

Railways Act 2005

2005 CHAPTER 14

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An Act to amend the law relating to the provision and regulation of railway services; and for connected purposes.

[7th April 2005]

BE IT ENACTED by the Queen's most Excellent Majesty, by and with the advice and consent of the Lords Spiritual and Temporal, and Commons, in this present Parliament assembled, and by the authority of the same, as follows:–


Extent

Preamble: England, Wales, Scotland

PART 1

TRANSFER OF FUNCTIONS AND RAILWAY STRATEGY

Transfer of functions

 Partially In Force

1 Transfer etc. of SRA functions and abolition

(1) Schedule 1 (which transfers consumer protection functions of the SRA to the ORR, transfers other functions of the SRA to the Secretary of State and to devolved authorities and also abolishes some functions of the SRA) has effect.

(2) The Secretary of State may make a scheme for the transfer of property, rights and liabilities from–

- (a) the Strategic Rail Authority, or
- (b) a company which is wholly owned by that Authority,

to a person specified in subsection (3) or to two or more of those persons.

(3) Those persons are—

- (a) the Secretary of State;
- (b) the Scottish Ministers;
- (c) [the Welsh Ministers]¹ ;
- (d) the Office of Rail Regulation;
- (e) the [Passengers' Council]² established by section 19(1); and
- (f) a company which is wholly owned by a person falling within any of paragraphs (a) to (d) or is jointly owned by more than one of them.

(4) But a transfer of—

- (a) rights and liabilities arising under a Scottish franchise agreement, or
- (b) property created or vested in any person by such an agreement,

may be made by a transfer scheme under subsection (2) only to the Scottish Ministers.

(5) Before making a scheme under subsection (2) the Secretary of State must consult every person to whom property, rights or liabilities would be transferred under the proposed scheme.

(6) Schedule 2 (which contains supplemental provisions about transfer schemes) has effect in relation to schemes under subsection (2).

(7) If the Secretary of State considers it appropriate to do so in connection with or in anticipation of the commencement of any provision of this Act, or of the abolition of the Strategic Rail Authority, he may—

- (a) terminate the appointment of any person as chairman or member of the Strategic Rail Authority; and
- (b) direct a reduction, pending its abolition, in the minimum membership of the Authority.

(8) The Secretary of State may by order make such modifications of any provision of—

- (a) Part 3 of the Transport Act 1980 (c. 34) (railway pensions),
- (b) Schedule 11 to the 1993 Act (pensions), or
- (c) section 244 of the 2000 Act (indexation of pensions),

as appear to him to be necessary or expedient in consequence of the provisions of this section or of any scheme made under this section.

(9) The power under subsection (8) to make modifications by order is subject to the affirmative resolution procedure.

(10) Where, after consulting the Strategic Rail Authority, the Secretary of State is satisfied—

- (a) that all such transfers have been provided for as will secure that the dissolution of the Authority will not extinguish any of its liabilities, and
- (b) that it is no longer necessary, for any other reason, for that Authority to continue to exist,

the Secretary of State may by order provide for it to cease to exist.

Notes

¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.35 (June 13, 2018)

² Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(2) (February 25, 2010)

Commencement

Pt 1 s. 1(1): June 8, 2005 for the provision specified in SI 2005/1444 Sch.1; June 26, 2005 for the provision specified in SI 2005/1444 Sch.2; July 24, 2005 for provisions specified in SI 2005/1909 Sch.1; October 16, 2005 for provisions specified in SI 2005/2812 Sch.1; December 1, 2006 for provisions specified in SI 2006/2911 art.2 and Sch.2; not yet in force otherwise (SI 2005/1444 art. 2(1), art. 2(2), Sch. 1 para. 1, Sch. 2 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Pt 1 s. 1(2)-(3)(d), (3)(f)-(9): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Pt 1 s. 1(3)(e): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Pt 1 s. 1(10)-(10)(b): August 1, 2006 (SI 2006/1951 art. 2(2)(a))

Extent

Pt 1 s. 1(1)-(10)(b): England, Wales, Scotland

✓ Law In Force

2 Transfer of safety functions to ORR

Schedule 3 (which makes provision for and in connection with the transfer to the ORR of safety functions conferred by or under the Health and Safety at Work etc. Act 1974 (c. 37)) has effect.

Commencement

Pt 1 s. 2: February 7, 2006 for provisions specified in SI 2006/266 art.2(1)(b); April 1, 2006 otherwise (SI 2006/266 art. 2(1), art. 2(2), Sch. 1)

Extent

Pt 1 s. 2-: England, Wales, Scotland

Railway strategy

✓ Law In Force

3 General duties under s. 4 of the 1993 Act

(1) Section 4 of the 1993 Act (general duties of the Secretary of State and the ORR) is amended as follows.

(2) In subsections (1) to (3), after “this Part”, in each place, insert “or the Railways Act 2005 that are not safety functions”.

(3) In subsection (1), for paragraphs (za) and (a) (duties to further the strategies of the SRA and to protect the interests of rail users) substitute—

“(zb) to promote improvements in railway service performance;
(a) otherwise to protect the interests of users of railway services;”.

(4) In subsection (3)(a) (duty of ORR to have regard to safety matters), the words from “taking into account” to “Executive” (which require the ORR to take into account advice from the HSE) shall cease to have effect.

(5) In subsection (3A) (functions of Secretary of State excluded from duty), after paragraph (b) insert

“and

(c) the references in each of the subsections to the functions transferred or assigned under or by virtue of the Railways Act 2005 include only the functions transferred or assigned to the Secretary of State under or by virtue of the provisions of Part 4 of that Act other than section 39.”

(6) After that subsection insert–

“(3B) Subsections (1) to (3) above shall have effect in relation to the Scottish Ministers as in relation to the Office of Rail Regulation except that, in relation to those Ministers–

- (a) the references in each of the subsections to functions transferred or assigned to those Ministers under or by virtue of Part 1 of this Act include only the functions transferred or assigned under or by virtue of sections 16A to 16G of this Act; and
- (b) the references in each of the subsections to the functions transferred or assigned under or by virtue of the Railways Act 2005 include only the functions transferred or assigned to those Ministers under or by virtue of Part 4 of that Act.

(3C) Subsections (1) to (3) above shall have effect in relation to the National Assembly for Wales as in relation to the Office of Rail Regulation except that, in relation to that Assembly, the references in each of the subsections to functions transferred or assigned under or by virtue of Part 1 of this Act or the Railways Act 2005 include only the functions transferred or assigned to the Assembly under or by virtue of the provisions of Part 4 of that Act of 2005 other than section 39.”

(7) In subsection (4), after “this Part” insert “or the Railways Act 2005”.

(8) In subsection (5) (supplementary duties)–

(a) in the words before paragraph (a), after “this Part” insert “or the Railways Act 2005 that are not safety functions”;

(b) after paragraph (a) (guidance from the Secretary of State) insert–

“(aa) to have regard to any general guidance given to it by the Scottish Ministers about railway services wholly or partly in Scotland or about other matters in or as regards Scotland that relate to railways;

(ab) in having regard to any guidance falling within paragraph (aa), to give what appears to it to be appropriate weight to the extent (if any) to which the guidance relates to matters in respect of which expenditure is to be or has been incurred by the Scottish Ministers;”

(c) in paragraph (b), after “this Part” insert “or that Act”;

(d) for paragraph (c) (duty to have regard to financial position of the SRA) substitute–

“(c) to have regard to the funds available to the Secretary of State for the purposes of his functions in relation to railways and railway services;

- (ca) to have regard to any notified strategies and policies of the National Assembly for Wales, so far as they relate to Welsh services or to any other matter in or as regards Wales that concerns railways or railway services;
- (cb) to have regard to the ability of the National Assembly for Wales to carry out the functions conferred or imposed on it by or under any enactment;”.

(9) After that subsection insert–

“(5A) Before giving any guidance for the purposes of subsection (5)(a) above the Secretary of State must consult the National Assembly for Wales.

(5B) In exercising its safety functions, other than its functions as an enforcing authority for the purposes of the Health and Safety at Work etc. Act 1974, the Office of Rail Regulation shall be under a duty to have regard to any general guidance given to it by the Secretary of State.

(5C) In performing its duties under subsections (1) to (5A) above in relation to–

- (a) any matter affecting the interests of users or potential users of railway services,
- (b) any matter affecting the interests of persons providing railway services, or
- (c) any matter not falling within paragraph (a) or (b) but falling within subsection (5D),

the Office of Rail Regulation must have regard, in particular, to the interests, in securing value for money, of the persons mentioned in paragraphs (a) and (b) above, of the persons who make available the resources and other funds mentioned in that subsection and of the general public.

(5D) A matter falls within this subsection if the Office of Rail Regulation has been informed that–

- (a) public financial resources (within the meaning of paragraph 1D of Schedule 4A to this Act), or
- (b) funds that do not comprise such resources but are provided in whole or in part by Transport for London, the National Assembly for Wales, a Passenger Transport Executive or any other body in receipt of such resources,

are or are likely to become available to be applied for purposes connected with that matter.”

(10) For subsection (7ZA) substitute–

“(7ZA) Where any general guidance is given to the Office of Rail Regulation for the purposes of subsection (5)(a) or (aa) or (5B)–

- (a) it may be varied or revoked by the person giving it at any time; and
- (b) the guidance, and any variation or revocation of the guidance, must be published by that person in such manner as he considers appropriate.”

(11) In subsection (9)–

- (a) after the definition of “the environment” insert–

““notified strategies and policies”, in relation to the National Assembly for Wales, means the strategies and policies of that Assembly that have been notified by that Assembly for the purposes of this section to the Office of Rail Regulation;”

(b) after the definition of “the passenger transport market” insert–

““railway service performance” includes, in particular, performance in securing each of the following in relation to railway services–

- (a) reliability (including punctuality);
- (b) the avoidance or mitigation of passenger overcrowding; and
- (c) that journey times are as short as possible;

“safety functions” means functions assigned or transferred to the Office of Rail Regulation–

- (a) under this Part,
- (b) under or by virtue of the Railways Act 2005, or
- (c) under or by virtue of the Health and Safety at Work etc. Act 1974,

so far as they are being exercised for the railway safety purposes (within the meaning of Schedule 3 to the Railways Act 2005) or for purposes connected with those purposes.”

Commencement

Pt 1 s. 3(1): June 8, 2005 for provisions specified in SI 2005/1444 Sch.1; June 26, 2005 for provisions specified in SI 2005/1444 Sch.2; April 1, 2006 for provisions specified in SI 2006/266 Sch.1; December 1, 2006 for provisions specified in SI 2006/2911 art.2 and Sch.1; January 29, 2007 otherwise (SI 2005/1444 art. 2(1), art. 2(2), Sch. 1 para. 1, Sch. 2 para. 1; SI 2006/266 art. 2(2), Sch. 1; SI 2006/2911 art. 2, Sch. 1; SI 2007/62 art. 2(2)(a))

Pt 1 s. 3(2), (8)(a): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; April 1, 2006 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2006/266 art. 2(2), Sch. 1)

Pt 1 s. 3(3), (7), (11): June 26, 2005 (SI 2005/1444 art. 2(2), Sch. 2 para. 1)

Pt 1 s. 3(4): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Pt 1 s. 3(5): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Pt 1 s. 3(6): October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; December 1, 2006 as specified in SI 2006/2911 art.2 and Sch.1 otherwise (SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Pt 1 s. 3(8), (8)(c): June 8, 2005

Pt 1 s. 3(8)(b): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Pt 1 s. 3(8)(d), (11)(a): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Pt 1 s. 3(9): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; April 1, 2006 for the purpose specified in SI 2006/266 Sch.1; January 29, 2007 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2006/266 art. 2(2), Sch. 1; SI 2007/62 art. 2(2)(a))

Pt 1 s. 3(10): October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; April 1, 2006 otherwise (SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/266 art. 2(2), Sch. 1)

Pt 1 s. 3(11)(b): June 26, 2005 for the purpose specified in SI 2005/1444 Sch.2; April 1, 2006 otherwise (SI 2005/1444 art. 2(2), Sch. 2 para. 1; SI 2006/266 art. 2(2), Sch. 1)

Extent

Pt 1 s. 3(1)-(11)(b): England, Wales, Scotland

✓ Law In Force

4 Use of access charges reviews for application of strategy

Schedule 4 (which amends Schedule 4A to the 1993 Act to broaden the scope of access charges reviews and to increase the influence of the Secretary of State and the Scottish Ministers over such reviews) has effect.

Commencement

Pt 1 s. 4: January 29, 2007 (SI 2007/62 art. 2(2)(b))

Extent

Pt 1 s. 4: England, Wales, Scotland

✓ Law In Force

5 Railway strategy for Scotland

(1) The Scottish Ministers may prepare a strategy for carrying out their functions in relation to railways and railway services.

(2) The Scottish Ministers may from time to time revise that strategy.

(3) Where the Scottish Ministers prepare or revise such a strategy, they must publish the strategy or revised strategy in such manner as they consider appropriate for bringing it to the attention of those likely to be affected by it.

(4) The reference in subsection (1) to the functions of the Scottish Ministers in relation to railways and railway services includes, in particular, their functions under Part 1 of the 1993 Act and their functions under this Act.

Commencement

Pt 1 s. 5(1)-(4): August 21, 2005 (SI 2005/2252 art. 2)

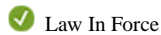
Extent

Pt 1 s. 5(1)-(4): England, Wales, Scotland

PART 2

PUBLIC SECTOR FUNDING AUTHORITIES FOR RAILWAYS

Assisting and securing the provision of services



6 Financial assistance etc. from the Secretary of State

- (1) The Secretary of State may provide, or agree to provide, financial assistance to any person—
- (a) for the purpose of securing the provision, improvement or development of railway services or railway assets; or
 - (b) for any other purpose relating to a railway or to railway services.
- (2) For the purposes of this section the provision of financial assistance includes each of the following—
- (a) the making of grants or loans;
 - (b) the giving of guarantees; and
 - (c) investments in bodies corporate.
- (3) Agreements or other arrangements entered into by the Secretary of State under this section may be entered into on whatever terms, and subject to whatever conditions, he considers appropriate.
- (4) In exercising his powers under this section—
- (a) for any purpose mentioned in section 9(1) in relation to which powers are exercisable by the Scottish Ministers under section 8, or
 - (b) for any purpose mentioned in section 11(1) in relation to which powers are exercisable by [the Welsh Ministers]¹ under section 10,
- the Secretary of State must have regard to the desirability of acting consistently with anything notified to him under section 9 or 11.
- (5) A power of the Secretary of State under this section or otherwise to enter into agreements or other arrangements (other than franchise agreements) for a purpose set out in subsection (1) may be exercised by his entering into an agreement or other arrangement with a relevant person in respect of services provided under a franchise agreement only where the agreement or arrangement is entered into in accordance with that franchise agreement.
- (6) For the purposes of subsection (5) a person is a relevant person in relation to a franchise agreement if he is—
- (a) the franchise operator;
 - (b) the franchisee; or
 - (c) an employee, agent or independent contractor of the franchise operator or of the franchisee.
- (7) In this section “railway” has its wider meaning.
- (8) Paragraph (a) of subsection (1) of section 17 of the Ministry of Transport Act 1919 (c. 50) (grants or loans for the construction, improvement or maintenance of railways, light railways or tramways) shall cease to have effect.

Notes

¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.36 (June 13, 2018)

Commencement

Pt 2 s. 6(1)-(3), (5)-(8): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Pt 2 s. 6(4)-(4)(b): June 8, 2005 for purposes specified in SI 2005/1444 Sch.1; October 16, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 2 s. 6(1)-(8): England, Wales, Scotland

✓ Law In Force

7 Notification of assistance from Secretary of State for freight services

(1) This section applies if the Secretary of State makes or modifies a scheme setting out how he proposes to exercise his powers under section 6 for the purpose of securing the provision, improvement or development of—

- (a) services for the carriage of goods by railway; or
- (b) facilities for or in connection with—
 - (i) the carriage of goods by railway; or
 - (ii) the loading or unloading of goods carried or intended to be carried by railway.

(2) This section also applies if the Secretary of State makes or modifies a determination of the criteria that he will apply in exercising his functions under such a scheme.

(3) The Secretary of State must send a copy of the scheme or determination, or (as the case may be) of the scheme or determination as modified—

- (a) to the Scottish Ministers; and
- (b) to [the Welsh Ministers]¹.

(4) In this section—

“facilities” includes track, rolling stock, depots, access roads and equipment; and
“railway” has its wider meaning.

Notes

¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.37 (June 13, 2018)

Commencement

Pt 2 s. 7(1)-(4) definition of "railway": June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Pt 2 s. 7-(4) definition of "railway": England, Wales, Scotland

✓ Law In Force

8 Franchising and financial assistance in relation to Scotland

(1) For the purposes of being a party to a franchise agreement the Scottish Ministers shall have power to provide, or to agree to provide, financial assistance to the franchisee—

- (a) for the purpose of securing the provision, improvement or development of the Scottish services to which the agreement relates; or
- (b) for any other purpose relating to the provision of those services.

(2) The Scottish Ministers shall also have power, where they do so wholly or primarily for Scottish purposes, to provide, or to agree to provide, financial assistance to persons otherwise than under franchise agreements—

- (a) for the purpose of securing the provision, improvement or development of railway services or railway assets; or
- (b) for any other purpose relating to a railway or to railway services.

(3) In subsection (2) “Scottish purposes” means any of the following—

- (a) any purposes connected with a Scottish service or proposed Scottish service;
- (b) the provision, improvement or development of services for the carriage of goods by railway where the services are to be or are provided wholly or partly in Scotland;
- (c) the provision, improvement or development of facilities for use for or in connection with—
 - (i) the carriage of goods by railway using services that are to be or are provided wholly or partly in Scotland; or
 - (ii) the loading or unloading of goods so carried or intended to be so carried.

(4) For the purposes of this section the provision of financial assistance includes each of the following—

- (a) the making of grants or loans;
- (b) the giving of guarantees; and
- (c) investments in bodies corporate.

(5) Agreements and other arrangements entered into by the Scottish Ministers under subsection (1) or (2) may be entered into on whatever terms, and subject to whatever conditions, they consider appropriate.

(6) In exercising their powers under this section for any purpose mentioned in subsection (1) of section 7, the Scottish Ministers must have regard to the desirability of acting consistently with anything notified to them under that section.

(7) The power of the Scottish Ministers under subsection (2) may be exercised by their entering into an agreement or other arrangement with a relevant person in respect of services provided under a franchise agreement only where the agreement or other arrangement is entered into in accordance with that franchise agreement.

(8) For the purposes of subsection (7) a person is a relevant person in relation to a franchise agreement if he is—

- (a) the franchise operator;
- (b) the franchisee; or
- (c) an employee, agent or independent contractor of the franchise operator or of the franchisee.

(9) In this section—

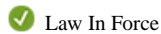
- “facilities” includes track, rolling stock, depots, access roads and equipment;
- “railway” has its wider meaning;
- “Scottish service” means any service which is a Scotland-only service or a cross-border service.

Commencement

Pt 2 s. 8(1)-(9) definition of "Scottish service": October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 2 s. 8-(9) definition of "Scottish service": England, Wales, Scotland



Law In Force

9 Notification of assistance from Scottish Ministers for freight services

(1) This section applies if the Scottish Ministers make or modify a scheme setting out how they propose to exercise their powers under section 8 for the purpose of securing the provision, improvement or development of—

- (a) services for the carriage of goods by railway; or
- (b) facilities for or in connection with—
 - (i) the carriage of goods by railway; or
 - (ii) the loading or unloading of goods carried or intended to be carried by railway.

(2) This section also applies if the Scottish Ministers make or modify a determination of the criteria that they will apply in exercising their functions under such a scheme.

(3) The Scottish Ministers must send a copy of the scheme or determination, or (as the case may be) of the scheme or determination as modified, to the Secretary of State.

(4) In this section—

- “facilities” includes track, rolling stock, depots, access roads and equipment; and
- “railway” has its wider meaning.

Commencement

Pt 2 s. 9(1)-(4) definition of "railway": October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 2 s. 9-(4) definition of "railway": England, Wales, Scotland



Law In Force

10 Franchising and financial assistance in relation to Wales

(1) Before—

- (a) issuing an invitation to tender for a franchise agreement in a case in which the services to be provided under the agreement are or include Welsh services, or
- (b) entering into a franchise agreement in respect of services that are or include Welsh services in a case in which no such invitation has been issued,

the Secretary of State must consult [the Welsh Ministers]¹ .

(2) [...] ²

- (3) For the purposes of being a party to a franchise agreement [the Welsh Ministers]³ shall have power to provide, or to agree to provide, financial assistance to the franchisee—
- (a) for the purpose of securing the provision, improvement or development of any Welsh services to which the agreement relates; or
 - (b) for any other purpose relating to the provision of those services.
- (4) [The Welsh Ministers]⁴ shall also have power, where [they do so]⁵ wholly or primarily for Welsh purposes, to provide, or to agree to provide, financial assistance to persons otherwise than under franchise agreements—
- (a) for the purpose of securing the provision, improvement or development of railway services or railway assets; or
 - (b) for any other purpose relating to a railway or to railway services.
- (5) In subsection (4) “Welsh purposes” means any of the following—
- (a) any purposes connected with a Welsh service or proposed Welsh service;
 - (b) the provision, improvement or development of services for the carriage of goods by railway where the services are to be or are provided wholly or partly in Wales;
 - (c) the provision, improvement or development of facilities for use for or in connection with—
 - (i) the carriage of goods by railway using services that are to be or are provided wholly or partly in Wales; or
 - (ii) the loading or unloading of goods so carried or intended to be so carried.
- (6) [The Welsh Ministers]⁶ may make payments to the Secretary of State or the Scottish Ministers in respect of the performance of his or their duty under section 30 of the 1993 Act (provision of services by operator of last resort) in relation to a Welsh service.
- (7) For the purposes of this section the provision of financial assistance includes each of the following—
- (a) the making of grants or loans;
 - (b) the giving of guarantees; and
 - (c) investments in bodies corporate.
- (8) Agreements and other arrangements entered into by [the Welsh Ministers]⁷ under subsection (3) or (4) may be entered into on whatever terms, and subject to whatever conditions, [the Welsh Ministers consider]⁸ appropriate.
- (9) In exercising [their]⁹ powers under this section for any purpose mentioned in subsection (1) of section 7, [the Welsh Ministers]¹⁰ must have regard to the desirability of acting consistently with anything notified to [them]¹¹ under that section.
- (10) The power of [the Welsh Ministers]¹² under subsection (4) may be exercised by [their]¹³ entering into an agreement or other arrangement with a relevant person in respect of services provided under a franchise agreement only where the agreement or other arrangement is entered into in accordance with that franchise agreement.
- (11) For the purposes of subsection (10) a person is a relevant person in relation to a franchise agreement if he is—
- (a) the franchise operator;
 - (b) the franchisee; or
 - (c) an employee, agent or independent contractor of the franchise operator or of the franchisee.

(12) In this section—

“facilities” includes track, rolling stock, depots, access roads and equipment;
 “railway” has its wider meaning.

Notes

- ¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(2) (June 13, 2018)
- ² Repealed by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(3) (June 13, 2018)
- ³ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(4) (June 13, 2018)
- ⁴ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(5)(a) (June 13, 2018)
- ⁵ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(5)(b) (June 13, 2018)
- ⁶ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(6) (June 13, 2018)
- ⁷ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(7)(a) (June 13, 2018)
- ⁸ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(7)(b) (June 13, 2018)
- ⁹ Word substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(8)(a) (June 13, 2018)
- ¹⁰ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(8)(b) (June 13, 2018)
- ¹¹ Word substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(8)(c) (June 13, 2018)
- ¹² Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(9)(a) (June 13, 2018)
- ¹³ Word substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.38(9)(b) (June 13, 2018)

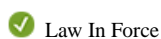
Commencement

Pt 2 s. 10(1)-(5)(c)(ii), (7)-(12) definition of "railway": June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Pt 2 s. 10(6): July 24, 2005 for purposes specified in SI 2005/1909 Sch.1; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 2 s. 10(1)-(12) definition of "railway": England, Wales, Scotland



Law In Force

11 Notification of assistance from Welsh [Ministers]¹ for freight services

(1) This section applies if [the Welsh Ministers make or modify a scheme setting out how they propose to exercise their powers]² under section 10 for the purpose of securing the provision, improvement or development of—

(a) services for the carriage of goods by railway; or

- (b) facilities for or in connection with–
 - (i) the carriage of goods by railway; or
 - (ii) the loading or unloading of goods carried or intended to be carried by railway.

[(2) This section also applies if the Welsh Ministers make or modify a determination of the criteria that they will apply in exercising their functions under such a scheme.]³

(3) [The Welsh Ministers]⁴ must send a copy of the scheme or determination, or (as the case may be) of the scheme or determination as modified, to the Secretary of State.

(4) In this section–

“facilities” includes track, rolling stock, depots, access roads and equipment; and
 “railway” has its wider meaning.

Notes

- ¹ Word substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.39(2) (June 13, 2018)
- ² Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.39(3) (June 13, 2018)
- ³ Substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.39(4) (June 13, 2018)
- ⁴ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.39(5) (June 13, 2018)

Commencement

Pt 2 s. 11(1)-(4) definition of "railway": June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Pt 2 s. 11-(4) definition of "railway": England, Wales, Scotland



Law In Force

12 Transfer schemes at end of franchising agreements

(1) This section applies where a franchise agreement is or has been in force.

(2) The appropriate national authority may make a scheme for the transfer, at or after the end of the franchise period, of relevant franchise assets from the franchise company to a person specified in subsection (3), or to two or more of those persons.

(3) Those persons are–

- (a) the Secretary of State;
 [(aa) the Welsh Ministers;]¹
- (b) the Scottish Ministers;
- (c) a company which is wholly owned by the Secretary of State [, the Welsh Ministers]² or the Scottish Ministers;
- (d) a company which is jointly owned by the Secretary of State and the Scottish Ministers; [...]³
- [(da) a company which is jointly owned by the Secretary of State and the Welsh Ministers; and]³

- (e) a franchise company.
- (4) Before making a scheme under this section, the appropriate national authority must consult every person to whom relevant franchise assets would be transferred under the proposed scheme.
- (5) On the day on which a scheme made under this section comes into force—
- (a) the transferee or transferees must pay to the transferor, or
 - (b) the transferor must pay to the transferee or transferees,
- such sums as may be specified in, or determined in accordance with, the franchise agreement.
- (6) Subsection (5) is subject to any other agreement between the transferor and the transferee or transferees.
- (7) Schedule 2 (which contains supplemental provisions about transfer schemes) has effect in relation to schemes under this section.
- (8) In this section—
- “the appropriate national authority” means—
 - [(za) in relation to a franchise agreement the franchised services under which consist of Wales-only services, the Welsh Ministers;]⁴
 - (a) [...] ⁵
 - (b) in relation to a franchise agreement to which the Scottish Ministers are a party, the Scottish Ministers; [and]⁶
 - [(c) in relation to any other franchise agreement, the Secretary of State;]⁶
 - “franchise company” means a person who is, or is to be, the franchisee or the franchise operator under a franchise agreement;
 - “relevant franchise assets” means property, rights and liabilities which, immediately before the end of the franchise period which is ending or has ended, will be or were designated as franchise assets for the purposes of the agreement;
 - “transferee”, in relation to a scheme, means a person to whom property, rights or liabilities are transferred in accordance with the scheme; and
 - “transferor”, in relation to a scheme, means the person from whom property, rights or liabilities are transferred in accordance with the scheme.

Notes

- ¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.40(2)(a) (June 13, 2018)
- ² Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.40(2)(b) (June 13, 2018)
- ³ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.40(2)(c) (June 13, 2018)
- ⁴ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.40(3)(a) (June 13, 2018)
- ⁵ Repealed by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.40(3)(b) (June 13, 2018)
- ⁶ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.40(3)(c) (June 13, 2018)

Commencement

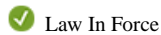
Pt 2 s. 12(1)–(5)(b), (7)–(8) definition of "the appropriate national authority" (a), (8) definition of "franchise company"–(8) definition of "transferor": July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Pt 2 s. 12(6): July 24, 2005 for purposes specified in SI 2005/1909 Sch.1; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Pt 2 s. 12(8) definition of "the appropriate national authority" (b): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 2 s. 12(1)–(8) definition of "transferor": England, Wales, Scotland

Passenger Transport Executives

Law In Force

13 Railway functions of Passenger Transport Executives

(1) Before–

- (a) issuing an invitation to tender for a franchise agreement in a case in which the services to be provided under the agreement are or include services in which a Passenger Transport Executive for an area in England have an interest, or
- (b) entering into a franchise agreement in respect of such services in a case in which no such invitation has been issued,

the Secretary of State must consult the Executive for that area.

(2) For the purposes of subsection (1) the services in which a Passenger Transport Executive have an interest are–

- (a) services for the carriage of passengers by railway within the [integrated transport area]¹ of that Executive; and
- (b) services which are not such services but are services for the carriage of passengers by railway to or from such an area.

(3) A Passenger Transport Executive for [an integrated transport area]² in England and the Secretary of State may enter into arrangements under which one or both of the following occurs–

- (a) sums become due from the Executive to the Secretary of State in respect of services for the carriage of passengers by railway within that area or in respect of station services or bus substitution services provided within that area; and
- (b) the Secretary of State undertakes to exercise or perform his powers and duties in relation to or in connection with such services in a particular way.

(4) A Passenger Transport Executive for [an integrated transport area]² in England may enter into agreements for purposes relating to or connected with the provision, by a person who is a franchisee or franchise operator in relation to a franchise agreement, of–

- (a) services for the carriage of passengers by railway within that area; and
- (b) station services provided for purposes connected with any such services.

(5) A Passenger Transport Executive for [an integrated transport area]² in England may not enter into an agreement (whether by virtue of subsection (4) or otherwise)–

(a) with a person who is a franchisee or franchise operator in relation to a franchise agreement, or

(b) with a person who is proposing to become such a franchisee or franchise operator, unless the agreement is approved by the Secretary of State.

(6) The Secretary of State may–

(a) give a general approval for the purposes of subsection (5) in relation to a description of agreements, as well as specific approvals for particular agreements; and

(b) withdraw his approval in relation to any agreement at any time before the agreement is entered into.

(7) The agreements to which a Passenger Transport Executive for [an integrated transport area]² in England may become a party with the approval of the Secretary of State include franchise agreements under which services are provided which are or include services for the carriage of passengers by railway within that area.

(8) The Secretary of State and the Passenger Transport Executive for [an integrated transport area]² in England must each provide to the other any information which–

(a) the other reasonably requires for purposes connected with his or their functions in relation to railways or railway services; and

(b) is information which it would have been lawful for him or (as the case may be) them to disclose apart from this subsection.

(9) In this section–

(a) a reference to a service for the carriage of passengers by railway within [an integrated transport area]² is a reference to a service for the carriage of passengers by railway between places in that area or between places in that area and places outside it which are within the permitted distance;

(b) a reference to station services provided within such an area is a reference to station services provided in connection with any such service for the carriage of passengers by railway; and

(c) a reference to a bus substitution service provided within such an area is a reference to a bus substitution service for the carriage of passengers between places in that area or between places in that area and places outside it which are within the permitted distance;

and in this subsection “the permitted distance” [, in relation to an integrated transport area, means the distance of 25 miles from the nearest point on the boundary of that area]³.

Notes

¹ Words substituted by Local Transport Act 2008 c. 26 Sch.4(4) para.66(2)(a) (February 9, 2009)

² Words substituted by Local Transport Act 2008 c. 26 Sch.4(4) para.66(2)(b) (February 9, 2009)


³ Words substituted by Deregulation Act 2015 c. 20 Sch.8 para.7 (March 26, 2015 so far as is necessary for enabling the exercise on or after that day of any power to make provision by an order or regulations made by statutory instrument; October 1, 2015 otherwise)

Commencement

Pt 2 s. 13(1)-(9)(c): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 2 s. 13-(9)(c): England, Wales

 Partially In Force

14 Repeals and savings relating to Passenger Transport Executives

(1) The following provisions shall cease to have effect–

- (a) in section 10(1) of the Transport Act 1968, paragraphs (vi) and (viza) (powers to enter into agreements with the SRA);
- (b) section 20(2)(b) and (3) of that Act (duty of PTE to enter into agreements to secure the provision of railway passenger services and to provide information for that purpose); and
- (c) sections 34 and 35 of the 1993 Act (role of PTAs and PTEs in relation to franchising and the termination and variation of agreements under section 20(2) of the 1968 Act).

(2) Subject to subsection (3), a Passenger Transport Executive who are a party to a franchise agreement immediately before the commencement of subsection (1) may continue to be a party to that agreement after that time, notwithstanding anything in subsection (1) of this section or in section 13.

(3) Where a Passenger Transport Executive are a party to a franchise agreement immediately before the commencement of subsection (1) of this section–

- (a) subsection (2) of this section and section 13(4) and (7) are to be disregarded for the purpose of giving effect to any provision of the agreement by virtue of which a person may cause the Executive to cease to be a party to it; and
- (b) the Executive must comply with all such directions as may be given to them by the Secretary of State to take steps for the purpose of ceasing to be a party to the agreement.

(4) The provisions of this section and the repeals made by this Act do not affect the application of the following provisions in relation to a franchise agreement into which a Passenger Transport Executive entered before the commencement of subsection (1) of this section, that is to say–

- (a) subsection (17) of section 34 of the 1993 Act (disputes); and
- (b) any other enactment so far as it has effect for the purposes of or in relation to that subsection of that section.

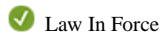
(5) In the operation of any enactment by virtue of subsection (4) of this section references in that enactment to the Strategic Rail Authority are to have effect as references to the Secretary of State.

Commencement

Pt 2 s. 14(1)-(5): July 24, 2005 in relation to England and Wales; not yet in force otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 2 s. 14-(5): England, Wales, Scotland

London

Law In Force

15 Duty of Secretary of State and Transport for London to co-operate

(1) Section 175 of the Greater London Authority Act 1999 (c. 29) (duty of Transport for London and the SRA to cooperate) is amended as follows.

(2) In subsection (1) (duty of co-operation)–

- (a) for “Strategic Rail Authority”, where first occurring, substitute “Secretary of State”; and
- (b) omit the words after paragraph (b) (which relate to the exchange of information).

(3) After that subsection insert–

“(1A) Before–

- (a) issuing an invitation to tender for a franchise agreement in a case in which the services to be provided under the agreement are or include London railway passenger services, or
- (b) entering into a franchise agreement in respect of such services in a case in which no such invitation has been issued,

the Secretary of State must consult Transport for London.

(1B) The Secretary of State and Transport for London must each provide to the other any information which–

- (a) the other reasonably requires for a purpose mentioned in subsection (1)(a) or (b); and
- (b) is information which it would have been lawful for him or (as the case may be) it to disclose apart from this subsection.”

(4) In subsection (2) (power of Transport for London and SRA to enter into arrangements as to how they will exercise and perform their functions), for “Strategic Rail Authority” substitute “Secretary of State”.

(5) After that subsection insert–

“(2A) Those arrangements may include arrangements under which sums become due from Transport for London to the Secretary of State–

- (a) in respect of London railway passenger services;
- (b) in respect of station services provided in connection with such services; or
- (c) in respect of bus substitution services provided as alternatives for London railway passenger services.”

(6) In subsection (3) (references to functions of the SRA), for “Strategic Rail Authority”, “its” and “it” substitute, respectively, “Secretary of State”, “his” and “him”.

(7) After that subsection insert–

“(3A) A reference in this section to a London railway passenger service is a reference to–

- (a) a service for the carriage of passengers by railway between places in Greater London; or

(b) a service for the carriage of passengers by railway between places in Greater London and places outside Greater London.

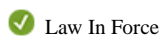
(3B) Expressions used in this section and in Part 1 of the Railways Act 1993 have the same meanings in this section as in that Part.”

Commencement

Pt 2 s. 15(1)-(7): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 2 s. 15-(7): England, Wales, Scotland



Law In Force

16 Relaxation of contractual restrictions on Transport for London

(1) Section 201 of the Greater London Authority Act 1999 (c. 29) (restriction on Transport for London entering into agreements that involve the holding of a licence under the 1993 Act) shall cease to have effect.

(2) Transport for London may not enter into an agreement—

(a) with a person who is a franchisee or franchise operator in relation to a franchise agreement, or

(b) with a person who is proposing to become such a franchisee or franchise operator, unless the agreement is approved by the Secretary of State.

(3) An agreement that relates exclusively to the grant of permission by a facility owner for a person to use a railway facility of his does not require the approval of the Secretary of State under subsection (2) in any case in which Transport for London or a subsidiary of its is the facility owner or the person granted permission.

(4) The Secretary of State may—

(a) give a general approval for the purposes of subsection (2) in relation to a description of agreements, as well as specific approvals for particular agreements; and

(b) withdraw his approval in relation to any agreement at any time before the agreement is entered into.

(5) The agreements to which Transport for London may become a party with the approval of the Secretary of State include franchise agreements under which services are provided which are or include services for the carriage of passengers by railway between places in Greater London.

(6) In this section “subsidiary” has the meaning given to it by [section 1159 of the Companies Act 2006]¹.

Notes

¹ Words substituted by Companies Act 2006 (Consequential Amendments, Transitional Provisions and Savings) Order 2009/1941 Sch.1 para.246(a) (October 1, 2009)

Commencement

Pt 2 s. 16(1)-(6): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 2 s. 16-(6): England, Wales, Scotland

 Law In Force With Amendments Pending

17 Membership of Transport for London

(1) Paragraph 2 of Schedule 10 to the Greater London Authority Act 1999 (c. 29) (membership of Transport for London) is amended as follows.

(2) In sub-paragraph (1) (which imposes a maximum of fifteen on the number of members appointed by the Mayor), for “fifteen” substitute “seventeen”.

(3) In sub-paragraph (2) (which imposes a maximum of fourteen on the number so appointed where the Mayor is himself a member), for “fourteen” substitute “sixteen”.

(4) After sub-paragraph (2) insert–

“(2A) The Mayor must exercise his powers under this paragraph so as to secure that at least two members of Transport for London are able to represent the interests of the persons living, working and studying in areas outside Greater London that are served by railway passenger services in respect of which Transport for London carries out functions, or is likely to do so.”

(5) After sub-paragraph (3) insert–

“(3A) Before making an appointment for the purposes of sub-paragraph (2A) above, the Mayor must consult the regional planning body for each of the regions where the areas served by the services mentioned in that sub-paragraph are situated.”

(6) [...]¹

(7) After sub-paragraph (7) insert–

“(8) In this paragraph–

“railway passenger service” has the same meaning as in Part 1 of the Railways Act 1993; and

“regional planning body” and “region” have the same meanings as in Part 1 of the Planning and Compulsory Purchase Act 2004.”

(8) It shall be the duty of the Mayor of London, within the period of six months beginning with the commencement of subsection (4)–

(a) to review the existing membership of Transport for London; and

(b) to decide whether it is necessary for the purposes of the sub-paragraph inserted by that subsection for him to exercise any of his powers under paragraph 2 of Schedule 10 to the Greater London Authority Act 1999.

(9) Before making that decision the Mayor must consult the same regional planning bodies (within the meaning of that paragraph) as he is required to consult before making an appointment for the purposes of that sub-paragraph.

Notes

¹ Repealed by Greater London Authority Act 2007 c. 24 Sch.2 para.1 (January 21, 2008 as SI 2008/113)

Amendments Pending

Pt 2 s. 17(5): repealed by Localism Act 2011 c. 20, Sch. 25(16) para. 1 (date to be appointed)

Commencement

Pt 2 s. 17(1)-(9): August 8, 2007 (SI 2007/1993 art. 2)

Extent

Pt 2 s. 17(1)-(9): England, Wales, Scotland

Provision of service by provider of last resort

✓ Law In Force

18 Qualification of duty in respect of services funded by others

(1) In subsection (3) of section 30 of the 1993 Act (restrictions on duty to provide service as provider of last resort) after paragraph (a) insert—

“(aa) require the relevant franchising authority to provide or secure the provision of a Welsh service where it appears to the authority that it will not be receiving funds from the National Assembly for Wales that are reasonably equivalent to those provided by that Assembly (whether directly to the previous franchisee or otherwise) in respect of the service provided by the previous franchisee;

(ab) require the Secretary of State to provide or secure the provision of a service within the area of a Passenger Transport Executive where it appears to him that he will not be receiving funds from the Executive that are reasonably equivalent to those provided by that Executive (whether directly to the previous franchisee or otherwise) in respect of the service provided by the previous franchisee;

(ac) require the Secretary of State to provide or secure the provision of a service that makes scheduled calls in Greater London where it appears to him that he will not be receiving funds from Transport for London that are reasonably equivalent to those that were provided by Transport for London (whether directly to the previous franchisee or otherwise) in respect of the service provided by the previous franchisee;”.

(2) In that section, at the end, insert—

“(3C) In this section—

“previous franchisee”, in relation to a railway passenger service, means the franchisee in relation to the franchise agreement under which the service was previously provided; and

“Welsh service” has the same meaning as in the Railways Act 2005; and references in this section to a Passenger Transport Executive and to a service within the area of a Passenger Transport Executive are to be construed as they are to be construed for the purposes of section 13 of that Act.”

Commencement

Pt 2 s. 18(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 2 s. 18-(2): England, Wales, Scotland

PART 3

[Passengers' Council]¹ AND RAIL PASSENGERS' COMMITTEES

Notes

- ¹ Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(5) (February 25, 2010)
-

✓ Law In Force

19 The [Passengers' Council]¹

- (1) There shall be a body corporate to be known as the [Passengers' Council]² .
- (2) That Council shall consist of—
- (a) a chairman appointed by the Secretary of State;
 - (b) a member appointed by the Scottish Ministers;
 - (c) a member appointed by [the Welsh Ministers]³ ;
 - (d) a member appointed by the London Assembly from the members of the London Transport Users' Committee; and
 - (e) [not more than fourteen]⁴ other members appointed by the Secretary of State after consultation with the chairman.
- (3) The chairman and other members of that Council—
- (a) shall each hold and vacate office in accordance with the terms and conditions of his appointment; and
 - (b) on ceasing to hold office, shall be eligible for re-appointment.
- (4) The consent of the Secretary of State is required for the terms and conditions of an appointment under subsection (2)(b) or (c).
- (5) The London Assembly must consult the Secretary of State before fixing the terms and conditions of an appointment under subsection (2)(d).

(6) On the day appointed for the commencement of this subsection the council known as the [Passengers' Council]² that was established by section 3(2) of the 1993 Act shall cease to exist.

(7) References in enactments, instruments and other documents to the [Passengers' Council]² established by section 3(2) of the 1993 Act shall have effect from the commencement of this subsection as references to the Council established by subsection (1).

(8) If the Secretary of State considers it appropriate to do so in connection with or in anticipation of the establishment of the [Passengers' Council]² by subsection (1), he may terminate the appointment of any person as chairman or member of the Council established by section 3(2) of the 1993 Act.

(9) If a person's appointment is terminated under subsection (8) before his term of office would have expired apart from this Act, the Secretary of State may, if he thinks it appropriate to do so, pay that person such sum by way of compensation as the Secretary of State determines.

(10) Schedule 5 (which makes provision about the Council established by subsection (1)) has effect.

