	Comments
One	October 2000	Original document
Two	September 2011	Replaces GM/RT2453 issue one, GM/RT2210 issue two, GM/RT2459 issue one

Revisions have not been marked by a vertical black line in this issue because the document has been revised throughout.

Superseded documents

The following Railway Group documents are superseded, either in whole or in part as indicated:

Superseded documents	Sections superseded	Date when sections are superseded
GM/RT2453 issue one October 2000 Registration of Rail Vehicles and Mandatory Data Requirements	All	December 2011
GM/RT2210 issue two March 1996 Identification of Rail Vehicles	All	December 2011
GM/RT2459 issue one December 2000 Data to be Displayed on Rail Vehicles	All	December 2011

GM/RT2453 issue one, GM/RT2210 issue two and GM/RT2459 issue one cease to be in force and are withdrawn as of 03 December 2011.

Supply

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Uncontrolled copies of this document can be obtained from Communications, RSSB, Block 2, Angel Square, 1 Torrens Street, London EC1V 1NY, telephone 020 3142 5400 or e-mail enquirydesk@rssb.co.uk. Other Standards and associated documents can also be viewed at www.rgsonline.co.uk.

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Part 1 Purpose and Introduction

1.1 Purpose

- 1.1.1 This document mandates the process and the data required for registering rail vehicles; the numbering system to be used to identify rail vehicles; and the data to be displayed on rail vehicles. It also implements requirements introduced through European legislation applicable to the National Vehicle Register (NVR) and the European Register of Authorised Types of Vehicles (ERATV).

1.2 Introduction

1.2.1 Background

- 1.2.1.1 The implementation of the Technical Specifications for Interoperability (TSIs) mandated through a series of European Union (EU) Directives has resulted in a review of all requirements set out in Railway Group Standards.
- 1.2.1.2 Under the implementation of the Railway Group Standards Code, RSSB has given a commitment to review all of its standards with a view to mandate only those requirements that define the interface and the need for co-operation between railway undertakings and infrastructure managers to manage risk safely.
- 1.2.1.3 A review of the requirements set out in a suite of standards associated with registration of, identification of and data to be displayed on rail vehicles has resulted in a revised Railway Group Standard on this topic.
- 1.2.1.4 This document also incorporates requirements applicable to the ERATV mandated by a number of TSIs and the NVR as set out in EU Commission Decision 2011/107/EU.

1.2.2 Principles

- 1.2.2.1 This document is based on the following principles:
- a) This document sets out those requirements that necessitate railway undertakings and infrastructure managers to co-operate in order to safely manage the risks associated with the process for registration of, identification of and data to be displayed on rail vehicles.
 - b) This document sets out those requirements that are necessary to support an open point in a TSI and meet an essential requirement of the relevant EU Directive or support an EU Commission Decision that are enacted through UK legislation.
 - c) This document sets out those requirements that are necessary for interworking on non-TSI compliant GB infrastructure.

1.2.3 National Vehicle Register

- 1.2.3.1 EU Commission Decision 2011/107/EU mandates requirements for the NVR. This supports the existing EU Directives applicable to interoperability.
- 1.2.3.2 Article 1 of the EU Commission Decision 2011/107/EU mandates requirements for a common specification of the NVR via the Annex to the Decision. When a vehicle is authorised for placing into service by the National Safety Authority (NSA) of the member state (in GB this is by the Office of Rail Regulation (ORR)), an entry is mandated on the NVR.

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- 1.2.3.3 Article 3 of the EU Commission Decision 2011/107/EU mandates that member states register existing vehicles on the NVR. The previous EU Commission Decision 2007/756/EC set out the following timescales:
 - a) Rail vehicles used in international traffic by 09 November 2009.
 - b) Rail vehicles used in domestic traffic by 09 November 2010.
- 1.2.3.4 Article 3 of the EU Commission Decision 2011/107/EU also requires the registered business number of the entity in charge of maintenance of the vehicle to be recorded in the NVR by the following date
 - a) All rail vehicles by 31 December 2011.
- 1.2.3.5 The secretary of state has designated Network Rail Infrastructure Limited as the appointed Registration Entity (RE) to establish and maintain the NVR.
- 1.2.3.6 The NVR data for new and existing rail vehicles is a sub-set of the data in Appendix B of this document. The NVR data submitted to the Rolling Stock Library (RSL) is then provided to the RE to populate the NVR.

