

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

Your Ref: CAF-UK-CI197-  
TF\_COV004

Case Ref: PRM-IOP-0342

IN number UK/51/2023/0003

02 June 2023

**Contact: Russell Keir**  
Rail Vehicles Engineer  
HM Inspector of Railways  
Office of Rail and Road  
2<sup>nd</sup> Floor West  
100 Bothwell Street  
Glasgow  
G2 7JD

Dear Paul,

**THE RAILWAYS (INTEROPERABILITY) REGULATIONS 2011, AS AMENDED**  
**CAF Class 197 First Class Diesel Multiple Unit Application for Authorisation**

I refer to your application for authorisation, received on the 19th May 2023. Following review of your application, I can 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 fourteen, 3-car units. Unit numbers 197113 to 197126. Vehicle numbers in annex.

The restrictions or limitations of use on the structural subsystem are those contained on the UK declaration of verification C.K9.96.731.02, Issue A, 19 May 2023 and contained in technical file RTV-SN0182108-R019, Issue 2, 17 May 2023. 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 may apply to the ORR for a determination of type in accordance with Commission Implementing Decision 2018/1614 as amended by Regulation 20 of The Railways (Interoperability) (Miscellaneous Amendments and Revocations) (EU Exit) Regulations 2020.

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**

Cc

Ian Prosser  
James Le Grice  
National Vehicle Register  
Giles Turner  
Mike Scully

Director, Railway Safety Directorate, ORR  
Head of Interoperability, DfT  
[nvr@networkrail.co.uk](mailto:nvr@networkrail.co.uk)  
Head of Interoperability, ORR  
Acceptance Specialist Network Rail High Speed

**Annex**

| Unit Number | DMSL   | MSL    | DMS    |
|-------------|--------|--------|--------|
| 197113      | 131113 | 132113 | 133113 |
| 197114      | 131114 | 132114 | 133114 |
| 197115      | 131115 | 132115 | 133115 |
| 197116      | 131116 | 132116 | 133116 |
| 197117      | 131117 | 132117 | 133117 |
| 197118      | 131118 | 132118 | 133118 |
| 197119      | 131119 | 132119 | 133119 |
| 197120      | 131120 | 132120 | 133120 |
| 197121      | 131121 | 132121 | 133121 |
| 197122      | 131122 | 132122 | 133122 |
| 197123      | 131123 | 132123 | 133123 |
| 197124      | 131124 | 132124 | 133124 |
| 197125      | 131125 | 132125 | 133125 |
| 197126      | 131126 | 132126 | 133126 |

**Table 1 – Class 197/1 3 Car Vehicle Numbers – First Class Only**