Notes

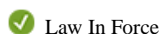
- ¹ Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(3)(b) (February 25, 2010)
- ² Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(3)(a) (February 25, 2010)
- ³ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.41 (June 13, 2018)
- ⁴ Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 art.4 (February 25, 2010)

Commencement

Pt 3 s. 19(1)-(10): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 3 s. 19-(10): England, Wales, Scotland



Law In Force

[19A Power to confer non-rail functions on the [Passengers' Council]²

(1) The Secretary of State may by order make provision conferring functions on the [Passengers' Council]³ relating to—

- (a) prescribed local services, or local services of a prescribed description, so far as operating in England;
- (b) prescribed domestic coach services, or domestic coach services of a prescribed description, so far as operating in England;
- (c) prescribed tramway passenger services, or tramway passenger services of a prescribed description, so far as operating in England;
- (d) prescribed passenger transport facilities in England, or passenger transport facilities in England that are of a prescribed description.

- (2) The power conferred by subsection (1) includes power to amend any enactment (including this Act) for the purposes of making such provision.
- (3) An order under this section may make incidental, consequential, transitional or supplementary provision for the purposes of, or in consequence of, such an order, or for giving full effect to such an order.
- (4) The provision which may be included by virtue of subsection (3) in an order includes—
- (a) provision for the body established by section 19 to be known by a different name;
 - (b) provision altering the number of persons that may be appointed as members of that body by the Secretary of State under section 19(1)(e);
 - (c) provision amending, repealing or revoking any provision of this Act or any other enactment, whenever passed or made.
- (5) In a case where an order under this section confers on the [Passengers' Council]³ power to make recommendations or representations to a body or person, the provision which may be included by virtue of subsection (3) in the order also includes provision conferring on the body or person functions in respect of such recommendations or representations.
- (6) An order under this section may confer a function on a body or person by virtue of subsection (5) only if the new function relates to—
- (a) services of a kind mentioned in paragraphs (a) to (c) of subsection (1), so far as operating in England, or
 - (b) passenger transport facilities in England.
- (7) Nothing in this section provides power to alter the functions of the [Passengers' Council]³ so far as relating to the provision of railway passenger services or station services.
- (8) An order under this section is subject to the affirmative resolution procedure.
- (9) In this section—
- “domestic coach service” means a bus service which—
 - (a) carries passengers at separate fares, and
 - (b) is not a local service;
 - “enactment” includes an enactment comprised in subordinate legislation (within the meaning of the Interpretation Act 1978);
 - “local service” has the meaning given by section 2 of the Transport Act 1985;
 - “passenger transport facilities” means facilities for services of a kind mentioned in paragraphs (a) to (c) of subsection (1);
 - “prescribed” means prescribed by order made by the Secretary of State;
 - “tramway passenger service” means any service for the carriage of passengers by tramway.

] ¹

Notes

- ¹ Added by Local Transport Act 2008 c. 26 Pt 4 s.74 (November 26, 2008 in relation to any power to make regulations or an order; February 9, 2009 otherwise)
- ² Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(4)(b) (February 25, 2010)
- ³ Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(4)(a) (February 25, 2010)

Extent

Pt 3 s. 19A(1)-(9) definition of "tramway passenger service": England, Wales, Scotland

✓ Law In Force

20 Delegation of functions by Council

After section 76 of the 1993 Act (functions of Rail Passengers' Council)–

“76A Delegation of duties under section 76(7A)

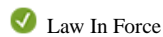
- (1) The Rail Passengers' Council and any other public body may enter into an agreement for that other body to be responsible, in accordance with the agreement, for–
- (a) determining what is expedient for the purposes of subsection (7A) of section 76 above in relation to an area specified in the agreement; and
 - (b) otherwise performing that Council's duties under that subsection in relation to that area.
- (2) So long as an agreement under this section is in force–
- (a) the duties of the Rail Passengers' Council under subsection (7A) of section 76 above shall be deemed, in relation to the area specified in the agreement, to fall on the other party to it, instead of on that Council; but
 - (b) that Council is not to be prevented from doing anything mentioned in that subsection in relation to that area.
- (3) An agreement under this section–
- (a) may be entered into on such terms and conditions as the parties to it may agree; and
 - (b) may contain provision for determining for the purposes of this section in what circumstances things done under or for the purposes of section 76(7A) are to be treated as done in relation to the area specified in the agreement.
- (4) The consent of the Secretary of State is required before the Rail Passengers' Council and another public body may enter into an agreement under this section.
- (5) In this section “public body” means any authority or other body on which functions are conferred by or under an enactment.
- (6) In subsection (5) “enactment” includes an enactment comprised in an Act of the Scottish Parliament.”

Commencement

Pt 3 s. 20: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 3 s. 20: England, Wales, Scotland



Law In Force

21 Rail Passengers' Committees

(1) On the day appointed for the commencement of this subsection the Rail Passengers' Committees established under section 2(2) of the 1993 Act shall cease to exist.

(2) In section 68(2) of the 1993 Act (power of ORR to require Rail Passengers' Committee to investigate a matter), for “a Rail Passengers' Committee” substitute “the Rail Passengers' Council”.

(3) Schedule 6 (which provides for the London Transport Users' Committee to continue to have functions it previously had by virtue of being treated as a Rail Passengers' Committee) has effect.

(4) If the Secretary of State considers it appropriate to do so in connection with or in anticipation of the abolition of a Rail Passengers' Committee, he may terminate the appointment of any person as chairman or member of the Committee.

(5) If a person's appointment is terminated under subsection (4) before his term of office would have expired apart from this Act, the Secretary of State may, if he thinks it appropriate to do so, pay that person such sum by way of compensation as the Secretary of State determines.

Commencement

Pt 3 s. 21(1)-(5): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 3 s. 21-(5): England, Wales, Scotland

PART 4

NETWORK MODIFICATIONS ETC.

Discontinuance of railway passenger services



Law In Force

22 Proposal by service operator to discontinue non-franchised services

(1) This section applies where—

- (a) all the relevant railway passenger services on a particular line or from a particular station are provided otherwise than in satisfaction of requirements imposed by a franchise agreement;
- (b) a proposal for the discontinuance of all the relevant railway passenger services provided on that line, or from that station, is made by the person providing them (“the service operator”); and
- (c) the proposal is not a proposal for a minor modification.

- (2) The references in subsection (1) to relevant railway passenger services are references to railway passenger services that are not–
- (a) secured services;
 - (b) experimental passenger services;
 - (c) services involving travel through the Channel Tunnel;
 - (d) services that are provided otherwise than as regular scheduled services for the line or station in question; or
 - (e) services excluded from the application of this section by an order under section 38.
- (3) The service operator must give notice to the national authority setting out–
- (a) particulars of the proposal to discontinue those services; and
 - (b) a summary of the results of the assessment carried out in accordance with subsection (5).
- (4) The particulars set out in the notice must include, in particular–
- (a) the services to which the proposal relates; and
 - (b) the proposal date;
- and the proposal date must be a date not less than three months after the date of the notice.
- (5) Before giving the notice under subsection (3), the service operator must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.
- (6) The national authority to which a notice is given under subsection (3) must–
- (a) consider whether the closure in question should be allowed; and
 - (b) before the proposal date, form an opinion on that matter in accordance with the criteria set out in the relevant part of the closures guidance.
- (7) If the national authority forms the opinion that the closure should be allowed, it must–
- (a) carry out a consultation under Schedule 7 about the proposal; and
 - (b) after carrying out that consultation, either notify the service operator that it has changed its opinion or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹ .
- (8) The service operator must not discontinue the services in question before the end of the interim period.
- (9) If–
- (a) the national authority forms the opinion under subsection (6)(b) that the closure should not be allowed,
 - (b) the national authority changes its opinion following the consultation under subsection (7)(a), or
 - (c) on a reference to the [Office of Rail and Road]¹ under subsection (7)(b), that Office issues a closure non-ratification notice,
- the national authority must secure the provision of the services to which proposal relates after the end of the interim period.
- (10) The duty imposed by subsection (9) in relation to any services ceases if the services begin to be provided under a franchise agreement.
- (11) In this section “the national authority” –

- (a) in relation to a proposal relating to services all of which are Scotland-only services, means the Scottish Ministers; [...]²
- [(aa) in relation to a proposal relating to services all of which are Wales-only services, means the Welsh Ministers; and]²
- (b) in any other case, means the Secretary of State.

Notes

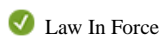
- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(a) (October 16, 2015)
- ² Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.42 (October 14, 2018 at 02.00)

Commencement

Pt 4 s. 22(1)-(11)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 22-(11)(b): England, Wales, Scotland



Law In Force

23 Proposal by funding authority to discontinue non-franchised services

(1) This section applies where—

- (a) all the relevant railway passenger services on a particular line or from a particular station are provided otherwise than in satisfaction of requirements imposed by a franchise agreement;
- (b) a proposal for the discontinuance of all the relevant railway passenger services provided on that line, or from that station, is made, in accordance with section 41, by a railway funding authority; and
- (c) the proposal is not a proposal for a minor modification.

(2) The references in subsection (1) to relevant railway passenger services are references to railway passenger services that are not—

- (a) secured services;
- (b) experimental passenger services;
- (c) services involving travel through the Channel Tunnel;
- (d) services that are provided otherwise than as regular scheduled services for the line or station in question; or
- (e) services excluded from the application of this section by an order under section 38.

(3) The railway funding authority making the proposal must—

- (a) give notice of its proposal to the national authority, if it is not itself that authority;
- (b) carry out a consultation under Schedule 7 about the proposal; and
- (c) after carrying out that consultation, either withdraw the proposal or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹.

(4) A notice to the national authority under subsection (3)(a) must set out—

- (a) particulars of the proposal for the closure including, in particular—
 - (i) the services to which the proposal relates; and

- (ii) the proposal date; and
 - (b) a summary of the results of the assessment carried out in accordance with subsection (5).
- (5) Before—
- (a) giving a notice under subsection (3)(a), in a case where it is not itself the national authority, or
 - (b) in any other case, carrying out the consultation under subsection (3)(b),
- the railway funding authority making the proposal must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.
- (6) If arrangements under or in accordance with which the services are being provided do not require the services to be provided until the end of the interim period, the national authority must secure the provision of the services until the end of that period.
- (7) If on a reference under subsection (3)(c) the [Office of Rail and Road]¹ issues a closure non-ratification notice, the national authority must secure the provision of the services to which the proposal relates after the end of the interim period.
- (8) The duty imposed by subsection (7) in relation to any services ceases if the services begin to be provided under a franchise agreement.
- (9) In this section “the national authority” –
- (a) in relation to a proposal relating to services all of which are Scotland-only services, means the Scottish Ministers; [...]²
 - [(aa) in relation to a proposal relating to services all of which are Wales-only services, means the Welsh Ministers; and]²
 - (b) in any other case, means the Secretary of State.

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(b) (October 16, 2015)
- ² Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.43 (October 14, 2018 at 02.00)

Commencement

Pt 4 s. 23(1)-(9)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 23-(9)(b): England, Wales, Scotland



Law In Force

24 Proposals to discontinue franchised or secured services

- (1) This section applies where—
- (a) all the relevant railway passenger services on a particular line or from a particular station fall within subsection (2);

- (b) a proposal for the discontinuance of all the relevant railway passenger services provided on that line, or from that station, is made, in accordance with section 41, by a railway funding authority; and
 - (c) the proposal is not a proposal for a minor modification.
- (2) A service falls within this subsection if it is—
 - (a) a franchised service; or
 - (b) a secured service.
- (3) The references in subsection (1) to relevant railway passenger services are references to railway passenger services that are not—
 - (a) experimental passenger services;
 - (b) services involving travel through the Channel Tunnel;
 - (c) services that are provided otherwise than as regular scheduled services for the line or station in question; or
 - (d) services excluded from the application of this section by an order under section 38.
- (4) The railway funding authority making the proposal must—
 - (a) give notice of its proposal to the national authority, if it is not itself that authority;
 - (b) carry out a consultation under Schedule 7 about the proposal; and
 - (c) after carrying out that consultation, either withdraw the proposal or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹.
- (5) A notice to the national authority under subsection (4)(a) must set out—
 - (a) particulars of the proposal for the closure including, in particular—
 - (i) the services to which the proposal relates; and
 - (ii) the proposal date; and
 - (b) a summary of the results of the assessment carried out in accordance with subsection (6).
- (6) Before—
 - (a) giving a notice under subsection (4)(a), in a case where it is not itself the national authority, or
 - (b) in any other case, carrying out the consultation under subsection (4)(b),the railway funding authority making the proposal must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.
- (7) If the franchise agreement or any other arrangement under or in accordance with which the services are being provided does not require the services to be provided until the end of the interim period, the national authority must secure the provision of the services until the end of that period.
- (8) If on a reference under subsection (4)(c) the [Office of Rail and Road]¹ issues a closure non-ratification notice, the national authority must secure the provision of the services to which the proposal relates after the end of the interim period.
- (9) The duty of the national authority under subsection (8)—
 - (a) is discharged without its taking further steps so long as the provisions of the franchise agreement or other arrangements, in force at the time of the proposal, so far as they require the provision of the services, continue in force without modification; and
 - (b) ceases if the services begin to be provided under a franchise agreement.

(10) Nothing in subsection (7) or (8) requires the Secretary of State to secure the provision of a Welsh service unless it appears to him that he will be receiving funds from [the Welsh Ministers]² that are reasonably equivalent to those provided by [the Welsh Ministers]³ in respect of the service previously provided.

(11) In this section “the national authority” –

(a) in relation to a proposal relating to services all of which are–

(i) Scotland-only services, or

(ii) relevant cross-border services,

means the Scottish Ministers; [...]⁴

[(aa) in relation to a proposal relating to services all of which are Wales-only services, means the Welsh Ministers; and]⁴

(b) in any other case, means the Secretary of State.

(12) For the purposes of subsection (11), a cross-border service is a “relevant cross-border service” if it–

(a) does not begin or end or otherwise make a scheduled call in Wales; and

(b) is a service in respect of which more funding is provided by the Scottish Ministers than the Secretary of State.

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(c) (October 16, 2015)

² Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.44(2)(a) (June 13, 2018)

³ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.44(2)(b) (June 13, 2018)

⁴ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.44(3) (October 14, 2018 at 02.00)

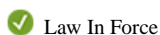
Commencement

Pt 4 s. 24(1)-(12)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 24-(11)(a)(ii), (11)(b)-(12)(b): England, Wales, Scotland

Pt 4 s. 24(11)(aa): (extent not available)



Law In Force

25 Proposal to discontinue excluded services

(1) Where a proposal for the discontinuance of all the excluded services provided by a particular person (“the service operator”) on a particular line, or from a particular station, is made by the service operator–

(a) the following provisions of this section apply to so much of the proposal as relates to special procedure excluded services which are not excluded London services; and

(b) Schedule 8 applies to so much of it as relates to special procedure excluded services which are excluded London services.

- (2) The service operator must give notice to the national authority setting out—
- (a) particulars of the proposal to discontinue the services; and
 - (b) a summary of the results of the assessment carried out in accordance with subsection (4).
- (3) The particulars set out in the notice must include, in particular—
- (a) the services to which the proposal relates; and
 - (b) the proposal date;
- and the proposal date must be a date not less than three months after the date of the notice.
- (4) Before giving the notice under subsection (2), the service operator must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.
- (5) The national authority to which a notice is given under subsection (2) must—
- (a) consider whether the closure in question should be allowed; and
 - (b) before the proposal date, form an opinion on that matter in accordance with the criteria set out in the relevant part of the closures guidance.
- (6) If the national authority is of the opinion that the closure should be allowed, it must—
- (a) carry out a consultation under Schedule 7 about the proposal; and
 - (b) after carrying out that consultation, either notify the service operator that it has changed its opinion or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹ ;
- and the service operator must not discontinue the services in question before the [Office of Rail and Road]¹ has issued a closure ratification notice.
- (7) In this section—
- “excluded service” means a railway passenger service other than one which is—
- (a) a relevant railway passenger service for the purposes of any of sections 22(1), 23(1) and 24(1); or
 - (b) an experimental passenger service;
- “excluded London service” means an excluded service which—
- (a) is provided by Transport for London or a subsidiary of Transport for London; or
 - (b) is designated as a London service for the purposes of this section by an order made by the Secretary of State, or is of a description of services so designated;
- “special procedure excluded service” means an excluded service which is designated as a special procedure service for the purposes of this section by an order made by the national authority, or is of a description of services so designated;
- “the national authority” —
- (a) in relation to a proposal relating to one or more services each of which is—
 - (i) a Scotland-only service, or
 - (ii) a cross-border service in relation to which no funding is provided by a railway funding authority other than the Scottish Ministers,
 means those Ministers; [...]²
 - [(aa) in relation to a proposal relating to one or more services each of which is a Wales-only service, means the Welsh Ministers; and]²
 - (b) in any other case, means the Secretary of State.

(8) A service may be designated by order made by the Secretary of State as a London service for the purposes of this section, or may fall within a description of services so designated, only if it is a service that begins and ends in Greater London and does not otherwise make any scheduled call outside Greater London.

(9) An order under this section designating an excluded service, or a description of excluded service—
(a) as a London service, or
(b) as a special procedure service,
is subject to the negative resolution procedure.

(10) Where any order under section 49(3) of the 1993 Act (application of Schedule 5 to that Act) is in force immediately before the commencement of this section, that order shall have effect after commencement of this section as an order under this section designating any services, or descriptions of service, to which it applies as special procedure services; and any other service, or description of services, which immediately before the commencement of this section is treated as a service, or description of services, in relation to which Schedule 5 to that Act is to have effect is to be treated after commencement of this section as designated by an order under this section as a special procedure service, or description of special procedure services.

(11) Where any order under paragraph 5A(1)(b)(ii) of Schedule 5 to that Act (application of that Schedule to London services) is in force immediately before the commencement of this section, that order shall have effect after commencement of this section as an order under this section designating any services, or descriptions of service, to which it applies as London services.

(12) For the purposes of this section (apart from the reference, in the definition of “excluded service” in subsection (7), to “relevant railway passenger service”) “railway” has its wider meaning.

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(d) (October 16, 2015)

² Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.45 (October 14, 2018 at 02.00)

Commencement

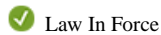
Pt 4 s. 25(1)-(12): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 25-(7) definition of "the national authority" (a)(ii), (7) definition of "the national authority" (b)-(12): England, Wales, Scotland

Pt 4 s. 25(7) definition of "the national authority" (aa): (extent not available)

Discontinuance of operation of passenger networks



Law In Force

26 Proposal by operator to close passenger network

(1) This section applies where–

- (a) the operator of a network proposes to discontinue the operation of the network or of some part of it;
- (b) the network or, as the case may be, that part of it has, at any time within the preceding five years, been used for or in connection with the provision of services for the carriage of passengers by railway;
- (c) the network or that part of it is not secured;
- (d) the network or that part of it is not excluded from the application of this section by an order under section 38; and
- (e) the proposal is not a proposal for a minor modification.

(2) Use for or in connection with the provision of any of the following services is to be disregarded for the purposes of subsection (1)(b)–

- (a) an experimental passenger service;
- (b) a service involving travel through the Channel Tunnel;
- (c) a service that is provided otherwise than as a regular scheduled service.

(3) The operator must give notice to the national authority setting out–

- (a) particulars of the proposal for the closure in question; and
- (b) a summary of the results of the assessment carried out in accordance with subsection (5).

(4) The particulars set out in the notice must include, in particular–

- (a) the network, or part of a network, to which the proposal relates; and
- (b) the proposal date;

and the proposal date must be a date not less than three months after the date of the notice.

(5) Before giving the notice under subsection (3), the operator must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.

(6) The national authority to which a notice is given under subsection (3) must–

- (a) consider whether the closure in question should be allowed; and
- (b) before the proposal date, form an opinion on that matter in accordance with the criteria set out in the relevant part of the closures guidance.

(7) If the national authority forms the opinion that the closure should be allowed, it must–

- (a) carry out a consultation under Schedule 7 about the proposal; and
- (b) after carrying out that consultation, either notify the operator that it has changed its opinion or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹.

(8) The operator must not discontinue the operation of the network, or part of a network, in question before the end of the interim period.

(9) If–

- (a) the national authority forms the opinion under subsection (6)(b) that the closure should not be allowed,

(b) the national authority changes its opinion following the consultation under subsection (7)(a), or

(c) on a reference to the [Office of Rail and Road]¹ under subsection (7)(b), that Office issues a closure non-ratification notice,

the national authority must secure the continued operation of the network, or part of a network, in question after the end of the interim period.

(10) In this section “the national authority” –

(a) in relation to a proposal relating to a network or part of a network that is wholly in Scotland, means the Scottish Ministers; and

(b) in relation to a network or part of a network that is wholly in England and Wales, means the Secretary of State;

and a proposal that relates to a network or part of a network that is partly in England and Wales and partly in Scotland is to be treated for the purposes of this section as two separate proposals, one in relation to the part in England and Wales and one in relation to the part in Scotland.

Notes

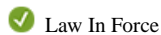
¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(e) (October 16, 2015)

Commencement

Pt 4 s. 26(1)-(10)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 26-(10)(b): England, Wales, Scotland



Law In Force

27 Proposal by funding authority to close passenger network

(1) This section applies where–

(a) a railway funding authority makes a proposal, in accordance with section 41, that the operation of a network or of some part of it should be discontinued;

(b) the network or, as the case may be, that part of it has, at any time within the preceding five years, been used for or in connection with the provision of services for the carriage of passengers by railway;

(c) the network or that part of it is not secured;

(d) the network or that part of it is not excluded from the application of this section by an order under section 38; and

(e) the proposal is not a proposal for a minor modification.

(2) Use for or in connection with the provision of any of the following services is to be disregarded for the purposes of subsection (1)(b)–

(a) an experimental passenger service;

(b) a service involving travel through the Channel Tunnel;

(c) a service that is provided otherwise than as a regular scheduled service.

(3) The railway funding authority making the proposal must–

- (a) give notice of its proposal to the national authority, if it is not itself that authority;
 - (b) carry out a consultation under Schedule 7 about the proposal; and
 - (c) after carrying out that consultation, either withdraw the proposal or refer the proposal (with or without modifications) to the .
- (4) A notice to the national authority under subsection (3)(a) must set out—
- (a) particulars of the proposal for the closure including, in particular—
 - (i) the network, or part of a network, to which the proposal relates; and
 - (ii) the proposal date; and
 - (b) a summary of the results of the assessment carried out in accordance with subsection (5).
- (5) Before—
- (a) giving the notice under subsection (3)(a), in a case where it is not itself the national authority, or
 - (b) in any other case, carrying out the consultation under subsection (3)(b),
- the railway funding authority making the proposal must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.
- (6) If arrangements under or in accordance with which the network, or part of a network, is being operated do not require it to be operated until the end of the interim period, the national authority must secure the operation of the network, or that part of it, until the end of that period.
- (7) If on a reference under subsection (3)(c) the issues a closure non-ratification notice, the national authority must secure the continued operation of the network, or part of a network, in question after the end of the interim period.
- (8) In this section “the national authority” –
- (a) in relation to a proposal relating to a network or part of a network that is wholly in Scotland, means the Scottish Ministers; and
 - (b) in relation to a proposal relating to a network or part of a network that is wholly in England and Wales, means the Secretary of State;
- and a proposal that relates to a network or part of a network that is partly in England and Wales and partly in Scotland is to be treated for the purposes of this section as two separate proposals, one in relation to the part in England and Wales and one in relation to the part in Scotland.

Commencement

Pt 4 s. 27(1)-(8)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 27-(8)(b): England, Wales, Scotland



Law In Force

28 Proposal to discontinue operation of secured network

- (1) This section applies where—

- (a) a railway funding authority makes a proposal, in accordance with section 41, that the operation of a secured network or of a secured part of a network should be discontinued;
 - (b) the network or, as the case may be, that part of it has, at any time within the preceding five years, been used for or in connection with the provision of services for the carriage of passengers by railway;
 - (c) the network or part of it is not excluded from the application of this section by an order under section 38; and
 - (d) the proposal is not a proposal for a minor modification.
- (2) Use for or in connection with the provision of any of the following services is to be disregarded for the purposes of subsection (1)(b)–
 - (a) an experimental passenger service;
 - (b) a service involving travel through the Channel Tunnel;
 - (c) a service that is provided otherwise than as a regular scheduled service.
- (3) The railway funding authority making the proposal must–
 - (a) give notice of its proposal to the national authority, if it is not itself that authority;
 - (b) carry out a consultation under Schedule 7 about the proposal; and
 - (c) after carrying out that consultation, either withdraw the proposal or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹ .
- (4) A notice to the national authority under subsection (3)(a) must set out–
 - (a) particulars of the proposal for the closure including, in particular–
 - (i) the network, or part of a network, to which the proposal relates; and
 - (ii) the proposal date; and
 - (b) a summary of the results of the assessment carried out in accordance with subsection (5).
- (5) Before–
 - (a) giving the notice under subsection (3)(a), in a case where it is not itself the national authority, or
 - (b) in any other case, carrying out the consultation under subsection (3)(b),the railway funding authority making the proposal must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.
- (6) If arrangements under or in accordance with which the network, or part of a network, is being operated do not require it to be operated until the end of the interim period, the national authority must secure the operation of the network, or that part of it, until the end of that period.
- (7) If on a reference under subsection (3)(c) the [Office of Rail and Road]¹ issues a closure non-ratification notice, the national authority must secure the continued operation of the network, or part of a network, in question after the end of the interim period.
- (8) The duty of the national authority under subsection (7) is discharged without its taking further steps so long as the provisions of the arrangements, in force at the time of the proposal, so far as they require the operation of the network or part of a network, continue in force without modification.
- (9) In this section “the national authority” –
 - (a) in relation to a proposal relating to a network or part of a network that is wholly in Scotland, means the Scottish Ministers; and

(b) in relation to a proposal relating to a network or part of a network that is wholly in England and Wales, means the Secretary of State;
and a proposal that relates to a network or part of a network that is partly in England and Wales and partly in Scotland is to be treated for the purposes of this section as two separate proposals, one in relation to the part in England and Wales and one in relation to the part in Scotland.

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(g) (October 16, 2015)

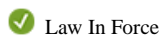
Commencement

Pt 4 s. 28(1)-(9)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 28-(9)(b): England, Wales, Scotland

Discontinuance of use or operation of stations



Law In Force

29 Proposal by operator to close station

(1) This section applies where—

- (a) the operator of a station proposes to discontinue the use of a station or of some part of it;
- (b) the station or, as the case may be, that part of it has, at any time within the preceding five years, been used for or in connection with the provision of services for the carriage of passengers by railway;
- (c) the station or that part of it is not secured;
- (d) the station or that part of it is not excluded from the application of this section by an order under section 38; and
- (e) the proposal is not a proposal for a minor modification.

(2) Use for or in connection with the provision of any of the following services is to be disregarded for the purposes of subsection (1)(b)—

- (a) an experimental passenger service;
- (b) a service involving travel through the Channel Tunnel;
- (c) a service that is provided otherwise than as a regular scheduled service.

(3) The operator must give notice to the national authority setting out—

- (a) particulars of the proposal for the closure in question; and
- (b) a summary of the results of the assessment carried out in accordance with subsection (5).

(4) The particulars set out in the notice must include, in particular—

- (a) the station, or part of a station, to which the proposal relates; and

- (b) the proposal date;
and the proposal date must be a date not less than three months after the date of the notice.
- (5) Before giving the notice under subsection (3), the operator must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.
- (6) The national authority to which a notice is given under subsection (3) must—
(a) consider whether the closure in question should be allowed; and
(b) before the proposal date, form an opinion on that matter in accordance with the criteria set out in the relevant part of the closures guidance.
- (7) If the national authority forms the opinion that the closure should be allowed, it must—
(a) carry out a consultation under Schedule 7 about the proposal; and
(b) after carrying out that consultation, either notify the operator that it has changed its opinion or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹.
- (8) The operator must not discontinue the use of the station, or part of a station, before the end of the interim period.
- (9) If—
(a) the national authority forms the opinion under subsection (6)(b) that the closure should not be allowed,
(b) the national authority changes its opinion following the consultation under subsection (7)(a), or
(c) on a reference to the [Office of Rail and Road]¹ under subsection (7)(b), that Office issues a closure non-ratification notice,
the national authority must secure the continued operation of the station, or part of a station, in question after the end of the interim period.
- (10) In this section “the national authority” –
(a) in relation to a proposal relating to a station or part of a station that is wholly in Scotland, means the Scottish Ministers; and
(b) in relation to a station or part of a station that is wholly in England and Wales, means the Secretary of State [, subject to subsection (11)]².
- [(11) The Welsh Ministers, rather than the Secretary of State, are "the national authority" in relation to a proposal relating to a station, or part of a station, that—
(a) is wholly in Wales, and
(b) is, immediately before the notice under subsection (3) is given, a station to which subsection (12) applies or part of such a station.
- (12) This subsection applies to a station at which the only scheduled calls made by any railway passenger service are those made by a railway passenger service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers.]³

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(h) (October 16, 2015)

² Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.46(2) (October 14, 2018 at 02.00)

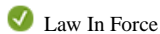
- ³ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.46(3) (October 14, 2018 at 02.00)

Commencement

Pt 4 s. 29(1)-(10)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 29-(12): England, Wales, Scotland



Law In Force

30 Proposal by funding authority to close station

(1) This section applies where—

- (a) a railway funding authority makes a proposal, in accordance with section 41, that the operation of a station or of some part of it should be discontinued;
- (b) the station or, as the case may be, that part of it has at any time within the preceding five years, been used for or in connection with the provision of services for the carriage of passengers by railway;
- (c) the station or that part of it is not secured;
- (d) the station or that part of it is not excluded from the application of this section by an order under section 38; and
- (e) the proposal is not a proposal for a minor modification.

(2) Use for or in connection with the provision of any of the following services is to be disregarded for the purposes of subsection (1)(b)—

- (a) an experimental passenger service;
- (b) a service involving travel through the Channel Tunnel;
- (c) a service that is provided otherwise than as a regular scheduled service.

(3) The railway funding authority making the proposal must—

- (a) give notice of its proposal to the national authority, if it is not itself that authority;
- (b) carry out a consultation under Schedule 7 about the proposal; and
- (c) after carrying out that consultation, either withdraw the proposal or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹ .

(4) A notice to the national authority under subsection (3)(a) must set out—

- (a) particulars of the proposal for the closure including, in particular—
 - (i) the station, or part of a station, to which the proposal relates; and
 - (ii) the proposal date; and
- (b) a summary of the results of the assessment carried out in accordance with subsection (5).

(5) Before—

- (a) giving the notice under subsection (3)(a), in a case where it is not itself the national authority, or
- (b) in any other case, carrying out the consultation under subsection (3)(b),

the railway funding authority making the proposal must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.

(6) If arrangements under or in accordance with which the station or part of a station is being operated do not require it to be operated until the end of the interim period, the national authority must secure the operation of the station, or that part of it, until the end of that period.

(7) If on a reference under subsection (3)(c) the [Office of Rail and Road]¹ issues a closure non-ratification notice, the national authority must secure the continued operation of the station, or part of a station, in question after the end of the interim period.

(8) In this section “the national authority” –

- (a) in relation to a proposal relating to a station or part of a station that is wholly in Scotland, means the Scottish Ministers; and
- (b) in relation to a proposal relating to a station or part of a station that is wholly in England and Wales, means the Secretary of State [, subject to subsection (9)]² .

[(9) The Welsh Ministers, rather than the Secretary of State, are "the national authority" in relation to a proposal relating to a station, or part of a station, that—

- (a) is wholly in Wales, and
- (b) is, when the proposal is made, a station to which subsection (10) applies or part of such a station.

(10) This subsection applies to a station at which the only scheduled calls made by any railway passenger service are those made by a railway passenger service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers.]³

Notes

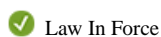
- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(i) (October 16, 2015)
- ² Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.47(2) (October 14, 2018 at 02.00)
- ³ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.47(3) (October 14, 2018 at 02.00)

Commencement

Pt 4 s. 30(1)-(8)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 30-(10): England, Wales, Scotland



Law In Force

31 Proposal to discontinue operation of secured station

(1) This section applies where—

- (a) a railway funding authority makes a proposal, in accordance with section 41, that the operation of a secured station or of a secured part of a station should be discontinued;

- (b) the station or, as the case may be, that part of it has, at any time within the preceding five years, been used for or in connection with the provision of services for the carriage of passengers by railway;
 - (c) the station or that part of it is not excluded from the application of this section by an order under section 38; and
 - (d) the proposal is not a proposal for a minor modification.
- (2) Use for or in connection with the provision of any of the following services is to be disregarded for the purposes of subsection (1)(b)–
 - (a) an experimental passenger service;
 - (b) a service involving travel through the Channel Tunnel;
 - (c) a service that is provided otherwise than as a regular scheduled service.
- (3) The railway funding authority making the proposal must–
 - (a) give notice of its proposal to the national authority, if it is not itself that authority;
 - (b) carry out a consultation under Schedule 7 about the proposal; and
 - (c) after carrying out that consultation, either withdraw the proposal or refer the proposal (with or without modifications) to the [Office of Rail and Road]¹ .
- (4) A notice to the national authority under subsection (3)(a) must set out–
 - (a) particulars of the proposal for the closure including, in particular–
 - (i) the station, or part of a station, to which the proposal relates; and
 - (ii) the proposal date; and
 - (b) a summary of the results of the assessment carried out in accordance with subsection (5).
- (5) Before–
 - (a) giving the notice under subsection(3)(a) , in a case where it is not itself the national authority, or
 - (b) in any other case, carrying out the consultation under subsection (3)(b),the railway funding authority making the proposal must carry out an assessment of whether the proposal satisfies the criteria set out in the relevant part of the closures guidance; and that assessment must be carried out in accordance with that guidance.
- (6) If arrangements under or in accordance with which the station, or part of a station, is being operated do not require it to be operated until the end of the interim period, the national authority must secure the operation of the station, or that part of it, until the end of that period.
- (7) If on a reference under subsection (3)(c) the [Office of Rail and Road]¹ issues a closure non-ratification notice, the national authority must secure the continued operation of the station, or part of a station, in question after the end of the interim period.
- (8) The duty of the national authority under subsection (7) is discharged without its taking further steps so long as the provisions of the arrangements, in force at the time of the proposal, so far as they require the operation of the station or part of a station, continue in force without modification.
- (9) In this section “the national authority” –
 - (a) in relation to a proposal relating to a station or part of a station that is wholly in Scotland, means the Scottish Ministers; and
 - (b) in relation to a proposal relating to a station or part of a station that is wholly in England and Wales, means the Secretary of State [, subject to subsection (10)]² .

[(10) The Welsh Ministers, rather than the Secretary of State, are "the national authority" in relation to a proposal relating to a station, or part of a station, that—

- (a) is wholly in Wales, and
- (b) is, when the proposal is made, a station to which subsection (11) applies or part of such a station.

(11) This subsection applies to a station at which the only scheduled calls made by any railway passenger service are those made by a railway passenger service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers.]³

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(j) (October 16, 2015)
- ² Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.48(2) (October 14, 2018 at 02.00)
- ³ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.48(3) (October 14, 2018 at 02.00)


Commencement

Pt 4 s. 31(1)-(9)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 31-(11): England, Wales, Scotland

References to the ORR

 Law In Force

32 References to the ORR

(1) This section applies to a reference of a proposal to the [Office of Rail and Road]¹ under any provision of this Part.

(2) The reference may be made only if the person making it considers that the proposal, or (as the case may be) the proposal as modified, satisfies the criteria set out in the relevant part of the closures guidance.

(3) The reference must set out particulars of the proposal including, in particular—

- (a) the services or the network or station, or part of a network or station, to which the proposal relates; and
- (b) the proposal date.

(4) The reference must be accompanied by—

- (a) a report by the person making the reference on the outcome of the consultation carried out by that person;
- (b) a statement by that person as to whether the proposal that is referred is a modified proposal;

- (c) a statement, if it is a modified proposal, setting out what modifications have been made; and
 - (d) a full assessment of whether the proposal, or (as the case may be) the proposal as modified, satisfies the criteria set out in the relevant part of the closures guidance.
- (5) The duty of the [Office of Rail and Road]¹ on the reference is—
- (a) to consider whether the person making the reference properly carried out the consultation he was required to carry out in accordance with this Part; and
 - (b) unless it is satisfied that—
 - (i) there has been a failure or other defect in the carrying out of the consultation, and
 - (ii) the failure or defect makes it inappropriate for the Office to make the determination required by this paragraph,to determine whether the proposal, or (as the case may be) the proposal as modified, satisfies the criteria set out in the relevant part of the closures guidance.
- (6) The person making the reference must provide the [Office of Rail and Road]¹ with all such information as it may require for the purpose of carrying out its functions under this section.
- (7) If the [Office of Rail and Road]¹ is satisfied—
- (a) that the proposal, or (as the case may be) the proposal as modified, fails to satisfy the criteria set out in the relevant part of the closures guidance, or
 - (b) that there has been a failure or other defect in the carrying out of the consultation that makes it inappropriate for that Office to make a determination of whether the proposal, or (as the case may be) the proposal as modified, satisfies those criteria,
- it must issue a notice to that effect (a “closure non-ratification notice”).
- (8) If, on completing its functions under subsection (5), the [Office of Rail and Road]¹ is not so satisfied, it must issue a notice to that effect (a “closure ratification notice”).
- (9) Where, on a reference, the [Office of Rail and Road]¹ issues a closure non-ratification notice or a closure ratification notice it must—
- (a) give a copy of that notice to every person mentioned in subsection (10); and
 - (b) require every operator of a station in the area affected by the proposal, or (as the case may be) the proposal as modified, to whom it gives a copy of the notice to secure that a copy of the notice is published by being displayed at that station until the end of the interim period.
- (10) The persons to whom a copy of the closure ratification notice or closure non-ratification notice must be given under subsection (9) are—
- (a) the person who made the reference;
 - (b) every person to whom a notice was required to be sent under paragraph 3 of Schedule 7 in the consultation relating to the proposal;
 - (c) every person otherwise consulted under that paragraph in that consultation; and
 - (d) such other persons as the [Office of Rail and Road]¹ consider appropriate.
- (11) In subsection (9) “the area affected”, in relation to a proposal, means—
- (a) in the case of a proposal for the discontinuance of services on a particular line or from a particular station, the area in which the line or station is situated;
 - (b) in the case of a proposal relating to a network, or part of a network, the area in which the network, or part of a network, is situated;

(c) in the case of a proposal relating to a station, or part of a station, the area served by the station, or that part.

(12) The issue of a closure ratification notice does not authorise anything which (but for that notice) would constitute a contravention of any franchise agreement or other arrangements under or in accordance with which—

- (a) any franchised service or secured service or other railway passenger service is being provided or is being funded (whether in whole or in part); or
- (b) any network or station or part of a network or station is being operated or is being funded (whether in whole or in part);

and in the carrying out of any functions conferred on that Office under or in relation to any such agreement or arrangements that Office may have regard to the issue of the closure ratification notice but is not required to secure that the closure takes place.

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(k) (October 16, 2015)


Commencement

Pt 4 s. 32(1)-(12)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 32-(12)(b): England, Wales, Scotland

The text of this provision varies depending on jurisdiction or other application. See parallel texts relating to:
[Scotland](#) | [England and Wales](#)

 Law In Force

Scotland

33 Closure requirements

(1) This section applies where, following a reference under this Part, the [Office of Rail and Road]¹ issues a closure ratification notice.

(2) The [Office of Rail and Road]¹ may, when it issues the closure ratification notice, impose such requirements relevant to the proposal as it considers appropriate on such one or more of the following as it thinks fit, namely—

- (a) the Secretary of State;
- (b) the Scottish Ministers;
- (c) [the Welsh Ministers]² ;
- (d) a Passenger Transport Authority;

[(da) a combined authority established under section 103 of the Local Democracy, Economic Development and Construction Act 2009;]³

(e) a Passenger Transport Executive;

(f) the Mayor of London;

(g) Transport for London;

(h) a person designated as a railway funding authority by an order under section 45(4);

(i) a relevant operator.

(3) For the purposes of subsection (2), a requirement is relevant to a proposal if it relates to any matter which fell to be taken into account in making an assessment whether the proposal or (as the case may be) the proposal as modified satisfied the criteria set out in the relevant part of the closures guidance.

(4) In subsection (2)(i) “relevant operator” means—

(a) in the case of a proposal to which section 22 or 25 applies, the service operator within the meaning of the section in question;

(b) in the case of a proposal to which section 26 or 29 applies, the operator of the network or station, or part of a network or station, in question; and

(c) in the case of a proposal to which section 37(2) applies, the person providing the experimental passenger service in question.

(5) A person on whom a requirement is imposed under this section must comply with it.

(6) The [Office of Rail and Road]¹ may from time to time vary or revoke a requirement imposed under this section.

(7) Before exercising its power under this section to vary or revoke a requirement, the [Office of Rail and Road]¹ must consult such persons as it thinks appropriate.

(8) Where the [Office of Rail and Road]¹ exercises its power under this section to impose, vary or revoke a requirement, it must—

(a) give notice of that requirement, variation or revocation to every person to whom a copy of the closure ratification notice relating to the reference was given under section 32(9); and

(b) require every operator of a station in the area affected by the requirement, variation or revocation to whom it gives notice of the requirement, variation or revocation to secure that a copy of the notice is published by being displayed at that station—

(i) in the case of the imposition of a requirement, until the end of the interim period;

(ii) in the case of the variation or revocation of a requirement, for such period as the [Office of Rail and Road]¹ may specify at the time of giving notice under paragraph (a).

(9) In subsection (8) “the area affected”, in relation to a requirement imposed under this section in relation to a closure, means—

(a) in the case of a closure consisting in the discontinuance of services on a particular line, or from a particular station, the area in which the line or station is situated;

(b) in the case of a closure relating to a network, or part of a network, the area in which the network, or part of a network, is situated;

(c) in the case of a closure relating to a station, or part of a station, the area served by the station, or that part;

and “the area affected”, in relation to the variation or revocation of such a requirement, is to be construed accordingly.

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(1) (October 16, 2015)
- ² Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.49 (June 13, 2018)
- ³ Added by Local Democracy, Economic Development and Construction Act 2009 c. 20 Sch.6 para.119 (December 17, 2009)

England and Wales

[33 Closure requirements

- (1) This section applies where, following a reference under this Part, the [Office of Rail and Road]² issues a closure ratification notice.
- (2) The [Office of Rail and Road]² may, when it issues the closure ratification notice, impose such requirements relevant to the proposal as it considers appropriate on such one or more of the following as it thinks fit, namely—
- (a) the Secretary of State;
 - (b) the Scottish Ministers;
 - (c) [the Welsh Ministers]³ ;
 - (d) an Integrated Transport Authority or a Passenger Transport Authority;
 - (e) a Passenger Transport Executive;
 - (f) the Mayor of London;
 - (g) Transport for London;
 - (h) a person designated as a railway funding authority by an order under section 45(4);
 - (i) a relevant operator.
- (3) For the purposes of subsection (2), a requirement is relevant to a proposal if it relates to any matter which fell to be taken into account in making an assessment whether the proposal or (as the case may be) the proposal as modified satisfied the criteria set out in the relevant part of the closures guidance.
- (4) In subsection (2)(i) “relevant operator” means—
- (a) in the case of a proposal to which section 22 or 25 applies, the service operator within the meaning of the section in question;
 - (b) in the case of a proposal to which section 26 or 29 applies, the operator of the network or station, or part of a network or station, in question; and
 - (c) in the case of a proposal to which section 37(2) applies, the person providing the experimental passenger service in question.
- (5) A person on whom a requirement is imposed under this section must comply with it.
- (6) The [Office of Rail and Road]² may from time to time vary or revoke a requirement imposed under this section.

