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Your Ref

Our Ref

Case Ref PRM-IOP-0302

EIN UK/51/2019/0004

12th April 2019

Contact: Paul Frary
HM Inspector of Railways
One Kemble Street
London
WC2B 4AN

Dear Andy

**THE RAILWAYS (INTEROPERABILITY) REGULATIONS 2011, AS AMENDED
AUTHORISATION OF UPGRADED CLASS 230 WEST MIDLAND UNITS**

I refer to your application for type authorisation, received on the 4th April 2019. Following review of your application, I can confirm that ORR grants a type authorisation under regulation 4(1)(a) of the Railways (Interoperability) Regulations 2011, as amended. This authorisation is for the placing in service of the upgraded sub-system to the Viva Rail Class 230 West Midlands, Unit 230003 consisting of vehicles 300001 and 300101, Unit 230004, consisting of vehicle 300004, 300104 and Unit 230005, consisting of vehicle 300005, 300105

I refer to vehicle type 13-090-0001-4-001, based upon UK authorisation UK/51/2017/0012.

The restrictions or limitations of use on the structural sub-system are those contained on the type declaration dated 4th April 2019 and contained in your technical files, reference 1125/2016/RST/21193/TF Issue 3A – for the Vehicle.

This vehicles are limited to 60 mph on CWR and 50mph on Jointed Track.

I also refer to your GSM R technical file;

1125_2019_CCO_23458_TF-VR-230 Issue 1A, Technical File covering the Class 230

1125_1_SB_2019_CCO_EN_23458_230_VR_A EC Type Examination covering the Class 230

1125_6_SF_2019_CCO_EN_23458_230_VR_A EC Certificate of Verification covering the Class 230

The upgraded rolling stock sub-system 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 subsystems 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 files, 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.

May I remind you that an operator needs to have adequate arrangements within their Safety Management System to control the risks associated with this upgraded rolling stock subsystem. This is particularly relevant given the Class 230 reliance on effective Safety Management System processes supporting the changes made to the rolling stock subsystem

Yours sincerely



Steve Fletcher

Deputy Director, Engineering & Asset Management

Cc

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Ian Jones	Head of Interoperability, DfT
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Paul Hooper	Interoperability Manager ORR
Umar Ali	HM Principal Inspector of Railways, ORR