1.2.4 European Register of Authorised Types of Vehicles

- 1.2.4.1 A number of TSIs mandate data to be maintained in the Rolling Stock Register (RSR), now known as ERATV. Appendix B of this document sets out the current known requirements of ERATV. The specified data is a sub-set of the data submitted to the RSL.

1.2.5 Rolling Stock Library

- 1.2.5.1 RSL is an established database managed by ATOS Origin on behalf of Network Rail Infrastructure Limited containing information describing all rail vehicles registered to operate on the mainline railway.
- 1.2.5.2 This document sets out information required to be contained in the RSL primarily for operational purposes. This information is necessary to enable national operating systems to function such as TOPS, GEMINI and GENIUS.

1.2.6 Identification of rail vehicles

- 1.2.6.1 Article 33 of Directive 2008/57/EC mandates that all rail vehicles placed into service are allocated a numeric identification code (the European vehicle number (EVN)). This document mandates a common approach to allocating rail vehicle numbers to ensure compatibility with railway operating systems. In addition, the allocation of an EVN for existing vehicles is also required, although the display of such numbers on vehicles is to a separate timescale.
- 1.2.6.2 This document also supports the Conventional Rail Traffic Operation and Management TSI (CR OPE TSI) Annex P which mandates the allocation of an EVN and the display of the EVN, applied in a visible manner on the vehicle to uniquely identify it.
- 1.2.6.3 To ensure that there is no duplication of registered rail vehicle or multiple unit set identification numbers, the allocation of all rail vehicle and multiple unit set numbers including any prefixes / classes is undertaken by the RSL.

1.2.7 Data to be displayed on rail vehicles

- 1.2.7.1 Data to be displayed on rail vehicles enables authorised personnel to have access to data about rail vehicles to ensure safe rail operations when national operating systems such as TOPS, GEMINI and GENIUS are unavailable.

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1.3 Approval and authorisation of this document

- 1.3.1 The content of this document was approved by Rolling Stock Standards Committee on 20 May 2011.
- 1.3.2 This document was authorised by RSSB on 12 July 2011.

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Part 2 Requirements for the Identification of Rail Vehicles

2.1 Allocation of the European Vehicle Number

- 2.1.1 The CR OPE TSI Annex P sets out the requirements for all rail vehicles to be uniquely identified by an EVN. The numbering rules for the allocation of an EVN when a vehicle is first registered in GB are set out in Appendix A.
- 2.1.2 The RSL validates the technical characteristic element of the EVN with the European Rail Agency (ERA) where applicable.
- 2.1.3 For infrastructure maintenance vehicles, hauled passenger coaching stock and wagons, the use of technical characteristic codes within the EVN results in the vehicle being allocated a different number to that originally allocated on RSL.

2.2 Allocation of multiple unit set identification numbers

- 2.2.1 In addition to the rail vehicle numbers within a multiple unit set, the set itself shall carry a unique number in a separate series from the rail vehicle numbers. This multiple unit set identification number shall consist of a three-digit class identifier (for example 465) followed by a three-digit individual unit identifier (for example 465 201). Multiple unit set identification numbering rules are set out in Appendix A.

2.3 Advanced reservation of rail vehicle and multiple unit set identification numbers

- 2.3.1 Where a rail vehicle is to be built or renumbered following refurbishment / major modification, it is permissible to request the RSL to reserve identification numbers for the rail vehicle and multiple unit set.
- 2.3.2 The RSL reserves rail vehicle numbers for a maximum period of three years. After this period, the rail vehicle numbers are withdrawn by the RSL when they have not been allocated to a rail vehicle.