(7) Before exercising its power under this section to vary or revoke a requirement, the [Office of Rail and Road]² must consult such persons as it thinks appropriate.

(8) Where the [Office of Rail and Road]² exercises its power under this section to impose, vary or revoke a requirement, it must—

- (a) give notice of that requirement, variation or revocation to every person to whom a copy of the closure ratification notice relating to the reference was given under section 32(9); and
- (b) require every operator of a station in the area affected by the requirement, variation or revocation to whom it gives notice of the requirement, variation or revocation to secure that a copy of the notice is published by being displayed at that station—
 - (i) in the case of the imposition of a requirement, until the end of the interim period;
 - (ii) in the case of the variation or revocation of a requirement, for such period as the [Office of Rail and Road]² may specify at the time of giving notice under paragraph (a).

(9) In subsection (8) “the area affected”, in relation to a requirement imposed under this section in relation to a closure, means—

- (a) in the case of a closure consisting in the discontinuance of services on a particular line, or from a particular station, the area in which the line or station is situated;
- (b) in the case of a closure relating to a network, or part of a network, the area in which the network, or part of a network, is situated;
- (c) in the case of a closure relating to a station, or part of a station, the area served by the station, or that part;

and “the area affected”, in relation to the variation or revocation of such a requirement, is to be construed accordingly.

] ¹

Notes

¹ Substituted by Local Transport Act 2008 c. 26 Sch.4(4) para.66(3) (February 9, 2009)

² Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(1) (October 16, 2015)

³ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.49 (June 13, 2018)

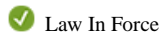
Commencement

Pt 4 s. 33(1)-(9)(c): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 33-(9)(c): England, Wales, Scotland

Excluded proposals



Law In Force

34 Minor modifications

- (1) A proposal is a proposal for a minor modification if—
- (a) it is a proposal for a closure which has been determined under the following provisions of this section to be a minor modification; or
 - (b) it is a proposal for a closure of a description of closures in relation to which such a determination has been made.
- (2) It is the Scottish Ministers who may make a determination that a closure is a minor modification, or that closures of a particular description are minor modifications, where the only closures to which the determination relates consist in—
- (a) the discontinuance of one or more Scotland-only services;
 - (b) the discontinuance of one or more cross-border services in relation to which no funding is provided by a railway funding authority other than the Scottish Ministers;
 - (c) the discontinuance of two or more services none of which is a service not mentioned in paragraph (a) or (b);
 - (d) the discontinuance of a network or part of a network that is wholly in Scotland; or
 - (e) the discontinuance of a station or part of a station that is wholly in Scotland.
- [(2A) It is the Welsh Ministers who may make a determination that a closure is a minor modification, or that closures of a particular description are minor modifications, where the only closures to which the determination relates consist in—
- (a) the discontinuance of one or more Wales-only services; or
 - (b) the discontinuance of a station, or part of a station, that—
 - (i) is wholly in Wales, and
 - (ii) is a station to which subsection (2B) applies or part of such a station.
- (2B) This subsection applies to a station at which the only scheduled calls made by any railway passenger service are those made by a railway passenger service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers.]¹
- (3) It is the Secretary of State who, in any other case, may make a determination that a closure is a minor modification, or that closures of a particular description are minor modifications.
- (4) A determination may be made under this section only if the person making it considers—
- (a) in the case of a determination relating to a particular closure, that the closure is eligible under section 35 to be regarded as a minor modification; or
 - (b) in the case of a determination relating to a description of closures, that all the closures falling within that description are or will be so eligible.
- (5) A person who makes a determination under this section in relation to a particular closure for the purposes of section 22, 26 or 29 may make it subject to conditions; and, in such a case, the closure is not to be treated as a minor modification unless, as the case may be—
- (a) the person providing the service or services to be discontinued, or
 - (b) the person operating or using the network or station, or the part of a network or station, in question,
- has agreed to comply with those conditions.
- (6) The person who makes a determination under this section in relation to a particular closure must notify the [Office of Rail and Road]² about that determination.

(7) A determination under this section in relation to a description of closures may be revoked at any time by the person who made it.

(8) A person who makes or revokes a determination under this section in relation to a description of closures must—

- (a) send a copy of the determination or revocation to the [Office of Rail and Road]² ; and
- (b) publish it in such manner as he considers appropriate.

(9) The revocation of such a determination shall not affect any closure if its status has been relied on before the revocation as grounds for—

- (a) a failure to give a notice under this Part; or
- (b) the carrying out of any closure.

(10) Any general determination which—

- (a) has been made under section 46A of the 1993 Act,
- (b) is a determination that closures of a particular class or description are minor closures, and
- (c) is in force immediately before the coming into force of this section,

shall have effect after that time as a determination made under this section that closures of that class or description are minor modifications for the purposes of this Part.

(11) Any conditions agreed to under section 37(1), 39(1) or 41(1) of the 1993 Act in connection with any determination under the section in question that a closure is a minor closure shall have effect after the commencement of this section as if agreed to for the purposes of subsection (5).

Notes

¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.50 (October 14, 2018 at 02.00)

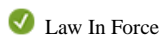
² Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(m) (October 16, 2015)

Commencement

Pt 4 s. 34(1)-(11): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 34-(11): England, Wales, Scotland



Law In Force

35 Closures eligible to be treated as minor modifications

(1) The discontinuance of a railway passenger service is eligible to be treated as a minor modification so far as the service is a service on a stretch of line along which there is no station (or no station in use) and the circumstances are such that—

- (a) trains that would otherwise use that stretch of line in travelling between two stations will instead pass along an alternative route; and
- (b) passengers travelling on such a train will not be required to make additional changes and will not incur significant increases of journey times.

(2) The discontinuance of the operation of a part of a network is eligible to be treated as a minor modification so far as that part of the network consists in a stretch of track along which there is no station (or no station in use) and the circumstances are such that—

- (a) trains that would otherwise use that stretch of line in travelling between two stations will instead pass along an alternative route; and
- (b) passengers travelling on such a train will not be required to make additional changes and will not incur significant increases of journey times.

(3) The discontinuance of the operation of a part of a network is eligible to be treated as a minor modification so far as that part of the network consists of a stretch of track which does no more than serve a station or light maintenance depot, or some part of it, and the circumstances are such that—

- (a) that part of the network is not necessary for the operation or use of a station, or part of a station, for the purposes of or in connection with the provision of railway passenger services; or
- (b) the operation or use of such station or part of a station as is served by that part of the network is or has been the subject of a proposal which is a proposal for a minor modification.

(4) The discontinuance of the operation of a part of a network is eligible to be treated as a minor modification so far as—

- (a) that part of the network consists of installations associated with any such stretch of track as is mentioned in subsection (2) or (3); and
- (b) the circumstances are as mentioned in that subsection.

(5) The discontinuance of the operation or use of—

- (a) a part of a network (other than track), or
- (b) a part of a station,

is eligible to be treated as a minor modification so far as the operation or use of that part of the network or that part of the station is not necessary for the operation or use of the network or station for or in connection with the provision of railway passenger services.

(6) Where it appears to [the national authority]¹ that closures of any description not specified in this section should, because of their temporary nature or limited effect on the provision of railway passenger services, be treated as minor modifications, [the national authority]² may, by order, provide for closures of that description to be treated for the purposes of section 34 as eligible under this section to be so treated.

[(6A) Except where subsection (6B) or (7) applies, the Secretary of State is the national authority for the purposes of subsection (6).

(6B) The Welsh Ministers are the national authority for the purposes of subsection (6) where the only closures to which the order relates consist in—

- (a) the discontinuance of one or more Wales-only services; or
- (b) the discontinuance of a station, or part of a station, that—
 - (i) is wholly in Wales, and
 - (ii) is a station to which subsection (6C) applies or part of such a station.

(6C) This subsection applies to a station at which the only scheduled calls made by any railway passenger service are those made by a railway passenger service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers.]³

(7) [The Scottish Ministers are the national authority for the purposes of subsection (6)]⁴ where the only closures to which the order relates consist in–

- (a) the discontinuance of one or more Scotland-only services;
- (b) the discontinuance of one or more cross-border services in relation to which no funding is provided by a railway funding authority other than the Scottish Ministers;
- (c) the discontinuance of two or more services none of which is a service not mentioned in paragraph (a) or (b);
- (d) the discontinuance of a network or part of a network that is wholly in Scotland; or
- (e) the discontinuance of a station or part of a station that is wholly in Scotland [.]⁵

[...]⁵

(8) An order under subsection (6) is subject to the negative resolution procedure.

Notes

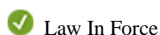
- ¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.51(2)(a) (October 14, 2018 at 02.00)
- ² Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.51(2)(b) (October 14, 2018 at 02.00)
- ³ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.51(3) (October 14, 2018 at 02.00)
- ⁴ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.51(4)(a) (October 14, 2018 at 02.00)
- ⁵ Words repealed by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.51(4)(b) (October 14, 2018 at 02.00)

Commencement

Pt 4 s. 35(1)-(8): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 35-(8): England, Wales, Scotland



Law In Force

36 Designation of experimental passenger services

(1) The power to designate a railway passenger service as experimental for the purposes of this Part is exercisable–

- (a) if it is a Scotland-only service, by the Scottish Ministers;
- (b) if it is a cross-border service in respect of which more funding is provided by the Scottish Ministers than the Secretary of State, by those Ministers;
- [(ba) if it is a Wales-only service, by the Welsh Ministers;]¹
- (c) if it is [any other Welsh service]² in respect of which more funding is provided by [the Welsh Ministers]³ than the Secretary of State, by [the Welsh Ministers]³ ; and
- (d) in the case of any other service, by the Secretary of State.

(2) The designation must be in relation to a line or station on or from which the service will be provided.

(3) A service may not be designated as experimental for a period exceeding five years.

- (4) Where a service is designated as experimental for a period of less than five years—
- (a) the designation may subsequently be extended (on one or more occasions) by the person who made it; but
 - (b) the aggregate of the periods for which the service is designated as experimental must not exceed five years.
- (5) In determining for the purposes of this section the period or aggregate period for which a service is designated as experimental, any period before the service is introduced is to be disregarded.
- (6) The person who designates a service as experimental or extends such a designation must—
- (a) send a copy of the designation or extension to the [Office of Rail and Road]⁴ ; and
 - (b) publish notice of the designation or extension in two successive weeks—
 - (i) in a local newspaper circulating in the area affected by the designation or extension; and
 - (ii) in two national newspapers.
- (7) Where—
- (a) a service is designated as experimental or its designation is extended, and
 - (b) the service is to be provided otherwise than in satisfaction of requirements imposed by a franchise agreement,
- the person designating must give notice of the designation or extension to the person who is to provide the service.
- (8) For the purposes of subsection (6)(b)(i) the area affected by a designation, or by the extension of a designation, is the area in which is situated the line or station in relation to which the designation is or was made.
- (9) For the purposes of subsection (6)(b)(ii) as it applies in relation to—
- (a) a Scotland-only service, or
 - (b) a Wales-only service,
- a newspaper which circulates generally in Scotland or, as the case may be, Wales is to be regarded as being a national newspaper.
- (10) Where any railway passenger service is treated immediately before the commencement of this section as an experimental passenger service for the purposes of Part 1 of the 1993 Act—
- (a) that service shall be treated as designated as experimental for the purposes of this Part; and
 - (b) the period for which it is treated as having been designated at that time shall be taken into account in determining the period or aggregate period for which it may be designated under this section.

Notes

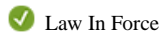
- ¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.52(a) (October 14, 2018)
- ² Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.52(b)(i) (October 14, 2018 at 02.00)
- ³ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.52(b)(ii) (June 13, 2018)
- ⁴ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(n) (October 16, 2015)

Commencement

Pt 4 s. 36(1)-(10)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 36-(10)(b): England, Wales, Scotland



Law In Force

37 Discontinuance of experimental passenger services**(1) Where—**

- (a) a railway funding authority is a party to a franchise agreement under which an experimental passenger service is provided,
 - (b) the person providing the service proposes to discontinue it after the requirement to provide it has come to an end, and
 - (c) that authority does not propose to secure the continued provision of the service,
- that authority must give notice of the proposed discontinuance of the service.

(2) Where—

- (a) an experimental passenger service is provided otherwise than in satisfaction of requirements imposed by a franchise agreement, and
 - (b) the person providing the service proposes to discontinue it,
- that person must give notice of his proposal and must not discontinue the service before the end of the notice period.

(3) The notice required to be given under this section is a notice which—

- (a) sets out the details of the proposed discontinuance; and
- (b) is published in the required manner.

(4) A notice is published in the required manner if it is published, in two successive weeks—

- (a) in a local newspaper circulating in the area affected by the proposal;
- (b) in two national newspapers; and
- (c) in such other manner as appears to the person giving the notice to be appropriate.

(5) A person giving notice of a proposed discontinuance under subsection (2) must send to the [Office of Rail Regulation]¹ a copy of the notice published under subsection (3)(b).**(6) In this section “the notice period”, in relation to a proposal to discontinue a service, means the period of six weeks after the notice of that proposal has been published in the required manner.****(7) For the purposes of subsection (4)(a) the area affected by a proposal to discontinue an experimental passenger service is the area in which is situated the line or station in relation to which the service is designated as experimental.****(8) For the purposes of subsection (4)(b) as it applies in relation to—**

- (a) a Scotland-only service, or
- (b) a Wales-only service,

a newspaper which circulates generally in Scotland or, as the case may be, Wales is to be regarded as being a national newspaper.

Notes

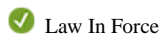
- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(o) (October 16, 2015)

Commencement

Pt 4 s. 37(1)-(8)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 37-(8)(b): England, Wales, Scotland



Law In Force

38 Services, networks and stations excluded by order

(1) The national authority may by order—

- (a) exclude a railway passenger service, or all railway passenger services of a specified description, from the application of any one or more of sections 22 to 24;
- (b) exclude a network or part of a network, or all networks or parts of them of a specified description, from the application of any one or more of sections 26 to 28;
- (c) exclude a station or part of a station, or all stations or parts them of a specified description, from the application of any one or more of sections 29 to 31.

(2) In subsection (1) “the national authority” –

- (a) as respects a railway passenger service which is—
 - (i) a Scotland-only service, or
 - (ii) a cross-border service in relation to which so much of the funding as is provided by a railway funding authority is funding provided by the Scottish Ministers,

means those Ministers;

- (b) as respects a network or station, or part of a network or station, that is wholly in Scotland, means the Scottish Ministers; [...] ¹

[(ba) as respects a railway passenger service which is a Wales-only service, means the Welsh Ministers;

- (bb) as respects a station, or part of a station, that—

- (i) is wholly in Wales, and
 - (ii) is a station to which subsection (2A) applies or part of such a station,

means the Welsh Ministers; and

] ¹

- (c) as respects any other railway passenger service, network or station, or part of a network or station, means the Secretary of State.

[(2A) This subsection applies to a station at which the only scheduled calls made by any railway passenger service are those made by a railway passenger service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers.] ²

(3) An order under this section is subject to the negative resolution procedure.

(4) Where any order under section 49(2), (4) or (5) of the 1993 Act (exclusions from closure procedures under that Act) is in force immediately before the commencement of this section, that order shall have effect after the commencement of this section—

- (a) in the case of an order under section 49(2), as an order under this section excluding the services to which it applies from sections 22 to 24 of this Act;
- (b) in the case of an order under section 49(4), as an order under this section excluding the networks, or parts of networks, to which it applies from sections 26 to 28; and
- (c) in the case of an order under section 49(5), as an order under this section excluding any stations, or parts of stations, to which it applies from sections 29 to 31.

Notes

- ¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.53(2) (October 14, 2018 at 02.00)
- ² Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.53(3) (October 14, 2018 at 02.00)

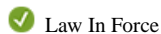
Commencement

Pt 4 s. 38(1)-(4)(c): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 38-(4)(c): England, Wales, Scotland

Substitution services



Law In Force

39 Quality contracts schemes in connection with service modifications

(1) After subsection (1) of section 124 of the 2000 Act insert—

“(1A) A Passenger Transport Authority, or a Passenger Transport Authority jointly with one or more other local transport authorities, may also make a quality contracts scheme covering the whole or part of their area or combined area if they are satisfied—

- (a) that making a quality contracts scheme is an appropriate way of securing that the transport needs of the potential users of a relevant railway service that has been or is to be reduced or discontinued are met;
- (b) that the making of the scheme will contribute, in an appropriate way, to meeting the transport needs of other persons living, working or studying in the localities served by that service;
- (c) that the scheme is compatible with the local transport plan of the Passenger Transport Authority who make the scheme or (as the case may be) of each of the authorities who join in making the scheme; and
- (d) that the scheme will meet the needs of the persons mentioned in paragraphs (a) and (b) in a way which is economic, efficient and effective.

(1B) A local transport authority may join in making a scheme under subsection (1A) by reference to the reduction or discontinuance of a railway passenger service only if–

- (a) they are the Passenger Transport Authority, or one of the Passenger Transport Authorities, by reference to which that service is a relevant railway service in relation to the scheme;
- (b) the relevant railway service by reference to which the scheme is made is or was operating in the authority's area; or
- (c) the persons who live, work or study in localities served by that service include persons living, working or studying in that area.”

(2) After subsection (9) of that section insert–

“(10) In subsection (1A) the references to a local transport plan, in the case of a local transport authority not having a local transport plan, are references to the policies developed by that authority under section 108(1)(a).

(11) In this section “relevant railway service” –

- (a) in relation to a scheme made by a single Passenger Transport Authority acting alone, means–
 - (i) a railway passenger service operating entirely within the area of that Authority; or
 - (ii) the part of a railway passenger service so operating;
- (b) in relation to a scheme made jointly by more than one local transport authority, means–
 - (i) a railway passenger service operating wholly or primarily within the area of a Passenger Transport Authority who join in making the scheme;
 - (ii) a railway passenger service operating wholly or primarily within the combined area of two or more Passenger Transport Authorities who join in making the scheme; or
 - (iii) the part of a railway passenger service operating as mentioned in sub-paragraph (i) or (ii).

(12) In this section–

“potential users”, in relation to a relevant railway service, means persons who (but for the reduction or discontinuance of the service) would have made use of it; and
“railway passenger service” has the same meaning as in the Railways Act 1993 (c. 43) (see section 83(1) of that Act).

(13) For the purposes of references in this section to where a railway passenger service or part of such a service operates–

- (a) a service shall be treated as operating at each of the places where stops are made at stations for the purpose of allowing passengers to join or leave the service; and
- (b) a part of a service is any part of that service so far as it operates at any one or more of those places.”

(3) In section 126(4) of that Act (approval of scheme), after “section 124(1)” insert “or (as the case may be) paragraphs (a) to (d) of section 124(1A)”.

(4) In section 132 of that Act (variation of scheme)–

- (a) in subsection (2), for “paragraphs (a) and (b) of section 124(1)” substitute “subsection (1)(a) and (b) of section 124 or those set out in subsection (1A)(a) to (d) of that section”;

- (b) in subsection (3) and (4), for “those conditions”, in each place, substitute “the relevant conditions”; and
- (c) after subsection (4) insert the subsection set out in subsection (5) of this section.

(5) The subsection inserted after section 132(4) of that Act is–

“(4A) In subsections (3) and (4) “the relevant conditions” means–

- (a) in the case of a scheme made under section 124(1) and not subsequently varied under subsection (1)(a) of this section, the conditions set out in section 124(1)(a) and (b);
- (b) in the case of a scheme made under section 124(1A) and not subsequently varied under subsection (1)(a) of this section, the conditions set out in section 124(1A)(a) to (d); and
- (c) in the case of a scheme that has been varied under subsection (1)(a) of this section, the conditions by reference to which it was last so varied.”

Commencement

Pt 4 s. 39(1)-(5): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 39(5): England, Wales

✓ Law In Force

40 Substitute road services

- (1) Where a railway passenger service–
- (a) is temporarily interrupted, or
 - (b) has been discontinued,

the appropriate national authority may secure the provision of a substitute service for the carriage of passengers by road by means of public service vehicles or private hire vehicles.

(2) Where a railway passenger service has been temporarily interrupted, the route and stopping places of the substitute service need not correspond precisely to those of the interrupted service if it is not practicable for them to do so.

(3) Where a railway passenger service has been discontinued, the route and stopping places of the substitute service need not correspond precisely to those of the discontinued service if–

- (a) it is not practicable for them to do so; or
- (b) the substitute service broadly corresponds to the discontinued service in terms of the localities served.

(4) For the purposes of this section the appropriate national authority is–

- (a) in a case where the railway passenger service that is interrupted or discontinued is a service [(other than a Welsh service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers)]¹ beginning or ending in England or otherwise making at least one scheduled call in England, the Secretary of State;

- [(aa) in a case where that railway passenger service is a Welsh service provided under a Welsh franchise agreement (but is not a Wales-only service), the Secretary of State in relation to the service to the extent that it is not a Welsh component of a Welsh service;
- (ab) in the case of a railway passenger service that is a Welsh service secured to any extent by the Welsh Ministers (but is not a Wales-only service), the Secretary of State in relation to the service to the extent that it is not so secured;]²
- (b) in a case where that railway passenger service is a relevant Scottish passenger service, the Scottish Ministers;
- [(c) in a case where that railway passenger service is a Wales-only service, the Welsh Ministers;
- (d) in a case where that railway passenger service is a Welsh service provided under a Welsh franchise agreement (but is not a Wales-only service), the Welsh Ministers in relation to the service to the extent that it is a Welsh component of a Welsh service;
- (e) in a case where that railway passenger service is a Welsh service secured to any extent by the Welsh Ministers, the Welsh Ministers in relation to the service to the extent that it is so secured;]³

and where in any case there is more than one appropriate national authority they shall each have the powers conferred by this section.

(5) In this section a “relevant Scottish passenger service” is—

- (a) a railway passenger service provided under a Scottish franchise agreement; or
- (b) a railway passenger service not falling within paragraph (a) which is a Scotland-only service or (without being such a service) is a service the provision of which is secured by the Scottish Ministers.

(6) In this section “private hire vehicles” means—

- (a) vehicles licensed under section 37 of the Town Police Clauses Act 1847 (c. 89), section 6 of the Metropolitan Public Carriage Act 1869 (c. 115), section 48 of the Local Government (Miscellaneous Provisions) Act 1976 (c. 57) or section 7 of the Private Hire Vehicles (London) Act 1998 (c. 34) or under any similar enactment; or
- (b) taxis or private hire cars licensed under section 10 of the Civic Government (Scotland) Act 1982 (c. 45).

(7) In this section—

“public service vehicles” has the meaning given by section 1 of the Public Passenger Vehicles Act 1981 (c. 14); and

“stopping place”, in relation to a service, means a place at which a service makes a stop for the purposes of allowing passengers to join or leave the service.

Notes

- ¹ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.54(2) (October 14, 2018 at 02.00)
- ² Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.54(3) (October 14, 2018 at 02.00)
- ³ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.54(4) (October 14, 2018 at 02.00)

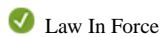
Commencement

Pt 4 s. 40(1)-(4)(a), (4)(c), (6)-(7) definition of "stopping place": July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Pt 4 s. 40(4)(b), (5)-(5)(b): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 4 s. 40(1)-(7) definition of "stopping place": England, Wales, Scotland

Supplemental provisions of Part

Law In Force

41 Proposals by funding authorities

(1) A railway funding authority may make a proposal—

- (a) for the discontinuance of a railway passenger service,
- (b) for the discontinuance of the operation of a network or part of a network, or
- (c) for the discontinuance of the operation of a station or part of a station,

if, and only if, the requirements of subsection (3), (4) or (5) are satisfied.

(2) The requirements of subsection (3) apply to the making of such a proposal by a railway funding authority other than a Passenger Transport Executive, the Mayor of London or Transport for London.

(3) The requirements of this subsection are—

- (a) that the proposal is made in association with another proposal by the authority;
- (b) that the other proposal relates to any agreement or other arrangements to which the authority is a party and which relate to the provision of financial assistance in connection with the service or the operation or use of the network or station; and
- (c) that it appears to the authority that the other proposal would have an effect which is reasonably likely to create or contribute to a need for the service to be discontinued or the operation or use of the network or station to be discontinued.

(4) The requirements of this subsection apply in relation to the making of a proposal by a Passenger Transport Executive and are—

- (a) that no funding in relation to a service or, as the case may be, network or station, or part of a network or station, to which the proposal relates is provided by a railway funding authority other than the Passenger Transport Executive; or
- (b) that—
 - (i) every service to which the proposal relates operates entirely within their area; and
 - (ii) every network or station, or part of a network or station, to which the proposal relates is wholly in their area.

(5) The requirements of this subsection apply in relation to the making of a proposal by the Mayor of London or Transport for London and are—

(a) that no funding in relation to a service or (as the case may be) network or station, or part of a network or station, to which the proposal relates is provided by a railway funding authority other than the Mayor of London or Transport for London; or

(b) that—

(i) every service to which the proposal relates operates entirely within Greater London; and

(ii) every network or station, or part of a network or station, to which the proposal relates is wholly in Greater London.

(6) The arrangements referred to in subsection (3)(b) include arrangements between the railway funding authority in question and another such authority.

(7) For the purposes of subsections (4) and (5) a service operates entirely within an area if it starts and ends in that area and does not make any other scheduled calls outside that area.

Commencement

Pt 4 s. 41(1)-(7): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 41-(7): England, Wales, Scotland

✓ Law In Force

42 Closures guidance

(1) It shall be the duty of the Scottish Ministers to publish guidance for the purposes of the provisions of this Part so far as they have effect in relation to—

(a) proposals to discontinue any Scotland-only service or services;

(b) proposals to discontinue any cross-border service or services in relation to which no funding is provided by a railway funding authority other than the Scottish Ministers;

(c) proposals to discontinue the operation of a network or part of a network that is wholly in Scotland; or

(d) proposals to discontinue the use or operation of any station or part of a station that is wholly in Scotland.

[(1A) It is the duty of the Welsh Ministers to publish guidance for the purposes of the provisions of this Part so far as they have effect in relation to—

(a) proposals to discontinue any Wales-only service or services; or

(b) proposals to discontinue the use or operation of any station, or part of a station, that—

(i) is wholly in Wales, and

(ii) is a station to which subsection (1B) applies or part of such a station.

(1B) This subsection applies to a station at which the only scheduled calls made by any railway passenger service are those made by a railway passenger service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers.]¹

(2) It shall be the duty of the Scottish Ministers acting jointly with the Secretary of State [or the Welsh Ministers (or the Secretary of State and the Welsh Ministers)]² to publish guidance for the

purposes of the provisions of this Part so far as they have effect in relation to proposals to discontinue any cross-border services in relation to which, as the case may be—

- (a) the Secretary of State provides funding;
- (b) [the Welsh Ministers provide]³ funding; or
- (c) [the Secretary of State and the Welsh Ministers provide funding]⁴ .

(3) It shall be the duty of the Secretary of State acting jointly with [the Welsh Ministers]⁵ to publish guidance for the purposes of the provisions of this Part so far as they have effect in relation to—

- (a) proposals to discontinue any Welsh service or services [(other than any Wales-only service or services)]⁶ ;
- (b) proposals to discontinue the operation of a network or part of a network that is wholly in Wales; or
- (c) proposals to discontinue the use or operation of any station or part of a station that is wholly in Wales [(other than a station to which subsection (1B) applies or part of such a station)]⁷ .

(4) It shall be the duty of the Secretary of State to publish guidance for the purposes of the provisions of this Part so far as they have effect in relation to proposals as respects which none of the preceding subsections imposes any duty.

(5) Guidance published under this section may include different provision for different descriptions of proposals and for different purposes.

(6) A person who is under a duty to publish guidance under this section may from time to time—

- (a) modify the guidance; and
- (b) publish revised guidance.

(7) Before publishing or modifying any guidance under this section the person with the duty of publishing the guidance must consult—

- (a) such persons operating railway passenger services, networks and stations that are affected by the proposed guidance as he thinks appropriate; and
- (b) such other persons as he thinks appropriate.

(8) For the purposes of subsection (7) a railway passenger service, network or station is affected by proposed guidance if the proposed guidance would have effect in relation to a proposal relating to that service, network or station.

Notes

- ¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.55(2) (October 14, 2018 at 02.00)
- ² Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.55(3)(a) (June 13, 2018)
- ³ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.55(3)(b) (June 13, 2018)
- ⁴ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.55(3)(c) (June 13, 2018)
- ⁵ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.55(4)(a) (June 13, 2018)
- ⁶ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.55(4)(b) (October 14, 2018 at 02.00)

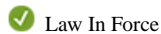
⁷ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.55(4)(c) (October 14, 2018 at 02.00)

Commencement

Pt 4 s. 42(1)-(8): August 1, 2006 (SI 2006/1951 art. 2(2)(b))

Extent

Pt 4 s. 42(1)-(8): England, Wales, Scotland



Law In Force

43 Procedure relating to publication and modification of closures guidance

(1) The Secretary of State must lay before each House of Parliament a copy of any guidance or revised guidance, or modifications of guidance, which he publishes or makes (whether or not jointly with any other person) under section 42.

(2) The Scottish Ministers must lay before the Scottish Parliament a copy of any guidance or revised guidance, or modifications of guidance, which they publish or make (whether or not jointly with any other person) under that section.

[(2A) The Welsh Ministers must lay before the National Assembly for Wales a copy of any guidance or revised guidance, or modifications of guidance, which they publish or make under section 42(1A).]¹

(3) Any guidance or revised guidance published under section 42 is to have effect, and any modifications of guidance made under that section are to have effect, in accordance with an order made—

- (a) if subsection (1) applies in relation to the guidance or modifications, by the Secretary of State;
- (b) if subsection (2) applies in relation to the guidance or modifications, by the Scottish Ministers; and
- (c) if both subsections (1) and (2) apply in relation to the guidance or modifications, jointly by the Secretary of State and the Scottish Ministers.

[(3A) Guidance published by the Welsh Ministers under section 42(1A) (and any modifications of that guidance or any revised version of that guidance published by the Welsh Ministers under section 42(6)) are to have effect in accordance with an order made by the Welsh Ministers.]²

(4) An order under subsection (3) which relates to guidance or revised guidance published, or modifications of guidance made, by [the Welsh Ministers]³ jointly with the Secretary of State or the Scottish Ministers, or both of them, may be made only with the consent of [the Welsh Ministers]³.

(5) An order under subsection (3) [or (3A)]⁴ is subject to the negative resolution procedure.

(6) If a statutory instrument containing an order under subsection (3) [or (3A)]⁴ is annulled—

- (a) the guidance or revised guidance, or modifications of guidance, to which it relates is, or are, treated as having been withdrawn; and

(b) where revised guidance or modifications is or are so withdrawn, any guidance published under section 42 which had effect before the publication of the revised guidance or the making of the modifications is to continue to have effect.

(7) The withdrawal of guidance or revised guidance or modifications of guidance under subsection (6)–

- (a) does not affect anything done in consequence of the guidance before the withdrawal; and
- (b) does not preclude the publication of further guidance or revised guidance or the making of further modifications.

Notes

- ¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.56(2) (June 13, 2018)
- ² Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.56(3) (June 13, 2018)
- ³ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.56(4) (June 13, 2018)
- ⁴ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.56(5) (June 13, 2018)


Commencement

Pt 4 s. 43(1)-(7)(b): August 1, 2006 (SI 2006/1951 art. 2(2)(b))

Extent

Pt 4 s. 43(1)-(2), (3)-(3)(c), (4)-(7)(b): England, Wales, Scotland

Pt 4 s. 43(2A), (3A): (extent not available)

 Law In Force

44 Exclusion of liability for breach of statutory duty

(1) Subject to section 57 of the 1993 Act (validity and effect of final and provisional orders under section 55 of that Act), the obligations specified in subsection (2) shall not give rise to any form of duty or liability enforceable by civil proceedings for breach of statutory duty.

(2) Those obligations are–

- (a) any obligation of a person under section 22(8) not to discontinue a railway passenger service;
- (b) any obligation of a person under section 26(8) not to discontinue the operation of a network or part of a network;
- (c) any obligation of a person under section 29(8) not to discontinue the use of a station or part of a station;
- (d) any obligation of a person to comply with a requirement imposed under section 33(2);
- (e) any obligation of a person to comply with conditions to which he has agreed under section 34(5) ;
- (f) any obligation of a person under section 37(2) not to discontinue an experimental passenger service;

(g) any obligation of the Secretary of State [, the Welsh Ministers]¹ or the Scottish Ministers under this Part to secure [(to any extent)]² the provision of a railway passenger service, network or station or of a part of a network or station.

Notes


- ¹ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.57(a) (October 14, 2018 at 02.00)
- ² Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.57(b) (October 14, 2018 at 02.00)

Commencement

Pt 4 s. 44(1)-(2)(g): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 44-(2)(g): England, Wales, Scotland

 Partially In Force

45 Interpretation of Part 4

(1) In this Part—

“closure” means—

- (a) the discontinuance of a railway passenger service or of railway passenger services;
- (b) the discontinuance of the operation of the whole or a part of a network; or
- (c) the discontinuance of the use or operation of the whole or a part of a station;

“closure non-ratification notice” is to be construed in accordance with section 32(7);

“closure ratification notice” is to be construed in accordance with section 32(8);

“closures guidance” means the guidance published under section 42, and references to the relevant part of the closures guidance are to be construed in accordance with subsection (2);

“the end of the interim period” is to be construed in accordance with subsection (3);

“excluded proposal” is to be construed in accordance with section 38;

“experimental passenger service” means a railway passenger service which, before its introduction, was designated under section 36 as experimental;

“proposal date”, in relation to a proposal for the discontinuance of any service or services, or any network or station or part of a network or station, means the date after which, according to the proposal, the service or services will no longer be provided or, as the case may be, the operation or use of the network or station or part of a network or station will be discontinued;

“railway funding authority” means—

- (a) the Secretary of State;
- (b) the Scottish Ministers;
- (c) [the Welsh Ministers]¹ ;
- (d) a Passenger Transport Executive;
- (e) the Mayor of London;

(f) Transport for London;

(g) a person designated as such an authority by an order under subsection (4);

“secured service” means a service which is provided by or on behalf of the Secretary of State [, the Welsh Ministers]² or the Scottish Ministers under–

(a) section 30 of the 1993 Act;

(b) section 22(9), 23(7) or 24(7) or (8) of this Act; or

(c) a requirement imposed under section 33(2) of this Act;

“secured”, in relation to a network or station, or a part of a network or station, means provided on behalf of the Secretary of State [, the Welsh Ministers]³ or the Scottish Ministers under–

(a) section 26(9), 27(7) or 28(6) or (7) of this Act (networks);

(b) section 29(9), 30(7) or 31(6) or (7) of this Act (stations); or

(c) a requirement imposed under section 33(2) of this Act.

(2) In this Part “the relevant part of the closures guidance” –

(a) in relation to a proposal to discontinue any railway passenger service or services, means the part of the closures guidance relating to the discontinuance of any such services that is applicable to that proposal;

(b) in relation to a proposal to discontinue the operation of a network or part of a network, means the part of the closures guidance relating to the discontinuance of the operation of networks or parts of networks that is applicable to that proposal; and

(c) in relation to a proposal to discontinue the use or operation of a station or part of a station, means the part of the closures guidance relating to the discontinuance of the use or operation of such stations or parts of such stations that is applicable to that proposal.

(3) For the purposes of this Part the interim period, in relation to a proposal for the discontinuance of any service or services, or any network or station or part of a network or station, is a period ending–

(a) in a case where the national authority forms the opinion in accordance with the criteria set out in the relevant part of the closures guidance that the proposal should not be allowed, with the proposal date; and

(b) otherwise, as the case may be–

(i) with the date on which notification is given to the person who made the proposal that the national authority has changed its opinion with respect to the proposal;

(ii) with the withdrawal of the proposal; or

(iii) four weeks after the date on which a closure ratification notice or closure non-ratification notice is issued by the [Office of Rail and Road]⁴ on any reference to it relating to the proposal.

(4) The appropriate authority may by order designate a person as a railway funding authority if–

(a) that person is a person on whom functions are conferred by or under any enactment; and

(b) the appropriate authority is satisfied that that person, in the carrying out of those functions, provides financial assistance for purposes that are connected with railways or the provision of railway services.

(5) In subsection (4), “appropriate authority” –

(a) in relation to a person who provides no financial assistance for purposes mentioned in subsection (4)(b) other than–

- (i) funding in relation to the provision of Scotland-only services,
- (ii) Scottish majority funding in relation to cross-border services, or
- (iii) funding in relation to the operation or use of a network or station, or part of a network or station, that is wholly in Scotland,

means the Scottish Ministers;

[(aa) in relation to a person who provides no financial assistance for purposes mentioned in subsection (4)(b) other than—

- (i) funding in relation to the provision of Wales-only services, or
- (ii) funding in relation to the operation or use of a station, or part of a station, that is wholly in Wales and is a station to which subsection (5A) applies or part of such a station,

means the Welsh Ministers;

] ⁵

(b) in any other case, means the Secretary of State.

[(5A) This subsection applies to a station at which the only scheduled calls made by any railway passenger service are those made by a railway passenger service provided under a Welsh franchise agreement or secured to any extent by the Welsh Ministers.] ⁶

(6) For the purposes of subsection (5)(a)(ii), a person provides Scottish majority funding in relation to particular services if—

(a) the person is—

- (i) a body established by or under an Act of the Scottish Parliament; or
- (ii) a body which has its principal office in Scotland; and

(b) in relation to those services, the person provides more funding than is provided in aggregate by railway funding authorities.

(7) An order under subsection (4) is subject to the negative resolution procedure.

(8) In subsection (4)(a), “enactment” includes an enactment contained in an Act of the Scottish Parliament.

(9) In this Part references to financial assistance include references to each of the following—

- (a) the making of grants or loans;
- (b) the giving of guarantees; and
- (c) investments in bodies corporate.

Notes

- ¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.58(2)(a) (June 13, 2018)
- ² Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.58(2)(b) (October 14, 2018 at 02.00)
- ³ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.58(2)(c) (October 14, 2018 at 02.00)
- ⁴ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(p) (October 16, 2015)
- ⁵ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.58(3) (October 14, 2018 at 02.00)
- ⁶ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.58(4) (October 14, 2018 at 02.00)

Commencement

Pt 4 s. 45(1)-(1) definition of "secured" (c): August 1, 2006 for purposes specified in SI 2006/1951 art.2(c); December 1, 2006 for purposes specified in SI 2006/2911 art.2 and Sch.1; not yet in force otherwise (SI 2006/1951 art. 2(2)(c); SI 2006/2911 art. 2, Sch. 1)

Pt 4 s. 45(2)-(2)(c): August 1, 2006 (SI 2006/1951 art. 2(2)(d))

Pt 4 s. 45(3)-(9)(c): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 4 s. 45(1)-(5)(a)(iii), (5)(b), (6)-(9)(c): England, Wales, Scotland

Pt 4 s. 45(5)(aa)-(5)(aa)(ii), (5A): (extent not available)

PART 5**FURTHER MISCELLANEOUS PROVISIONS***Conduct and accessibility on railways*

Law In Force With Amendments Pending

46 Bye-laws

- (1) A railway operator may make bye-laws regulating one or more of the following—
 - (a) the use and working of a relevant asset;
 - (b) travel on or by means of a relevant asset;
 - (c) the maintenance of order on relevant assets;
 - (d) the conduct of persons while on relevant assets.
- (2) Those bye-laws may include, in particular—
 - (a) bye-laws with respect to tickets issued for entry on relevant assets or for travel by railway or with respect to evasion of the payment of fares or other charges;
 - (b) bye-laws with respect to the obstruction of a railway;
 - (c) bye-laws with respect to any other interference with the working of a railway, with a relevant asset or with the provision of a railway service;
 - (d) bye-laws prohibiting or restricting smoking in railway carriages and elsewhere;
 - (e) bye-laws for the prevention of nuisance;
 - (f) bye-laws with respect to the receipt and delivery of goods; and
 - (g) bye-laws for regulating the passage of bicycles and other vehicles on footways and other premises controlled by the railway operator in question and intended to be used by those on foot.
- (3) Schedule 9 (which makes provisions about bye-laws under this section) has effect.
- (4) Bye-laws which—

(a) were made by the Strategic Rail Authority under section 219 of the 2000 Act, and
 (b) are in force immediately before the repeal of that section by this Act,
 shall continue to have effect after the coming into force of that repeal as if every reference in those
 bye-laws to that Authority were a reference to the Secretary of State.

(5) The Secretary of State may by order revoke or amend—

- (a) any bye-laws having effect in accordance with subsection (4); or
- (b) any bye-laws saved by the 2000 Act.

[(5A) The Welsh Ministers may by order revoke or amend any bye-laws falling within subsection
 (5)(a) or (b) to the extent that they regulate—

- (a) the use and working of a relevant asset that is a Welsh asset;
- (b) travel on or by means of such an asset;
- (c) the maintenance of order on such an asset; or
- (d) the conduct of persons while on such an asset.

] ¹

(6) In subsection (5), “bye-laws saved by the 2000 Act” means bye-laws which—

- (a) were made (or have effect as if they were made) under section 67 of the Transport Act 1962 (c. 46) or section 129 of the 1993 Act;
- (b) were continued in force by paragraph 5(2) of Schedule 28 to the 2000 Act; and
- (c) are in force immediately before the commencement of this section.

(7) In this section “railway operator” means an operator of a railway asset who is—

- (a) authorised to be the operator of that asset by a licence granted under section 8 of the 1993 Act; [...]²
- (b) exempt by virtue of section 7 of that Act or any other enactment from the requirement to be so authorised [; or]³
- [(c) authorised to provide train services by a [railway undertaking]⁴ licence.]³

(8) In this section “relevant asset”, in relation to a railway operator, means—

- (a) a railway asset of which he is the operator; or
- (b) any rolling stock not falling within paragraph (a) of which he has the management for the time being.

[(9) In this section “Welsh asset” means an asset (other than an asset that is part of a network) that is—

- (a) permanently situated in Wales; or
- (b) used only in Wales.

] ⁵

Notes

¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.59(2) (October 14, 2018 at 02.00)

² Word repealed by Railway (Licensing of Railway Undertakings) Regulations 2005/3050 Sch.1(1) para.5(a) (November 28, 2005)

³ Added by Railway (Licensing of Railway Undertakings) Regulations 2005/3050 Sch.1(1) para.5(b) (November 28, 2005)

⁴ Word substituted by Railway (Licensing of Railway Undertakings) (Amendment etc.) (EU Exit) Regulations 2019/700 Pt 3 reg.25(2) (December 31, 2020: shall come into force on IP completion day not exit day as specified in 2020 c.1 s.39(1) and Sch.5 para.1(1))

- ⁵ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.59(3) (October 14, 2018 at 02.00)

Amendments Pending

Pt 5 s. 46(7)(c): words inserted by Railway (Licensing of Railway Undertakings) (Amendment) Regulations 2021/1105, Pt 3 reg. 12 (January 31, 2022 at 23.00)

Commencement

Pt 5 s. 46(1)-(2)(g), (7)-(8)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

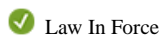
Pt 5 s. 46(3): July 24, 2005 for provisions specified in SI 2005/1909 art.2 and Sch.1; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Pt 5 s. 46(4)-(6)(c): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 5 s. 46(1)-(5)(b), (6)-(8)(b): England, Wales, Scotland

Pt 5 s. 46(5A)-(5A)(d), (9)-(9)(b): (extent not available)



Law In Force

47 Power of Scottish Ministers to make penalty fare regulations

(1) In section 130 of the 1993 Act (penalty fare regulations), in subsection (1), for “The Secretary of State may by regulations” substitute “The Secretary of State and the Scottish Ministers shall each have power by regulations to”.

