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Case Ref: PRM-IOP-0343

IN Number:
UK/51/2020/0028

16/4/2021

Contact: Simon Bailey

25, Cabot Square
London
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Dear Mr Hamilton

**THE RAILWAYS (INTEROPERABILITY) REGULATIONS 2011, AS AMENDED
UPGRADED BATTERY MULTIPLE UNIT: 230010. TYPE AUTHORISATION AGAINST
TYPE 13-090-0001-4-001. FIRST AUTHORISATION OF GSM-R VERSION NR 4.0**

I refer to your application for authorisation, received on the 31.3.2021. Following review of your application, I can confirm that ORR grants the following authorisations:

- Type authorisation under regulation 9 of the Railways (Interoperability) Regulations 2011 as amended against RATV type 13-090-0001-4-001
- First authorisation under regulation 4(1)(a) of the Railways (Interoperability) Regulations 2011 as amended for the GSM-R version NR4.0 radios fitted to the above units in accordance with:
 - Technical file 1125/2020/CCO/23677/TF-VR-230 issue 1E
 - EC type examination certificate 1125/1/SB/2020/CCO/EN/23677-230-VR-A
 - EC Certificate of Verification 1125/6/SF/2020/CCO/EN/23677-230-VR-D

This authorisation is for the placing in service of the following units:

Unit 230010, composed of vehicles 300010, 300210, 300110

You have not identified any restrictions or limitations of use on the structural sub-system.

It is noted that the addition of battery rafts has been considered CSM significant and you have submitted a supportive Safety Assessment Report and Declaration of Verification.

The upgraded rolling stock subsystem 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 further '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 update 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 2011/665/EC. The person who applied for the type authorisation will receive it 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 upgraded rolling stock subsystem.

This decision letter will be published on ORR's website.

Yours sincerely



Steve Fletcher
Deputy Director, Engineering & Asset Management

Cc

Ian Jones

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