2.4 Reallocation of rail vehicle and multiple unit set identification numbers

- 2.4.1 It is permissible to reallocate a rail vehicle or multiple unit set identification number. Generally this occurs if the reserved rail vehicle or multiple unit set number has not been used on an actual vehicle.
- 2.4.2 It is permissible to reallocate a rail vehicle or multiple unit set identification number where it is known that the vehicle has been scrapped and it has been de-registered for a period of at least three years.

2.5 Vehicle Keeper Marking

- 2.5.1 The identity of the vehicle keeper is recorded in the NVR. The CR OPE TSI Annex P.1 sets out the process for the allocation and registering of the Vehicle Keeper Marking (VKM).

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Data to be Displayed on Rail Vehicles****Part 3 Requirements for the Registration of Rail Vehicles
in the Rolling Stock Library****3.1 General registration of rail vehicles**

- 3.1.1 Rail vehicles shall be registered in the RSL. Table 1 sets out the different registration status within the RSL.

	Not in working order	In working order	In working order
	Not in use	Not in use	In use
Not authorised for placing into service	Status Z Status A	Status B	N/A
Authorised for placing into service	Status I	N/A	Status C

Table 1 Registration status within RSL

- 3.1.2 Railway undertakings shall only operate rail vehicles on the mainline railway that are registered in the RSL as either:

- a) Status B (in working order, not authorised for placing into service, not in use).

Or

- b) Status C (in working order, authorised for placing into service, in use).

3.2 Registration status of rail vehicles in the Rolling Stock Library**3.2.1 Status Z (number allocated)**

- 3.2.1.1 When it is intended to purchase new rail vehicles, it is permissible to request the RSL to reserve vehicle numbers and place those vehicles not yet constructed into status Z.

3.2.2 Status A (on order / under construction)

- 3.2.2.1 It is permissible to request the RSL to register a rail vehicle on order / undergoing construction into status A.
- 3.2.2.2 The rail vehicle data set out in Appendix B shall be supplied to the RSL to support a request for a rail vehicle to be registered as status A.

3.2.3 Status B (in working order, not authorised for placing into service, not in use)

- 3.2.3.1 Rail vehicle(s) undergoing initial transfer or testing on the mainline railway shall be registered as status B. An example of the initial transfer is the transit move from the vehicle manufacturer to the keeper or railway undertaking.

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3.2.3.2 To register a rail vehicle as status B, the RSL shall be provided with all of the following:

- a) The statement of compatibility (SOCAT) relating to the initial transfer or testing on the mainline railway. GE/RT8270 sets out the requirements for the assessment of compatibility for rolling stock and infrastructure.
- b) The certificate of engineering acceptance or the intermediate statement of verification (ISV) covering the initial transfer or testing on the mainline railway.
- c) The rail vehicle data set out in Appendix B for the rail vehicle to be registered, where this has not previously been supplied.

3.2.4 **Status C (in working order, authorised for placing into service, in use)**

3.2.4.1 To register a rail vehicle as status C, the RSL shall be provided with all of the following:

- a) The ORR letter of authorisation for a rail vehicle or a fleet of rail vehicles placed into service in GB.
- b) The SOCAT. GE/RT8270 sets out the requirements for the assessment of compatibility for rolling stock and infrastructure.
- c) The certificate of engineering acceptance or the ISV.
- d) The rail vehicle data set out in Appendix B for the rail vehicle to be registered, where this has not previously been supplied. Additionally all relevant updates of the data since any earlier submission.
- e) The completed registration forms which are provided by RSL, for example RSL EA4.

3.2.4.2 Where rail vehicles are delivered in batches, it is permissible to list the applicable range of rail vehicles on the certificate of engineering acceptance or ISV. All rail vehicles in the range shall be registered as status C.

3.2.4.3 A 'fleet certificate' allows a whole fleet of rail vehicles to be notified on a single certificate of engineering acceptance or ISV. It is permissible to register individual or batches of those rail vehicles as status C on receipt of the RSL EA4 forms provided by the RSL.