(2) After subsection (1) insert—

“(1A) The power of the Scottish Ministers under this section shall be exercisable only in relation to trains and stations used for the purposes of—

- (a) railway passenger services provided under Scottish franchise agreements; or
- (b) a railway passenger service not falling within paragraph (a) which is a Scotland-only service or (without being such a service) is a service the provision of which is secured by the Scottish Ministers.”

(3) After subsection (11) insert—

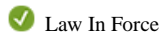
“(11A) A statutory instrument containing regulations made by the Scottish Ministers under this section is subject to annulment in pursuance of a resolution of the Scottish Parliament.”

Commencement

Pt 5 s. 47(1)-(3): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 5 s. 47-(3): England, Wales, Scotland



Law In Force

48 Code of practice for disabled rail users in Scotland

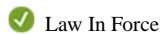
- (1) The Scottish Ministers shall have power to prepare, and from time to time to revise, a code of practice for protecting the interests of users of relevant Scottish services who are disabled.
- (2) The Scottish Ministers must publish a code prepared by them under this section, and every revision of it, in such manner as they consider appropriate.
- (3) Before preparing or revising a code under this section the Scottish Ministers must consult the Disabled Persons Transport Advisory Committee established under section 125 of the Transport Act 1985 (c. 67).
- (4) In this section “relevant Scottish service” means—
 - (a) a railway passenger service provided under a Scottish franchise agreement;
 - (b) a railway passenger service not falling within paragraph (a) which is a Scotland-only service or (without being such a service) is a service the provision of which is secured by the Scottish Ministers; or
 - (c) a station service provided in relation to a station in Scotland at which a service falling within paragraph (a) or (b) makes a scheduled call.

Commencement

Pt 5 s. 48(1)-(4)(c): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 5 s. 48-(4)(c): England, Wales, Scotland



Law In Force

[48A.— Code of practice for disabled rail users in Wales

- (1) The Welsh Ministers may prepare, and from time to time to revise, a code of practice for protecting the interests of users of relevant Welsh services who are disabled.
- (2) The Welsh Ministers must publish a code prepared by them under this section, and every revision of it, in such manner as they consider appropriate.
- (3) Before preparing or revising a code under this section the Welsh Ministers must consult the Disabled Persons Transport Advisory Committee established under section 125 of the Transport Act 1985.
- (4) In this section “relevant Welsh service” means—
 - (a) a Wales-only service which is provided under a Welsh franchise agreement or secured by the Welsh Ministers;
 - (b) a Welsh component of a Welsh service which is provided under a Welsh franchise agreement or secured by the Welsh Ministers;
 - (c) a station service provided in relation to a station at which scheduled calls are made only by—
 - (i) a Wales-only service which is provided under a Welsh franchise agreement or secured by the Welsh Ministers, or

- (ii) a Welsh component of a Welsh service which is provided under a Welsh franchise agreement or secured by the Welsh Ministers.

]¹

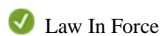
Notes

- ¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.60 (October 14, 2018 at 02.00)

Extent

Pt 5 s. 48A(1)-(4)(c)(ii): England, Wales, Scotland

Railway administration orders for companies providing Scottish services



Law In Force

49 Functions of Scottish Ministers in relation to railway administration

(1) In subsection (6) of section 59 of the 1993 Act (interpretation of expressions used in connection with railway administration)–

(a) after “Part–” insert–

“(za) “appropriate national authority –

(i) in relation to a Scottish protected railway company or a company subject to a railway administration order that was such a company when the order was made, means the Scottish Ministers; and

(ii) in relation to any other protected railway company or company subject to a railway administration order, means the Secretary of State;”

(b) after paragraph (b) insert–

“(c) “Scottish protected railway company” means a protected railway company that is such a company only in respect of activities carried on by it as franchise operator in relation to a Scottish franchise agreement.”

(2) In subsection (1) of section 60 (petition for railway administration order), for the words from the beginning to the end of paragraph (b) substitute–

“(1) If, on an application relating to a protected railway company”.

(3) After that subsection insert–

“(1A) An application under subsection (1) for the making of a railway administration order may be made–

(a) in the case of an application on the ground specified in paragraph (a) of subsection (2), only by the appropriate national authority; and

(b) in the case of an application on the ground specified in paragraph (b) of that subsection, only by the Secretary of State.”

(4) In each of the following provisions of the 1993 Act, for “Secretary of State”, wherever occurring, substitute “appropriate national authority”, namely—

- (a) section 61(1)(a)(i) and (2)(a) (notice and power to petition for railway administration order in the case of a winding-up petition);
- (b) section 62(2)(a)(i), (3)(a), (5)(a)(i), (6)(a) and (7)(a) (notice and power to petition for railway administration order in the case of voluntary winding-up and other insolvency proceedings); and
- (c) paragraphs 3, 7, 9 and 10 of Schedule 6 (modifications of the Insolvency Act 1986 (c. 45)).

(5) In paragraph 1 of Schedule 6 to the 1993 Act, before the “and” at the end of paragraph (a) insert—

“(aa) as if references in those sections to the appropriate national authority were to be construed in accordance with section 59(6)(za) of this Act;”.

(6) In paragraphs 7(4), 8, and 10(5) of Schedule 6 to the 1993 Act, for “the Strategic Rail Authority” substitute “the appropriate national authority”.

(7) In paragraph 2 of Schedule 7 to the 1993 Act (making and modification of transfer schemes in connection with railway administration orders), for each of the following substitute “the appropriate national authority”, namely—

- (a) in sub-paragraph (2), the words from “the Secretary of State” onwards;
- (b) in sub-paragraphs (4) and (5), “the Secretary of State”, wherever occurring;
- (c) in sub-paragraph (6), “the Secretary of State or Authority”, in each place, and “the Secretary of State or the Authority”; and
- (d) in sub-paragraph (7), the words from “the Secretary of State or, in” to “the Authority” and “the Secretary of State or Authority”.

(8) In that paragraph—

- (a) in sub-paragraph (3), for the words from “the Secretary of State”, where first occurring, to “or Authority” substitute “the appropriate national authority, it”; and
- (b) in sub-paragraph (6), for “his” substitute “the appropriate national authority's”.

(9) After sub-paragraph (8) of that paragraph insert—

“(9) A statutory instrument containing an order under this paragraph by the Scottish Ministers is subject to annulment in pursuance of a resolution of the Scottish Parliament.”

(10) Where a railway administration order is in force immediately before the commencement of this section in relation to a Scottish protected railway company, things done by or in relation to the Secretary of State for the purposes of or in connection with that order and by virtue of—

- (a) any provision of sections 59 to 62 of the 1993 Act, or
- (b) any provision of Schedule 6 or 7 to that Act, or of the Insolvency Act 1986 (c. 45) as modified by Schedule 6 to the 1993 Act,

are to have effect, so far as necessary for giving them continuing validity and effect, as if done by the Scottish Ministers.

(11) The power to amend Schedule 6 to the 1993 Act under section 249 of the Enterprise Act 2002 (c. 40) applies to the modifications of that Schedule by this Act, as it applies to that Schedule.

Commencement

Pt 5 s. 49(1)-(11): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 5 s. 49-(11): England, Wales, Scotland

✓ Law In Force

50 Assistance by Scottish Ministers for companies in railway administration

(1) In section 63 of the 1993 Act (financial assistance by the Secretary of State where railway administration orders made)–

- (a) in subsection (1), after “a company” insert “other than a Scottish protected railway company”; and
- (b) in subsection (2), for the words from “in relation to which” onwards substitute

“where that company–

- (a) is a company in relation to which a railway administration order is in force at the time when the guarantee is given; and
- (b) is not a Scottish protected railway company.”

(2) After section 64 of that Act insert–

“64A Financial assistance by Scottish Ministers

(1) Where a railway administration order is for the time being in force in relation to a Scottish protected railway company, the Scottish Ministers may–

- (a) make grants or loans to the company of such sums as appear to them to be appropriate for the purpose of facilitating the achievement of the purposes of the order; or
- (b) agree to indemnify a relevant person in respect of–
 - (i) liabilities incurred by that person in connection with the carrying out by the railway administrator of his functions under the order; and
 - (ii) loss or damage incurred by that person in that connection.

(2) The Scottish Ministers may guarantee–

- (a) the repayment of the principal of any sum borrowed by a Scottish protected railway company in relation to which a railway administration order is in force when the guarantee is given;
- (b) the payment of interest on a sum so borrowed; and
- (c) the discharge of any other financial obligation in relation to a sum so borrowed.

(3) A grant, loan, indemnity or guarantee under this section may be made or given in whatever manner, and on whatever terms and subject to whatever conditions, the Scottish Ministers consider appropriate.

- (4) The terms on which a grant may be made under this section include, in particular, terms requiring the whole or a part of the grant to be repaid to the Scottish Ministers if there is a contravention of the other terms on which the grant is made.
- (5) The terms on which a loan may be made under this section include, in particular, terms requiring—
- (a) the loan to be repaid at such times and by such methods, and
 - (b) interest to be paid on the loan at such rates and at such times,
- as the Scottish Ministers may from time to time direct.
- (6) The power of the Scottish Ministers under this section to agree to indemnify a relevant person—
- (a) is confined to a power to agree to indemnify that person in respect of liabilities, loss and damage incurred or sustained by him as a relevant person; but
 - (b) includes power to agree to indemnify persons (whether or not they are identified or identifiable at the time of the agreement) who subsequently become relevant persons.
- (7) A person is a relevant person for the purposes of this section if he is—
- (a) the railway administrator;
 - (b) an employee of the railway administrator;
 - (c) a member or employee of a firm of which the railway administrator is a member;
 - (d) a member or employee of a firm of which the railway administrator is an employee;
 - (e) a member of a firm of which the railway administrator was an employee or member at a time when the order was in force;
 - (f) a body corporate which is the employer of the railway administrator; or
 - (g) an officer, employee or member of such a body corporate.
- (8) In this section—
- (a) references to the railway administrator, in relation to a railway administration order, are references to the person appointed to achieve the purposes of the order and, where two or more persons are so appointed, are to be construed as references to any one or more of them; and
 - (b) the references to a firm of which a person was a member or employee at a particular time include references to a firm which holds itself out to be the successor of a firm of which he was a member or employee at that time.
- (9) If sums are paid out by the Scottish Ministers in respect of an indemnity or guarantee under this section, the company in relation to which the indemnity or guarantee was given must pay them—
- (a) such amounts in or towards the repayment to them of those sums as they may direct; and
 - (b) interest, at such rates as they may direct, on amounts outstanding under this subsection.
- (10) Payments to the Scottish Ministers under subsection (9) must be made at such times and in such manner as they may determine.

(11) Subsection (9) does not apply in the case of a sum paid by the Scottish Ministers for indemnifying a person in respect of a liability to the company in relation to which the railway administration order in question was made.”

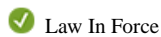
Commencement

Pt 5 s. 50(1)-(2): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 5 s. 50-(2): England, Wales, Scotland

Duties of co-operation



Law In Force

51 ORR to assist and advise national authorities

(1) It shall be the duty of the [Office of Rail and Road]¹ to comply with every reasonable requirement of the Secretary of State—

- (a) to provide him with information or advice about a matter connected with a function or other activity of his in relation to railways or railway services;
- (b) to provide him with information or advice about a matter relevant to the railway safety purposes; or
- (c) otherwise to provide him with assistance in relation to a matter that is connected with such a function or activity or is relevant to those purposes.

(2) It shall be the duty of the [Office of Rail and Road]¹ to comply with every reasonable requirement of the Scottish Ministers—

- (a) to provide them with information or advice about a matter connected with a function or other activity of theirs in relation to railways or railway services; or
- (b) otherwise to provide them with assistance in relation to a matter that is connected with such a function or activity.

[(3) It shall be the duty of the Office of Rail and Road to comply with every reasonable requirement of the Welsh Ministers—

- (a) to provide them with information or advice about a matter connected with a function or other activity of theirs in relation to railways or railway services; or
- (b) otherwise to provide them with assistance in relation to a matter that is connected with such a function or activity.

]²

(4) References in this section to the functions of a person in relation to railways or railway services include references, in particular, to all that person's functions under Part 1 of the 1993 Act, Part 4 of the 2000 Act or this Act.

(5) In this section “railway safety purposes” has the same meaning as in Schedule 3.

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(q) (October 16, 2015)
- ² S.51(3) substituted for s.51(3)(a) and (b) by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.61 (June 13, 2018)

Commencement

Pt 5 s. 51(1)-(1)(a), (1)(c), (3)-(4): June 8, 2005

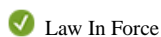
Pt 5 s. 51(1)(b), (5): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Pt 5 s. 51(2)-(2)(b): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 5 s. 51(1)-(3), (4)-(5): England, Wales, Scotland

Pt 5 s. 51(3)(a)-(3)(b): (extent not available)



Law In Force

52 Duty of Passenger Transport Executives to advise Secretary of State

(1) It shall be the duty of a Passenger Transport Executive to comply with every requirement of the Secretary of State to provide him with advice about a matter connected with a function or other activity of his in relation to railways or railway services.

(2) A Passenger Transport Executive are not required to do anything under this section to the extent that it would involve an unreasonable administrative burden for the Executive.

(3) In determining the extent to which anything would involve an unreasonable administrative burden regard must be had (where relevant) to so much of whatever else the Passenger Transport Executive are required to do under this section as they have accepted does not involve such a burden.

(4) References in this section to the functions of the Secretary of State in relation to railways or railway services—

- (a) include references, in particular, to all his functions under Part 1 of the 1993 Act, Part 4 of the 2000 Act or this Act; but
- (b) do not include references to any functions of his so far as they are exercisable, or fall to be performed, for or in connection with the railway safety purposes (within the meaning of Schedule 3).

Commencement

Pt 5 s. 52(1)-(4)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)


Extent

Pt 5 s. 52-(4)(b): England, Wales

PART 6

GENERAL AND SUPPLEMENTAL

General

 Partially In Force

53 Taxation


Schedule 10 (which makes taxation provision in relation to transfer schemes under sections 1(2) and 12) has effect.

Commencement

Pt 6 s. 53: June 8, 2005 for provisions specified in SI 2005/1444 Sch.1; July 24, 2005 for provisions specified in SI 2005/1909 art.2 and Sch.1; not yet in force otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Pt 6 s. 53-: England, Wales, Scotland

 Partially In Force

54 Further amendments of the 1993 Act

(1) In sections 118 and 119 of the 1993 Act (powers in emergency and security powers etc.), at the end of subsection (11), in each case, insert “with “railway” having its wider meaning for the purposes of this section.”

(2) After section 119(5) of that Act insert—

“(5A) The Secretary of State may give an instruction under this section for the protection of a relevant asset that is wholly in Scotland, or of persons or property on or in such an asset, only if—

- (a) the asset would be a relevant asset even if railway did not have its wider meaning for the purposes of this section; or
- (b) the instruction is given in the interests of national security.

(5B) In subsection (5A) the reference to an instruction given in the interests of national security includes a reference to any instruction given for the purpose of ensuring that protection against terrorism is provided to the asset, persons or property in question.”

(3) In section 119(11) of that Act, after the definition of “specified” insert—

““terrorism” has the same meaning as in the Terrorism Act 2000 (c. 11) (see section 1 of that Act);”.

(4) Schedule 11 (which makes further miscellaneous minor and consequential amendments of the 1993 Act) has effect.

Commencement

Pt 6 s. 54(1)-(3): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Pt 6 s. 54(4): June 8, 2005 for provisions specified in SI 2005/1444 Sch.1; July 24, 2005 for provisions specified in SI 2005/1909 art.2 and Sch.1; October 16, 2005 for provisions specified in SI 2005/2812 Sch.1; December 1, 2006 for provisions specified in SI 2006/2911 art.2 and Sch.1; not yet in force otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 6 s. 54(1)-(4): England, Wales, Scotland

Supplemental

✓ Law In Force

55 Expenses etc.

(1) There shall be paid out of money provided by Parliament—

- (a) any expenditure incurred by the Secretary of State for or in connection with the carrying out of any of his functions under this Act; and
- (b) any increase attributable to this Act in the sums which are payable out of money so provided under any other Act.

(2) Sums received by the Secretary of State by virtue of any of the following provisions of this Act must be paid into the Consolidated Fund—

- (a) section 6;
- (b) section 10(6);
- (c) section 13(3);
- (d) paragraph 7 of Schedule 5.

Commencement

Pt 6 s. 55(1)-(2)(d): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Pt 6 s. 55-(2)(d): England, Wales, Scotland

✓ Law In Force

56 Powers exercisable by statutory instrument

(1) Every power conferred by this Act on the Secretary of State [, the Welsh Ministers]¹ or the Scottish Ministers to make an order or regulations is a power exercisable by statutory instrument.

(2) Where—

- (a) this Act provides for an order or regulations to be subject to the negative resolution procedure, and
- (b) a draft of the order or regulations is not required, in accordance with subsection (4) or any other enactment, to have been laid before Parliament and approved by a resolution of each House, or by a resolution of the House of Commons [, or of the National Assembly for Wales]² or of the Scottish Parliament,

the statutory instrument containing the order or regulations shall be subject to annulment in pursuance of a relevant resolution.

(3) In subsection (2) “a relevant resolution” –

- (a) in relation to an order or regulations made by the Secretary of State, means a resolution of either House of Parliament;
- (b) in relation to an order or regulations made by the Scottish Ministers, means a resolution of the Scottish Parliament; [...]³
- (c) in relation to an order made by the Secretary of State and the Scottish Ministers jointly, means a resolution of either House of Parliament or of the Scottish Parliament [;]³
- [(d) in relation to an order or regulations made by the Welsh Ministers, means a resolution of the National Assembly for Wales; and
- (e) in relation to an order made by the Secretary of State and the Welsh Ministers jointly, means a resolution of either House of Parliament or of the National Assembly for Wales.]³

(4) Where this Act specifies that a power to make provision of a particular description by order is subject to the affirmative resolution procedure, no order may be made containing provision of that description (with or without other provision) unless a draft of the order has been—

- (a) laid before Parliament; and
- (b) approved by a resolution of each House.

(5) Subject to subsection (6), every power under this Act of the Secretary of State [, the Welsh Ministers]⁴ or [the]⁵ Scottish Ministers to make an order or regulations includes power—

- (a) to make different provision for different cases (including different provision in respect of different areas);
- (b) to make provision subject to such exemptions and exceptions as the person exercising the power thinks fit; and
- (c) to make such incidental, supplemental, consequential and transitional provision as that person thinks fit.

(6) Subsection (5) does not apply to the power of the Secretary of State to make an order under section 60(2).

Notes

- ¹ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.62(2) (June 13, 2018)
- ² Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.62(3) (June 13, 2018)
- ³ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.62(4) (June 13, 2018)
- ⁴ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.62(5)(a) (June 13, 2018)
- ⁵ Word inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.62(5)(b) (June 13, 2018)

Commencement

Pt 6 s. 56(1): April 7, 2005 (2005 c. 14 Pt 6 s. 60(2))

Pt 6 s. 56(2)-(2)(b): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; August 1, 2006 otherwise (2005 c. 14 Pt 6 s. 60(2); SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2006/1951 art. 2(2)(e))

Pt 6 s. 56(3)-(3)(a), (4)-(4)(b), (6): June 8, 2005

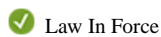
Pt 6 s. 56(3)(b)-(3)(c): August 1, 2006 (SI 2006/1951 art. 2(2)(e))

Pt 6 s. 56(5)-(5)(c): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; October 16, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Pt 6 s. 56(1)-(3)(c), (4)-(6): England, Wales, Scotland

Pt 6 s. 56(3)(d)-(3)(e): (extent not available)

**57 Meaning of “Wales-only service” and “Welsh service”**

(1) In this Act—

“Wales-only service” means a railway passenger service which—

(a) starts and ends in Wales and does not make any other scheduled calls outside Wales; [...]¹

(b) [...]¹

[“Welsh component of a Welsh service” means a Welsh service (other than a Wales-only service) so far as it involves the carriage of passengers by railway in Wales, but not any part of the service excluded by subsection (1A);]²

“Welsh service” means a railway passenger service which starts in Wales, ends in Wales or otherwise makes at least one scheduled call in Wales.

[(1A) For the purposes of the definition of “Welsh component of a Welsh service” in subsection

(1) the following parts of a service are excluded—

(a) any part of the service after the last scheduled call wholly in Wales before each occasion when the service leaves Wales;

(b) any part of the service before the first scheduled call wholly in Wales after each occasion when the service enters Wales; and

(c) any part of the service between two scheduled calls not wholly in Wales where there is no intervening scheduled call wholly in Wales.

] ³

(2)-(3) [...]⁴

Notes

¹ Repealed by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.63(2)(a) (June 13, 2018)

² Definition inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.63(2)(b) (June 13, 2018)

³ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.63(3) (June 13, 2018)

- ⁴ Repealed by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.63(4) (June 13, 2018)

Commencement

Pt 6 s. 57(1)-(3): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Pt 6 s. 57-(1) definition of "Wales only service" (b), (1) definition of "Welsh service", (2)-(3): England, Wales, Scotland

Pt 6 s. 57(1) definition of "Welsh component of a Welsh service", (1A)-(1A)(c): (extent not available)

The text of this provision varies depending on jurisdiction or other application. See parallel texts relating to:

[Scotland](#) | [England and Wales](#)

✓ Law In Force

Scotland

58 General interpretation

(1) In this Act–

“the 1993 Act” means the Railways Act 1993 (c. 43);

“the 2000 Act” means the Transport Act 2000 (c. 38);

“contravention” includes a failure to comply and cognate expressions are to be construed accordingly;

“Wales-only service” [, “Welsh component of a Welsh service”]¹ and “Welsh service” have the meanings given by section 57.

(2) An expression which is given a meaning by any provision of the 1993 Act for the purpose either of that Act or of Part 1 of it has the same meaning in this Act as in that Act or (as the case may be) that Part.

(3) In this Act a reference to a Passenger Transport Authority, to a Passenger Transport Executive or to a passenger transport area is a reference to the authority, executive or area which is such an Authority, Executive or area for the purposes of Part 2 of the Transport Act 1968 (c. 73).

(4) For the purposes of this Act a company is wholly owned by a person at any time when it has no members other than one or more persons falling within the following paragraphs–

(a) that person;

(b) a company which is wholly owned by that person;

(c) a person acting on behalf of that person or of such a company.

(5) For the purposes of this Act a company is jointly owned by two or more persons (“the relevant persons”) at any time when (without being wholly owned by a person) it has no members other than two or more persons falling within the following paragraphs–

(a) the relevant persons;

- (b) a company which is jointly owned by two or more of the relevant persons or which is wholly owned by one of them;
- (c) a person acting on behalf of one or more of the relevant persons or of such a company.

Notes

- ¹ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.64 (June 13, 2018)

England and Wales

[58 General interpretation

(1) In this Act–

- “the 1993 Act” means the Railways Act 1993 (c. 43);
- “the 2000 Act” means the Transport Act 2000 (c. 38);
- “contravention” includes a failure to comply and cognate expressions are to be construed accordingly;
- “Wales-only service” [, “Welsh component of a Welsh service”]² and “Welsh service” have the meanings given by section 57.

(2) An expression which is given a meaning by any provision of the 1993 Act for the purpose either of that Act or of Part 1 of it has the same meaning in this Act as in that Act or (as the case may be) that Part.

(3) In this Act a reference to an Integrated Transport Authority or a Passenger Transport Authority, to a Passenger Transport Executive or to an integrated transport area or a passenger transport area is a reference to the authority, executive or area which is such an Authority, Executive or area for the purposes of Part 2 of the Transport Act 1968 (c. 73).

(4) For the purposes of this Act a company is wholly owned by a person at any time when it has no members other than one or more persons falling within the following paragraphs–

- (a) that person;
- (b) a company which is wholly owned by that person;
- (c) a person acting on behalf of that person or of such a company.

(5) For the purposes of this Act a company is jointly owned by two or more persons (“the relevant persons”) at any time when (without being wholly owned by a person) it has no members other than two or more persons falling within the following paragraphs–

- (a) the relevant persons;
- (b) a company which is jointly owned by two or more of the relevant persons or which is wholly owned by one of them;
- (c) a person acting on behalf of one or more of the relevant persons or of such a company.

]¹

Notes

- ¹ Amended by Local Transport Act 2008 c. 26 Sch.4(4) para.66(4) (February 9, 2009)


- ² Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.64 (June 13, 2018)

Commencement

Pt 6 s. 58(1)-(5)(c): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Pt 6 s. 58-(5)(c): England, Wales, Scotland

 Partially In Force

59 Consequential amendments, transitional provisions and repeals

(1) Schedule 12 (which contains consequential and minor amendments) has effect.

(2) The Secretary of State may make a scheme making such modifications of the provisions of any licence or licence exemption granted under section 7(3) of the 1993 Act as appear to him to be necessary or expedient in consequence of any provision falling within subsection (3) by virtue of which—

- (a) functions are transferred (with or without modifications) from one person to another; or
- (b) functions corresponding (with or without modifications) to functions previously conferred on one person become functions of another.

(3) Those provisions are—

- (a) section 1 and Schedule 1;
- (b) section 2 and Schedule 3;
- (c) section 21 and Schedule 6; and
- (d) section 48.

(4) A scheme under subsection (2) may include provision for things done by or in relation to a person who previously had a function to be treated as done by or in relation to the person on whom that function, or the corresponding function, is conferred by virtue of this Act.

(5) Where a scheme under subsection (2) makes a modification of the provisions of a licence or licence exemption, the Secretary of State must—

- (a) in the case of a modification of the provisions of a licence, notify the licence holder; and
- (b) in the case of a modification of the provisions of a licence exemption granted under section 7(3) of the 1993 Act, give such notice as he considers appropriate for bringing the modification to the attention of persons likely to be affected by it.

[(5A) Subsections (2) to (5) have effect in relation to a [railway undertaking]² licence and a holder of a [railway undertaking]² licence as they have effect in relation to a licence and a licence holder respectively.]¹

(6) The provisions in Part 1 of Schedule 13 (which include some that are spent) are repealed to the extent shown in the second column of that Part.

(7) Those repeals have effect subject to the savings in Part 2 of that Schedule.

Notes

- ¹ Added by Railway (Licensing of Railway Undertakings) Regulations 2005/3050 Sch.1(1) para.6 (November 28, 2005)
- ² Words substituted by Railway (Licensing of Railway Undertakings) (Amendment etc.) (EU Exit) Regulations 2019/700 Pt 3 reg.25(3) (December 31, 2020: shall come into force on IP completion day not exit day as specified in 2020 c.1 s.39(1) and Sch.5 para.1(1))

Commencement

Pt 6 s. 59(1): June 8, 2005 for provisions specified in SI 2005/1444 Sch.1; July 24, 2005 for provisions specified in SI 2005/1909 Sch.1; October 16, 2005 for provisions specified in SI 2005/2812 Sch.1; November 21, 2005 for provisions specified in SI 2005/2812 Sch.2; April 1, 2006 for provisions specified in SI 2006/266 Sch.1; August 1, 2006 for provisions specified in SI 2006/1951 art.2(f), (h) and (i); December 1, 2006 for provisions specified in SI 2006/2911 art.2 and Sch.2; not yet in force otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), art. 2(2), Sch. 1 para. 1, Sch. 2 para. 1; SI 2006/266 art. 2(2), Sch. 1; SI 2006/1951 art. 2(2)(f), art. 2(2)(h), art. 2(2)(i); SI 2006/2911 art. 2, Sch. 1)

Pt 6 s. 59(2)-(5)(b): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Pt 6 s. 59(6): June 8, 2005 for repeals specified in SI 2005/1444 Sch.1; June 26, 2005 for repeals specified in SI 2005/1444 Sch.2; July 24, 2005 for repeals specified in SI 2005/1909 Sch.1; October 16, 2005 for repeals specified in SI 2005/2812 Sch.1; October 13, 2005 for repeals specified in SI 2005/2812 Sch.1; November 21, 2005 for repeals specified in SI 2005/2812 Sch.2; April 1, 2006 for repeals specified in SI 2006/266 Sch.1; August 1, 2006 for the repeal specified in SI 2006/1951 art.2(g) and (j); December 1, 2006 for provisions specified in SI 2006/2911 art.2 and Sch.2; January 29, 2007 for repeals specified in SI 2007/62 art.2(c); not yet in force otherwise (SI 2005/1444 art. 2(1), art. 2(2), Sch. 1 para. 1, Sch. 2 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), art. 2(2), Sch. 1 para. 1, Sch. 2 para. 1; SI 2006/266 art. 2(2), Sch. 1; SI 2006/1951 art. 2(2)(g), art. 2(2)(j); SI 2006/2911 art. 2, Sch. 1; SI 2007/62 art. 2(2)(c))

Pt 6 s. 59(7): October 16, 2005 for provisions specified in SI 2005/2812 Sch.1; December 1, 2006 for provisions specified in SI 2006/2911 art.2 and Sch.2; not yet in force otherwise (SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Extent

Pt 6 s. 59(1)-(7): England, Wales, Scotland



Law In Force

60 Short title, commencement and extent

(1) This Act may be cited as the Railways Act 2005.

(2) This Act (apart from this section and section 56(1)) shall come into force on such day as the Secretary of State by order appoints; and different days may be appointed for different purposes.

(3) The Secretary of State may by order make such transitional provisions and savings in connection with the bringing into force of—

(a) section 21,

(b) Part 4 of this Act, or

(c) the repeal of sections 37 to 49 of the 1993 Act or of Schedule 5 to that Act (closures), as he thinks fit.

- (4) An order containing provision made by virtue of subsection (3) is subject to the negative resolution procedure.
- (5) The following provisions of this Act extend to England and Wales only–
- (a) section 13;
 - (b) section 39; and
 - (c) section 52.
- (6) This Act does not extend to Northern Ireland.

Commencement

Pt 6 s. 60(1)-(6): April 7, 2005

Extent

Pt 6 s. 60(1)-(6): England, Wales, Scotland

SCHEDULE 1**TRANSFER ETC. OF FUNCTIONS OF THE STRATEGIC RAIL AUTHORITY****Section 1****PART 1****TRANSFER AND ABOLITION OF FUNCTIONS**

Transfer to ORR of consumer protection and other functions relating to licensing

 Law In Force

1

- (1) In section 7 of the 1993 Act–
- (a) in subsections (1) and (3) (consultation with SRA about exemptions), omit “and the Authority”; and
 - (b) subsections (5A), (6A) and (8A) (consumer protection conditions) shall cease to have effect.
- (2) In subsection (9) of that section, for “subsections (6) and (6A)” substitute “subsection (6)”.

Commencement

Sch. 1(1) para. 1(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 1-(2): England, Wales, Scotland

✓ Law In Force

2

Section 7A of the 1993 Act (consumer protection conditions) shall cease to have effect.

Commencement

Sch. 1(1) para. 2: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 2: England, Wales, Scotland

✓ Law In Force

3

- (1) In section 8 of the 1993 Act (licences), in subsection (1)–
- (a) in paragraph (a), omit “and the Authority”;
 - (b) in paragraph (b), omit “given after consultation with the Authority”.
- (2) In subsection (2) of that section, paragraph (a) shall cease to have effect.
- (3) In subsection (6) of that section (consent required for surrender of licence), for “and the Authority consent” substitute “consents”.
- (4) In subsection (7) of that section–
- (a) in paragraph (a), omit “, to the Authority”; and
 - (b) in paragraph (b), for “Authority” substitute “Secretary of State”.
- (5) In subsection (8) of that section, omit “and the Authority”.

Commencement

Sch. 1(1) para. 3(1)-(5): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 3-(5): England, Wales, Scotland

✓ Law In Force

4

In section 11 of the 1993 Act (assignment of licences)–

- (a) in subsection (2)(b), omit “and the Authority”;
- (b) in subsection (4), omit “or persons”.

Commencement

Sch. 1(1) para. 4(a)-(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 4-(b): England, Wales, Scotland

✓ Law In Force

5

(1) In section 12 of the 1993 Act, subsections (1A) to (1C) (modification of consumer protection conditions) shall cease to have effect.

(2) In subsection (2) of that section, for “of any conditions of a licence which do not relate to consumer protection” substitute “under this section”.

Commencement

Sch. 1(1) para. 5(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 5-(2): England, Wales, Scotland

✓ Law In Force

6

In section 13 of the 1993 Act (modification references to Competition Commission)–

- (a) for “the appropriate authority”, wherever occurring, substitute “the Office of Rail Regulation”; and
- (b) subsections (1A) to (1C) shall cease to have effect.

Commencement

Sch. 1(1) para. 6(a)-(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 6-(b): England, Wales, Scotland

✓ Law In Force

7

In section 13A of the 1993 Act (time limits under section 13), for “the appropriate authority”, wherever occurring, substitute “the Office of Rail Regulation”.

Commencement

Sch. 1(1) para. 7: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 7: England, Wales, Scotland

✓ Law In Force

8

In section 14 of the 1993 Act (reports on modification references)–

- (a) for “the appropriate authority”, wherever occurring, substitute “the Office of Rail Regulation”; and
- (b) subsection (5A) shall cease to have effect.

Commencement

Sch. 1(1) para. 8(a)-(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 8-(b): England, Wales, Scotland

✓ Law In Force

9

In section 15 of the 1993 Act (modification following report)–

- (a) subsections (1B) and (3A) (reports to the SRA) shall cease to have effect;
- (b) in subsections (2), (4A), (4B), (4C) and (4D), omit “or Authority”, wherever occurring; and
- (c) in subsection (4), omit “or (3A)” and “or the Authority”.

Commencement

Sch. 1(1) para. 9(a)-(c): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 9-(c): England, Wales, Scotland

✓ Law In Force

10

(1) This paragraph applies to things done under or for the purposes of any provision of sections 13 to 15C of the 1993 Act (modification of licences) so far as they were done before the commencement of this paragraph by or in relation to the Strategic Rail Authority as the appropriate authority.

(2) In relation to times after the commencement of this paragraph, those things shall have effect, so far as necessary for giving them continuing validity or effect, as if done by or in relation to the [Office of Rail and Road]¹.

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(r) (October 16, 2015)

Commencement

Sch. 1(1) para. 10(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 10(2): England, Wales, Scotland

Transfers relating to the provision, improvement or development of railway facilities

✓ Law In Force

11

(1) In sections 16A, 16C(3), 16D, 16E(2)(a), 16F(3)(a) and 16G of the 1993 Act (directions by Office of Rail Regulation, on applications made by or with the consent of the SRA, to provide, improve or develop railway facilities), for “Authority”, wherever occurring, substitute “appropriate facilities authority”.

(2) In section 16A of that Act, in subsection (3), for “Authority's consent” substitute “consent of the appropriate facilities authority”.

(3) In that section, after that subsection insert—

“(3A) In this section and sections 16B to 16G below ‘the appropriate facilities authority’ –
(a) in relation to facilities in Scotland, means the Scottish Ministers; and
(b) in relation to any other facilities, means the Secretary of State.”

(4) In section 16B(1) and (4) of that Act (exemptions of facilities from section 16A), for “Secretary of State”, in each place, substitute, “appropriate facilities authority”.

(5) In section 16B of that Act, after subsection (6) insert—

“(7) A statutory instrument containing an order made under this section by the Scottish Ministers shall be subject to annulment in pursuance of a resolution of the Scottish Parliament.”

(6) An exemption granted under subsection (1) of section 16B of that Act before the commencement of this paragraph—

- (a) which is in force at the time of the commencement of this paragraph or is to come into force after that time, and
- (b) is contained in an order the power to make which is exercisable after that time by the Scottish Ministers,

is to have effect after that time as if contained in an order made by those Ministers which is not subject to subsection (7) of that section.


Commencement

Sch. 1(1) para. 11(1)-(6)(b): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 11-(6)(b): England, Wales, Scotland

Transfer of functions relating to access agreements

 Law In Force

12

(1) In sections 17 to 19 of the 1993 Act (access agreements) except in sections 17(4) and 19(7), for “the Authority”, wherever occurring, substitute “the Secretary of State”.

(2) In each of sections 17(4) and 19(7) (references to operating on behalf of SRA)—

- (a) for “Authority”, where first occurring, substitute “Secretary of State”;
- (b) for “Authority”, in the second place, substitute “Secretary of State or the Scottish Ministers”; and
- (c) for “the Authority”, in the third and fourth places, substitute “him or them”.

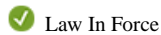
(3) In section 18(6A)(b) of that Act, for “its” substitute “his”.

Commencement

Sch. 1(1) para. 12(1)-(3): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 1(1) para. 12-(3): England, Wales, Scotland

Transfer of functions relating to franchise agreements**13**

(1) In section 23 of the 1993 Act (passenger services to be subject to franchise agreements), in subsections (1) and (2), for “Authority”, wherever occurring, substitute “appropriate designating authority”.

(2) After subsection (2) of that section insert–

“(2ZA) Where the Scottish Ministers designate Scotland-only services, they may also designate cross-border services which–

- (a) they consider should be provided under the same franchise agreement as particular Scotland-only services or a particular class of them; and
- (b) are not exempt from designation under subsection (1) by virtue of section 24.

(2ZB) Nothing in this section requires the Secretary of State to designate a cross-border service already designated by the Scottish Ministers.

(2ZC) Before the Secretary of State or the Scottish Ministers designate a cross-border service he or they must consult the other.”

(3) Subsection (2B) of that section (publication of designations etc.) shall cease to have effect.

(4) In subsection (3) of that section–

(a) before the definition of “franchise agreement” insert–

““the appropriate designating authority” –

- (a) in relation to Scotland-only services, means the Scottish Ministers; and
- (b) in relation to all other services, means the Secretary of State;

“the appropriate franchising authority” –

- (a) in relation to a Scottish franchise agreement, means the Scottish Ministers; and
- (b) in relation to any other franchise agreement, means the Secretary of State;”

(b) in the definition of “franchise agreement”, for “with the Authority” substitute “with the Secretary of State, with the Scottish Ministers or with the Secretary of State and the National Assembly for Wales jointly;”.

(5) Every designation made by the Strategic Rail Authority under section 23 of the 1993 Act which is in force immediately before the commencement of sub-paragraph (1) shall have effect after the commencement of that sub-paragraph as a designation in accordance with that section–

- (a) in the case of services that at that time were being provided under a franchise agreement the franchised services under which consist of or include Scotland-only services, by the Scottish Ministers; and
- (b) in any other case, by the Secretary of State.

Commencement

Sch. 1(1) para. 13(1)-(4): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)


Sch. 1(1) para. 13(4)(a): July 24, 2005 in relation to the Secretary of State; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Sch. 1(1) para. 13(4)(b): July 24, 2005 in relation to an agreement to which either the Secretary of State is party or the Secretary of State and the National Assembly for Wales are jointly party; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Sch. 1(1) para. 13(5)-(5)(b): July 24, 2005 in relation to a designation which is to have effect as a designation by the Secretary of State; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 13(1)-(5)(b): England, Wales, Scotland

 Law In Force

14

(1) Section 24 of the 1993 Act (franchise exemptions granted by the Secretary of State) is amended as follows.

(2) In subsections (1) to (5) and (9), for “Secretary of State”, wherever occurring, substitute “appropriate designating authority”.

(3) In subsection (3)(a) and (b), for “he” in each place substitute “the appropriate designating authority”.

(4) After subsection (3) insert—

“(3A) Before granting a franchise exemption in respect of a cross-border service, the Secretary of State must consult the Scottish Ministers.”

(5) In subsection (4), for “he”, in both places, substitute “it”.

(6) In subsection (6), for “is not complied with, the Secretary of State” substitute “granted by the appropriate designating authority is not complied with, it”.

(7) In subsection (9), for “him”, in each place, substitute “it”.

(8) After subsection (12) insert—

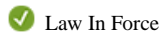
“(12A) A statutory instrument containing an order under this section by the Scottish Ministers is subject to annulment in pursuance of a resolution of the Scottish Parliament.”

Commencement

Sch. 1(1) para. 14(1)-(8): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 14(8): England, Wales, Scotland



Law In Force

15

(1) Section 26 of the 1993 Act (invitation to tender for franchises) is amended as follows.

(2) In subsection (1), for the words from the beginning to “Authority” substitute “The appropriate franchising authority may select the person who is to be the franchisee in relation to a franchise agreement”.

(3) In subsections (2) and (3), for “Authority”, wherever occurring, substitute “appropriate franchising authority”.

(4) Subsection (4) shall cease to have effect.

(5) For subsections (5) to (10) (statement by the Secretary of State about his power to give directions) substitute—

“(4A) The Secretary of State and the Scottish Ministers shall each publish a statement of policy about how he proposes, or (as the case may be) they propose, to exercise the power under subsection (1) above.

(4B) The statement must in particular include the policy of the Secretary of State or the Scottish Ministers about—

- (a) when his or their selection of the person to be a franchisee under a franchise agreement is likely to be from those submitting tenders in response to an invitation to do so;
- (b) when it is likely such an invitation will not be issued; and
- (c) the means by which he is, or they are, proposing that the selection will be made in cases where there is no such invitation.

(4C) In deciding whether to select the person who is to be the franchisee under a franchise agreement by means of an invitation to tender and whom so to select, the appropriate franchising authority must have regard to its statement of policy.

(4D) The Secretary of State or Scottish Ministers—

- (a) may at any time alter or replace the statement of policy which he has made or (as the case may be) which they have made; and
- (b) where that statement is altered or replaced, must publish the altered or replacement statement.

(4E) Before preparing, altering or replacing a statement of policy—

- (a) the Secretary of State must consult the National Assembly for Wales and undertake such other consultation as he considers appropriate; and
- (b) the Scottish Ministers must undertake such consultation as they consider appropriate.

(4F) Where a statement of policy is prepared, altered or replaced, a copy of it must be laid—

- (a) in the case of a statement prepared, altered or replaced by the Secretary of State, before Parliament; and

(b) in the case of a statement prepared, altered or replaced by the Scottish Ministers, before the Scottish Parliament.”

(6) The fact that a statement of policy has not been published by any person under section 26(4A) of the 1993 Act does not affect the validity of any selection made as mentioned in section 26(1) of that Act.

Commencement

Sch. 1(1) para. 15(1)-(6): July 24, 2005 in relation to the Secretary of State; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 15-(6): England, Wales, Scotland

✓ Law In Force

16

For sections 26A, 26B and 26C of the 1993 Act (directions of the Secretary of State where no tenders or tenders appear unsatisfactory) substitute—

“26ZA No adequate tender for franchise received

(1) This section applies in the case of an invitation to tender under section 26 for the provision of services if—

- (a) the appropriate franchising authority receives no tender in response to the invitation; or
- (b) it receives a tender but considers that the services would be provided more economically and efficiently if they were provided otherwise than under a franchise agreement entered into in response to the tender.

(2) The appropriate franchising authority may—

- (a) issue a new invitation to tender under section 26 for the provision of the services;
- (b) decide to secure the provision of the services under a franchise agreement with a person who did not submit a tender; or
- (c) decide not to seek to secure the provision of the services under a franchise agreement.

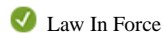
(3) Nothing in this section prevents the appropriate franchising authority, where it has decided not to seek to secure the provision of services under a franchise agreement, from subsequently making a decision to issue a new invitation to tender for the provision of those services.”

