

Mr Paul Simmons
Head of UK Approvals & Safety CAF
Construcciones y Auxiliar de Ferrocarriles
CAF Rolling Stock UK Ltd
Techno Centre
Puma Way
Coventry CV1 2TT

Case Ref: PRM-IOP-0342 IN
Number: UK/51/2022/0003

13 January 2022

Russell Keir
Rail Vehicles Engineer
HM Inspector of Railways
46 Bath Street
Glasgow G2 1HG

Dear Mr Paul Simmons,

THE RAILWAYS (INTEROPERABILITY) REGULATIONS 2011, AS AMENDED

Class 197 Diesel Multiple Units

I refer to your application for authorisation, received on the 16 December 2021. Following review of your application, I confirm that 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

- 30 off class 197/0 2-car DMUs, and
- 12 off class 197/1 3-car DMUs.

Details in the annex to this letter.

The restrictions or limitations of use on the structural subsystem are those contained on the UK declaration of verification

- C.K9.96.731.00, Rev A, 21 December 2021

and contained in your technical file,

- RTV-SN0182108-R010, Issue 1, 13 December 2021

Constraints & Restrictions

- The vehicles are authorised for operation within GB only
- Maximum speed 160km/h (100mph), under all 'normal' design and operating conditions

- Speed in degraded mode of deflated suspension is limited to 105km/h (65mph)
- The Class 197 is designed to be operated in operational service in multiple configurations of up to 3 units coupled together with a maximum of 9 vehicles
- When operating as Empty Coaching Stock (ECS), or during rescue and recovery, up to 4 units can be coupled together with a maximum of 12 vehicles

Conditions

- Stage V engines - certification against Regulation (EU) 2016/1628 emissions limits will be provided within 6 months of vehicles being 'Put into Use'
- A Network Rail summary of compatibility shall be issued in accordance with RIS-8270-RST (issue 1) prior to vehicles being 'Put into Use'
- The operator has adequate arrangements within its 'Safety Management System' to control the risks associated with this rolling stock subsystem
- Further authorisations are required in respect of ETCS Units and Vehicles with a First-Class car.

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's website.

Yours sincerely,



Steve Fletcher
Deputy Director, Engineering & Asset Management

Copies to:

- Ian Jones, Head of Interoperability, Safety and Standards DfT
- Ian Prosser, ORR Director, Railway Safety
- Peter Gracey, Head of Interoperability and Rail Vehicle Engineering
- Dipesh Tailor, ORR Interoperability Co-ordinator
- Umar Ali, Principal Inspector of Railway, Train Operations South
- David Galloway, Head of System Compatibility, Network Rail
- Network Rail NVR, National Vehicle Register nvr@networkrail.co.uk

Table 1 – Class 197/0 2 Car Vehicle Numbers – Non-ETCS Units Only

Unit Number	DMSL	DMS
197001	131001	133001
197002	131002	133002
197004	131004	133004
197005	131005	133005
197006	131006	133006
197007	131007	133007
197008	131008	133008
197009	131009	133009
197010	131010	133010
197011	131011	133011
197012	131012	133012
197013	131013	133013
197014	131014	133014
197015	131015	133015
197016	131016	133016
197017	131017	133017
197018	131018	133018
197019	131019	133019
197020	131020	133020
197021	131021	133021
197042	131042	133042
197043	131043	133043
197044	131044	133044
197045	131045	133045
197046	131046	133046
197047	131047	133047
197048	131048	133048
197049	131049	133049
197050	131050	133050
197051	131051	133051

Table 2 – Class 197/1 3 Car Vehicle Numbers – Non-First Class Only

Unit Number	DMSL	MSL	DMS
197101	131101	132101	133101
197102	131102	132102	133102
197103	131103	132103	133103
197104	131104	132104	133104
197105	131105	132105	133105
197106	131106	132106	133106
197107	131107	132107	133107
197108	131108	132108	133108
197109	131109	132109	133109
197110	131110	132110	133110
197111	131111	132111	133111
197112	131112	132112	133112