3.2.5 **Status I (not in working order, authorised for placing into service, not in use)**

3.2.5.1 Rail vehicles shall be transferred to status I for any of the following reasons:

- a) The rail vehicle maintenance plan is not being implemented.
- b) Expiry, withdrawal, or suspension of an existing certificate of engineering acceptance or ISV.
- c) Expiry, withdrawal, or suspension of a SOCAT or a previously issued certificate of authority to operate.

3.2.5.2 The requirements to reinstate a rail vehicle to status C are set out in 3.2.4.1. Where documentation and data set out in 3.2.4.1 is still valid, there is no requirement to supply replacements for this information.

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- 3.3.1 The registration processes for rail vehicles are shown in a sequence of flow charts in Appendix D.

3.4 Rail vehicles not intended for normal use

- 3.4.1 Rail vehicles not intended for normal use are permitted to be moved over the mainline railway in a transit move. Examples of these moves include:
- a) Delivery move of a metro vehicle from the manufacturer to the applicable network.
 - b) Transit move of a rail vehicle from a storage location to a maintenance location for the purposes of maintaining compliance with the maintenance plan during storage or for the purpose of bringing the rail vehicle back into service.
 - c) Transit move of a heritage rail vehicle from its normal location to an open day location and from the open day location to its normal location.
 - d) Transit move of a rail vehicle from its storage location to a disposal location.
- 3.4.2 Rail vehicle(s) undergoing a transit move shall be allocated a rail vehicle identification number to enable the national operating systems to function.
- 3.4.3 To register a rail vehicle undergoing a transit move as status B or status C, the RSL shall be provided with all of the following:
- a) A certificate of engineering acceptance or ISV to support the transit move. This declaration includes an expiry date (up to a maximum of six weeks after the issue date).
 - b) A SOCAT. GE/RT8270 sets out the requirements for the assessment of compatibility for rolling stock and infrastructure.
 - c) Rail vehicle data required by the RSL to enable the national operating systems to function.

3.5 Upgraded or renewed rail vehicles

- 3.5.1 The Railways (Interoperability) Regulations SI 2006/397 Part 2 sub-paragraph 5 sets out the requirements for determining whether upgraded or renewed rail vehicles require authorisation or re-authorisation for placing into service.
- 3.5.2 Where it is intended to renumber a rail vehicle as a result of an upgrade or renewal, it is permissible to reserve the new rail vehicle identification number as status Z prior to its application to the actual rail vehicle.
- 3.5.3 To enable upgraded or renewed rail vehicles to be placed into status C the RSL shall be provided with the documentation and data requirements set out in 3.2.4.1.

3.6 Currency of recorded data

- 3.6.1 Whenever changes to a rail vehicle affect the currency of the recorded data set out in Appendix B, updates of those changes to the rail vehicle data for NVR, ERATV and RSL, where applicable, shall be provided to the RSL.

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3.7 Documentation

- 3.7.1 EU Commission Decision 2011/107/EU clause 3.4 sets out the requirements for the retention of the data in the NVR.

Note: EU Commission Decision 2011/107/EU for the NVR currently requires that all data in the NVR is retained for a period of 10 years from the date when a rail vehicle is withdrawn or has not been registered to operate. It also requires that for a minimum of the first three years the data is available online. After the first three years the data is then kept either electronically, in paper form or any other archival system. If at any time during the 10-year period an investigation involving a vehicle or vehicles is started, data relating to these vehicles is retained beyond the 10-year period if required.

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- 4.1.1.1 The CR OPE TSI Annex P sets out the requirements for the display of the EVN and the VKM for rail vehicles intended to be used in international traffic. The EVN requirements for GB rail vehicles are set out in Appendix A.
- 4.1.1.2 The CR OPE TSI Annex P.2 sets out the requirements that the VKM is displayed on each rail vehicle within the EVN.
- 4.1.1.3 The CR OPE TSI Annex P sets out the requirements that the rail vehicle identification number is clearly displayed externally on each side of the rail vehicle using Arabic numerals in sans serif font, contrasts with the background and is not be positioned higher than 2 m above rail level.
- 4.1.1.4 For GB registered rail vehicles, the number shall be at least 80 mm in height.