Commencement

Sch. 1(1) para. 16: July 24, 2005 in relation to the Secretary of State; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 16-: England, Wales, Scotland



Law In Force

17

(1) In section 27 of the 1993 Act (transfer of franchise assets or shares), for “Authority”, wherever occurring, substitute “appropriate franchising authority”.

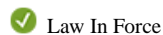
(2) In subsection (8) and (9) of that section, for “Schedule 21 to the Transport Act 2000” substitute “section 12 of the Railways Act 2005”.

Commencement

Sch. 1(1) para. 17(1)-(2): July 24, 2005 in relation to the Secretary of State; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 17-(2): England, Wales, Scotland



Law In Force

18

(1) In section 28 of the 1993 Act (fares and approved discount fare schemes), in subsection (2), for “Authority”, substitute “appropriate franchising authority”.

(2) In subsection (4)–

- (a) after “regarded” insert “, in relation to a franchise agreement,”; and
- (b) for “Authority” substitute “appropriate franchising authority”.

(3) Discount fare schemes which immediately before the commencement of this paragraph are approved for the purposes of section 28 of the 1993 Act are to be treated after the commencement of this paragraph as approved for the purposes of that section by the appropriate franchising authority.

Commencement

Sch. 1(1) para. 18(1)-(3): July 24, 2005 in relation to the Secretary of State; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 18-(3): England, Wales, Scotland

✓ Law In Force

19

In section 29 of the 1993 Act (other terms and conditions of franchise agreements), for “Authority”, wherever occurring, substitute “appropriate franchising authority”.

Commencement

Sch. 1(1) para. 19: July 24, 2005 in relation to the Secretary of State; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 19-: England, Wales, Scotland

Transfer of functions as operator of last resort

✓ Law In Force

20

(1) In section 30 of the 1993 Act (operator of last resort to provide or secure provision of service where no franchise agreement), for “Authority”, wherever occurring, substitute “relevant franchising authority”.

(2) Subsection (1)(a) shall cease to have effect.

(3) In subsection (2), for “begin (or again begin) to be provided” substitute “begin to be provided again”.

(4) After subsection (3) of that section, insert–

“(3A) For the purposes of this section the Secretary of State and the Scottish Ministers shall each have power–

(a) to provide or operate network services, station services or light maintenance services; or

(b) to store goods or consign them from a place to which they have been carried by rail;

and the Scottish Ministers shall have power to provide Scotland-only services and cross-border services.

(3B) In this section “relevant franchising authority” means the person who was the appropriate franchising authority in relation to the franchise agreement that has been terminated or otherwise come to an end.”

(5) Where immediately before the commencement of this paragraph any service is being provided or secured by the Strategic Rail Authority by virtue of section 30 of the 1993 Act, that section is to have effect after the commencement of this paragraph as if–

- (a) the condition in subsection (1)(b) of that section were satisfied; and
- (b) the relevant franchising authority were—
 - (i) except where sub-paragraph (ii) applies, the Secretary of State; and
 - (ii) where the franchised services under the franchise agreement in accordance with which the services in question were last provided included Scotland-only services, the Scottish Ministers.

Commencement

Sch. 1(1) para. 20(1): July 24, 2005 in relation to services for which the Secretary of State is the relevant franchising authority; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Sch. 1(1) para. 20(2)-(3): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

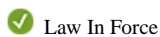
Sch. 1(1) para. 20(4): July 24, 2005 except in relation to the insertion of 1993 c.43 s.30(3A) as it applies to Scottish Ministers; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Sch. 1(1) para. 20(5)-(5)(b)(ii): July 24, 2005 in relation to services for which the Secretary of State is to be treated as the relevant franchising authority; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 20(1)-(5)(b)(ii): England, Wales, Scotland

Transfer etc. of functions relating to enforcement



Law In Force

21

- (1) Section 55 of the 1993 Act (orders for securing compliance) is amended as follows.
- (2) In subsections (1), (2) and (4), for “(5B)”, in each place, substitute “(5C)”.
- (3) In subsection (5), omit “or, as the case may be, section 207 of the Transport Act 2000”.
- (4) In subsection (5ZA)—
 - (a) for “The Authority shall not” substitute “Neither the Secretary of State nor the Scottish Ministers shall”;
 - (b) in paragraph (a), for “it has” and “the Authority” substitute, respectively “the Secretary of State has or (as the case may be) those Ministers have” and “him or them”; and
 - (c) in paragraph (c), for “the Authority” substitute “the Secretary of State or (as the case may be) the Scottish Ministers”.
- (5) After subsection (5B) insert—

“(5C) Neither the Secretary of State nor the Scottish Ministers shall be required, in respect of any contravention or apprehended contravention of the terms of a franchise agreement, to make a final order, or to make or to confirm a provisional order, if he considers or (as the case may be) they consider—

 - (a) that the contravention or apprehended contravention is trivial; and

(b) that it would be inappropriate, for that reason, to make or to confirm the order.

(5D) The appropriate authority must comply with subsection (6)–

(a) in a case where the appropriate authority is the Secretary of State or the Scottish Ministers, if that authority decides not to make a final order, or not to make or to confirm a provisional order, because of provision contained in subsection (5) or (5ZA) above; or

(b) in the case of the Office of Rail Regulation, if it decides not to make a final order, or not to make or to confirm a provisional order, because of provision contained in subsection (5), (5A) or (5B) above.”

(6) In subsection (6) (notice of decisions), for the words from the beginning to the end of paragraph (a) substitute–

“(6) Where the appropriate authority must comply with this subsection, it must–

(a) serve notice of its decision on the relevant operator; and”.

(7) In subsection (7A), for “to the Authority in the event of any specified contravention of the order such” substitute

“in the event of a specified contravention of the order–

(a) in the case of an order made by the Scottish Ministers, to them, and

(b) in any other case, to the Secretary of State,
such”.

(8) In subsection (10)–

(a) in paragraph (a) of the definition of “the appropriate authority”, omit “apart from a condition which relates to consumer protection,”;

(b) for paragraph (b) substitute–

“(aa) in relation to any relevant condition or requirement in the case of–

(i) a franchisee under a Scottish franchise agreement,

(ii) a franchise operator in relation to such an agreement, or

(iii) a person under Scottish closure restrictions,

the Scottish Ministers; and

(b) in relation to any relevant condition or requirement in the case of–

(i) a franchisee not falling within paragraph (aa)(i),

(ii) a franchise operator not falling within paragraph (aa)(ii), or

(iii) a person under closure restrictions that are not Scottish closure restrictions,

the Secretary of State;”.

Commencement

Sch. 1(1) para. 21(1): July 24, 2005 in relation to provisions specified in SI 2005/1909 Sch.1; October 16, 2005 in relation to provisions specified in SI 2005/2812 Sch.1; December 1, 2006 otherwise as specified in SI 2006/2911 art.2 and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)


Sch. 1(1) para. 21(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Sch. 1(1) para. 21(3): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Sch. 1(1) para. 21(4)-(8)(b): July 24, 2005 except as specified in SI 2005/1909 Sch.1; October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; December 1, 2006 otherwise as specified in SI 2006/2911 art.2 and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 1(1) para. 21(1)-(8)(b): England, Wales, Scotland

 Law In Force

22


In section 56(2A) of the 1993 Act (procedural requirements for section 55 orders), for the words from “Authority”, where first occurring, to the end of the subsection substitute “Secretary of State and on the Scottish Ministers.”

Commencement

Sch. 1(1) para. 22: July 24, 2005 except as specified in SI 2005/1909 Sch.1; October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; December 1, 2006 otherwise as specified in SI 2006/2911 art.2 and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 1(1) para. 22-: England, Wales, Scotland

 Law In Force

23

(1) Section 57A of the 1993 Act (penalties) is amended as follows.

(2) In subsection (2), for “to the Authority” substitute—

“(a) in the case of a penalty imposed by the Scottish Ministers, to them; and
(b) in any other case, to the Secretary of State”.

(3) In subsection (5)—

(a) for “The Authority shall not” substitute “Neither the Secretary of State nor the Scottish Ministers shall”;

(b) in paragraph (a), for “it has” and “the Authority” substitute, respectively, “the Secretary of State has or (as the case may be) those Ministers have” and “him or them”; and

(c) in paragraph (c), for “the Authority” substitute “the Secretary of State or (as the case may be) the Scottish Ministers”.

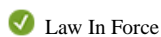
Commencement

Sch. 1(1) para. 23(1): July 24, 2005 for provisions specified in SI 2005/1909 Sch.1; October 16, 2005 for provisions specified in SI 2005/2812 Sch.1; December 1, 2006 otherwise as specified in SI 2006/2911 art.2 and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Sch. 1(1) para. 23(2)-(3)(c): July 24, 2005 except as specified in SI 2005/1909 Sch.1; October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; December 1, 2006 otherwise as specified in SI 2006/2911 art.2 and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 1(1) para. 23(1)-(3)(c): England, Wales, Scotland



Law In Force

24

(1) In section 57B of the 1993 Act–

- (a) for “Authority”, wherever occurring, substitute “Secretary of State, the Scottish Ministers”; and
- (b) in subsections (3) and (4), after “statement of” insert “his, their or”.

(2) The fact that a statement of policy has not been published by the Secretary of State, by the Scottish Ministers or by the [Office of Rail and Road]¹ under section 57B of the 1993 Act does not affect–

- (a) the validity of any decision to impose a penalty under section 57A;
- (b) any determination of the amount of any such penalty;
- (c) the inclusion in a final or provisional order of any requirement to pay a sum; or
- (d) any determination of the amount of the sum payable in accordance with such an order.

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(r) (October 16, 2015)

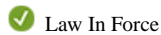
Commencement

Sch. 1(1) para. 24(1)-(1)(b): July 24, 2005 except as specified in SI 2005/1909 Sch.1; October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; December 1, 2006 otherwise as specified in SI 2006/2911 art.2 and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Sch. 1(1) para. 24(2)-(2)(d): July 24, 2005 except as specified in SI 2005/1909 art.2 and Sch.1; October 16, 2005 otherwise as specified in SI 2005/2812 art.2(1) and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 24(1)-(2)(d): England, Wales, Scotland

**25**

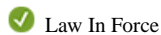
In section 57C(3) of the 1993 Act (service of penalty notices), for the words from “Authority”, where first occurring, to the end of the subsection substitute “Secretary of State and on the Scottish Ministers.”

Commencement

Sch. 1(1) para. 25: July 24, 2005 except as specified in SI 2005/1909 art.2 and Sch.1; October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; December 1, 2006 otherwise as specified in SI 2006/2911 art.2 and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 1(1) para. 25-: England, Wales, Scotland

**26**

(1) This paragraph applies to things done under or for the purposes of any provision of sections 55 to 58 of the 1993 Act (enforcement) so far as they were done before the commencement of this paragraph by or in relation to the Strategic Rail Authority as the appropriate authority.

(2) In relation to times after the commencement of this paragraph, those things shall have effect, so far as necessary for giving them continuing validity or effect—

(a) so far as they are things done by or in relation to the Strategic Rail Authority as the appropriate authority in relation to a condition relating to consumer protection, as if they were done by or in relation to the Secretary of State or the Scottish Ministers, as the case may require; and

(b) in any other case, as if they were done by or in relation to the [Office of Rail and Road]¹ .

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(r) (October 16, 2015)

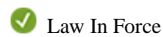
Commencement

Sch. 1(1) para. 26(1)-(2)(b): July 24, 2005 except as specified in SI 2005/1909 art.2 and Sch.1; October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; December 1, 2006 otherwise as specified in SI 2006/2911 art.2 and Sch.1 (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 1(1) para. 26-(2)(b): England, Wales, Scotland

Abolition of functions relating to railway administration orders



Law In Force

27

(1) The following provisions of the 1993 Act (which relate to applications by the SRA for railway administration orders and to notices to the SRA about insolvency proceedings against protected railway companies) shall cease to have effect—

- (a) section 61(1)(a)(ii) and (2)(b); and
- (b) section 62(2)(a)(ii), (3)(b), (5)(a)(ii), (6)(b) and (7)(b).

(2) Where a railway administration order is in force immediately before the commencement of this paragraph in relation to a company, things done by or in relation to the Strategic Rail Authority for the purposes of or in connection with that order and by virtue of—

- (a) any provision of sections 59 to 62 of the 1993 Act, or
- (b) any provision of Schedule 6 or 7 to that Act, or of the Insolvency Act 1986 (c. 45) as modified by Schedule 6 to the 1993 Act,

are to have effect, so far as necessary for giving them continuing validity and effect, as if done by the appropriate national authority (within the meaning of Part 1 of the 1993 Act).

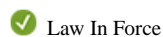
Commencement

Sch. 1(1) para. 27(1)-(2)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 27-(2)(b): England, Wales, Scotland

Abolition of duty to investigate contravention of consumer protection conditions



Law In Force

28

Section 71A of the 1993 Act (duty to investigate contraventions of consumer protection conditions) shall cease to have effect.

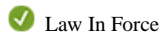
Commencement

Sch. 1(1) para. 28: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 28: England, Wales, Scotland

Transfer of function of maintaining code of practice for protection of disabled rail users



29

- (1) In section 71B of the 1993 Act (code of practice for protection of disabled rail users), for “Authority”, in each place, substitute “Secretary of State”.
- (2) The code of practice under section 71B of the 1993 Act that is in force immediately before the commencement of this paragraph is to have effect after the commencement of this paragraph as if prepared and published by the Secretary of State.
- (3) The Strategic Rail Authority must provide the Secretary of State with particulars of any consultation under section 71B(2) of the 1993 Act which was undertaken before the commencement of this paragraph by that Authority in relation to future revisions of the code; and that consultation is to be treated for the purposes of any revision after the commencement of this paragraph as having been undertaken by the Secretary of State.

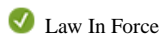
Commencement

Sch. 1(1) para. 29(1)-(3): June 26, 2005 (SI 2005/1444 art. 2(2), Sch. 2 para. 1)

Extent

Sch. 1(1) para. 29-(3): England, Wales, Scotland

Transfer of functions relating to maintenance of register



30

- (1) In section 73 of the 1993 Act (register maintained by the SRA), for “Authority”, wherever occurring, substitute “Secretary of State”.
- (2) In subsection (1) of that section, for “it” substitute “he”.
- (3) In subsection (2) of that section—
- (a) for the words from “subsection (3)” to “subsection (4)” substitute “subsections (3) and (4)”;
 - (b) after “in the register” insert “(except so far as they are required to be entered in the register maintained under section 73A below)”;
 - (c) in paragraph (e) for “it”, in each place, substitute “he”; and
 - (d) after paragraph (g) insert—
- “(ga) every designation under section 23 and every variation or revocation of such a designation;”.
- (4) For subsection (3) of that section substitute—

“(3) The Secretary of State may enter the provisions of anything in the register in a manner that excludes, so far as practicable, so much of the details of those provisions as he considers it appropriate to exclude for the purpose of maintaining the confidentiality of–

- (a) matters relating to the affairs of an individual the publication of which would or might, in the Secretary of State's opinion, seriously and prejudicially affect the interests of that individual; and
- (b) matters relating specifically to the affairs of a particular body of persons the publication of which would or might, in the Secretary of State's opinion, seriously and prejudicially affect the interests of that body.”

(5) In subsection (4) of that section, for the words from “or” to “Authority” substitute “he may decide”.

(6) Subsections (5) and (6) of that section shall cease to have effect.

(7) In subsection (7) of that section–

- (a) after “by”, where first occurring, insert “the Scottish Ministers or”; and
- (b) for “the Office of Rail Regulation may” substitute “the Scottish Ministers and the Office of Rail Regulation may each”.

Commencement

Sch. 1(1) para. 30(1)-(3)(a), (3)(c)-(7)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Sch. 1(1) para. 30(3)(b): October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 30(1)-(7)(b): England, Wales, Scotland

 Law In Force

31

After that section insert–

“73A Keeping of register by the Scottish Ministers

- (1) The Scottish Ministers must maintain a register.
- (2) The register must be kept in such form and at such premises as the Scottish Ministers determine.
- (3) Subject to subsections (4) and (5) below, the Scottish Ministers must cause the provisions of each of the following to be entered in the register–
 - (a) every designation made by them under section 23 of this Act, and every variation or revocation of such a designation;
 - (b) every franchise exemption granted by them;
 - (c) every franchise agreement to which they are a party;
 - (d) every amendment of such a franchise agreement, other than those that are unlikely to have a material effect on the provision of services under the agreement or on the sums payable under it;

- (e) every determination made by them under section 34 of the Railways Act 2005 that a closure is a minor modification or that closures of a particular description are minor modifications;
 - (f) every revocation of a determination made by them under that section in relation to a description of closures;
 - (g) every condition agreed to under subsection (5) of that section in connection with a determination made by them;
 - (h) every final or provisional order made by them;
 - (i) every revocation by them of such an order;
 - (j) every notice given by them under section 55(6) of this Act of a decision not to make such an order;
 - (k) every penalty imposed by them under section 57A of this Act;
 - (l) every statement of policy published by them under section 57B of this Act.
- (4) The Scottish Ministers may enter the provisions of anything in the register in a manner that excludes, so far as practicable, so much of the details of those provisions as they consider it appropriate to exclude for the purpose of maintaining the confidentiality of—
- (a) matters relating to the affairs of an individual the publication of which would or might, in the Scottish Ministers' opinion, seriously and prejudicially affect the interests of that individual; and
 - (b) matters relating specifically to the affairs of a particular body of persons the publication of which would or might, in the Scottish Ministers' opinion, seriously and prejudicially affect the interests of that body.
- (5) If it appears to the Scottish Ministers that the entry of any provision in the register would be against the public interest, they may decide not to enter it in the register.
- (6) The contents of the register must be available for inspection, at any time and free of charge, by the Secretary of State or the Office of Rail Regulation.
- (7) The Secretary of State and the Office of Rail Regulation may each require the Scottish Ministers to supply him or (as the case may be) it free of charge with a certified copy of a part of the register or with a certified extract from it.
- (8) The references in subsection (7) to a certified copy or a certified extract are references to a copy or extract that has been certified by the Scottish Ministers to be a true copy or extract.
- (9) In subsection (3)(d) “amendment”, in relation to a franchise agreement, means any amendment however described, including variations (whether or not effected in accordance with the terms of the agreement or by a modification of it) of the property, rights and liabilities which from time to time constitute the franchise assets.”

Commencement

Sch. 1(1) para. 31: October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 31: England, Wales, Scotland

Transfer of functions relating to the [Passengers' Council]¹

Notes

- ¹ Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(6)(b) (February 25, 2010)
-

 Partially In Force

32

- (1) In section 76 of the 1993 Act (general duties of [Passengers' Council]¹), for “Authority”, wherever occurring (except in subsection (6)(a)), substitute “Secretary of State”.
- (2) In subsection (4) of that section, for “service” substitute “secured service (within the meaning of Part 4 of the Railways Act 2005) which is”.
- (3) In subsection (5) of that section, in the words after paragraph (b)–
- (a) for “its” substitute “his”; and
 - (b) for the word “it”, in the last place where it occurs, substitute “he”.
- (4) In subsection (6)(a) of that section, omit “and the Authority”.
- (5) Subsection (8) of that section shall cease to have effect.
-

Notes

- ¹ Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(6)(a) (February 25, 2010)

Commencement


Sch. 1(1) para. 32(1), (3)–(5): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Sch. 1(1) para. 32(2): December 1, 2006 except as specified in SI 2006/2911 art.2 and Sch.1; not yet in force otherwise (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 1(1) para. 32(1)–(5): England, Wales, Scotland

Transfer of power to require information from licence holders

 Law In Force

33

- (1) In section 80 of the 1993 Act (duty to provide information to the SRA on request), for “Authority”, wherever occurring, substitute “Secretary of State, the Scottish Ministers or the Office of Rail Regulation”.
- (2) In subsection (1) of that section–

- (a) for “it”, in each place, substitute “he, they or it”; and
- (b) for “of its functions” substitute “functions of the Secretary of State, the Scottish Ministers or (as the case may be) that Office”.

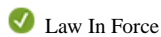
Commencement

Sch. 1(1) para. 33(1)-(2)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 1(1) para. 33-(2)(b): England, Wales, Scotland

Abolition of functions relating to penalty fares



Law In Force

34

In section 130 of the 1993 Act—

- (a) for paragraph (p) of subsection (2) (power to allow Secretary of State or SRA to prohibit the charging of penalty fares by person suspected of contraventions) substitute—

“(p) the imposition by the Secretary of State or the Scottish Ministers of prohibitions on the charging of penalty fares by prescribed persons and in prescribed circumstances.”;

- (b) subsections (5), (6) and (10) (functions conferred on the SRA by penalty fare regulations) shall cease to have effect.

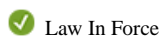
Commencement

Sch. 1(1) para. 34(a)-(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 1(1) para. 34-(b): England, Wales, Scotland

Transfer of functions relating to concessionary travel



Law In Force

35

(1) Section 135 of the 1993 Act (concessionary travel) is amended as follows.

(2) In subsections (2) and (3), for “Authority may” substitute “Secretary of State and the Scottish Ministers may each”.

(3) In subsection (6), for “The Authority may perform any of its functions” substitute “The Secretary of State and the Scottish Ministers may exercise powers and perform duties conferred or imposed on him or them”.

(4) In subsection (7), for “Authority undertakes” substitute “Secretary of State undertakes, or the Scottish Ministers undertake,”.


Commencement

Sch. 1(1) para. 35(1)-(4): July 24, 2005 except in relation to a transfer of functions from the Strategic Rail Authority to the Scottish Ministers; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 35-(4): England, Wales, Scotland

Abolition of certain functions under the 2000 Act

 Law In Force

36

The following provisions of the 2000 Act shall cease to have effect—

- (a) section 213 (powers to provide railway services);
- (b) section 214 (substitute bus and taxi services); and
- (c) section 219 (power to make bye-laws).

Commencement

Sch. 1(1) para. 36(a): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Sch. 1(1) para. 36(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

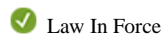
Sch. 1(1) para. 36(c): December 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(1) para. 36(a)-(c): England, Wales, Scotland

PART 2

DEFINITIONS FOR PURPOSES OF TRANSFERS TO SCOTTISH MINISTERS

**37**

(1) Section 83(1) of the 1993 Act (expressions defined for the purposes of that Act, Part 4 of the 2000 Act and this Act) is amended as follows.

(2) After the definition of “closure consent” insert–

““cross-border service” means a railway passenger service starting either in England and Wales or in Scotland and ending, or otherwise making at least one scheduled call, in the other;”.

(3) After the definition of “rolling stock” insert–

““scheduled call”, in relation to a service or journey, means a scheduled stop at a station for the purpose of allowing passengers to join or leave the service or train (including the stops where the service or journey starts and ends);

“Scotland-only service” means a railway passenger service which starts and ends in Scotland and is not a cross-border service;

“Scottish franchise agreement” means a franchise agreement the franchised services under which–

(a) consist of or include Scotland-only services; and

(b) so far as they include other services, include only cross-border services designated by the Scottish Ministers;”.

Commencement

Sch. 1(2) para. 37(1)-(3): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 1(2) para. 37-(3): England, Wales, Scotland

SCHEDULE 2**TRANSFER SCHEMES****Sections 1 and 12****1 Application and commencement of scheme**

(1) A scheme may set out the property, rights and liabilities to be transferred in one or more of the following ways–

(a) by specifying or describing them in particular;

(b) by identifying them generally by reference to an undertaking from which they are to be transferred; or

(c) by identifying them by reference to a specified part of such an undertaking.

(2) A scheme comes into force on the date appointed by the scheme.

Commencement

Sch. 2 para. 1(1)-(2): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 1-(2): England, Wales, Scotland

✓ Law In Force

2 Property, rights and liabilities that may be transferred

- (1) The property, rights and liabilities that may be transferred by a scheme include—
- (a) property, rights and liabilities that would not otherwise be capable of being transferred or assigned by the transferor;
 - (b) property acquired in the period after the making of the scheme and before it comes into force and rights and liabilities arising in that period;
 - (c) rights and liabilities arising after the scheme comes into force in respect of matters occurring before it comes into force;
 - (d) rights and liabilities under an enactment, [EU]¹ instrument or subordinate legislation.
- (2) The transfers to which effect may be given by a scheme include transfers that are to take effect in accordance with the scheme as if there were—
- (a) no such requirement to obtain a person's consent or concurrence,
 - (b) no such liability in respect of a contravention of any other requirement, and
 - (c) no such interference with any interest or right,
- as there would be, in the case of a transaction apart from this Act, by reason of a provision falling within sub-paragraph (3).
- (3) A provision falls within this sub-paragraph to the extent that it has effect (whether under an enactment or agreement or otherwise) in relation to the terms on which the transferor is entitled or subject to anything to which the transfer relates.
- (4) Sub-paragraph (5) applies where (apart from that sub-paragraph) a person would be entitled, in consequence of anything done or likely to be done by or under this Act in connection with a scheme under section 1(2)—
- (a) to terminate, modify, acquire or claim an interest or right to which the transferor is entitled or subject; or
 - (b) to treat such an interest or right as modified or terminated.
- (5) That entitlement shall be enforceable in relation to the interest or right—
- (a) in consequence of what is done or likely to be done by or under this Act, and
 - (b) in corresponding circumstances arising after the transfer,
- to the extent only that the scheme provides for it to be so enforceable.
- (6) Sub-paragraphs (2) to (5) have effect where shares in a subsidiary of the transferor are or are to be transferred—

- (a) as if the reference in sub-paragraph (3) to the terms on which the transferor is entitled or subject to anything to which the transfer relates included a reference to the terms on which the subsidiary is entitled or subject to anything immediately before the transfer takes effect; and
- (b) as if the reference in sub-paragraph (4) to the transferor included a reference to the subsidiary.

Notes

- ¹ Word substituted by Treaty of Lisbon (Changes in Terminology) Order 2011/1043 Pt 2 art.6(1)(d) (April 22, 2011)

Commencement

Sch. 2 para. 2(1)-(6)(b): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 2-(6)(b): England, Wales, Scotland



Law In Force

3 Dividing and modifying transferor's property, rights and liabilities

(1) A scheme may contain provision—

- (a) for the creation, in favour of a transferor or transferee, of an interest or right in or in relation to property to be transferred in accordance with the scheme;
- (b) for giving effect to a transfer to a person by the creation, in favour of that person, of an interest or right in or in relation to property to be retained by a transferor;
- (c) for the creation of new rights and liabilities (including rights of indemnity and duties to indemnify) as between different transferees and as between a transferee and a transferor.

(2) A scheme may contain provision for the creation of rights and liabilities for the purpose of converting arrangements between different parts of a transferor's undertaking which exist immediately before the coming into force of the scheme into a contract between different transferees, or between a transferee and a transferor.

(3) A scheme may contain provision—

- (a) for rights and liabilities to be transferred so as to be enforceable by or against more than one transferee, or by or against both the transferee and the transferor; and
- (b) for rights and liabilities enforceable against more than one person in accordance with provision falling within paragraph (a) to be enforceable in different or modified respects by or against each or any of them.

(4) A scheme may contain provision for interests, rights or liabilities of third parties in relation to anything to which the scheme relates to be modified in the manner set out in the scheme.

(5) In sub-paragraph (4) “third party”, in relation to a scheme, means a person other than the transferor and the transferee.

(6) Paragraph 2(2) and (3) applies to the creation of interests and rights in accordance with a scheme as it applies to the transfer of interests and rights.

Commencement

Sch. 2 para. 3(1)-(6): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 3-(6): England, Wales, Scotland

✓ Law In Force

4 Obligation to effect transfers etc. under a scheme

- (1) A scheme may contain provision for imposing on a transferee or a transferor an obligation—
- (a) to enter into such agreements with another person on whom a corresponding obligation is, or could be or has been, imposed by virtue of this paragraph (whether in the same or a different scheme), or
 - (b) to execute such instruments in favour of any such person,
- as may be specified or described in the scheme.
- (2) An obligation imposed on a person by virtue of sub-paragraph (1) shall be enforceable by the relevant person in civil proceedings—
- (a) for an injunction;
 - (b) for specific performance of a statutory duty under section 45 of the Court of Session Act 1988 (c. 36); or
 - (c) for any other appropriate remedy or relief.
- (3) The relevant person for the purposes of sub-paragraph (2) is the person with, or in favour of whom, the agreement or instrument is to be entered into or executed.

Commencement

Sch. 2 para. 4(1)-(3): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 4-(3): England, Wales, Scotland

✓ Law In Force

5 Effect of scheme

- (1) Where a scheme provides for the transfer of property, rights or liabilities, or for the creation of interests, rights or liabilities—
- (a) this Act shall have the effect that, at the time when the scheme comes into force, the property or interests, rights or liabilities shall vest, without further assurance, in the transferee; and

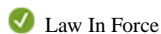
- (b) the provisions of that scheme in relation to that property or those interests, rights or liabilities shall have effect from that time.
- (2) Sub-paragraph (1) is subject to so much of a scheme as provides for–
- (a) the transfer of property, rights or liabilities which are to be transferred in accordance with the scheme, or
 - (b) the creation of interests, rights and liabilities which are to be created in accordance with the scheme,
- to be effected by or under an agreement or instrument entered into or executed in pursuance of an obligation imposed by virtue of paragraph 4(1).
- (3) In its application to Scotland, sub-paragraph (1) has effect with the omission of the words “without further assurance”.

Commencement

Sch. 2 para. 5(1)-(3): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 5-(3): England, Wales, Scotland



Law In Force

6 Powers and duties under statutory provisions

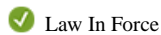
- (1) A scheme may make provision for some or all of the powers and duties to which this paragraph applies–
- (a) to be transferred to a transferee;
 - (b) to become powers and duties that are exercisable, or must be performed, concurrently by two or more transferees; or
 - (c) to become powers and duties that are exercisable, or must be performed, concurrently by a transferor and a transferee.
- (2) The powers and duties to which this paragraph applies are the powers and duties conferred or imposed upon the transferor by or under a relevant enactment so far as they relate to–
- (a) property to be transferred in accordance with the scheme;
 - (b) the carrying out of works designed to be used in connection with such property; or
 - (c) the acquisition of land for the purpose of the carrying out of such works.
- (3) In this paragraph “relevant enactment” means any enactment other than–
- (a) the 1993 Act;
 - (b) Part 4 of the 2000 Act; or
 - (c) this Act.
- (4) This paragraph does not require a restrictive construction to be given to what may be transferred by virtue of paragraph 2(1)(d).

Commencement

Sch. 2 para. 6(1)-(4): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 6-(4): England, Wales, Scotland



Law In Force

7 Supplementary provisions of schemes

(1) A scheme may–

- (a) make such incidental, supplemental, consequential and transitional provision in connection with the transfers to be made in accordance with the scheme as the person making the scheme thinks fit;
- (b) make different provision for different cases.

(2) In particular, a scheme may make provision, in relation to transfers in accordance with the scheme–

- (a) for the transferee to be treated as the same person in law as the transferor;
- (b) for agreements made, transactions effected or other things done by or in relation to the transferor to be treated, so far as may be necessary for the purposes of or in connection with the transfers, as made, effected or done by or in relation to the transferee;
- (c) for references in an agreement, instrument or other document to the transferor, or to an employee or office holder of the transferor, to have effect, so far as may be necessary for the purposes of or in connection with a transfer, with such modifications as are specified in the scheme; and
- (d) for proceedings commenced by or against the transferor to be continued by or against the transferee.

(3) Sub-paragraph (2)(c) does not apply to references in an enactment or in subordinate legislation.

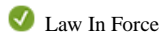
(4) In this paragraph references to a transfer in accordance with a scheme include references to the creation of an interest, right or liability in accordance with a scheme.

Commencement

Sch. 2 para. 7(1)-(4): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 7-(4): England, Wales, Scotland



Law In Force

8 Modification of scheme by agreement

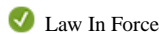
- (1) Where the transferor and transferee under a scheme that has come into force so agree, the scheme shall be treated for all purposes as having come into force with such modifications as may be agreed.
- (2) An agreement under this paragraph which relates to rights and liabilities under a contract of employment may be entered into only if the employee is a party to the agreement.
- (3) An agreement under this paragraph that adversely affects the property or rights of a person other than the transferor, the transferee or such an employee may be entered into only if that person is a party to the agreement.
- (4) The provision that may be included in an agreement under this paragraph includes—
 - (a) any provision that could have been contained in the scheme; and
 - (b) incidental, supplemental, consequential and transitional provision in connection with any such provision.

Commencement

Sch. 2 para. 8(1)-(4)(b): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 8-(4)(b): England, Wales, Scotland



Law In Force

9 Continuity of employment etc.

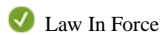
- (1) Where in accordance with a scheme a person employed by a transferor becomes an employee of a transferee—
 - (a) he is not to be regarded for the purposes of Part 11 of the Employment Rights Act 1996 (c. 18) as having been dismissed by virtue of the transfer;
 - (b) his period of employment with the transferor counts for the purposes of that Act as a period of employment with the transferee;
 - (c) the change of employment does not break the continuity of the period of employment either for the purposes of that Act or for the purposes of Schedule 11 to the 1993 Act (pensions); and
 - (d) in a case in which the transferee is not engaged in the railway industry, that person's period of employment with the transferee is to be disregarded for the purpose of determining whether the termination conditions under paragraph 8 of Schedule 11 to the 1993 Act are fulfilled in his case.
- (2) References in this paragraph to becoming an employee of the transferee and to employment with the transferee include references, respectively, to becoming and to being employed in the civil service of the state.

Commencement

Sch. 2 para. 9(1)-(2): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 9-(2): England, Wales, Scotland



Law In Force

10 Compensation for third parties**(1) Where—**

- (a) an entitlement of a third party to an interest or right would, apart from a provision of a scheme under section 1(2) and paragraph 2(4) and (5), become enforceable in respect of the transfer or creation in accordance with such a scheme of any property, rights or liabilities,
- (b) the provisions of that scheme or of paragraph 2(4) and (5) have the effect of preventing the third party's entitlement to that interest or right from being enforced in respect of anything for which the scheme provides, and
- (c) provision is not made by the scheme for securing that an entitlement to that interest or right, or to an equivalent interest or right, is preserved or created so as to arise and be enforceable in respect of the first occasion when corresponding circumstances next occur after the coming into force of the transfers for which the scheme provides,

the third party shall be entitled to compensation in respect of the extinguishment of his entitlement.

(2) The amount of compensation to which a third party is entitled under this paragraph is the amount necessary for securing, to the extent that it is just to do so, that he does not suffer financial loss from the extinguishment of his entitlement.

(3) A liability to pay compensation under this paragraph shall fall on the Secretary of State.

(4) In the preceding provisions of this paragraph “third party”, in relation to a scheme, means a person other than the transferor and the transferee.

(5) This paragraph shall have effect in relation to—

- (a) the provisions of an agreement or instrument entered into or executed in pursuance of an obligation imposed by a scheme under section 1(2), and
- (b) the provisions of an agreement under paragraph 8 relating to property, rights or liabilities transferred or created in accordance with such a scheme,

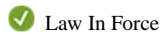
as it has effect in relation to the scheme but as if, in the case of an agreement under paragraph 8, only persons who are not parties to the agreement were third parties.

Commencement

Sch. 2 para. 10(1)-(5)(b): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 10-(5)(b): England, Wales, Scotland



Law In Force

11 Provision of information to person making scheme

- (1) A person who proposes to make a scheme (“the scheme authority”) may direct—
 - (a) a proposed transferor, or
 - (b) a proposed transferee,to provide him with such information as he considers necessary to enable him to make the scheme.
- (2) Such a direction must specify the period within which the information is to be provided.
- (3) The period specified in the direction must be not less than 28 days beginning with the day of the giving of the direction.
- (4) If a person fails to comply with such a direction, the scheme authority may serve a notice on him requiring him—
 - (a) to produce to the scheme authority any documents which are specified or described in the notice and are in his custody or under his control; or
 - (b) to provide to the scheme authority such information as may be specified or described in the notice.
- (5) Documents or information to be produced or provided in accordance with such a notice must be produced or provided at the time and place, and in the form and manner, specified in the notice.
- (6) No person may be required under this paragraph—
 - (a) to produce a document which he could not be compelled to produce in civil proceedings in the court; or
 - (b) to provide information which he could not be compelled to give in evidence in such proceedings.
- (7) A person who intentionally alters, suppresses or destroys a document which he has been required to produce by a notice under sub-paragraph (4) is guilty of an offence and liable—
 - (a) on summary conviction, to a fine not exceeding the statutory maximum; and
 - (b) on conviction on indictment, to a fine.
- (8) If a person fails to comply with a notice under sub-paragraph (4), the court may, on the application of the scheme authority, make such order as the court thinks fit for requiring the failure to be made good.
- (9) Any order under sub-paragraph (8) may include provision requiring all the costs or expenses of and incidental to the application to be borne by one or more of the following—
 - (a) the person in default;
 - (b) any officers of a company or other association who are responsible for its default.
- (10) In this paragraph—
 - (a) a reference to the production of a document includes a reference to the production of a legible and intelligible copy of information recorded otherwise than in legible form; and
 - (b) the reference to suppressing a document includes a reference to destroying the means of reproducing information recorded otherwise than in legible form.
- (11) In this paragraph “the court” means—
 - (a) in England and Wales, the High Court; and

(b) in Scotland, the Court of Session.

Commencement

Sch. 2 para. 11(1)-(11)(b): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 11-(11)(b): England, Wales, Scotland

✓ Law In Force

12 Interpretation

(1) In this Schedule—

“enactment” includes an enactment comprised in an Act of the Scottish Parliament;

“transferee” –

(a) in relation to a scheme, means a person to whom property, rights or liabilities are transferred in accordance with the scheme; and

(b) in relation to particular property, rights or liabilities transferred or created in accordance with a scheme, means the person to whom that property or those rights or liabilities are transferred or in whose favour, or in relation to whom, they are created;

“transferor” –

(a) in relation to a scheme, means the person from whom property, rights or liabilities are transferred in accordance with the scheme; and

(b) in relation to particular property, rights or liabilities transferred or created in accordance with a scheme, means the person from whom that property or those rights or liabilities are transferred or the person who or whose property is subject to the interest or right created by the scheme or for whose benefit the liability is created;

“scheme” means a scheme made under section 1(2) or 12; and

“subsidiary” has the meaning given to it by [section 1159 of the Companies Act 2006]¹.

(2) References in this Schedule to a right or to an entitlement to a right include references to an entitlement to exercise a right; and, accordingly, references to a right's arising include references to its becoming exercisable.

Notes

¹ Words substituted by Companies Act 2006 (Consequential Amendments, Transitional Provisions and Savings) Order 2009/1941 Sch.1 para.246(b) (October 1, 2009)

Commencement

Sch. 2 para. 12(1)-(2): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 2 para. 12-(2): England, Wales, Scotland

SCHEDULE 3**TRANSFER OF SAFETY FUNCTIONS****Section 2***Railway safety purposes*

✓ Law In Force

1

(1) Subject to sub-paragraph (4), in this Schedule “railway safety purposes” means so much of the general purposes of Part 1 of the 1974 Act (within the meaning of section 1 of that Act) as—

- (a) relates to risks that are exclusively relevant to one or more of the purposes specified in sub-paragraph (2); or
- (b) relates to so much of any risks that are primarily so relevant as arises in connection with anything mentioned in that sub-paragraph.

(2) The purposes mentioned in sub-paragraph (1) are—

- (a) securing the proper construction and safe operation of transport systems falling within sub-paragraph (3);
- (b) securing the proper construction and safe operation of locomotives, rolling stock or other vehicles used, or to be used, on such systems;
- (c) protecting the public (whether or not they are passengers) from personal injury and other risks arising from the construction and operation of such systems;
- (d) protecting persons at work from personal injury and other risks so arising.

(3) A transport system falls within this sub-paragraph if it is—

- (a) a railway;
- (b) a tramway; [or]¹
- (c) [...] ¹
- (d) a transport system using any other mode of guided transport [other than a guided bus system] ² .

[but not to the extent that the transport system consists of or is operated for the purposes of fairground equipment.] ³

(4) The Secretary of State may, by regulations, modify the definition of “railway safety purposes”.

(5) Before making any regulations under sub-paragraph (4), the Secretary of State must consult—

- (a) the [Office of Rail and Road] ⁴ ;
- (b) [the Health and Safety Executive] ⁵ ; [...] ⁶

- [(ba) the Office for Nuclear Regulation; and]⁶
- (c) such other persons as he considers appropriate.

(6) Regulations under sub-paragraph (4) are subject to the negative resolution procedure.

(7) In this paragraph—

“bus” means a motor vehicle which is designed or adapted to travel along roads and to carry more than eight passengers but which is not a tramcar;
 “fairground equipment” has the same meaning as in section 53 of the 1974 Act⁸;
 “guided bus system” means a system of transport, used wholly or mainly for the carriage of passengers, that employs buses which for some or all of the time when they are in operation—

- (a) travel along roads; and
- (b) are guided (whether while on the road or at other times) by means of—
 - (i) apparatus, a structure or other device which is fixed and not part of the bus; or
 - (ii) a guidance system which is automatic;

]⁷
 “guided transport”, “railway”, “tramway” [...] ⁹ and “vehicle” have the same meanings as in the Transport and Works Act 1992 (c. 42) except that, for this purpose, paragraph (b) of the definition of “railway” in section 67(1) of that Act (which includes a condition as to the minimum gauge of track) is to be disregarded ; [...] ¹⁰

“person at work” has the same meaning as it for the time being has in Part 1 of the 1974 Act (see section 52 of that Act) [; and] ¹⁰.

