

Paul Simmons
 UK Approvals Manager
 CAF –Constructiones y Auxiliar de Ferrocarriles
 CAF Rolling Stock UK Ltd
 Techno Centre,
 Puma Way,
 Coventry
 CV1 2TTUK

Case Ref PRM-IOP-0341

EIN Number
 UK/51/2020/0049

26 August 2020

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

Dear Paul,

The Railways (Interoperability) Regulations 2011, As Amended

CAF WMT Class 196 Diesel Multiple Unit - Technical File : RTV-T41340-R004

I refer to your application for authorisation, received on the 07 August 2020.

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 CAF Class 196 Diesel Multiple Units.

Unit Number	GB Vehicle Number Class 196/0 (2 car DMU)		European Vehicle Number Class 196/0 (2 car DMU)	
	DMSL	DMS	DMSL	DMS
196001	121001	124001	957001210013	957001240010
196002	121002	124002	957001210021	957001240028
196003	121003	124003	957001210039	957001240036
196004	121004	124004	957001210047	957001240044
196005	121005	124005	957001210054	957001240051
196006	121006	124006	957001210062	957001240069
196007	121007	124007	957001210070	957001240077
196008	121008	124008	957001210088	957001240085
196009	121009	124009	957001210096	957001240093
196010	121010	124010	957001210104	957001240101
196011	121011	124011	957001210112	957001240119
196012	121012	124012	957001210120	957001240127

Unit Number	GB Vehicle Number Class 196/1 (4 car DMU)				European Vehicle Number Class 196/1 (4 car DMU)			
	DMSL	MS	MSL	DMS	DMSL	MS	MSL	DMS
196101	121101	122101	123101	124101	957001211011	957001221010	957001231019	957001241018
196102	121102	122102	123102	124102	957001211029	957001221028	957001231027	957001241026
196103	121103	122103	123103	124103	957001211037	957001221036	957001231035	957001241034
196104	121104	122104	123104	124104	957001211045	957001221044	957001231043	957001241042
196105	121105	122105	123105	124105	957001211052	957001221051	957001231050	957001241059
196106	121106	122106	123106	124106	957001211060	957001221069	957001231068	957001241067
196107	121107	122107	123107	124107	957001211078	957001221077	957001231076	957001241075
196108	121108	122108	123108	124108	957001211086	957001221085	957001231084	957001241083
196109	121109	122109	123109	124109	957001211094	957001221093	957001231092	957001241091
196110	121110	122110	123110	124110	957001211102	957001221101	957001231100	957001241109
196111	121111	122111	123111	124111	957001211110	957001221119	957001231118	957001241117
196112	121112	122112	123112	124112	957001211128	957001221127	957001231126	957001241125
196113	121113	122113	123113	124113	957001211136	957001221135	957001231134	957001241133
196114	121114	122114	123114	124114	957001211144	957001221143	957001231142	957001241141

The restrictions or limitations of use on the structural subsystem are those contained on the declaration of verification, reference C.K1.96.704.01, dated 07 August 2020 and contained in your technical file, reference RTV-T41340-R004, Issue 2.

Constraints & Restrictions

- 1) The vehicles are authorised by the GB NSA for operation within GB only
- 2) The Class 196 is designed to be operated in operational service in multiple configurations of up to four units coupled together with a maximum of eight vehicles. When operating as Empty Coaching Stock (ECS), or during rescue and recovery, up to four units can be coupled together with a maximum of ten vehicles.
- 3) Authorisation Speed is a maximum of 160 km/h (100 mph) under all 'normal' design and operating conditions
- 4) In degraded mode with deflated suspension, the maximum speed is limited to 105km/h (65mph).
- 5) The vehicles are designed to carry passengers & passenger related belongings.
- 6) Network Rail summary compatibility shall be issued in accordance with RIS-8270-RST (issue 1) prior to vehicles being put into use.
- 7) The operator has adequate arrangements within its Safety Management System to control the risks associated with this rolling stock subsystem.

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 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.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'S Fletcher', written in a cursive style.

Steven Fletcher
Deputy Director, Engineering & Asset Management

Cc

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