4.1.2 Additional data to be displayed

- 4.1.2.1 Operational data to be displayed on rail vehicles to facilitate rail vehicles operating in international traffic is set out in CR OPE TSI Annex P and CR WAG TSI Annex B.

4.2 GB registered rail vehicles not intended to be used in international traffic**4.2.1 Display of rail vehicle identification number**

- 4.2.1.1 Except for locomotives and passenger rail vehicles, the CR OPE TSI Annex P sets out the requirement for the full EVN to be displayed on rail vehicles. It is permissible to display a shortened form of the EVN on locomotive and passenger rail vehicles that are not intended to be used in international traffic.
- 4.2.1.2 The CR OPE TSI Annex P permits rail vehicles intended for use in national traffic not to display the VKM, as part of the rail vehicle identification number. The CR OPE TSI Annex P permits the display of a recognisable logo as an alternative to the VKM.
- 4.2.1.3 For existing rail vehicles it is permissible to continue to display the existing GB identification number on the rail vehicle. The requirements concerning the display of the existing GB rail vehicle identification number are set out in Appendix A.
- 4.2.1.4 The rail vehicle identification number shall be clearly displayed externally on each side of the rail vehicle using Latin characters and Arabic numerals at least 80 mm in height. It shall contrast with the background and not be positioned higher than 2 m above rail level.

4.2.2 Heritage rail vehicle identification numbers and other exceptions

- 4.2.2.1 It is permissible for heritage rail vehicles to display their former or original numbers for historical reasons. Heritage rail vehicles intended for limited operation on the mainline railway shall be allocated an EVN. The requirements for the numbering of these rail vehicles are set out in Appendix A.

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- 4.2.2.2 The EVN or the shortened form of the EVN shall be displayed on the rail vehicle so that it is visible by authorised personnel, for example in the driver's cab. The requirements concerning displaying the existing GB identification number on a rail vehicle are set out in Appendix A.
- 4.2.2.3 It is permissible for operators of rail vehicles that operate for the most part on railways other than the mainline railway (for example metro rail vehicles) to display their own vehicle identification numbers. These rail vehicles do not need to be allocated an EVN or registered on the NVR. For operational purposes these rail vehicles are allocated a unique identification number by RSL as set out in Appendix A.
- 4.2.3 Display of the multiple unit and fixed formation set identification number**
- 4.2.3.1 Multiple unit sets shall have the set identification number displayed in full, externally on each end of the set. The requirements for multiple unit set identification numbers are set out in Appendix A.
- 4.2.3.2 It is permissible not to display the set identification number on the end vehicles of the fixed formation where a set identification number is assigned for operational purposes and the formation is regularly changed at a depot.
- 4.2.4 Identification in traincrew areas**
- 4.2.4.1 The rail vehicle identification number shall be displayed in every operational driving cab and traincrew area, in passenger rolling stock and Non-Passenger Carrying Coaching Stock (NPCCS) at every rail vehicle end, using Latin characters and Arabic numerals, not less than 25 mm in height. The identification number to be displayed is the EVN or the shortened GB equivalent number as set out in Appendix A.
- 4.2.4.2 The multiple unit set identification number shall be displayed in every driving cab.
- 4.2.5 Additional data to be displayed**
- 4.2.5.1 Rail vehicles not intended to be used in international traffic shall display the minimum operational data set out in Appendix C to facilitate rail vehicle operation when national operating systems are not available.
- 4.2.6 Data visibility**
- 4.2.6.1 Data shall be displayed in a colour to provide adequate contrast with the background colour. Where sufficient contrast cannot be attained with the background colour, the data shall be displayed on a panel designed to produce adequate contrast. The location for each item of data is set out in Appendix C.

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Part 5 Application of this Document

5.1 Application - infrastructure managers

- 5.1.1 There are no requirements applicable to infrastructure managers.