[“road” —

- (a) in England and Wales, means any length of highway or of any other road to which the public has access, and includes bridges over which a road passes; and
- (b) in Scotland, has the same meaning as in the Roads (Scotland) Act 1984

]¹⁰

Notes

- ¹ Repealed by Railways Act 2005 (Amendment) Regulations 2006/556 reg.2(2)(b) (April 1, 2006)
- ² Words inserted by Railways Act 2005 (Amendment) Regulations 2006/556 reg.2(2)(c) (April 1, 2006)
- ³ Words inserted by Railways Act 2005 (Amendment) Regulations 2006/556 reg.2(2)(d) (April 1, 2006)
- ⁴ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(i) (October 16, 2015)
- ⁵ Words substituted subject to transitional provisions as specified in SI 2008/960 Sch.2 para.11 by Legislative Reform (Health and Safety Executive) Order 2008/960 Sch.3 para.1 (April 1, 2008: substitution has effect subject to transitional provisions as specified in SI 2008/960 Sch.2 para.11)
- ⁶ Added by Energy Act 2013 c. 32 Sch.12(5) para.83 (April 1, 2014)
- ⁷ Definitions inserted by Railways Act 2005 (Amendment) Regulations 2006/556 reg.2(3)(a) (April 1, 2006)
- ⁸ “The 1974 Act” is defined in paragraph 15(1) of Schedule 3 to the Railways Act 2005 (interpretation) as the Health and Safety at Work etc. Act 1974 (c.37). The definition of “fairground equipment” was inserted into section 53 of the 1974 Act by the Consumer Protection Act 1987 (c.43), section 36 and Schedule 3 paragraph 7.
- ⁹ Words repealed by Railways Act 2005 (Amendment) Regulations 2006/556 reg.2(3)(b) (April 1, 2006)
- ¹⁰ Definition inserted by Railways Act 2005 (Amendment) Regulations 2006/556 reg.2(3)(c) (April 1, 2006)

Commencement

Sch. 3 para. 1(1)-(7) definition of “person at work”: February 7, 2006 (SI 2006/266 art. 2(1)(b))

Extent

Sch. 3 para. 1(1)-(7) definition of "road" (b): England, Wales, Scotland

ORR's principal railway safety functions

✓ Law In Force

2

- (1) It shall be the general duty of the [Office of Rail and Road]¹ –
 - (a) to do such things and make such arrangements as it considers appropriate for the railway safety purposes; and
 - (b) to assist and encourage persons concerned with matters relevant to any of those purposes to further those purposes.
- (2) It shall be the duty of the [Office of Rail and Road]¹ –
 - (a) to make such arrangements as it considers appropriate for the carrying out of research in connection with the railway safety purposes and for the publication of the results of such research; and
 - (b) to encourage research by others in that connection.
- (3) It shall be the duty of the [Office of Rail and Road]¹ –
 - (a) to make such arrangements as it considers appropriate for the provision of training and information in connection with the railway safety purposes;
 - (b) to encourage the provision by others of training and information in that connection; and
 - (c) to make such arrangements as it considers appropriate for securing that the persons mentioned in sub-paragraph (4)–
 - (i) are provided with an information and advisory service with respect to matters relevant to the railway safety purposes;
 - (ii) are kept informed about such matters; and
 - (iii) are adequately advised about them.
- (4) Those persons are–
 - (a) government departments;
 - (b) employers;
 - (c) employees;
 - (d) organisations representing employers and employees respectively; and
 - (e) other persons concerned with matters relevant to any of the railway safety purposes.
- (5) It shall be the duty of the [Office of Rail and Road]¹ from time to time to submit such proposals as it considers appropriate for the making of regulations for the railway safety purposes to the authorities having power to make regulations for those purposes under any of the relevant statutory provisions.
- (6) Before submitting proposals under sub-paragraph (5), the [Office of Rail and Road]¹ must [—]²

[(a) if the proposals relate to regulations that are relevant to the ONR's purposes (within the meaning of Part 3 of the Energy Act 2013), consult the Office for Nuclear Regulation;
 (b) in any case, consult—
 (i) such government departments, and
 (ii) such other persons,
 as it considers appropriate.
]²

(7) Before—

(a) making regulations for the railway safety purposes independently of any proposals submitted under sub-paragraph (5), or
 (b) making regulations which give effect to such proposals but with modifications,
 the authority having the power to make the regulations must consult the [Office of Rail and Road]¹

(8) In this paragraph “employer”, “employee” and “the relevant statutory provisions” have the same meanings as in Part 1 of the 1974 Act (see section 53(1) of that Act) [and, if the regulations are relevant to the ONR's purposes (within the meaning of Part 3 of the Energy Act 2013), the Office for Nuclear Regulation]³.

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(ii) (October 16, 2015)

² Words substituted by Energy Act 2013 c. 32 Sch.12(5) para.84(2) (April 1, 2014)

³ Words inserted by Energy Act 2013 c. 32 Sch.12(5) para.84(3) (April 1, 2014)

Commencement

Sch. 3 para. 2(1)-(8): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 2-(8): England, Wales, Scotland

Removal of corresponding functions from HSC



Law In Force

3

(1) In section 11 of the 1974 Act (which confers functions on the HSC for general purposes that are equivalent to those conferred on the ORR for railway safety purposes by paragraph 2)—

- (a) in subsection (1), for “subject to subsection (3)” substitute “subject to subsections (2A) and (3)”; and
- (b) after subsection (2) insert the subsection set out in sub-paragraph (2).

(2) The subsection to be inserted is—

“(2A) In subsections (1) and (2) above–

- (a) references to the general purposes of this Part do not include references to the railway safety purposes; and
- (b) the reference to a power to make regulations under the relevant statutory provisions does not include a reference to any power so far as it is exercisable for the railway safety purposes.”

Commencement

Sch. 3 para. 3(1)-(2): February 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 3-(2): England, Wales, Scotland

Reports and investigations

✓ Law In Force

4

(1) The [Office of Rail and Road]¹ may authorise a person to investigate and make a special report on any accident, occurrence, situation or other matter of any sort which that Office thinks it necessary or expedient to investigate–

- (a) for any of the railway safety purposes; or
- (b) with a view to the making of regulations for any of those purposes.

(2) The [Office of Rail and Road]¹ may cause–

- (a) the contents of a special report made under this paragraph, or
- (b) so much of them as it considers appropriate,

to be made public at such time, and in such manner, as it thinks fit.

(3) Where a person who is not a member, officer or employee of the [Office of Rail and Road]¹ carries out an investigation and makes a special report under this paragraph, that Office may pay him such remuneration and expenses as the Secretary of State determines.

(4) The [Office of Rail and Road]¹ may, to such extent as the Secretary of State may determine, defray the other costs (if any) of–

- (a) an investigation under this paragraph; or
- (b) the making of a special report following such an investigation.

[(4A) The [Office of Rail and Road]¹ must consult the Office for Nuclear Regulation before taking any step under sub-paragraph (1) in relation to a matter which appears to the [Office of Rail and Road]¹ to be, or likely to be, relevant to the ONR's purposes (within the meaning of Part 3 of the Energy Act 2013).]²

(5) In section 14(1) of the 1974 Act (matters about which investigations etc. may be required or authorised by the HSC), for “it is” substitute–

- “(a) those general purposes shall be treated as not including the railway safety purposes; but
(b) it is otherwise”.

Notes


- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(iii) (October 16, 2015)
² Added by Energy Act 2013 c. 32 Sch.12(5) para.85 (April 1, 2014)

Commencement

Sch. 3 para. 4(1)-(5): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 4-(5): England, Wales, Scotland

 Law In Force

5

(1) This paragraph applies where, before the commencement of paragraph 4, the Health and Safety Commission directed or authorised a person to investigate and make a special report under section 14(2)(a) of the 1974 Act on any accident, occurrence, situation or other matter which the Commission thought it necessary or expedient to investigate—

- (a) for any of the railway safety purposes; or
- (b) with a view to the making of regulations for any of those purposes.

(2) For the purposes of the carrying out or continuation of an investigation and the making of a report after the commencement of paragraph 4, the direction or authorisation shall be treated as an authorisation by the [Office of Rail and Road]¹ under paragraph 4.

(3) If—

- (a) the person to whom the Health and Safety Commission gave the direction or authorisation has made a special report to the Commission, but
- (b) the Commission has not yet caused the report, or a part of it, to be made public under section 14(5) of the 1974 Act,

the report shall be treated as if it had been made to the [Office of Rail and Road]¹ under paragraph 4.

(4) If the person to whom the Health and Safety Commission gave the direction or authorisation has not yet made a special report to the Commission, the [Office of Rail and Road]¹ may direct that person—

- (a) to abandon the investigation without making a special report; or
- (b) to continue the investigation in such manner as that Office may direct.

(5) Where the Health and Safety Commission agreed before the commencement of paragraph 4 to exercise its power by virtue of section 14(6)(a) or (c) of the 1974 Act to pay remuneration or expenses to any person in respect of the investigation and special report or to defray costs of the investigation and report—

(a) the Commission must pay amounts accruing in respect of the agreed matters before the commencement of paragraph 4; and

(b) the [Office of Rail and Road]¹ must pay amounts so accruing after that time;

and paragraph (b) does not affect the power of that Office under that paragraph, in relation to times after the commencement of that paragraph, to make other payments of remuneration or expenses or to defray costs.

Notes

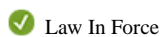
¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(iii) (October 16, 2015)

Commencement

Sch. 3 para. 5(1)-(5)(b): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 5-(5)(b): England, Wales, Scotland



Law In Force

6

(1) This paragraph applies where, before the commencement of paragraph 4, the Health and Safety Commission directed an inquiry to be held under section 14(2)(b) of the 1974 Act into any accident, occurrence, situation or other matter which the Commission thought it necessary or expedient to investigate—

- (a) for any of the railway safety purposes; or
- (b) with a view to the making of regulations for any of those purposes.

(2) Subject to sub-paragraph (3), section 14 of the 1974 Act shall continue to apply in relation to that inquiry after the commencement of paragraph 4 but as if all things done or required to be done by or in relation to the Health and Safety Commission under that section were done or required to be done by or in relation to the [Office of Rail and Road]¹.

(3) Where the Health and Safety Commission agreed before the commencement of paragraph 4 to exercise its power by virtue of section 14(6)(b) or (c) of the 1974 Act to pay remuneration or expenses to any person in respect of the inquiry or to defray costs of the inquiry—

- (a) the Commission must pay amounts accruing in respect of the agreed matters before the commencement of paragraph 4; and
 - (b) the [Office of Rail and Road]¹ must pay amounts so accruing after that time;
- and paragraph (b) does not affect the power of that Office, in relation to times after the commencement of paragraph 4, to make other payments of remuneration or expenses under section 14(6)(b), or to defray costs under section 14(6)(c).

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(iii) (October 16, 2015)

Commencement

Sch. 3 para. 6(1)-(3)(b): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 6-(3)(b): England, Wales, Scotland

ORR acting as agent of government departments and other public authorities

✓ Law In Force

7

(1) Where the Secretary of State considers that any of his statutory or other functions can appropriately be carried out by the [Office of Rail and Road]¹ in connection with the carrying out of its safety functions, he and that Office may enter into an agreement for that Office to carry out those functions on his behalf.

(2) Where the Secretary of State considers that any of the statutory or other functions of—

(a) a government department, or

(b) any other public authority,

can appropriately be carried out by the [Office of Rail and Road]¹ in connection with the carrying out of its safety functions, he may authorise the Office and that department or authority to enter into an agreement for that Office to carry out those functions on behalf of that department or authority.

(3) An agreement under this paragraph—

(a) may include provision for payments to be made to the [Office of Rail and Road]¹ for the carrying out of the functions that it is authorised or required to carry out under the agreement; but

(b) may not authorise or require the [Office of Rail and Road]¹ to carry out any function consisting in a power to make regulations or other instruments of a legislative character.

[(4) Sub-paragraph (3)(b) does not prevent the Secretary of State and the [Office of Rail and Road]¹ from entering into an agreement for that Office to carry out on his behalf the function of making orders under section 1 of the Level Crossings Act 1983.]²

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(iv) (October 16, 2015)

² Added by Road Safety Act 2006 c. 49 s.51(1) (November 8, 2006)

Commencement

Sch. 3 para. 7(1)-(3)(b): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 7-(4): England, Wales, Scotland

Government departments and other public authorities acting as agent of ORR

✓ Law In Force

8

(1) Where the [Office of Rail and Road]¹ considers that any of its safety functions can appropriately be carried out—

- (a) by a government department, or
- (b) by any other public authority,

that Office and the department or authority may enter into an agreement for the department or authority to carry out those functions on that Office's behalf.

(2) An agreement under this paragraph may include provision for payments to be made by the [Office of Rail and Road]¹ to a government department or public authority for the carrying out of the functions that it is authorised or required to carry out under the agreement.

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(v) (October 16, 2015)

Commencement

Sch. 3 para. 8(1)-(2): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 8-(2): England, Wales, Scotland

Restrictions on codes of practice by HSC

✓ Law In Force

9

(1) In subsection (1) of section 16 of the 1974 Act (codes of practice with respect to the requirements of certain provisions), for “sections 2 to 7 or of health and safety regulations or of any of the existing statutory provisions” substitute “any of the enactments or instruments mentioned in subsection (1A) below”.

(2) After that subsection insert—

“(1A) Those enactments and instruments are—

- (a) sections 2 to 7 above;
- (b) health and safety regulations, except so far as they make provision exclusively in relation to transport systems falling within paragraph 1(3) of Schedule 3 to the Railways Act 2005; and
- (c) the existing statutory provisions that are not such provisions by virtue of section 117(4) of the Railways Act 1993.”


Commencement

Sch. 3 para. 9(1)-(2): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 9-(2): England, Wales, Scotland

Co-operation with the HSC

 Law In Force

10

- (1) It shall be the duty of the [Office of Rail and Road]¹ and the Health and Safety Commission—
- (a) as soon as practicable after the commencement of this paragraph, to enter into arrangements with each other for securing co-operation and the exchange of information in connection with the carrying out of safety functions;
 - (b) to maintain and from time to time to review those arrangements; and
 - (c) to revise them whenever they consider it appropriate to do so.

(2) In sub-paragraph (1) “safety functions” means all the functions of [...] ² the Health and Safety Executive and the safety functions of the [Office of Rail and Road]¹.

(3) In section 18(5)(b) of the 1974 Act (duty of enforcing authority to act in accordance with guidance of HSC), at the beginning insert “except where that authority is the Office of Rail Regulation,”.

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(vi) (October 16, 2015)

² Words repealed subject to transitional provisions as specified in SI 2008/960 Sch.2 para.11 by Legislative Reform (Health and Safety Executive) Order 2008/960 Sch.3 para.1 (April 1, 2008: repeal has effect subject to transitional provisions as specified in SI 2008/960 Sch.2 para.11)

Commencement

Sch. 3 para. 10(1)-(3): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 10-(3): England, Wales, Scotland

Information powers corresponding to section 27 of the 1974 Act

✓ Law In Force

11

- (1) The [Office of Rail and Road]¹ may serve a notice under this paragraph on any person for the purpose of obtaining information which that Office needs for the carrying out of its safety functions.
- (2) A notice under this paragraph is one requiring the person on whom it is served—
- (a) to provide the [Office of Rail and Road]¹ with information about such matters as may be specified in the notice; and
 - (b) to do so in the form and manner so specified.
- (3) The consent of the Secretary of State is required for the service of a notice under this paragraph.
- (4) The consents that may be given for the purposes of sub-paragraph (3) include a general consent relating to notices of a specified description.
- (5) Nothing in the Statistics of Trade Act 1947 (c. 39) is to be construed as preventing or penalising the disclosure by a Minister of the Crown or government department to—
- (a) the [Office of Rail and Road]¹,
 - (b) a member, officer or employee of that Office, or
 - (c) a committee established by that Office,
- of information falling within sub-paragraph (6) about an undertaking (within the meaning of that Act).
- (6) Information about an undertaking falls within this sub-paragraph if it consists of—
- (a) the names and addresses of the persons carrying on the undertaking;
 - (b) the nature of the undertaking's activities;
 - (c) the number of persons of different descriptions who work in the undertaking;
 - (d) the addresses or places where activities of the undertaking are or were carried on;
 - (e) the nature of the activities carried on there; or
 - (f) the number of persons of different descriptions who work or worked in the undertaking there.
- (7) A person to whom a disclosure that is authorised by sub-paragraph (5) is made must not use the information except for the purposes of the safety functions of the [Office of Rail and Road]¹.
- (8) It is an offence for a person—
- (a) to contravene a requirement imposed by a notice under this paragraph; or
 - (b) to use information in contravention of sub-paragraph (7).
- (9) A person guilty of an offence under sub-paragraph (8) shall be liable—

- (a) on summary conviction, to a fine not exceeding the statutory maximum;
- (b) on conviction on indictment—
 - (i) in the case of an offence of contravening a notice, to a fine; and
 - (ii) in the case of an offence of using information in contravention of sub-paragraph (7), to imprisonment for a term not exceeding two years or to a fine, or to both.

(10) Section 52 of the 1974 Act (meaning of “work” and related expressions) applies for the purposes of this paragraph as it applies for the purposes of Part 1 of that Act.

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(vii) (October 16, 2015)

Commencement

Sch. 3 para. 11(1)-(10): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 11-(10): England, Wales, Scotland

Railway safety levy

✓ Law In Force

12

(1) Section 43A of the 1974 Act (railway safety levy) is amended as follows.

(2) In subsection (2) (expenses in respect of which levy raised), for paragraphs (a) and (b) substitute—

- “(a) in respect of activities undertaken by the Office of Rail Regulation under or by virtue of this Act or Schedule 3 to the Railways Act 2005; or
- (b) in respect of activities in relation to a transport system falling within paragraph 1(3) of that Schedule that are undertaken by that Office under or by virtue of any other enactment.”

(3) In subsections (5) and (6), for “Commission or the Executive” substitute “Office of Rail Regulation”.


(4) In subsection (9), for “to which section 117 of the Railways Act 1993 applies” substitute “falling within paragraph 1(3) of Schedule 3 to the Railways Act 2005”.

Commencement

Sch. 3 para. 12(1)-(4): February 7, 2006 (SI 2006/266 art. 2(1)(b))

Extent

Sch. 3 para. 12(1)-(4): England, Wales, Scotland

Removal of requirement of consultation with HSC for railway safety regulations Law In Force**13**

In section 50 of the 1974 Act (consultation with HSC), after subsection (1) insert–

“(1A) Subsection (1) does not apply to the exercise of a power to make regulations so far as it is exercised–

- (a) for giving effect (with or without modifications) to proposals submitted by the Office of Rail Regulation under paragraph 2(5) of Schedule 3 to the Railways Act 2005; or
- (b) otherwise for or in connection with the railway safety purposes.”

Commencement

Sch. 3 para. 13: April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 13: England, Wales, Scotland

Regulatory Reform Act 2001 Repealed**14 [...]¹**

Notes

¹ Repealed by Legislative and Regulatory Reform Act 2006 c. 51 Sch.1 para.1 (January 8, 2007)

Interpretation Law In Force**15**

(1) In this Schedule–

“the 1974 Act” means the Health and Safety at Work etc. Act 1974 (c. 37); and
“railway safety purposes” has the meaning given by paragraph 1.

(2) In this Schedule a reference to the safety functions of the [Office of Rail and Road]¹ is a reference to—

- (a) its functions under this Schedule;
- (b) its functions under the 1974 Act; and
- (c) its other functions so far as carried out for the railway safety purposes.

(3) In section 53(1) of the 1974 Act (interpretation of Part 1), after the definition of “prohibition notice” insert—

““railway safety purposes” has the same meaning as in Schedule 3 to the Railways Act 2005;”.

Notes

- ¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(s)(viii) (October 16, 2015)

Commencement

Sch. 3 para. 15(1)-(3): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 3 para. 15-(3): England, Wales, Scotland

SCHEDULE 4

REVIEWS BY ORR OF ACCESS CHARGES AND LICENCE CONDITIONS

Section 4

✓ Law In Force

1 Introductory

Schedule 4A to the 1993 Act (review of access charges by ORR) is amended as follows.

Commencement

Sch. 4 para. 1: January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 1: England, Wales, Scotland

✓ Law In Force

2 Conduct of access charges reviews

For paragraph 1 (meaning of access charges review) substitute—

“1 Application of Schedule

This Schedule applies where an access agreement provides, or is treated as providing, for the Office of Rail Regulation to undertake reviews of the terms of that agreement as to–

- (a) the amounts payable under the agreement by one of the parties to the other; and
- (b) the times at which, and the manner in which, those amounts are payable.

1A Scope of review

(1) Where the Office of Rail Regulation undertakes such a review, it must, at the same time, review the conditions of every linked licence both–

- (a) in relation to the matters mentioned in paragraph 1(a) and (b); and
- (b) in relation to the matters about which that Office is provided with information under paragraph 1D.

(2) A review by that Office of both–

- (a) the terms of an access agreement as to the matters mentioned in paragraph 1(a) and (b), and
- (b) the conditions of a linked licence,

is referred to in this Schedule as an access charges review.

(3) An access charges review must include a consideration of–

- (a) the time at which the next access charges review is to be undertaken in relation to both the access agreement in question and every linked licence; and
- (b) the circumstances in which it would be appropriate to undertake such a review before that time.

(4) In this Schedule “linked licence”, in relation to an access agreement, means a licence of which the holder is–

- (a) the facility owner, or installation owner, who is a party to the agreement; or
- (b) a person other than that owner who has an estate or interest in the railway facility or network installation to which the agreement relates or who has a right over it.

1B Response to request to carry out review

Where–

- (a) the Secretary of State or the Scottish Ministers suggest to the Office of Rail Regulation that an access charges review should be carried out in any case, but
- (b) that Office decides not to carry out the suggested review,

that Office must provide the Secretary of State or Scottish Ministers with its reasons for that decision.

1C Notice of access charges review

(1) Before beginning an access charges review, the Office of Rail Regulation must give notice of its proposal to undertake the review to each of the following–

- (a) the Secretary of State;
- (b) the Scottish Ministers;
- (c) the Treasury;
- (d) the parties to the access agreement in question; and

- (e) such other persons as that Office considers appropriate.
- (2) No notice is required to be given under sub-paragraph (1) to the Secretary of State or the Scottish Ministers—
 - (a) in the case of the Secretary of State, if the facility or installation to which the relevant agreement relates is situated wholly in Scotland; or
 - (b) in the case of the Scottish Ministers, if the facility or installation to which the relevant agreement relates is situated wholly in England and Wales.
- (3) A notice under this paragraph must set out—
 - (a) the period to which the Office of Rail Regulation expects the review to relate (“the review period”);
 - (b) the date by which the Secretary of State, the Scottish Ministers or (as the case may be) each of them needs to provide the information that has to be provided under paragraph 1D; and
 - (c) any conditions which that Office requires to be satisfied in the period ending with that date if it is to proceed with the review.
- (4) The period set out under sub-paragraph (3)(a) must be the one which—
 - (a) begins with the time as from which the Office of Rail Regulation expects that any changes resulting from the review would fall to be implemented; and
 - (b) ends with the time as from which it thinks it likely (in the absence of special circumstances making an earlier review appropriate) that any changes resulting from the next access charges review in relation to the same agreement and licence would fall to be implemented.
- (5) The date set out under sub-paragraph (3)(b) must be not less than the following period after the date of the notice—
 - (a) in a case which the Office of Rail Regulation is satisfied is a case of urgency, four weeks; and
 - (b) in any other case, three months.
- (6) Before setting out a date under sub-paragraph (3)(b) that is less than three months after the date of the notice, the Office of Rail Regulation must consult each of the persons to whom the notice is to be given.

1D Duty to notify ORR about desired outputs and finances

- (1) Where a notice under paragraph 1C is given to the Secretary of State, he must provide the Office of Rail Regulation with—
 - (a) information about what he wants to be achieved by railway activities in Great Britain as a whole during the review period; and
 - (b) such information as it is reasonable for him to provide about the public financial resources that are or are likely to become available to be applied during the review period for purposes that contribute (directly or indirectly) towards the achievement of what he wants.
- (2) Where a notice under paragraph 1C is given to the Scottish Ministers (whether instead of or as well as to the Secretary of State), they must provide the Office of Rail Regulation with—

- (a) information about what they want to be achieved by Scottish railway activities during the review period; and
 - (b) such information as it is reasonable for them to provide about the public financial resources that are or are likely to become available to be applied during that period for purposes that contribute (directly or indirectly) towards the achievement of what they want.
- (3) The information that may be provided as falling within sub-paragraph (1)(a) or (2)(a) includes objectives and standards to be achieved in the course of carrying on railway activities.
- (4) Those objectives and standards may include, in particular, objectives and standards with respect to any of the following matters—
 - (a) the capacity (in terms of types and numbers of trains) of networks;
 - (b) the frequency of railway passenger services;
 - (c) journey times;
 - (d) reliability of railway services (both in terms of punctuality and otherwise);
 - (e) the taking of measures to prevent or mitigate overcrowding;
 - (f) levels and types of fares;
 - (g) the quality of information provided to passengers;
 - (h) the accessibility of railway services to people with disabilities;
 - (i) the carrying out of major projects to improve railway services;
 - (j) the protection of persons from dangers arising from the operation of railways.
- (5) In a case where information is also required to be provided by the Scottish Ministers, the information that is required to be provided by the Secretary of State does not include—
 - (a) any information about what he wants to be achieved by Scottish railway activities not relating to cross-border services; or
 - (b) information about any public financial resources so far as they appear to him to be available, or to be likely to become available, to be applied for purposes relating only to such activities.
- (6) An obligation of the Secretary of State or the Scottish Ministers to provide information under this paragraph—
 - (a) must be discharged before the date set out in the notice given under paragraph 1C or, if a later date is fixed under sub-paragraph (7), by that later date; but
 - (b) may be discharged by a notification that refers that Office to information previously provided under this paragraph.
- (7) The Office of Rail Regulation may at any time, by notice to each of the persons to whom the notice under paragraph 1C was given, fix a later date for the provision of information under this paragraph.
- (8) Neither—
 - (a) the Secretary of State, nor
 - (b) the Scottish Ministers,are required to provide information for the purposes of a review at any time after a decision has been made by the Office of Rail Regulation not to proceed with the review because of an actual or expected failure of the conditions set out under paragraph 1C(3)(c) to be satisfied.

(9) In this paragraph “railway activities” means activities consisting in, or involving, any of the following—

- (a) providing railway services;
- (b) making available railway facilities;
- (c) making use of such facilities;
- (d) using railway assets;
- (e) allowing others to use such assets.

(10) In this paragraph “Scottish railway activities” means activities which are railway activities by reference only to—

- (a) railway services which begin and end in Scotland;
- (b) railway services in relation to which financial assistance is provided by the Scottish Ministers and which (without falling within paragraph (a)) begin or end in Scotland;
- (c) railway facilities that are situated in Scotland; or
- (d) railway assets so situated.

(11) In this paragraph “public financial resources” means any of the following—

- (a) money charged on and payable out of the Consolidated Fund;
- (b) money provided by Parliament;
- (c) money payable out of the Scottish Consolidated Fund.

1E Suggestions about future reviews

Where the Secretary of State or the Scottish Ministers provide the Office of Rail Regulation with information under paragraph 1D, he or they may also, at the same time, make a suggestion to that Office setting out his or their opinion about—

- (a) when the next access charges review should be undertaken in relation to both the access agreement in question and every linked licence; and
- (b) the circumstances in which it would be appropriate to undertake such a review before that time.

1F Revision of outputs and financial information

(1) If, at any time in the course of an access charges review, it appears to the Office of Rail Regulation that—

- (a) the information that has been provided to it by the Secretary of State or the Scottish Ministers under paragraph 1D, or
- (b) the information, taking it all together, that has been so provided by the Secretary of State and the Scottish Ministers,

shows that the public financial resources that are or are likely to become available will be inadequate to secure the achievement of what he or they, or both of them, want to be achieved, that Office must so notify the Secretary of State or the Scottish Ministers or (as the case may be) each of them.

(2) The Office of Rail Regulation must send a copy of every notification under sub-paragraph (1) to the Treasury.

(3) On being notified under sub-paragraph (1), the Secretary of State or the Scottish Ministers or (as the case may be) each of them—

- (a) may revise any information provided to the Office of Rail Regulation, together with any suggestion made under paragraph 1E; and
 - (b) if the information or such a suggestion is revised, must notify the revisions to that Office.
- (4) Any notification under sub-paragraph (3) must be given within whatever period is specified by the Office of Rail Regulation when notifying the Secretary of State or Scottish Ministers in accordance with sub-paragraph (1).
- (5) Where the Office of Rail Regulation has already given a notification under this paragraph with respect to any information, it is required to give a further notification under this paragraph with respect to that information, or any revision of it, only if—
 - (a) a revision has been made in response to its previous notification; and
 - (b) it has not previously given a notification in respect of an earlier revision of the information.

1G Notification of likely adverse effect on interests of certain providers of railway services

- (1) If, at any time in the course of an access charges review, it appears to the Office of Rail Regulation that it is likely that the implementation of the review will adversely affect the interests of persons providing railway passenger services or of persons providing services for the carriage of goods by railway, that Office must so notify—
 - (a) the Secretary of State, in the case of a review notice of which was given to him under paragraph 1C; and
 - (b) the Scottish Ministers, in the case of a review notice of which was given to them under that paragraph.
- (2) Where the Office of Rail Regulation gives a notification under sub-paragraph (1) in respect of a review relating to an access agreement to which a facility owner is a party, the notification must include—
 - (a) its assessment of the measures that the facility owner is likely to be required to take, as a consequence of the implementation of the review, in order to meet obligations of his arising under the access agreement in question or under any other access agreement to which he is a party; and
 - (b) its estimate of the cost to the facility owner of taking those measures.
- (3) On being notified under sub-paragraph (1), the Secretary of State or the Scottish Ministers or (as the case may be) each of them—
 - (a) may revise any information provided under paragraph 1D to the Office of Rail Regulation, together with any suggestion made under paragraph 1E; and
 - (b) if the information or such a suggestion is revised, must notify the revisions to that Office.
- (4) Any notification under sub-paragraph (3) must be given within whatever period is specified by the Office of Rail Regulation when notifying the Secretary of State or the Scottish Ministers in accordance with sub-paragraph (1).
- (5) Where the Office of Rail Regulation has already given a notification under this paragraph, it is required to give a further notification under this paragraph only if—
 - (a) information provided to it has been revised in response to its notification; and

- (b) it has not previously given a notification in respect of an earlier revision of that information.

1H Duty to have regard to information about desired outputs and finances etc.

(1) The Office of Rail Regulation must conduct an access charges review in the manner that it considers is most likely to secure that the implementation of the review will make the best and most practicable contribution to the achievement of—

- (a) what the Secretary of State wants to be achieved by railway activities in Great Britain as a whole; and
- (b) what the Scottish Ministers want to be achieved by Scottish railway activities.

(2) Where in the case of an access charges review the Office of Rail Regulation considers (notwithstanding any notification or revision under paragraph 1F or 1G) that the public financial resources that are or are likely to become available will be inadequate to secure the achievement of, as the case may be—

- (a) everything that the Secretary of State wants to be achieved,
- (b) everything that the Scottish Ministers want to be achieved, or
- (c) everything that both the Secretary of State and the Scottish Ministers want to be achieved,

it is to be for that Office to determine, for the purposes of the review, how much of what is wanted should be achieved using (but only for the purposes for which they may be applied) all the public financial resources that it considers are or are likely to be available.

(3) In conducting an access charges review the Office of Rail Regulation must have regard to the consequences of compliance by a facility owner who is a party to the access agreement in question with any terms—

- (a) of that agreement, or
- (b) of any other access agreement to which that facility owner is a party,

that it considers are relevant to a matter notified under paragraph 1G (including, in particular, a term requiring the facility owner to pay compensation or to take mitigatory measures).

(4) In considering the matters mentioned in paragraph 1A(3), the Office of Rail Regulation must have regard to any suggestion made under paragraph 1E, and to any revision of that suggestion.

(5) For the purposes of this paragraph—

- (a) expressions used in this paragraph and in paragraph 1D have the same meanings in this paragraph as in that;
- (b) what the Secretary of State or the Scottish Ministers want must be determined in every case in accordance with the information provided in that case under paragraph 1D, and with any revisions notified under paragraph 1F(3)(b) or 1G(3)(b); and
- (c) the Office of Rail Regulation must have regard to the financial information so provided and revised whenever considering what is likely to make the best and most practicable contribution to the achievement of what the Secretary of State or the Scottish Ministers want.”

Commencement

Sch. 4 para. 2: January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 2: England, Wales, Scotland

✓ Law In Force

3 Repeal of paragraph 3

Paragraph 3 (which provides for consideration of when the next review should be undertaken) shall cease to have effect.

Commencement

Sch. 4 para. 3: January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 3: England, Wales, Scotland

✓ Law In Force

4 Implementation notice

(1) In paragraph 4 (review notice), after sub-paragraph (2) insert–

“(2A) Before giving a review notice specifying modifications of a linked licence that are proposed for purposes connected with securing–

- (a) what the Secretary of State has informed the Office of Rail Regulation he wants to be achieved by any railway activities, or
- (b) what the Scottish Ministers have informed that Office they want to be achieved by any such activities,

that Office must consult the Secretary of State or (as the case may be) those Ministers.”

(2) In sub-paragraph (4) of that paragraph, before paragraph (a) insert–

- “(za) if the Secretary of State was given notice of the review under paragraph 1C, the Secretary of State;
- (zb) if the Scottish Ministers were given notice of the review under that paragraph, those Ministers;
- (zc) the Treasury;”.

Commencement

Sch. 4 para. 4(1)-(2): January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 4(1)-(2): England, Wales, Scotland

✓ Law In Force

5 Termination notice

In paragraph 6(3) (service of termination notice), before paragraph (a) insert–

“(za) if the Secretary of State was given notice of the review under paragraph 1C, the Secretary of State;
(zb) if the Scottish Ministers were given notice of the review under that paragraph, those Ministers;”.

Commencement

Sch. 4 para. 5: January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 5: England, Wales, Scotland

✓ Law In Force

6 New review notice following objections

In paragraph 8 (new review notices and references to Competition Competition), after sub-paragraph (4) insert–

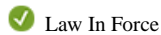
“(4A) Paragraph 1H applies to the making of any determination by the Office of Rail Regulation of what should be included in a new review notice to be given under this paragraph as it applies to the conduct of an access charges review.”

Commencement

Sch. 4 para. 6: January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 6: England, Wales, Scotland



Law In Force

7 Information to be provided to Competition Commission in connection with reference

(1) In paragraph 9 (reference to Competition Commission), after sub-paragraph (6) insert–

“(6A) A reference to the Competition Commission under this paragraph must be accompanied by–

- (a) any information which in the case in question was provided to the Office of Rail Regulation by the Secretary of State or the Scottish Ministers under paragraph 1D;
- (b) any information to which he or they referred in discharging the obligation imposed by that paragraph;
- (c) any suggestion which in that case was made under paragraph 1E; and
- (d) any revision of anything falling within paragraph (a) to (c) which has been notified to that Office under paragraph 1F or 1G.”

(2) In sub-paragraph (7) of that paragraph, after the words “Competition Commission”, in the second place where they occur, insert “(in addition to the information and revisions mentioned in sub-paragraph (6A))”.

(3) In sub-paragraph (8) of that paragraph, for “sub-paragraph” substitute “sub-paragraphs (6A) and”.

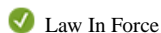
(4) In sub-paragraph (9) of that paragraph (matters to be taken into account in assessing public interest), at the end insert “and to the information, suggestions and revisions mentioned in sub-paragraph (6A)”.

Commencement

Sch. 4 para. 7(1)-(4): January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 7(1)-(4): England, Wales, Scotland



Law In Force

8 Noticed of proposed relevant changes following Competition Commission report

(1) In paragraph 12 (changes following report), after sub-paragraph (4) insert–

“(4A) Where (after considering any representations and objections which are duly made and not withdrawn) the Office of Rail Regulation proposes to make relevant changes under this paragraph, it must give a notice to the relevant authorities which–

- (a) sets out everything that would have to be included in a notice under sub-paragraph (5) with respect to the proposed changes;
- (b) specifies a period within which the Secretary of State, the Scottish Ministers or each of them has the opportunity of revising, in the light of those proposals, any information provided under paragraph 1D.

(4B) If in consequence of any revision of that information that is notified to the Office of Rail Regulation within the period specified in that notice, that Office decides to modify its proposals, it must—

- (a) give a new notice with respect to the modified proposals under sub-paragraph (3); and
- (b) comply again with sub-paragraph (4A) and this sub-paragraph before giving notice of the modified proposals to the Competition Commission.

(4C) The relevant authorities for the purposes of sub-paragraph (4A) are each of the following—

- (a) where the Secretary of State was given notice of the review under paragraph 1C, the Secretary of State;
- (b) where the Scottish Ministers were given notice of the review under that paragraph, those Ministers; and
- (c) in each of those cases, the Treasury.”

(2) In sub-paragraph (5) of that paragraph, after “withdrawn” insert “and any revisions of information provided under paragraph 1D that were notified within the period specified under sub-paragraph (4A)”.

(3) After that sub-paragraph insert—

“(5A) A notice must not be given under sub-paragraph (5) before the end of the period specified in the most recent notice given in the case in question under sub-paragraph (4A) as the period during which the Secretary of State, the Scottish Ministers or each of them has the opportunity of revising information provided under paragraph 1D.”

(4) In sub-paragraph (6) of that paragraph (information to accompany notice sent to Competition Commission), at the end insert “and a copy of any revisions of information provided under paragraph 1D that have been notified within the period specified in the notice under sub-paragraph (4A)”.

(5) In sub-paragraph (10) of that paragraph, for the words from “to the Authority” onwards substitute—

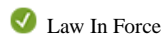
- “(a) where the Secretary of State was given notice of the review under paragraph 1C, to the Secretary of State; and
- (b) where the Scottish Ministers were given notice of the review under that paragraph, to those Ministers.”

Commencement

Sch. 4 para. 8(1)-(5): January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 8(1)-(5): England, Wales, Scotland



Law In Force

9 Notice of decisions by Competition Commission

For the last sub-paragraph of paragraph 14 (notice of relevant changes made by Competition Commission) substitute—

“(6) As soon as practicable after making relevant changes under this paragraph, the Competition Commission must send a copy of those relevant changes—

- (a) where the Secretary of State was given notice of the review under paragraph 1C, to the Secretary of State;
- (b) where the Scottish Ministers were given notice of the review under that paragraph, to those Ministers; and
- (c) in each of those cases, to the Office of Rail Regulation.”

Commencement

Sch. 4 para. 9: January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 9: England, Wales, Scotland



Law In Force

10 Information to be provided to Competition Commission with proposal for relevant changes

(1) In sub-paragraph (3) of paragraph 15 (information to be provided to Competition Commission for purpose of their functions under paragraphs 13 and 14), after the words “Competition Commission”, in the second place where they occur, insert “(in addition to the information provided in accordance with paragraph 12(5) and (6))”.

(2) In sub-paragraph (4) of that paragraph, for “any information” substitute—

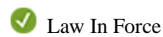
- “(a) every revision of which they have been given notice under paragraph 12(6) of information provided under paragraph 1D; and
- (b) all information”.

Commencement

Sch. 4 para. 10(1)-(2): January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 10(1)-(2): England, Wales, Scotland



11 Commencement of Schedule

(1) Subject to sub-paragraph (2), this Schedule does not apply in relation to any review in relation to which the [Office of Rail and Road]¹ has given a review notice under paragraph 4 of Schedule 4A to the 1993 Act before the commencement of this Schedule.

(2) Where—

(a) the [Office of Rail and Road]¹ gave a review notice before the commencement of this Schedule in any case, and

(b) that Office, following the making of objections in that case (whether before or after that commencement), is considering whether to give a new review notice under paragraph 8 of Schedule 4A to the 1993 Act or to make a reference to the Competition Commission under paragraph 9 of that Schedule,

that Office, according to what it thinks fit, may either undertake a new access charges review in accordance with that Schedule as amended by this Schedule or proceed immediately to issue the new review notice or to make the reference to that Commission.

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(t) (October 16, 2015)

Commencement

Sch. 4 para. 11(1)-(2)(b): January 29, 2007 (SI 2007/62 art. 2(2)(d))

Extent

Sch. 4 para. 11(1)-(2)(b): England, Wales, Scotland

SCHEDULE 5

[Passengers' Council]¹ ESTABLISHED BYS. 19(1)

Section 19

Notes

¹ Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(7)(c) (February 25, 2010)

PART 1

INTRODUCTORY

✓ Law In Force

1

In this Schedule–

“accounting records” includes all books, papers and other records of the [PC]¹ relating to–

- (a) the accounts which it is required to keep; or
- (b) matters dealt with in those accounts;

“financial year” means–

- (a) the period beginning with the establishment of the [PC]¹ and ending with the following 31st March; or
- (b) a subsequent period of twelve months ending with 31st March;

“member” means the chairman or another member of the [PC]¹;

[“the PC” means the Passengers' Council established by section 19(1).]²

Notes

¹ Word substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(7)(b) (February 25, 2010)

² Definition substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(7)(a) (February 25, 2010)

Commencement

Sch. 5(1) para. 1 definition of "accounting records"- definition of "the RPC": July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(1) para. 1- definition of "the RPC": England, Wales, Scotland

PART 2

MEMBERS AND STAFF

Remuneration etc. of members

✓ Law In Force

2

(1) The RPC must pay to every member, other than the one appointed by the London Assembly, the remuneration and allowances that are provided for by the terms and conditions of his appointment.

(2) The London Transport Users' Committee must pay to the member appointed by the London Assembly the remuneration and allowances that are provided for by the terms and conditions of his appointment.

(3) The RPC must pay, or make provision for paying, to or in respect of every member, other than the member appointed by the London Assembly, such sums by way of pensions or allowances as are payable in accordance with his terms and conditions of appointment.

(4) The London Transport Users' Committee must pay, or make provision for paying, to or in respect of the member appointed by the London Assembly such sums by way of pensions or allowances as are payable in accordance with his terms and conditions of appointment.

(5) If–

(a) a person ceases to be a member of the RPC, and

(b) it appears to the Secretary of State that there are special circumstances that make it right for the person to receive compensation,

the RPC must make a payment to that person of such amount as the Secretary of State determines.


Commencement

Sch. 5(2) para. 2(1)-(5)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(2) para. 2-(5)(b): England, Wales, Scotland

Staff

 Law In Force

3

The RPC may employ such persons, on such terms and conditions (including terms and conditions as to remuneration), as it may determine.

Commencement

Sch. 5(2) para. 3: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(2) para. 3: England, Wales, Scotland

 Law In Force

4

(1) The RPC may–

- (a) pay such pensions, allowances or gratuities as it may determine to or in respect of persons who are or have been employees of the RPC;
- (b) make such payments as it may determine towards provision for the payment of pensions, allowances or gratuities to or in respect of such persons; or
- (c) provide and maintain such schemes (whether contributory or not) as it may determine for the payment of pensions, allowance or gratuities to or in respect of such persons.

(2) The pensions, allowances or gratuities referred to in sub-paragraph (1) include pensions, allowances or gratuities by way of compensation in respect of loss of employment or loss or diminution of emoluments.

Commencement

Sch. 5(2) para. 4(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(2) para. 4-(2): England, Wales, Scotland

✓ Law In Force

5

(1) The persons to whom section 1 of the Superannuation Act 1972 (c. 11) applies shall include employees of the RPC.

(2) If an employee of the RPC—

- (a) is a participant in a scheme under section 1 of the Superannuation Act 1972 by reference to his employment by the RPC, and
- (b) becomes a member of the RPC,

the Minister for the Civil Service may determine that his service as a member of the RPC is to be treated for the purposes of the scheme as service as an employee of the RPC.

(3) The RPC must pay to the Minister for the Civil Service, at such times as he may direct, such sums as he may determine in respect of any increase attributable to sub-paragraph (1) or (2) in the sums payable out of money provided by Parliament under the Superannuation Act 1972.

(4) The Minister for the Civil Service may, to such extent and subject to such conditions as he thinks fit, delegate to the RPC the function of administering a scheme under section 1 of the Superannuation Act 1972, so far as relating to employees of the RPC.

(5) If he does so, the RPC may authorise the carrying out of that function, to such extent and subject to such conditions as it may determine, by—

- (a) a person nominated by it; or
- (b) the employees of a person so nominated.

(6) Acts or omissions by or in relation to—

- (a) a person nominated for the purposes of sub-paragraph (5), or
- (b) an employee of a person so nominated,

must be treated for all purposes, so far as they are acts or omissions in or in connection with what he is authorised to carry out, as acts or omissions by or in relation to the RPC.

- (7) Sub-paragraph (6) does not apply for the purposes of–
- (a) criminal proceedings against the nominated person (or an employee of his); or
 - (b) a contract between him and the RPC so far as relating to the function.

Commencement

Sch. 5(2) para. 5(1)-(7)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(2) para. 5-(7)(b): England, Wales, Scotland

PART 3

FINANCE

Government grants

✓ Law In Force

6

- (1) The Secretary of State may make grants to the RPC of such amounts as he may determine.
- (2) The terms of the grants shall be such as the Secretary of State may determine.

