

Andy Hamilton  
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CV37 8PL

Case Ref: PRM-IOP-0343

EIN: UK/51/2020/0028

27.08.2020

**Contact: Simon Bailey**

Dear Mr Hamilton

**THE RAILWAYS (INTEROPERABILITY) REGULATIONS 2011, AS AMENDED  
AUTHORISATION OF UPGRADED BATTERY MULTIPLE UNITS: 230002, 230006,  
230007 AND 230008.  
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 26.08.2020. Following review of your application, I can confirm that ORR grants the following authorisations under The Railways (Interoperability) Regulations 2011, as amended:

- Type authorisation under regulation 9 against ERATV type 13-090-0001-4-001
- First authorisation under regulation 4(1)(a) 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 1C.
  - 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-A for unit 230006
  - EC Certificate of Verification 1125/6/SF/2020/CCO/EN/23677-230-VR-B for units 230002 and 230007
  - EC Certificate of Verification 1125/6/SF/2020/CCO/EN/23677-230-VR-C for unit 230008

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

Unit 230002, composed of vehicles 300002, 300102

Unit 230006, composed of vehicles 300006, 300206, 300106

Unit 230007, composed of vehicles 300007, 300207, 300107

Unit 230008, composed of vehicles 300008, 300208, 300108

You have not identified any restrictions or limitations of use on the structural subsystem.

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 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).

Yours sincerely



**Steve Fletcher**  
**Deputy Director, Engineering & Asset Management**

Cc

Ian Jones	Head of Interoperability, Safety and Standards DfT
David Galloway	Head of System Compatibility, Network Rail
Pete Gracey	ORR Head of Interoperability & Rail Vehicle Engineering
Gary Taylor	ORR Interoperability and Standards
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