5.2 Application - railway undertakings

5.2.1 Scope

- 5.2.1.1 The requirements of this document apply to new rail vehicles for the identification, registration and mandatory data to be displayed except as set out in 5.2.2.
- 5.2.1.2 The requirements of this document also apply to existing rail vehicles for the identification and registration information necessary to populate the NVR except as set out in 5.2.2. The specific data requirements to populate the NVR for existing vehicles is identified as a sub-set of the data set out in Appendix B.

5.2.2 Exclusions from scope

- 5.2.2.1 The requirements of this document are not applicable to on-track plant (OTP) and manually propelled trolleys. RIS-1530-PLT sets out the rules for the allocation of identification numbers for on-track plant.
- 5.2.2.2 Metro rail vehicles with limited operation on the mainline railway, for example those used by London Underground Ltd, are allocated a unique number in RSL. These rail vehicles do not need to be allocated an EVN or registered in the NVR.

5.2.3 General compliance date for railway undertakings

- 5.2.3.1 This Railway Group Standard comes into force and is to be complied with from 03 December 2011.
- 5.2.3.2 After the compliance date or the date by which compliance is achieved if earlier, railway undertakings are to maintain compliance with the requirements set out in this document. Where it is considered not reasonably practicable to comply with the requirements, authorisation not to comply should be sought in accordance with the Railway Group Standards Code.

Note: Some of the requirements of this document are derived from published TSIs. Deviations against such requirements are outside the scope of the Railway Group Standard Code.

5.2.4 Exceptions to general compliance date

- 5.2.4.1 There are no exceptions to the general compliance date set out in 5.2.3 for railway undertakings.

5.3 Health and safety responsibilities

- 5.3.1 Users of documents published by RSSB are reminded of the need to consider their own responsibilities to ensure health and safety at work and their own duties under health and safety legislation. RSSB does not warrant that compliance with all or any documents published by RSSB is sufficient in itself to ensure safe systems of work or operation or to satisfy such responsibilities or duties.

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Appendix A Numbering Rules for the Allocation of a European Vehicle Number

The content of this Appendix is mandatory

Except where specifically stated, action to reallocate existing rail vehicle numbering in accordance with Appendix A is not required.

Note: The GB equivalent number for locomotives and vehicles in multiple units and fixed formation trains is shortened to five or six digits to ensure compatibility with the existing GB national operating systems (for example GEMINI, GENIUS and TOPS).

A.1 Locomotives

A.1.1 Table A.1 shows the number ranges that shall be used for locomotives.

Locomotive group	Interoperability capability and type of vehicle [two digits] In accordance with CR OPE TSI Annex P.8	Country in which the rail vehicle is registered [two digits] In accordance with CR OPE TSI Annex P.4	Technical characteristics [four digits] Class identification	Serial number [three digits]	Check digit [one digit] In accordance with CR OPE TSI Annex P.3
			GB equivalent number range [seven digits]		
Diesel shunting locomotives	98	70 (GB)	0001 – 0009	xxx	x
Electric shunting locomotives	97	70 (GB)	See A.1.4	xxx	x
Diesel locomotives	92	70 (GB)	0010 – 0079	xxx	x
Electric locomotives	91	70 (GB)	0080 – 0096	xxx	x
Existing electro-diesel locomotives	91	70 (GB)	0073	xxx	x
Heritage locomotives	90	70 (GB)	0098	xxx	x

Table A.1 Number ranges for locomotives

- A.1.2 It is permissible for locomotives that operate solely on the mainline railway to display the GB equivalent number range of five digits. Shunting locomotives shall display a preceding zero to achieve the minimum of five digits.
- A.1.3 High speed train (HST) power cars (Class 43) are covered by the multiple unit set and fixed formation rail vehicle number ranges as set out in Table A.2.
- A.1.4 Electric shunting locomotive technical characteristics (class identification) shall be selected from the diesel shunting locomotive or the electric locomotive ranges.