Commencement

Sch. 5(3) para. 6(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(3) para. 6-(2): England, Wales, Scotland

Direction requiring payment to the Secretary of State

✓ Law In Force

7

- (1) The Secretary of State may give a direction to the RPC requiring it to pay him a sum specified in the direction.
- (2) Before giving a direction under sub-paragraph (1), the Secretary of State must consult–

- (a) the Treasury; and
- (b) the RPC.

Commencement

Sch. 5(3) para. 7(1)-(2)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(3) para. 7-(2)(b): England, Wales, Scotland

Accounts and audit

✓ Law In Force

8

(1) The RPC must—

- (a) keep proper accounts and proper accounting records; and
- (b) in respect of each financial year, prepare a statement of its accounts.

(2) Every statement of accounts prepared under sub-paragraph (1)(b) must—

- (a) give a true and fair view of the RPC's income and expenditure for the financial year in question and its state of affairs; and
- (b) comply with every requirement which the Secretary of State has notified to the RPC.

(3) The requirements notified under sub-paragraph (2)(b) may include, in particular, requirements relating to—

- (a) the information to be contained in the statement;
- (b) the manner in which that information is to be presented; and
- (c) the methods and principles according to which the statement is to be prepared.

Commencement

Sch. 5(3) para. 8(1)-(3)(c): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(3) para. 8-(3)(c): England, Wales, Scotland

✓ Law In Force

9

(1) The statement of accounts and other accounts of the RPC relating to each financial year must be audited by the Comptroller and Auditor General.

(2) The Comptroller and Auditor General must send the RPC a copy of his report on the accounts audited under sub-paragraph (1).

- (3) The RPC must send the Secretary of State—
- (a) a copy of the accounts audited under sub-paragraph (1); and
 - (b) the report of the Comptroller and Auditor General.
- (4) The Secretary of State must lay a copy of the documents sent to him under sub-paragraph (3) before Parliament.

Commencement

Sch. 5(3) para. 9(1)-(4): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(3) para. 9-(4): England, Wales, Scotland

PART 4

FINANCIAL FRAMEWORK AND INFORMATION



Law In Force

10 Financial framework

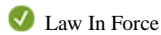
- (1) The Secretary of State—
- (a) must prepare, and
 - (b) may from time to time revise,
- a document to be known as the RPC's “financial framework”.
- (2) The financial framework must specify rules and principles according to which the RPC is to exercise and perform its powers and duties in relation to—
- (a) financial matters; and
 - (b) matters relating to its employees.
- (3) The RPC must not carry out any of its functions in a manner which is inconsistent with its financial framework.
- (4) The fact that a transaction entered into by the RPC constitutes, or involves, a contravention of sub-paragraph (3) does not invalidate the transaction.
- (5) Sub-paragraph (4) applies whether or not a person who entered into the transaction with the RPC inquired whether the transaction constituted or involved a contravention of sub-paragraph (3).

Commencement

Sch. 5(4) para. 10(1)-(5): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(4) para. 10-(5): England, Wales, Scotland



Law In Force

11 Annual reports

- (1) As soon as practicable after the end of each financial year, the RPC must make a report on its activities during that year.
- (2) In preparing its annual report the RPC must have regard to the desirability of excluding from the report, so far as practicable—
- (a) matters relating to the affairs of an individual which, in the opinion of the RPC, are matters the publication of which would or might seriously and prejudicially affect the interests of that individual; and
 - (b) matters relating specifically to the affairs of a particular body of persons (whether corporate or unincorporate) which, in the opinion of the RPC, are matters the publication of which would or might seriously and prejudicially affect the interests of that body.
- (3) The RPC must send a copy of every annual report under this paragraph to each of the following—
- (a) the Secretary of State;
 - (b) the Scottish Ministers; and
 - (c) [the Welsh Ministers]¹ .
- (4) The RPC may also arrange for a copy of its annual report for a financial year to be published in such manner as it considers appropriate.
- (5) The Secretary of State must lay before Parliament a copy of every annual report a copy of which has been sent to him under this paragraph.
- (6) The Scottish Ministers must lay before the Scottish Parliament a copy of every annual report a copy of which has been sent to them under this paragraph.

Notes

- ¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.65 (June 13, 2018)

Commencement

Sch. 5(4) para. 11(1)-(6): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(4) para. 11-(6): England, Wales, Scotland



Law In Force

12 Information

The RPC must give the Secretary of State information, advice and assistance about any matter in respect of which it has any functions if—

- (a) the RPC considers it appropriate to do so; or

- (b) the Secretary of State asks the RPC to do so in connection with the carrying out of any function of his.

Commencement

Sch. 5(4) para. 12(a)-(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(4) para. 12-(b): England, Wales, Scotland

PART 5

STATUS AND SUPPLEMENTARY POWERS

✓ Law In Force

13 Status

- (1) The RPC is not to be treated—
- (a) as the servant or agent of the Crown; or
 - (b) as enjoying any status, immunity or privilege of the Crown.
- (2) The property of the RPC is not to be regarded as property of the Crown or as held on behalf of the Crown.

Commencement

Sch. 5(5) para. 13(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(5) para. 13-(2): England, Wales, Scotland

✓ Law In Force

14 Supplementary powers

- (1) The RPC may do anything that appears to it to be likely to facilitate the carrying out of its functions, or to be conducive or incidental to the carrying out of those functions.
- (2) The RPC may make charges for services or facilities that it provides or makes available at a person's request and otherwise than in performance of a duty to do so.


Commencement

Sch. 5(5) para. 14(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(5) para. 14-(2): England, Wales, Scotland

PART 6**PROCEDURE***Regulation of procedure*

 Law In Force

15

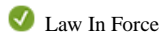
- (1) Subject to this paragraph and paragraph 16, the RPC may regulate its own procedure.
- (2) Sub-paragraph (1) includes power to make provision about quorums.
- (3) The RPC must meet when convened by the chairman.
- (4) The chairman may convene a meeting of the RPC whenever he thinks fit.
- (5) The chairman must—
 - (a) convene meetings of the RPC so that it meets at least twice a year; and
 - (b) convene a meeting whenever three members of the RPC require him to do so.
- (6) The RPC must secure—
 - (a) that minutes are kept of the proceedings at every meeting of the RPC; and
 - (b) that copies of those minutes are sent to the Secretary of State.
- (7) The validity of proceedings of the RPC is not to be affected by—
 - (a) a vacancy in its membership; or
 - (b) a defect in the appointment of a member.

Commencement

Sch. 5(6) para. 15(1)-(7)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(6) para. 15-(7)(b): England, Wales, Scotland

Admission of the public to meetings**16**

(1) Meetings of the RPC must be open to the public; but the public must be excluded during any item of business that is confidential for the purposes of this paragraph.

(2) An item of business is confidential for the purposes of this paragraph where, if members of the public were to be present during that item, it is likely that information furnished in confidence to the RPC by–

- (a) the [Office of Rail and Road]¹ , [...] ²
- (b) the Secretary of State, [or]³
- [(c) a traffic commissioner,]³

would be disclosed in breach of the obligation of confidence.

(3) An item of business is confidential for the purposes of this paragraph where the RPC has resolved that–

- (a) because of the confidential nature of the item, or
- (b) for other special reasons stated in the resolution,

it is desirable in the public interest that the public be excluded during that item.

(4) An item of business is confidential for the purposes of this paragraph where, if members of the public were to be present during that item, it is likely that–

- (a) there would be disclosed to them a matter relating to the affairs of an individual or relating specifically to the affairs of a particular body (whether corporate or unincorporate); and
- (b) public disclosure of the matter would or might, in the opinion of the RPC, seriously and prejudicially affect the interests of that individual or body.

(5) An item of business is confidential for the purposes of this paragraph where the circumstances–

- (a) are specified for the purposes of this sub-paragraph in an order made by the Secretary of State; or
- (b) are determined to be confidential for those purposes in accordance with an order so made.

(6) An order under sub-paragraph (5) is subject to the negative resolution procedure.

Notes

¹ Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(u) (October 16, 2015)

² Word repealed by Passengers' Council (Non-Railway Functions) Order 2010/439 art.5(2)(a) (February 25, 2010)

³ Added by Passengers' Council (Non-Railway Functions) Order 2010/439 art.5(2)(b) (February 25, 2010)

Commencement

Sch. 5(6) para. 16(1)-(6): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(6) para. 16-(6): England, Wales, Scotland

✓ Law In Force

17

The RPC must give such notice–

- (a) of any meeting of the RPC which is open to the public, and
- (b) of the business to be taken at that meeting (other than items during which the public is to be excluded),

as it considers appropriate for the purpose of bringing the meeting to the attention of interested members of the public.

Commencement

Sch. 5(6) para. 17(a)-(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(6) para. 17-(b): England, Wales, Scotland

Local committees

✓ Law In Force

18

(1) If the Secretary of State so directs, the RPC must establish committees to advise it in relation to the carrying out of [any or all of]¹ its functions in relation to particular areas.

(2) The members of a committee established under this paragraph are to be appointed by the RPC.

(3) The RPC may appoint such persons as it thinks fit and the membership of the committee may consist of or include persons who are not themselves members of the RPC.

(4) The RPC may regulate the procedure of a committee established under this paragraph.

(5) The RPC may reimburse a member of a committee established under this paragraph who is not a member of the RPC–

- (a) for travelling expenses;
 - (b) for other out-of-pocket expenses not relating to loss of remuneration.
-

Notes

¹ Words inserted by Passengers' Council (Non-Railway Functions) Order 2010/439 art.5(3) (February 25, 2010)

Commencement

Sch. 5(6) para. 18(1)-(5)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(6) para. 18-(5)(b): England, Wales, Scotland

Execution of documents

✓ Law In Force

19

(1) The application of the seal of the RPC shall be authenticated by the signature of a member or employee of the RPC whom it has authorised for the purpose (whether generally or specifically).

(2) Any document which the RPC is authorised or required by or under any enactment to serve, make or issue may be signed on its behalf by a member or employee whom it has authorised for the purpose (whether generally or specifically).

(3) Every document purporting—

(a) to be an instrument made or issued by or on behalf of the RPC, and

(b) to be duly executed under the seal of the RPC, or to be duly signed or executed by a person authorised by the RPC for the purpose,

shall be received in evidence and, unless the contrary is shown, treated without further proof as so made or issued.

(4) In this paragraph the reference to a signature includes a reference to a facsimile of a signature produced by any process and “signed” is to be construed accordingly.

(5) In this paragraph “enactment” includes an enactment comprised in an Act of the Scottish Parliament.

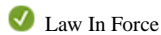
Commencement

Sch. 5(6) para. 19(1)-(5): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 5(6) para. 19-(5): England, Wales, Scotland

SCHEDULE 6**FUNCTIONS RETAINED BY LONDON TRANSPORT USERS' COMMITTEE****Section 21**



Law In Force

1 Members of LTUC to represent users of services in London railway area

In section 247(3)(b) of the Greater London Authority Act 1999 (c. 29) (members of LTUC appointed to represent railway users in particular area), for the words from “area for which” onwards substitute “area for which the Committee fell, immediately before the repeal of section 2 of the Railways Act 1993 (Rail Passengers' Committees), to be treated as the Rail Passengers' Committee for the purposes specified in subsection (4) of that section”.

Commencement

Sch. 6 para. 1: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 6 para. 1: England, Wales, Scotland



Law In Force

2 General duty of LTUC to keep railway matters under review

Before section 253 of that Act insert—

“252A Committee to keep railways matters under review

(1) It shall be the duty of the Committee, so far as it appears to it expedient from time to time to do so—

- (a) to keep under review matters affecting the interests of the public in relation to railway passenger services provided wholly or partly within the London railway area;
- (b) to keep under review matters affecting the provision of station services within that area;
- (c) to make representations to, and to consult, such persons as it thinks appropriate about the matters mentioned in paragraphs (a) and (b); and
- (d) to co-operate with other bodies representing the interests of users of public passenger transport services provided wholly or partly within that area.

(2) In this section—

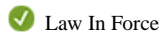
- (a) references to the London railway area are references to the area for which the Committee fell, immediately before the repeal of section 2 of the Railways Act 1993 (Rail Passengers' Committees), to be treated as the Rail Passengers' Committee for the purposes specified in subsection (4) of that section;
- (b) references to railway passenger services include references to bus substitution services; and
- (c) subject to that, expressions used in this section and in Part 1 of the Railways Act 1993 have the same meanings in this section as in that Part.”

Commencement

Sch. 6 para. 2: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 6 para. 2: England, Wales, Scotland



Law In Force

3 Duty of LTUC to investigate matters

In that Act, after the section 252A inserted by paragraph 2 of this Schedule, insert–

“252B References to Committee in relation to railways

(1) It shall be the duty of the Committee to investigate any matter relating to a relevant railway matter if–

- (a) it is the subject of a representation made to the Committee by a user or potential user of railway passenger services;
- (b) it is referred to the Committee by the Secretary of State, the Office of Rail Regulation, the Rail Passengers' Council, the London Assembly or Transport for London; or
- (c) it appears to the Committee that it is a matter that it ought to investigate.

(2) A matter is a relevant railway matter for the purposes of subsection (1) if it relates to–

- (a) the provision of railway passenger services wholly or partly within the London railway area; or
- (b) the provision of station services within that area in a case in which the operator of the station is authorised by a licence under Part 1 of the Railways Act 1993.

(3) The Secretary of State may also refer the following matters to the Committee for the purpose only of requiring the Committee to prepare a report on them–

- (a) matters relating to the quality of railway passenger services provided wholly or partly within the London railway area; and
- (b) matters relating to the quality of station services provided in that area.

(4) The Committee must also assist the Secretary of State, to such extent and in such manner as he may require, in ascertaining whether the franchise operator in the case of a particular franchise agreement is attaining the standards set for the provision of the franchised services.

(5) The Committee is not required to investigate a matter in a case falling within subsection (1)(a) if it appears to the Committee that the representation is frivolous or vexatious.

(6) Subsection (2) of section 252A applies for the purposes of this section as it applies for the purposes of that section.

252C Action on investigation under section 252B

(1) On investigating a matter under section 252B the Committee must, if it considers it appropriate to do so—

- (a) in every case, make appropriate representations to the person providing the service;
- (b) in the case of a service provided under a franchise agreement by a person other than the franchisee, make appropriate representations to the franchisee; and
- (c) in the case of a secured service (within the meaning of Part 4 of the Railways Act 2005), make appropriate representations to the Secretary of State.

(2) In subsection (1) “appropriate representations” means representations about—

- (a) any matter appearing to the Committee to be relevant to the subject-matter of the investigation; and
- (b) any other matter to which a matter so appearing relates.

(3) Subject to subsection (4), where the Committee—

- (a) having made representations under subsection (1), is of the opinion that it is unable to obtain a satisfactory resolution by that means,
- (b) on investigating a matter, has reason for believing that the holder of a licence under Part 1 of the Railways Act 1993 is contravening a condition of the licence, or is likely to do so, or
- (c) on investigating a matter, has reason for believing that a franchisee in relation to a franchise agreement is contravening the provisions of the agreement, or is likely to do so,

the Committee must refer the matter to the Secretary of State (or if he referred it to the Committee, back to him) with a view to his exercising such of his powers as he considers appropriate in the circumstances of the case.

(4) Subsection (3) does not apply in a case where representations under subsection (2) have been made to the Secretary of State.

(5) If the Secretary of State considers that it would be more appropriate for a matter referred to him by the Committee under subsection (3) to be referred to the Office of Rail Regulation, he must—

- (a) refer it to that Office, or
 - (b) if it was referred to the Committee by that Office, refer it back to that Office,
- with a view to that Office exercising such of its powers as it considers appropriate in the circumstances of the case.

(6) The Committee must not—

- (a) include a proposal for the taking of any steps in representations made by it under this section, or
- (b) make a reference under this section to the Secretary of State by reason only of the failure of a person to take any steps,

unless the test in subsection (7) is satisfied.

(7) That test is satisfied if, on the basis of the information available to the Committee, it considers that, balancing each of the following against the other—

- (a) the costs of taking the steps, and

(b) the benefits that will be enjoyed by persons in consequence of the taking of those steps,
the expenditure involved represents good value for money.

(8) In this section “franchise agreement” and “franchisee” have the same meanings as in Part 1 of the Railways Act 1993.

252D Reports on investigation etc.

(1) Where the Committee investigates a matter under section 252B–

- (a) it may prepare a report of its findings; and
- (b) it must do so if required to do so by the Secretary of State in relation to any matter falling within section 252B(3) that was referred to it by him for the purposes of that requirement.

(2) The Committee must not include a proposal for the taking of any steps in a report prepared by it under this section unless, on the basis of the information available to it, it considers that, balancing each of the following against the other–

- (a) the costs of taking those steps, and
- (b) the benefits that will be enjoyed by persons in consequence of the taking of those steps,

the expenditure involved represents good value for money.

(3) The Committee–

- (a) must send a copy of every report prepared under this section to the Rail Passengers' Council; and
- (b) may publish the report;

but the Committee may publish a report relating to findings on a matter referred to the Committee by the Secretary of State only if required to do so by him under this section.

(4) Where–

- (a) the Committee prepares a report relating to a matter referred to it by the Secretary of State, but
- (b) the report is not a report that the Secretary of State has required under subsection (1)(b),

the Committee must publish the report if it is required to do so by him.

(5) The Secretary of State may arrange for the publication of any report by the Committee the preparation of which he has required under subsection (1)(b).

(6) The publication of a report by the Committee or the Secretary of State may be in any manner that the Committee or (as the case may be) the Secretary of State thinks appropriate.

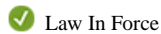
(7) References in this section to a matter referred to the Committee by the Secretary of State include references to a matter in relation to which he has required the Committee's assistance under section 252B(4).”

Commencement

Sch. 6 para. 3: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 6 para. 3: England, Wales, Scotland



Law In Force

4 Power of Secretary of State to exclude matters from duties of LTUC

(1) In that Act, after the section 252D inserted by paragraph 3 of this Schedule insert–

“252E Power to make exclusions from duties under sections 252A to 252D

(1) The Secretary of State may by order–

- (a) exclude services from one or more of the duties imposed by sections 252A to 252D;
- (b) provide that one or more of those duties applies to services of a particular class or description, particular services or services provided by a particular person only to such extent as is specified in the order; or
- (c) provide that one or more of those duties applies with specified modifications in the case of services of a particular class or description, particular services or services provided by a particular person.

(2) Before making an order under this section the Secretary of State must consult the Committee and the Rail Passengers' Council.

(3) The power to make exclusions by an order under this section includes–

- (a) power to exclude services of a particular class or description, particular services or services provided by a particular person; and
- (b) power to provide that services are excluded subject to compliance with specified conditions.

(4) An order under this section may not revoke an exclusion except–

- (a) for breach of a condition; or
- (b) in accordance with the order that made it.”

(2) In section 420(8) of that Act (orders subject to negative resolution procedure), after “section 242(10)” insert–

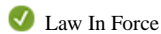
“section 252E;”.

Commencement

Sch. 6 para. 4(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 6 para. 4-(2): England, Wales, Scotland



Law In Force

5 Duty of Rail Passengers' Council to refer matters to the LTUC

In section 76 of the 1993 Act (duties of Rail Passengers' Council), after subsection (2) insert–

“(2A) If any matter falling within subsection (2)(a) appears to the Rail Passengers' Council to relate only to–

(a) the provision of railway passenger services wholly within the London railway area (within the meaning of section 252A of the Greater London Authority Act 1999), or

(b) the provision of station services within that area,

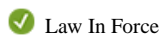
that Council must refer the matter to the London Transport Users' Committee.”

Commencement

Sch. 6 para. 5: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 6 para. 5: England, Wales, Scotland

SCHEDULE 7**CONSULTATIONS UNDER PART 4****Sections 22 to 31***Introductory*

Law In Force

1

A consultation under this Schedule about a proposal–

(a) must be initiated as follows; and

(b) thereafter must be carried out in accordance with the closures guidance.

Commencement

Sch. 7 para. 1(a)-(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 7 para. 1-(b): England, Wales, Scotland

Newspaper notification

✓ Law In Force

2

(1) The person carrying out the consultation must publish a notice under this paragraph, in two successive weeks—

- (a) in a local newspaper circulating in the area affected by the proposal; and
- (b) in two national newspapers.

(2) The notice must set out—

- (a) the proposal date;
- (b) the other particulars of the proposal;
- (c) the address at which—
 - (i) the initial assessment, and
 - (ii) a summary of the results of that assessment,

are available for inspection, or from which a copy of that assessment and summary may be obtained;

- (d) the fees payable for a copy of the assessment and summary;
- (e) a statement that any representations about the proposal may be sent to the person carrying out the consultation within such period as may be specified in the notice.

(3) In the case of a consultation carried out about a proposal to which section 23, 24, 27, 28, 30 or 31 applies, the proposal date must be not less than six months after the notice is last published in a local newspaper for the purposes of sub-paragraph (1).

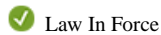
(4) The period specified under sub-paragraph (2)(e) must be a period ending no less than 12 weeks after the notice is last published in a local newspaper for the purposes of sub-paragraph (1).

Commencement

Sch. 7 para. 2(1)-(4): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 7 para. 2-(4): England, Wales, Scotland

Specific notification to particular persons**3**

- (1) The person carrying out the consultation must—
- (a) send to every person specified in sub-paragraph (2) (apart from himself) both a copy of every notice published under paragraph 2 and a summary of the results of the initial assessment; and
 - (b) in such manner as he considers appropriate, consult such other persons (if any) as he thinks fit.
- (2) Those persons are—
- (a) in the case of a consultation for the purposes of section 22(7)(a), 25(6)(a), 26(7)(a) or 29(7)(a), the person making the proposal in question;
 - (b) in the case of a consultation for the purposes of—
 - (i) subsection (4)(b) of section 24,
 - (ii) subsection (3)(b) of section 27,
 - (iii) subsection (3)(b) of section 28,
 - (iv) subsection (3)(b) of section 30, or
 - (v) subsection (3)(b) of section 31,the national authority for the purposes of that section;
 - (c) if the proposal affects Wales, [the Welsh Ministers]¹ ;
 - (d) if the proposal affects Greater London, the Mayor of London;
 - (e) every Passenger Transport Executive whose area is affected by the proposal;
 - (f) every local authority in whose area there are persons living, working or studying who appear to the person carrying out the consultation to be persons affected by the proposal;
 - (g) the [Passengers' Council]² ;
 - (h) if the proposal affects its area, the London Transport Users' Committee;
 - (i) every person designated by order made by the Secretary of State for the purposes of this Schedule as a body representing interests of railway passengers;
 - (j) every railway funding authority appearing to the person carrying out the consultation to be a party to financial arrangements that are or may be affected by the proposal;
 - (k) every person providing railway services who appears to the person carrying out the consultation to be affected by the proposal;
 - (l) every person providing station services in relation to a station affected by the proposal.
- (3) The person carrying out the consultation must require every operator of a station in the area affected by the proposal to whom he sends a copy of a notice under sub-paragraph (1) to secure that a copy of it is published by being displayed at that station until the end of the interim period.
- (4) An order under sub-paragraph (2)(i) is subject to the negative resolution procedure.
- (5) In the case of a consultation carried out for the purposes of section 25, sub-paragraph (2) has effect with the omission of paragraph (j).
- (6) In this paragraph “local authority” –

- (a) in relation to England and Wales, means a county council or county borough council, a community council or a council for a district in an area for which there is no county council; and
- (b) in relation to Scotland, has the same meaning as in the Local Government (Scotland) Act 1973 (c. 65).

Notes

- ¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.66 (June 13, 2018)
- ² Words substituted by Passengers' Council (Non-Railway Functions) Order 2010/439 Sch.1(1) para.9(8) (February 25, 2010)

Commencement

Sch. 7 para. 3(1)-(6)(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 7 para. 3-(6)(b): England, Wales, Scotland

Interpretation of Schedule

✓ Law In Force

4

In this Schedule “the initial assessment” means the assessment relating to the proposal that has been carried out under section 22(5), 23(5), 24(6), 25(4), 26(5), 27(5), 28(5), 29(5), 30(5) or 31(5).

Commencement

Sch. 7 para. 4: December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 7 para. 4: England, Wales, Scotland

✓ Law In Force

5

In this Schedule “the area affected”, in relation to a proposal, means—

- (a) in the case of a proposal for the discontinuance of railway passenger services on a particular line or from a particular station, the area in which the line or station is situated;
- (b) in the case of a proposal relating to a network, or part of a network, the area in which the network, or part of a network, is situated;
- (c) in the case of a proposal relating to a station, or part of a station, the area served by the station, or that part.

Commencement

Sch. 7 para. 5(a)-(c): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 7 para. 5-(c): England, Wales, Scotland

✓ Law In Force

6

(1) A newspaper is to be regarded as a national newspaper for the purposes of paragraph 2(1)(b) as it applies in relation to a proposal if—

- (a) it is a newspaper circulating generally in the United Kingdom; or
- (b) the proposal relates to services operating, or a network or station, or part of a network or station that is—
 - (i) entirely in England,
 - (ii) entirely in Wales, or
 - (iii) entirely in Scotland,

and it is a newspaper circulating generally in England, Wales or (as the case may be) Scotland.

(2) For the purposes of this paragraph, a service operates entirely in England, entirely in Wales or entirely in Scotland if it begins and ends in, and does not make any other scheduled call outside, England, Wales or (as the case may be) Scotland.

Commencement

Sch. 7 para. 6(1)-(2): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 7 para. 6-(2): England, Wales, Scotland

SCHEDULE 8**PROPOSALS TO DISCONTINUE EXCLUDED LONDON SERVICES****Section 25**

✓ Law In Force

1 Introductory

(1) This Schedule applies, where a proposal for the discontinuance of all the excluded London services provided on a particular line, or from a particular station, is made by the person providing

them (“the service operator”), to so much of the proposal as relates to excluded London services which are special procedure excluded services.

(2) In this Schedule “excluded London service” and “special procedure excluded service” have the same meanings as in section 25.

Commencement

Sch. 8 para. 1(1)-(2): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 8 para. 1-(2): England, Wales, Scotland

✓ Law In Force

2 Notice of proposal

(1) The service operator—

- (a) must give notice in the required manner of his proposal; and
- (b) must not give effect to the closure before the end of the period specified in the notice for the making of objections to the London Transport Users' Committee.

(2) The notice must set out—

- (a) the proposal date;
- (b) the other particulars of the proposal;
- (c) particulars of alternative services which it appears to the service operator will be available;
- (d) any proposal of the service operator for providing or augmenting the alternative services;
- (e) a statement that any objections about the proposal may be sent to the London Transport Users' Committee on or before the proposal date.

(3) The proposal date must be not less than six weeks after the notice is last published in a local newspaper for the purposes of sub-paragraph (4).

(4) A notice under this paragraph is published in the required manner if it is published, in two successive weeks—

- (a) in a local newspaper circulating in the area affected by the proposal;
- (b) in two newspapers circulating generally in England (or in England and any other part of the United Kingdom); and
- (c) in such other manner as appears to the person giving the notice to be appropriate.

(5) The service operator must send a copy of every notice published under this paragraph—

- (a) to the London Transport Users' Committee; and
- (b) to every person who is the operator of a station within the area affected by the proposal;

and must require every such operator to publish the notice by displaying it at the stations he operates in that area.

(6) In this paragraph a reference to the area affected by the proposal is a reference to the area in which is situated the line or station referred to in paragraph 1(1).

Commencement

Sch. 8 para. 2(1)-(6): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 8 para. 2-(6): England, Wales, Scotland

✓ Law In Force

3 Objections etc.

(1) Where a notice has been published under paragraph 2 objections about the proposal may be made to the London Transport Users' Committee—

- (a) by any user of a service to which the proposal relates; or
- (b) by any person representing such users.

(2) Objections may only be made within the period specified in the notice.

Commencement

Sch. 8 para. 3(1)-(2): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 8 para. 3-(2): England, Wales, Scotland

✓ Law In Force

4 Consideration of objections and report to Mayor of London

(1) This paragraph applies where any objection is made under paragraph 3.

(2) The London Transport Users' Committee must immediately inform—

- (a) the Mayor of London, and
- (b) the service operator,

about the objection.

(3) The service operator may give effect to the proposed closure only if the Mayor of London consents to it.

(4) As soon as possible after the end of the period for the making of objections to the London Transport Users' Committee, the Committee must—

- (a) consider the objections made during that period;
- (b) consider any representations made by the service operator; and
- (c) report to the Mayor of London on the hardship the Committee considers will be caused by the proposed closure.

(5) If the London Transport Users' Committee decides—

- (a) to hear an objector orally, or
- (b) to hear oral representations from the service operator,

the hearing must be in public.

(6) The report to the Mayor of London under this paragraph may contain proposals for alleviating any hardship to which it refers.

(7) After receiving that report the Mayor of London may require further reports from the London Transport Users' Committee relating to the proposed closure.

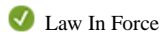
(8) The London Transport Users' Committee must send to the service operator a copy of every report or further report it makes under this paragraph.

Commencement

Sch. 8 para. 4(1)-(8): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 8 para. 4-(8): England, Wales, Scotland



Law In Force

5 Consent of Mayor to closure

(1) After—

(a) receiving—

(i) the report from the London Transport Users' Committee required by sub-paragraph (4) of paragraph 4, and

(ii) any further reports required by him under that paragraph, and

(b) carrying out any consultation required by sub-paragraph (2),

the Mayor of London must decide whether or not to consent to the proposed closure.

(2) If any of the services to which the proposed closure relates operates in any area outside Greater London, the Mayor of London must, before deciding whether to consent to the proposed closure, consult the local authority for each such area.

(3) At any time after the period for making objections the Mayor of London may make that decision without receiving a report or further report if—

(a) he has made such enquiries as he thinks fit, and

(b) he considers that the report or further report has been unreasonably delayed.

(4) The Mayor of London may give his consent subject to such conditions as he thinks fit.

(5) The Mayor of London may at any time vary or revoke conditions that are for the time being required to be complied with.

(6) Where the Mayor of London gives his consent to a proposed closure, he must—

(a) send a copy of his decision to every person who is the operator of a station in the area affected by the closure; and

(b) require that person to publish it by displaying it at the station.

(7) In this paragraph a reference to the area affected by the closure is a reference to the area in which is situated the line or station referred to in paragraph 1(1).

(8) In this paragraph “local authority” means a county council, a community council or council for a district in an area for which there is no county council.

Commencement

Sch. 8 para. 5(1)-(8): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 8 para. 5-(8): England, Wales, Scotland

SCHEDULE 9

BYE-LAWS BY RAILWAY OPERATORS

Section 46

Introductory

✓ Law In Force

1

(1) In this Schedule—

“appropriate national authority”, in relation to any bye-laws, means—

- (a) where the relevant assets by reference to which the bye-laws are or were made are all Scottish assets, the Scottish Ministers;
- (b) where some but not all of those assets are Scottish assets or include assets that are used partly in Scotland and partly elsewhere, the Secretary of State and the Scottish Ministers; [...]¹
- [(ba) where the relevant assets by reference to which the bye-laws are or were made are all Welsh assets, the Welsh Ministers; and]¹
- (c) in any other case, the Secretary of State;

“bye-laws” means bye-laws under section 46; and

“railway operator” has the same meaning as in that section.

(2) In sub-paragraph (1) “Scottish asset” means—

- (a) an asset that is permanently situated in Scotland; or
- (b) an asset that is used only in Scotland.

[(2A) In sub-paragraph (1) “Welsh asset” has the meaning given by section 46(9).]²

(3) In the case of bye-laws in relation to which both the Secretary of State and the Scottish Ministers are the appropriate national authority—

- (a) anything that must be done under this Schedule in relation to those bye-laws by the appropriate national authority must be done by them both, acting jointly;

- (b) anything that may be done under this Schedule in relation to those bye-laws by the appropriate national authority may be done only by them both, acting jointly; and
- (c) any requirement of this Schedule in relation to those bye-laws to send something to the appropriate national authority is complied with only if that thing is sent both to the Secretary of State and to the Scottish Ministers.

Notes

- ¹ Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.67(a) (October 14, 2018 at 02.00)
- ² Added by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.67(b) (October 14, 2018 at 02.00)

Commencement

Sch. 9 para. 1(1)-(3)(c): July 24, 2005 in relation to bye-laws where the Secretary of State acting alone is the appropriate national authority by virtue of 2005 c.14 Sch.9 para.1(1); October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 9 para. 1-(1) definition of "appropriate national authority" (b), (1) definition of "appropriate national authority" (c)-(2)(b), (3)-(3)(c): England, Wales, Scotland

Sch. 9 para. 1(1) definition of "appropriate national authority" (ba), (2A): (extent not available)

Penalties

 Law In Force

2

Bye-laws may provide that a person contravening them is guilty of an offence and liable, on summary conviction, to a fine not exceeding—

- (a) level 3 on the standard scale; or
- (b) such lower amount as is specified in the bye-laws.

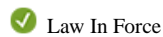
Commencement

Sch. 9 para. 2(a)-(b): July 24, 2005 in relation to bye-laws where the Secretary of State acting alone is the appropriate national authority by virtue of 2005 c.14 Sch.9 para.1(1); October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 9 para. 2-(b): England, Wales, Scotland

Confirmation

**3**

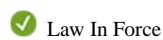
Bye-laws do not come into force until they have been confirmed by the appropriate national authority.

Commencement

Sch. 9 para. 3: July 24, 2005 in relation to bye-laws where the Secretary of State acting alone is the appropriate national authority by virtue of 2005 c.14 Sch.9 para.1(1); October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 9 para. 3-: England, Wales, Scotland

**4**

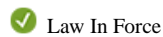
- (1) A railway operator who proposes to make bye-laws must publish a notice stating—
 - (a) that he proposes to make bye-laws;
 - (b) the manner in which a copy of the proposed bye-laws will be open to public inspection; and
 - (c) that any person affected by the proposed bye-laws may make representations about them to the appropriate national authority within the period specified in the notice.
- (2) The publication of the notice must be in the manner approved by the appropriate national authority.
- (3) The period specified for the purposes of sub-paragraph (1)(c) must be the period of 28 days beginning with the day after that on which the railway operator's notice is published, or a longer period.
- (4) At the end of the period so specified the appropriate national authority must forward any representations that have been made to it to the railway operator.
- (5) The railway operator must not submit the bye-laws for confirmation unless he has considered the representations forwarded by the appropriate national authority.

Commencement

Sch. 9 para. 4(1)-(5): July 24, 2005 in relation to bye-laws where the Secretary of State acting alone is the appropriate national authority by virtue of 2005 c.14 Sch.9 para.1(1); October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 9 para. 4-(5): England, Wales, Scotland



5

- (1) The appropriate national authority may—
- (a) confirm (with or without modifications) any bye-laws submitted to it for confirmation;
 - or
 - (b) refuse to confirm them.
- (2) The appropriate national authority may fix the date of the coming into force of any bye-laws confirmed by it.
- (3) If the appropriate national authority confirms bye-laws without fixing the date on which they come into force, they come into force at the end of the period of 28 days beginning with the day after that on which they are confirmed.

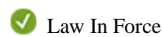
Commencement

Sch. 9 para. 5(1)-(3): July 24, 2005 in relation to bye-laws where the Secretary of State acting alone is the appropriate national authority by virtue of 2005 c.14 Sch.9 para.1(1); October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 9 para. 5-(3): England, Wales, Scotland

Publicity for confirmed bye-laws



6

- If the appropriate national authority has confirmed bye-laws—
- (a) copies of the bye-laws must be printed;
 - (b) at least one copy must be kept at the principal offices of the railway operator who made them;
 - (c) the railway operator must send one copy to the appropriate national authority; and
 - (d) the railway operator must supply one copy (free of charge) to every person who applies for a copy or for more than one copy.

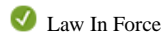
Commencement

Sch. 9 para. 6(a)-(d): July 24, 2005 in relation to bye-laws where the Secretary of State acting alone is the appropriate national authority by virtue of 2005 c.14 Sch.9 para.1(1); October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 9 para. 6-(d): England, Wales, Scotland

Evidence



Law In Force

7

- (1) The production of a printed copy of bye-laws which is indorsed with a certificate—
- (a) stating one or more matters specified in sub-paragraph (2), and
 - (b) purporting to be signed by an officer of the railway operator by whom the bye-laws purport to have been made,
- is evidence of what is stated.
- (2) Those matters are—
- (a) that the bye-laws were made by the railway operator in question;
 - (b) that the copy is a true copy of the bye-laws;
 - (c) that the bye-laws were confirmed by the appropriate national authority on the date specified in the certificate;
 - (d) the date of the coming into force of the bye-laws.

Commencement

Sch. 9 para. 7(1)-(2)(d): July 24, 2005 in relation to bye-laws where the Secretary of State acting alone is the appropriate national authority by virtue of 2005 c.14 Sch.9 para.1(1); October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 9 para. 7-(2)(d): England, Wales, Scotland

Power to amend or vary



Law In Force

8

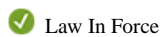
- (1) The power to make bye-laws includes the power to make bye-laws amending or revoking bye-laws.
- (2) The appropriate national authority may by order revoke bye-laws.

Commencement

Sch. 9 para. 8(1)-(2): July 24, 2005 in relation to bye-laws where the Secretary of State acting alone is the appropriate national authority by virtue of 2005 c.14 Sch.9 para.1(1); October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 9 para. 8-(2): England, Wales, Scotland

SCHEDULE 10**TAXATION PROVISIONS RELATING TO TRANSFER SCHEMES****Section 53****PART 1****TRANSFERS TO A NATIONAL AUTHORITY UNDER SECTION 1(2) SCHEMES**

Law In Force

1 Meaning of “relevant transfer” in Part 1 of Schedule

In this Part of this Schedule, “relevant transfer” means a transfer in accordance with a scheme made under section 1(2) to a national authority.

Commencement

Sch. 10(1) para. 1: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(1) para. 1: England, Wales, Scotland



Law In Force

2 Capital allowances: determination of disposal value of plant or machinery

(1) This paragraph applies to a relevant transfer of plant or machinery which is a disposal event for the purposes of Part 2 of the 2001 Act (capital allowances for plant and machinery).

(2) For the purposes of the application of section 61 of that Act in relation to the transferor, the disposal value of the plant or machinery is to be treated—

- (a) if a capital sum is received by the transferor by way of consideration or compensation in respect of the transfer, as an amount equal to that sum; or
- (b) if no such sum is received, as nil.

(3) For the purposes of this paragraph a sum received by a person connected with the transferor is to be treated as received by the transferor.

(4) Section 88 of the 2001 Act (sales at an undervalue) is to be disregarded.

(5) This paragraph is subject to sections 63(5) and 68 of the 2001 Act.

Commencement

Sch. 10(1) para. 2(1)-(5): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(1) para. 2-(5): England, Wales, Scotland

✓ Law In Force

3 Capital allowances: determination of disposal value of fixtures

- (1) This paragraph applies to a relevant transfer if–
- (a) it is a disposal event for the purposes of Part 2 of the 2001 Act; and
 - (b) by virtue of the transfer a person is treated by section 188 of that Act as ceasing to own a fixture.
- (2) For the purposes of the application of section 196 of that Act in relation to the transferor, the disposal value of the fixture is to be treated–
- (a) if a capital sum is received by the transferor by way of consideration or compensation in respect of the transfer, as an amount equal to that portion of that sum which, if the person to whom the disposal is made were entitled to an allowance, would fall to be treated for the purposes of Part 2 of that Act as expenditure incurred by that person on the provision of the fixture; or
 - (b) if no such sum is received, as nil.
- (3) For the purposes of this paragraph a sum received by a person connected with the transferor is to be treated as received by the transferor.
- (4) This paragraph is subject to section 63(5) of the 2001 Act.

Commencement

Sch. 10(1) para. 3(1)-(4): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(1) para. 3-(4): England, Wales, Scotland

✓ Law In Force

4 Capital allowances: determination of capital value of industrial buildings etc.

- (1) This paragraph applies for the purposes of Part 3 of the 2001 Act, and the other provisions of that Act which are relevant to that Part, in relation to a relevant transfer of the relevant interest in an industrial building or structure.
- (2) The transfer is to be treated as a sale of that relevant interest.
- (3) The net proceeds of that sale are to be treated–

- (a) if a capital sum is received by the transferor by way of consideration or compensation in respect of the transfer, as an amount equal to that sum; or
- (b) if no such sum is received, as nil.

(4) Sections 567 to 570 of the 2001 Act (sales treated as being for alternative amount) are not to have effect in relation to that sale.

(5) For the purposes of this paragraph a sum received by a person connected with the transferor is to be treated as received by the transferor.

Commencement

Sch. 10(1) para. 4(1)-(5): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(1) para. 4(5): England, Wales, Scotland

✔ Law In Force

5 Chargeable gains: assets to be treated as disposed without a gain or a loss

For the purposes of the 1992 Act, a relevant transfer of an asset is to be treated as a disposal of that asset to the transferee for a consideration of such amount as would secure that, on the disposal, neither a gain nor a loss accrues to the transferor.

Commencement

Sch. 10(1) para. 5: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(1) para. 5: England, Wales, Scotland

✔ Law In Force

6 Continuity in relation to transfer of intangible assets

(1) For the purposes of Schedule 29 to the Finance Act 2002 (c. 23), a relevant transfer of a chargeable intangible asset of the transferor is to be treated as a tax-neutral transfer.

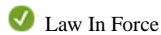
(2) Expressions used in this paragraph and in that Schedule have the same meanings in this paragraph as in that Schedule.

Commencement

Sch. 10(1) para. 6(1)-(2): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(1) para. 6(2): England, Wales, Scotland



Law In Force

7 Neutral effect of transfer for loan relationships and derivative contracts

No credit or debit shall be required or allowed, in respect of a relevant transfer, to be brought into account in the transferor's case—

- (a) for the purposes of [Part 5 of the Corporation Tax Act 2009]¹ (loan relationships); or
- (b) for the purposes of [Part 7 of the Corporation Tax Act 2009 (derivative contracts)]²

Notes

¹ Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(2)(a) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

² Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(2)(b) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

Commencement

Sch. 10(1) para. 7(a)-(b): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(1) para. 7-(b): England, Wales, Scotland



Law In Force

8 Leased assets

(1) This paragraph applies for the purposes of section 781 of the Taxes Act (assets leased to traders and others) where—

- (a) the interest of the lessor or the lessee under a lease, or any other interest in an asset, is transferred under a relevant transfer; or
- (b) a lease, or any other interest in a lease, is granted to a national authority in accordance with provision contained by virtue of paragraph 3 or 4 of Schedule 2 in a scheme made under section 1(2).

(2) Section 783(4) of that Act is to be disregarded and the transfer or grant is to be treated as made without any capital sum having been obtained in respect of the interest or lease by the transferor or grantor.

(3) Expressions used in this paragraph and in sections 781 to 785 of that Act have the same meanings in this paragraph as in those sections.

Commencement

Sch. 10(1) para. 8(1)-(3): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(1) para. 8-(3): England, Wales, Scotland

PART 2

OTHER TRANSFERS UNDER SECTION 1(2) SCHEMES

✓ Law In Force

9 Meaning of “relevant transfer” in Part 2 of Schedule

In this Part of this Schedule, “relevant transfer” means a transfer in accordance with a scheme made under section 1(2) to a person other than a national authority.

Commencement

Sch. 10(2) para. 9: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 9: England, Wales, Scotland

✓ Law In Force

10 Computation of profits and losses in respect of transfer of trade

(1) This paragraph applies where a person (“the predecessor”) is carrying on a trade or a part of a trade and, in consequence of a scheme made under section 1(2)–

- (a) the predecessor ceases to carry on that trade or that part of that trade; and
- (b) a person who is not a national authority (“the successor”) begins to carry on that trade or that part of it.

(2) For the purpose of computing, in relation to the time when the scheme comes into force and subsequent times, the relevant trading profits or losses of the predecessor and the successor–

- (a) the trade or part is to be treated as having been a separate trade at the time of its commencement and as having been carried on by the successor at all times since its commencement as a separate trade; and
- (b) the trade carried on by the successor after the time when the scheme comes into force is to be treated as the same trade as that which it is treated, by virtue of paragraph (a), as having carried on as a separate trade before that time.

(3) Where a trade or a part of a trade falls to be treated under this paragraph as a separate trade, such apportionments of receipts, expenses, assets and liabilities shall be made for the purpose of computing relevant trading profits and losses as may be just and reasonable.

(4) This paragraph is subject to paragraphs 12 and 18.

(5) In this paragraph, “relevant trading profits and losses” means [profits or losses under Part 3 of the Corporation Tax Act 2009 in respect of the trade or part of a trade in question for periods in which the trade was carried on wholly or partly in the United Kingdom]¹.

Notes

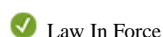
- ¹ Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(3) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

Commencement

Sch. 10(2) para. 10(1)-(5): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 10-(5): England, Wales, Scotland



Law In Force

11 Trading losses: change in ownership

(1) This paragraph applies to a relevant transfer of all the issued share capital of a company (the “transferred company”).

(2) For the purposes of [the provisions of the Corporation Tax Act 2010 specified in sub-paragraph (3)]¹, the transfer is not to be taken to result in a change in the ownership of—

- (a) the transferred company; or
- (b) a company which is a wholly-owned subsidiary of the transferred company when the transfer takes effect.

[(3) Those provisions are—

- (a) Chapter 2 of Part 14 (but not section 674(1)),
- (b) section 683,
- (c) section 684,
- (d) section 700,
- (e) section 701,
- (f) section 704, and
- (g) section 705.

] ²

Notes

- ¹ Words substituted by Corporation Tax Act 2010 c. 4 Sch.1(2) para.478(2)(a) (April 1, 2010 and has effect for corporation tax purposes for accounting periods ending on or after that day, and for income tax and capital gains tax purposes, for the tax year 2010-11 and subsequent tax years, subject to transitional provisions and savings specified in 2010 c.4 Sch.2)

- ² Added by Corporation Tax Act 2010 c. 4 Sch.1(2) para.478(2)(b) (April 1, 2010 and has effect for corporation tax purposes for accounting periods ending on or after that day, and for income tax and capital gains tax purposes, for the tax year 2010-11 and subsequent tax years, subject to transitional provisions and savings specified in 2010 c.4 Sch.2)

Commencement

Sch. 10(2) para. 11(1)-(2)(b): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 11-(3)(g): England, Wales, Scotland

✓ Law In Force

12 Capital allowances: transfer of whole trade

(1) This paragraph applies where a person (“the predecessor”) is carrying on a trade and, in consequence of a scheme made under section 1(2)–

- (a) the predecessor ceases to carry on that trade; and
- (b) a person who is not a national authority (“the successor”) begins to carry on that trade.

(2) For the purposes of the allowances and charges provided for by the 2001 Act, the trade is not to be treated as permanently discontinued, nor a new trade as set up; but sub-paragraphs (3) and (4) of this paragraph are to apply.

(3) There are to be made to or on the successor, in accordance with the 2001 Act, all such allowances and charges as would, if the predecessor had continued to carry on the trade, have fallen to be made to or on the predecessor.

(4) The amounts of those allowances and charges are to be computed as if–

- (a) the successor had been carrying on the trade since the predecessor began to do so; and
- (b) everything done to or by the predecessor had been done to or by the successor;

but so that transfers in accordance with the scheme, so far as they relate to assets in use for the purposes of the trade, shall not be treated as giving rise to an allowance or charge.

Commencement

Sch. 10(2) para. 12(1)-(4)(b): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 12-(4)(b): England, Wales, Scotland

✓ Law In Force

13 Capital allowances: transfer of part of a trade

(1) Where a person (“the predecessor”) is carrying on a trade and, in consequence of a scheme made under section 1(2)–

- (a) the predecessor ceases to carry on a trade, and
- (b) a person who is not a national authority (“the successor”) begins to carry on activities of that trade as part of a trade carried on by the successor,

then that part of the trade carried on by the successor shall be treated for the purposes of paragraph 12 as a separate trade.

(2) Where a person (“the predecessor”) is carrying on a trade and, in consequence of a scheme made under section 1(2)–

- (a) the predecessor ceases to carry on a part of a trade, and

(b) a person who is not a national authority begins to carry on activities of that part of that trade,
then the predecessor shall be treated for the purposes of paragraph 12 and sub-paragraph (1) of this paragraph as having carried on that part of its trade as a separate trade.

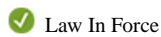
(3) Where activities fall to be treated for the purposes of this paragraph as a separate trade, such apportionments of receipts, expenses, assets and liabilities shall be made for the purposes of the 2001 Act as may be just and reasonable.

Commencement

Sch. 10(2) para. 13(1)-(3): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 13-(3): England, Wales, Scotland



Law In Force

14 Capital allowances: transfer of plant or machinery

(1) This paragraph applies where—

- (a) there is a relevant transfer of plant or machinery;
- (b) paragraph 12 does not apply in relation to that transfer;
- (c) the plant or machinery would be treated for the purposes of the 2001 Act as disposed of by the transferor to the transferee on the transfer taking effect; and
- (d) the scheme in accordance with which the transfer is made contains provision for the disposal value of the plant or machinery to be treated for the purposes of that Act as an amount specified in or determined in accordance with the scheme.

(2) For the purposes of the 2001 Act—

- (a) the provision mentioned in sub-paragraph (1)(d) is to have effect (instead of section 61(2) to (4), 72(3) to (5), 88, 171, 196 or 423 of that Act) for determining an amount as the disposal value of the plant or machinery or the price at which a fixture is to be treated as sold;
- (b) the transferee is to be treated as having incurred capital expenditure of that amount on the provision of the plant or machinery for the purposes for which it is used by the transferee on and after the taking effect of the transfer;
- (c) the property is to be treated as belonging to the transferee in consequence of the transferee having incurred that expenditure; and
- (d) in the case of a fixture, the expenditure which falls to be treated as incurred by the transferee is to be treated for the purposes of sections 181(1) and 182(1) of that Act to be incurred by the giving of a consideration consisting in a capital sum of that amount.

(3) The provision mentioned in sub-paragraph (1)(d) for the determination of an amount may include provision for a determination—

- (a) to be made by the Secretary of State in a manner described in the scheme;
 - (b) to be made by reference to factors so described or to the opinion of a person so described;
- and

(c) to be capable of being modified (on one or more occasions) in a manner and in circumstances so described.

(4) The consent of the Treasury is required for the making or modification of a determination under the provision mentioned in sub-paragraph (1)(d).

(5) The consent of the transferee is required for the modification of a determination under the provision mentioned in sub-paragraph (1)(d).

(6) If there is a determination or a modification of a determination under the provision mentioned in sub-paragraph (1)(d), all necessary adjustments—

(a) must be made by making assessments or by repayment or discharge of tax; and

(b) must be made despite any limitation on the time within which assessments may be made.

(7) Expressions used in this paragraph and in Part 2 of the 2001 Act have the same meanings in this paragraph as in that Part.

Commencement

Sch. 10(2) para. 14(1)-(7): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 14-(7): England, Wales, Scotland

✓ Law In Force

15 Capital allowances: determination of capital value of industrial buildings etc.

(1) This paragraph applies for the purposes of Part 3 of the 2001 Act, and the other provisions of that Act which are relevant to that Part, to a relevant transfer of the relevant interest in an industrial building or structure.

(2) Section 573 of that Act is not to have effect in relation to that transfer.

Commencement

Sch. 10(2) para. 15(1)-(2): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 15-(2): England, Wales, Scotland

✓ Law In Force

16 Chargeable gains: assets to be treated as disposed of without a gain or a loss

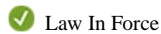
For the purposes of the 1992 Act, a relevant transfer of an asset is to be treated as a disposal of that asset to the transferee for a consideration of such amount as would secure that, on the disposal, neither a gain nor a loss accrues to the transferor.

Commencement

Sch. 10(2) para. 16: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 16: England, Wales, Scotland



Law In Force

17 Continuity in relation to transfer of intangible assets

(1) For the purposes of [Part 8 of the Corporation Tax Act 2009]¹ –

- (a) a relevant transfer of a chargeable intangible asset of the transferor is to be treated as a tax-neutral transfer; and
- (b) an intangible fixed asset which is [a pre-FA 2002 asset]¹ of the transferor at the time of the transfer is to be treated, on and after the transfer, as [a pre-FA 2002 asset]¹ in the hands of the transferee.

(2) Expressions used in this paragraph and in [that Part]² have the same meanings in this paragraph as in [that Part]².

Notes

¹ Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(4)(a) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

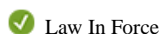
² Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(4)(b) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

Commencement

Sch. 10(2) para. 17(1)-(2): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 17-(2): England, Wales, Scotland



Law In Force

18 Continuity in relation to loan relationships

(1) For the purposes of the application of [Part 5 of the Corporation Tax Act 2009]¹ (loan relationships) in relation to a relevant transfer, the transferee and the transferor are to be treated as if, at the time of the transfer, they were members of the same group.

(2) In sub-paragraph (1), the reference to being members of the same group must be construed in accordance with [section 335(6) of]² to that Act.

Notes

¹ Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(5)(a) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

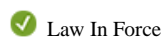
- ² Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(5)(b) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

Commencement

Sch. 10(2) para. 18(1)-(2): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 18-(2): England, Wales, Scotland



Law In Force

19 Continuity in relation to derivative contracts

(1) For the purposes of the application of [Part 7 of the Corporation Tax Act 2009 (derivative contracts)]¹ in relation to a relevant transfer, the transferee and the transferor are to be treated as if, at the time of the transfer, they were members of the same group.

(2) In sub-paragraph (1), the reference to being members of the same group must be construed in accordance with [section 624(3) of that Act]².

Notes

- ¹ Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(6)(a) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)
- ² Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(6)(b) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

Commencement

Sch. 10(2) para. 19(1)-(2): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 19-(2): England, Wales, Scotland



Law In Force

20 Leased assets

(1) This paragraph applies for the purposes of section 781 of the Taxes Act (assets leased to traders and others) where—

- (a) the interest of the lessor or the lessee under a lease, or any other interest in an asset, is transferred under a relevant transfer; or
- (b) a lease, or any other interest in a lease, is granted to a person who is not a national authority in accordance with provision contained by virtue of paragraph 3 or 4 of Schedule 2 in a scheme made under section 1(2).

(2) Section 783(4) of that Act is to be disregarded and the transfer or grant is to be treated as made without any capital sum having been obtained in respect of the interest or lease by the transferor or grantor.

(3) In the case of the transfer of an interest under a lease, payments made by the transferor under the lease before the transfer takes effect are to be treated as if they had been made under that lease by the transferee.

(4) Expressions used in this paragraph and in sections 781 to 785 of that Act have the same meanings in this paragraph as in those sections.

Commencement

Sch. 10(2) para. 20(1)-(4): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 10(2) para. 20-(4): England, Wales, Scotland

PART 3

TRANSFERS UNDER SECTION 12 SCHEMES



Law In Force

21 Meaning of “relevant transfer” in Part 3 of Schedule

In this Part of this Schedule, “relevant transfer” means a transfer in accordance with a scheme made under section 12.

Commencement

Sch. 10(3) para. 21: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(3) para. 21: England, Wales, Scotland



Law In Force

22 Capital allowances: determination of disposal value of plant or machinery

(1) This paragraph applies to a relevant transfer of plant or machinery which is a disposal event for the purposes of Part 2 of the 2001 Act (capital allowances for plant and machinery).

(2) For the purposes of the application of section 61 of that Act in relation to the transferor, the disposal value of the plant or machinery is to be treated—

- (a) if a capital sum is received by the transferor by way of consideration or compensation in respect of the transfer, as an amount equal to that sum; or
- (b) if no such sum is received, as nil.

(3) For the purposes of this paragraph a sum received by a person connected with the transferor is to be treated as received by the transferor.

(4) Section 88 of the 2001 Act (sales at an undervalue) is to be disregarded.

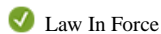
(5) This paragraph is subject to sections 63(5) and 68 of the 2001 Act.

Commencement

Sch. 10(3) para. 22(1)-(5): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(3) para. 22-(5): England, Wales, Scotland



Law In Force

23 Capital allowances: determination of disposal value of fixtures

(1) This paragraph applies to a relevant transfer if–

- (a) it is a disposal event for the purposes of Part 2 of the 2001 Act; and
- (b) by virtue of the transfer a person is treated by section 188 of that Act as ceasing to own a fixture.

(2) For the purposes of the application of section 196 of that Act in relation to the transferor, the disposal value of the fixture is to be treated–

- (a) if a capital sum is received by the transferor by way of consideration or compensation in respect of the transfer, as an amount equal to that portion of that sum which falls (or, if the person to whom the disposal is made were entitled to an allowance, would fall) to be treated for the purposes of Part 2 of that Act as expenditure incurred by that person on the provision of the fixture; or
- (b) if no such sum is received, as nil.

(3) For the purposes of this paragraph a sum received by a person connected with the transferor is to be treated as received by the transferor.

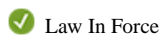
(4) This paragraph is subject to section 63(5) of the 2001 Act.

Commencement

Sch. 10(3) para. 23(1)-(4): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(3) para. 23-(4): England, Wales, Scotland



Law In Force

24 Capital allowances: determination of capital value of industrial buildings etc.

(1) This paragraph applies for the purposes of Part 3 of the 2001 Act, and the other provisions of that Act which are relevant to that Part, in relation to a relevant transfer of the relevant interest in an industrial building or structure.

(2) The transfer is to be treated as a sale of that relevant interest.

- (3) The net proceeds of that sale, in relation to the transferor, are to be treated—
- (a) if a capital sum is received by the transferor by way of consideration or compensation in respect of the transfer, as an amount equal to that sum; or
 - (b) if no such sum is received, as nil.
- (4) Sections 567 to 570 of the 2001 Act (sales treated as being for alternative amount) are not to have effect in relation to that sale.
- (5) For the purposes of this paragraph a sum received by a person connected with the transferor is to be treated as received by the transferor.

Commencement

Sch. 10(3) para. 24(1)-(5): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(3) para. 24-(5): England, Wales, Scotland



Law In Force

25 Chargeable gains: disposals not be treated as made at market value

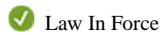
- (1) Section 17 of the 1992 Act (disposals and acquisitions treated as made at market value) is not to have effect in relation to—
- (a) a disposal constituted by a relevant transfer or a disposal in accordance with provision contained by virtue of paragraph 3 or 4 of Schedule 2 to this Act in a scheme made under section 12 of this Act; or
 - (b) the acquisition made by the person to whom the disposal is made.
- (2) But sub-paragraph (1) does not apply—
- (a) if the person making the disposal is connected with the person making the acquisition; or
 - (b) in the case of a disposal in accordance with provision contained in a scheme by virtue of paragraph 3 or 4 of Schedule 2, if the disposal is made by or to a person other than the transferor or transferee.
- (3) If sub-paragraph (1) applies to the disposal of an asset, the disposal is to be taken (in relation to the person making the acquisition as well as the person making the disposal) to be—
- (a) in a case where consideration in money or money's worth is given by the person making the acquisition or on his behalf in respect of the vesting of the asset in him, for a consideration equal to the amount or value of that consideration; or
 - (b) in a case where no such consideration is given, for a consideration of nil.

Commencement

Sch. 10(3) para. 25(1)-(3)(b): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(3) para. 25-(3)(b): England, Wales, Scotland



Law In Force

26 Chargeable gains: degrouping charges

- (1) This paragraph applies if a company (“the degrouped company”)—
 - (a) acquired an asset from another company at a time when both were members of the same group of companies (“the old group”); and
 - (b) ceases by virtue of a relevant transfer to be a member of the old group.
- (2) Section 179 of the 1992 Act (company ceasing to be member of group) is not to treat the degrouped company as having by virtue of the transfer sold and immediately reacquired the asset.
- (3) Where sub-paragraph (2) has applied to an asset, section 179 of the 1992 Act is to have effect on and after the first subsequent occasion on which the degrouped company ceases to be a member of a group of companies (“the new group”) otherwise than by virtue of a relevant transfer as if—
 - (a) the degrouped company, and
 - (b) the company from which it acquired the asset,had been members of the new group at the time of acquisition.
- (4) If, disregarding any preparatory transactions, a company would be regarded for the purposes of section 179 of the 1992 Act (and, accordingly, of this paragraph) as ceasing to be a member of a group of companies by virtue of a relevant transfer, it is to be regarded for those purposes as so doing by virtue of the relevant transfer and not by virtue of any preparatory transactions.
- (5) In this paragraph, “preparatory transactions” means anything done under or by virtue of the 1993 Act or this Act for the purpose of initiating, advancing or facilitating the relevant transfer in question.
- (6) Expressions used in this paragraph and in section 179 of the 1992 Act have the same meanings in this paragraph as in that section.

Commencement

Sch. 10(3) para. 26(1)–(6): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(3) para. 26–(6): England, Wales, Scotland



Law In Force

27 Chargeable gains: disposal of debts

- (1) This paragraph applies to a relevant transfer of a debt owed to the transferor if the transferor would (apart from this paragraph) be the original creditor in relation to that debt for the purposes of section 251 of the 1992 Act (disposal of debts).
- (2) The 1992 Act is to have effect as if the transferee (and not the transferor) were the original creditor for those purposes.

Commencement

Sch. 10(3) para. 27(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(3) para. 27-(2): England, Wales, Scotland

✔ Law In Force

28 Loan relationships

(1) [Section 444 of the Corporation Tax Act 2009]¹ is not to have effect where, as a result of a relevant transfer, the transferee replaces the transferor as a party to a loan relationship.

(2) Expressions used in this paragraph and in [Part 5 of the Corporation Tax Act 2009]² have the same meanings in this paragraph as in [that Part]².

Notes

¹ Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(7)(a) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

² Words substituted by Corporation Tax Act 2009 c. 4 Sch.1(2) para.667(7)(b) (April 1, 2009: substitution has effect subject to savings and transitional provisions specified in 2009 c.4 Sch.2)

Commencement

Sch. 10(3) para. 28(1)-(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(3) para. 28-(2): England, Wales, Scotland

PART 4**OTHER PROVISIONS CONCERNING TRANSFERS**

✔ Law In Force

29 Stamp duty

(1) Stamp duty is not to be chargeable—

(a) on a scheme made under section 1(2); or

(b) on an instrument certified by the Secretary of State to the Commissioners of Inland Revenue as made for the purposes of such a scheme, or as made for purposes connected with such a scheme.

(2) But where, by virtue of sub-paragraph (1), stamp duty is not chargeable on a scheme or instrument, the scheme or instrument is to be treated as duly stamped only if–

- (a) in accordance with section 12 of the Stamp Act 1891 (c. 39) it has been stamped with a stamp denoting either that it is not chargeable to duty or that it has been duly stamped; or
- (b) it is stamped with the duty to which it would be chargeable apart from sub-paragraph (1).

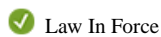
(3) In this paragraph, “instrument” has the same meaning as in the Stamp Act 1891.

Commencement

Sch. 10(4) para. 29(1)–(3): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(4) para. 29–(3): England, Wales, Scotland



Law In Force

30 Stamp duty land tax

(1) No transfer in accordance with a scheme made under section 1(2) is to give rise to any liability to stamp duty land tax.

(2) Relief under this paragraph must be claimed in a land transaction return or in an amendment of a land transaction return.

(3) In sub-paragraph (2) “land transaction return” has the meaning given by section 76(1) of the Finance Act 2003 (c. 14).

Commencement

Sch. 10(4) para. 30(1)–(3): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(4) para. 30–(3): England, Wales, Scotland



Law In Force

31 Chargeable gains: value shifting

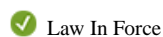
No scheme made under section 1(2) or 12 is to be regarded as a scheme or arrangement for the purposes of section 30 of the 1992 Act.

Commencement

Sch. 10(4) para. 31: June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(4) para. 31-: England, Wales, Scotland



Law In Force

32 Group relief

Neither the power of the Secretary of State to make a scheme under section 1(2) nor the power of the Secretary of State [, the Welsh Ministers]¹ or the Scottish Ministers to make a scheme under section 12 is to be regarded as constituting–

- (a) arrangements falling within [section 154(3) or 155(3) of the Corporation Tax Act 2010]² (arrangements for transfer of company to another group or consortium); or
- (b) option arrangements for the purposes of [section 173 of]³ that Act.

Notes

- ¹ Words inserted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.68(2) (June 13, 2018)
- ² Words substituted by Corporation Tax Act 2010 c. 4 Sch.1(2) para.478(3)(a) (April 1, 2010 and has effect for corporation tax purposes for accounting periods ending on or after that day, and for income tax and capital gains tax purposes, for the tax year 2010-11 and subsequent tax years, subject to transitional provisions and savings specified in 2010 c.4 Sch.2)
- ³ Words substituted by Corporation Tax Act 2010 c. 4 Sch.1(2) para.478(3)(b) (April 1, 2010 and has effect for corporation tax purposes for accounting periods ending on or after that day, and for income tax and capital gains tax purposes, for the tax year 2010-11 and subsequent tax years, subject to transitional provisions and savings specified in 2010 c.4 Sch.2)

Commencement

Sch. 10(4) para. 32(a)-(b): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 10(4) para. 32-(b): England, Wales, Scotland



Repealed

33 [...]¹

Notes

- ¹ Repealed by Finance Act 2008 c. 9 Sch.2 para.70(g) (July 21, 2008: repeal has effect in relation to disposals on or after April 6, 2008)
-

PART 5

INTERPRETATION OF SCHEDULE

✓ Law In Force

34

(1) In this Schedule—

“the 1992 Act” means the Taxation of Chargeable Gains Act 1992 (c. 12);

“the 2001 Act” means the Capital Allowances Act 2001 (c. 2);

“national authority” means—

- (a) the Secretary of State;
- (b) the Scottish Ministers;
- (c) [the Welsh Ministers]¹ ; or
- (d) the [Office of Rail and Road]² ;

“the Taxes Act” means the Income and Corporation Taxes Act 1988 (c. 1);

“transferee”, in relation to a transfer in accordance with a scheme made under section 1(2) or 12, means the person to whom the transfer is made;

“transferor”, in relation to a transfer in accordance with a scheme made under section 1(2) or 12, means the person from whom the transfer is made.

(2) So far as it relates to corporation tax this Schedule is to be construed as one with the Corporation Tax Acts.

(3) So far as it relates to capital allowances this Schedule is to be construed as one with the 2001 Act.

Notes

¹ Words substituted by Welsh Ministers (Transfer of Functions) (Railways) Order 2018/631 Sch.1(2) para.68(3) (June 13, 2018)

² Words substituted by Office of Rail Regulation (Change of Name) Regulations 2015/1682 Sch.1(1) para.3(v) (October 16, 2015)

Commencement

Sch. 10(5) para. 34(1)-(3): June 8, 2005 for the purpose specified in SI 2005/1444 Sch.1; July 24, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent


Sch. 10(5) para. 34-(3): England, Wales, Scotland

SCHEDULE 11

MISCELLANEOUS AMENDMENTS OF 1993 ACT

Section 54

Introductory provision

 Partially In Force

1

The 1993 Act is amended as follows.

Commencement

Sch. 11 para. 1: June 8, 2005 for provisions specified in SI 2005/1444 Sch.1; July 24, 2005 for provisions specified in SI 2005/1909 Sch.1; October 16, 2005 for provisions specified in SI 2005/2812 Sch.1; December 1, 2006 for the provisions specified in SI 2006/2911 art.2 and Sch.1; not yet in force otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 11 para. 1-: England, Wales, Scotland

Licence conditions

 Law In Force

2

In section 9(3)(f) (conditions requiring the provision of information), after “this Part” insert “or Part 4 of the Railways Act 2005”.

Commencement

Sch. 11 para. 2: December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 11 para. 2: England, Wales, Scotland

Access agreements

✓ Law In Force

3

In–

- (a) section 17(4) (access agreements: directions requiring facility owners to enter into contracts for the use of their railway facilities), and
- (b) section 19(7) (access agreements: contracts for the use of installations comprised in a network),

after “this Part” insert “or Part 4 of the Railways Act 2005 (network modifications etc.)”.

Commencement

Sch. 11 para. 3(a)-(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 11 para. 3-(b): England, Wales, Scotland

Duties of provider of last resort

✓ Law In Force

4

In paragraph (b) of section 30(3) (duty of Authority in absence of franchise)–

- (a) for “giving notice under subsection (5) of section 38 below” substitute “making a proposal to which section 24 of the Railways Act 2005 (proposals to discontinue franchised or secured services) applies”; and
- (b) for the words from “subsections (5) and (6)” to the end of the paragraph substitute “subsections (7) and (8) of that section) terminate on the proposal date specified for the purposes of subsection (5)(a)(ii) of that section; or”.

Commencement

Sch. 11 para. 4(a)-(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 11 para. 4-(b): England, Wales, Scotland

Exclusion for liability for breach of statutory duty

✓ Law In Force

5

In section 50(1) (exclusion of liability for breach of statutory duty), for “Authority,” substitute “Secretary of State and of the Scottish Ministers, so far as”.

Commencement

Sch. 11 para. 5: December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 11 para. 5: England, Wales, Scotland

Purposes for which franchising functions may be exercised

ⓘ Partially In Force

6

- (1) In section 54 (purposes for which franchising functions may be exercised), in subsection (1)–
- (a) for “Authority or a Passenger Transport Authority or Passenger Transport Executive” substitute “Secretary of State or the Scottish Ministers”; and
 - (b) in paragraph (a), after “any of” insert “his or”.

- (2) For subsection (2) of that section substitute–

“(2) The Secretary of State and the Scottish Ministers shall each have power to enter into agreements under which an undertaking is given by him or them–

- (a) to exercise his or their franchising functions;
- (b) to refrain from exercising them; or
- (c) to exercise them in a particular manner.”

- (3) In subsection (3) of that section, in the first definition of “franchising functions”–
- (a) for “Authority”, wherever occurring, substitute “Secretary of State or the Scottish Ministers”;
 - (b) in paragraph (a), for “of the Authority's functions” substitute “of the functions of the Secretary of State or of the Scottish Ministers”;
 - (c) in that paragraph, for “35” substitute “31”; and
 - (d) in paragraph (b), for “Schedule 21 to the Transport Act 2000” substitute “section 1(2) of the Railways Act 2005”;

and omit the definition of “franchising functions” in relation to a Passenger Transport Authority or Passenger Transport Executive.

Commencement

Sch. 11 para. 6(1)-(3)(d): July 24, 2005 except as specified in SI 2005/1909 Sch.1; October 16, 2005 for purposes specified in SI 2005/2812 Sch.1; not yet in force otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 11 para. 6-(3)(d): England, Wales, Scotland

Orders for securing compliance

✓ Law In Force

7

(1) In subsection (9) of section 55 (interpretation of provision relating to orders for securing compliance), for “section 50 above” substitute “section 44 of the Railways Act 2005 (exclusion of liability for breach of statutory duty)”.

(2) In subsection (10) of that section, in the definition of “final order”, after “provisional order” insert “or an order under subsection (7B)”.

(3) In that subsection, in the definition of “relevant condition or requirement”, for paragraphs (c) and (d) substitute—

“(c) in the case of a person under closure restrictions, any duty mentioned in subsection (11) to which he is subject;”.

(4) For the definition of “relevant operator” in that subsection substitute—

““relevant operator” means—

- (a) a licence holder;
- (b) a franchisee;
- (c) a franchise operator who is a party to the franchise agreement;
- (d) a person under closure restrictions.”

(5) In subsection (11) of that section, for paragraphs (a) and (b) substitute

“who is under—

- (a) a duty under section 22(8), 26(8), 29(8) or 37(2) of the Railways Act 2005 not to discontinue a railway passenger service or an experimental passenger service or not to discontinue the operation or use of a network or station, or part of a network or station;
- (b) a duty to comply with any requirement imposed under section 33(2)(i) of that Act (closure requirements imposed on operators); or
- (c) a duty to comply with conditions to which he has agreed under section 34(5) of that Act (conditions of minor modification determination).”

(6) After that subsection insert–

“(11A) In the definition of “the appropriate authority” in subsection (10) above the reference to a relevant condition or requirement in the case of a person under Scottish closure restrictions is a reference to a relevant condition or requirement which–

- (a) falls within paragraph (c) of the definition in that subsection;
- (b) is imposed or arises in the case of a closure; and
- (c) is so imposed or so arises in a Scottish case;

and the reference to a relevant condition or requirement in the case of a person under closure restrictions that are not Scottish closure restrictions is a reference to any relevant condition or requirement in relation to which paragraphs (a) and (b) are satisfied, but not paragraph (c).

(11B) In subsection (11A), “a Scottish case”, in relation to a closure, means–

- (a) a case in which the Scottish Ministers are the national authority for the purposes of provisions of Part 4 of the Railways Act 2005 relating to the proposal for the closure;
- (b) a case in which it is the Scottish Ministers who make a determination under section 34 of that Act (minor modifications) in relation to the closure; or
- (c) a case in which the closure is a closure notice of which is given under section 37 of that Act (experimental passenger services) and the proposal relates to a Scotland-only service.”

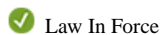
Commencement

Sch. 11 para. 7(1), (3)-(6): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Sch. 11 para. 7(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 11 para. 7(1)-(6): England, Wales, Scotland



Law In Force

8

In section 57F(1) (validity and effect of penalties), for “penalty order” substitute “penalty notice”.

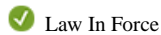
Commencement

Sch. 11 para. 8: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 11 para. 8: England, Wales, Scotland

Financial assistance from the Secretary of State to companies in railway administration

**9**

(1) In section 63 (financial assistance for companies in railway administration), for subsection (1)(b) substitute–

“(b) agree to indemnify a relevant person in respect of–

- (i) liabilities incurred by that person in connection with the carrying out by the railway administrator of his functions under the order; and
- (ii) loss or damage incurred by that person in that connection.”

(2) After subsection (2) of that section insert–

“(2A) A grant, loan, indemnity or guarantee under this section may be made or given in whatever manner, and on whatever terms and subject to whatever conditions, the Secretary of State considers appropriate.”

(3) After subsection (3) insert–

“(3A) The power of the Secretary of State under this section to agree to indemnify a relevant person–

- (a) is confined to a power to agree to indemnify that person in respect of liabilities, loss and damage incurred or sustained by him as a relevant person; but
- (b) includes power to agree to indemnify persons (whether or not they are identified or identifiable at the time of the agreement) who subsequently become relevant persons.

(3B) A person is a relevant person for the purposes of this section if he is–

- (a) the railway administrator;
- (b) an employee of the railway administrator;
- (c) a member or employee of a firm of which the railway administrator is a member;
- (d) a member or employee of a firm of which the railway administrator is an employee;
- (e) a member of a firm of which the railway administrator was an employee or member at a time when the order was in force;
- (f) a body corporate which is the employer of the railway administrator; or
- (g) an officer, employee or member of such a body corporate.

(3C) For the purposes of this section–

- (a) the references in this section to the railway administrator, in relation to a railway administration order, are references to the person appointed to achieve the purposes of the order and, where two or more persons are so appointed, are to be construed as references to any one or more of them; and
- (b) the references to a firm of which a person was a member or employee at a particular time include references to a firm which holds itself out to be the successor of a firm of which he was a member or employee at that time.”

(4) After subsection (4) of that section insert–

“(4A) If sums are paid by the Secretary of State in consequence of an indemnity agreed to under this section in the case of a company in relation to which a railway administration order is in force, the company must pay him–

- (a) such amounts in or towards the repayment to him of those sums as he may direct; and
- (b) interest, at such rates as he may direct, on amounts outstanding under this subsection.

(4B) Payments to the Secretary of State under subsection (4A) must be made at such times and in such manner as he may determine.

(4C) Subsection (4A) does not apply in the case of a sum paid by the Secretary of State for indemnifying a person in respect of a liability to the company in relation to which the railway administration order in question was made.

(4D) The consent of the Treasury is required for the giving of a direction under subsection (4A) and for the making of a determination under subsection (4B).”


Commencement

Sch. 11 para. 9(1)-(4): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 11 para. 9-(4): England, Wales, Scotland

Register kept by ORR

 Law In Force

10

(1) In section 72(2) (matters to be entered in register)–

- (a) in paragraph (d) (notices with respect to experimental passenger services), for “section 48 above” substitute “Part 4 of the Railways Act 2005”;
- (b) for sub-paragraphs (i) to (iii) of that paragraph substitute–

- “(i) every designation under section 36 of that Act of a service as experimental;
- (ii) every notice under section 37(1) or (2) of that Act of the proposed discontinuance of a service designated as experimental;”

(c) after that paragraph insert–

- “(da) in relation to closures, the provisions of–
- (i) every closure ratification notice or closure non-ratification notice (within the meaning of Part 4 of the Railways Act 2005) issued by it;
- (ii) every closure requirement imposed by it;”.

(2) Nothing in this paragraph requires the removal of anything from the register maintained under section 72.

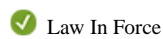
Commencement

Sch. 11 para. 10(1)-(2): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 11 para. 10-(2): England, Wales, Scotland

Register kept by Secretary of State



Law In Force

11

(1) In section 73(2) (matters to be entered in the register)–

(a) for paragraph (da) (closure notices etc.) substitute–

“(da) every determination made by him under section 34 of the Railways Act 2005 that a closure is a minor modification or that closures of a particular description are minor modifications;

(db) every revocation of a determination made by him under that section in relation to a description of closures;

(dc) every condition agreed to under subsection (5) of that section in connection with a determination made by him;”

(b) in paragraph (e) (final or provisional orders), for “or to any closure or proposed closure or to any closure consent or closure condition” substitute “or to any closure or proposed closure or to any closure requirement”.

(2) Neither this paragraph nor any repeal made by this Act requires the removal of anything from the register maintained under section 73.

Commencement

Sch. 11 para. 11(1)-(2): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 11 para. 11-(2): England, Wales, Scotland

Purposes for which the Secretary of State may require information from licence holders

✓ Law In Force

12

In section 80(1) (duty of licence holders to provide information to the Secretary of State or the Scottish Ministers on request), for “or the Transport Act 2000” substitute “, the Transport Act 2000 or the Railways Act 2005 or any other function or activity of his, theirs or its in relation to railway services”.

Commencement

Sch. 11 para. 12: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 11 para. 12: England, Wales, Scotland

General interpretation

✓ Law In Force

13

In section 83(1) (interpretation of Part 1)–

(a) after the definition of “appropriate authority” insert–

““appropriate designating authority” has the meaning given by section 23(3) above;

“appropriate franchising authority” has the meaning given by section 23(3) above;

“appropriate national authority” has the meaning given by section 59(6)(za) above;”

(b) for the definition of “bus substitution service” substitute–

““bus substitution service” means a service for the carriage of passengers by road that is provided as an alternative to the whole or a part of a railway passenger service that has been discontinued, reduced or modified (whether temporarily or permanently);”

(c) for the definitions of “closure” and “closure conditions” substitute–

““closure” has the same meaning as in Part 4 of the Railways Act 2005 (see section 45 of that Act);

“closure requirement” means a requirement imposed under section 33 of that Act;”.


Commencement

Sch. 11 para. 13(a)-(c): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 11 para. 13-(c): England, Wales, Scotland

Competent authority status for the purposes of grants and loans under EU regulations

 Partially In Force

14

(1) In subsection (1) of section 136 (competent authorities in relation to railways financial status regulations), for “shall continue to” substitute “and the Scottish Ministers shall each”.

(2) In subsection (2) of that section (competent authority in respect of freight services for the purposes of the public service obligation regulations), for “shall be” substitute “, the Scottish Ministers and, to the extent specified in subsection (2A) below, the National Assembly for Wales shall each be”.

(3) After that subsection insert—

“(2A) For the purposes of subsection (2) above the National Assembly for Wales shall only be the competent authority in relation to services for the carriage of goods by railway which are operated within Wales.”

(4) In subsection (3) of that section (competent authority in respect of passenger services for the purposes of the public service obligation regulations), after paragraph (a) insert—

“(aa) the Scottish Ministers,
(ab) to the extent specified in subsection (3A) below, the National Assembly for Wales,”.

(5) After that subsection insert—

“(3A) For the purposes of subsection (3) above the National Assembly for Wales shall only be the competent authority in relation to services for the carriage of passengers by railway which—

- (a) are Welsh services (within the meaning of the Railways Act 2005); or
- (b) are provided under a franchise agreement to which the Assembly is a party.”

(6) In subsection (4) of that subsection (extent to which a PTE are a competent authority), for paragraphs (a) and (b) substitute “which the Executive provide, or secure are provided, in exercise of their powers under section 10(1) of the Transport Act 1968 or section 13 of the Railways Act 2005”.

(7) Sub-paragraph (6) shall not affect the extent to which the competent authorities for the purposes of the public service obligations regulations include a Passenger Transport Executive in relation to railway passenger services provided under a franchise agreement to which the Executive continues to be a party by virtue of section 14(2) of this Act.

Commencement


Sch. 11 para. 14(1)-(5): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Sch. 11 para. 14(6)-(7): July 24, 2005 in relation to England and Wales; not yet in force otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 11 para. 14(1)-(7): England, Wales, Scotland

Powers to make statutory instruments

 Law In Force

15

In section 143 (powers to make statutory instruments)–

- (a) in subsection (1), for “under this Act to make orders” substitute “or the Scottish Ministers under this Act to make orders (except the power to make provisional or final orders under section 55)”;
- (b) in subsection (3), for “to make an order” substitute “or the Scottish Ministers to make an order (other than a provisional or final order under section 55)”;
- (c) in subsection (4), for “under this Act to make an order” substitute “or the Scottish Ministers under this Act to make an order (other than a provisional or final order under section 55)”.

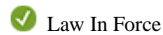
Commencement

Sch. 11 para. 15(a)-(c): July 24, 2005 as specified in SI 2005/1909 art.2 and Sch.1; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 11 para. 15-(c): England, Wales, Scotland

Restrictions on disclosure of information



16

(1) In subsection (2) of section 145 (purposes for which information obtained under the 1993 Act may be disclosed)–

(a) in paragraph (a)–

(i) after “the Secretary of State,” insert “the Scottish Ministers,”; and

(ii) for “or the Transport Act 2000” substitute “, the Transport Act 2000 or the Railways Act 2005”;

(b) after that paragraph insert–

“(aa) for the purpose of facilitating the carrying out or carrying on by the Secretary of State or the Scottish Ministers of any other functions or activities of his or theirs in relation to railways or railway services;”.

(2) In subsection (5) of that section, for “the Rail Passengers' Council or a Rail Passengers' Committee” substitute “or the Rail Passengers' Council”.

Commencement

Sch. 11 para. 16(1)-(1)(b): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Sch. 11 para. 16(2): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

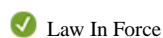
Extent

Sch. 11 para. 16(1)-(2): England, Wales, Scotland

SCHEDULE 12

OTHER MINOR AND CONSEQUENTIAL AMENDMENTS

Section 59



1 Transport Act 1962 (c. 46)

(1) The Transport Act 1962 is amended as follows.

(2) In section 43 (general provisions about services and facilities provided and charges imposed by the British Waterways Board and the SRA)–

(a) in subsections (1), (2) and (5), omit “or the Strategic Rail Authority”;

(b) in subsection (3), omit “and the Strategic Rail Authority”; and

(c) in subsections (4) and (6), for the words from “Neither” to “shall” substitute “The British Waterways Board shall not”.

(3) In section 56 (transport consultative committees)–

(a) in subsection (4)–

- (i) for “each Rail Passengers' Committee” substitute “the London Transport Users' Committee”;
- (ii) in paragraphs (a), (b) and (c), for “Rail Passengers' Committee”, in each place, substitute “the London Transport Users' Committee”;
- (iii) omit the words from “and copies” to the end;
- (b) subsection (5) shall cease to have effect;
- (c) in subsection (6ZA)–
 - (i) omit “in the case of any Rail Passengers' Committee” and “that Rail Passengers' Committee and”;
 - (ii) after “Rail Passengers' Council” insert “and the London Transport Users' Committee”;
- (d) in subsection (6A), for “A Rail Passengers' Committee” substitute “Each of the Rail Passengers' Council and the London Transport Users' Committee”; and
- (e) subsection (20) shall cease to have effect.

Commencement

Sch. 12 para. 1(1): July 24, 2005 for provisions specified in SI 2005/1909 art.2 and Sch.1; December 1, 2006 as specified in SI 2006/2911 art.2 and Sch.1 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Sch. 12 para. 1(2)-(2)(c): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Sch. 12 para. 1(3)-(3)(e): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 12 para. 1(1)-(3)(e): England, Wales, Scotland



Law In Force

2 Transport Act 1968 (c. 73)

(1) The Transport Act 1968 is amended as follows.

(2) In section 55 (transport consultative committees), for “Rail Passengers' Committees” substitute “London Transport Users' Committee”.

(3) In subsection (2A) of section 56 (financial assistance for capital expenditure incurred in connection with public passenger transport facilities), for the words from “the Strategic” to “franchising functions” substitute “a national authority under which the national authority undertakes to exercise any of its functions in relation to railways or railway services”.

(4) In subsection (2B) of that section–

- (a) omit the definition of “franchising functions”;
- (b) before the definition of “relevant local authority” insert–

““national authority” means the Secretary of State, the Scottish Ministers or the National Assembly for Wales;”.

Commencement

Sch. 12 para. 2(1): July 24, 2005 for provisions specified in SI 2005/1909 Sch.1; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Sch. 12 para. 2(2)-(4)(a): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Sch. 12 para. 2(4)(b): July 24, 2005 as specified in SI 2005/1909 Sch.1; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 2(1)-(4)(b): England, Wales, Scotland



Law In Force

3 Chronically Sick and Disabled Persons Act 1970 (c. 44)

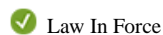
In section 14(1) of the Chronically Sick and Disabled Persons Act 1970 (miscellaneous advisory committees), for “Rail Passengers' Committees,” substitute “or”.

Commencement

Sch. 12 para. 3: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 12 para. 3: England, Wales, Scotland



Law In Force

4 Fire Precautions Act 1971 (c. 40)

In section 18 of the Fire Precautions Act 1971, for subsection (2) (power of fire and rescue authorities to make arrangements with the HSC) substitute—

“(2) A fire and rescue authority may arrange in relation to any work premises—
(a) where an appropriate enforcement body is the Office of Rail Regulation, with that Office, and
(b) where that Office is not an appropriate enforcement body or is not the only such body, with the Health and Safety Commission,
for such of the authority's functions under this Act as may be specified in the arrangements to be performed in relation to those premises, on behalf of the authority by that Office or (as the case may be) by the Health and Safety Executive.

(2A) Those arrangements may include arrangements for payments to be made by the fire and rescue authority in respect of the performance of the functions in question by the Office of Rail Regulation or by the Health and Safety Executive.

(2B) In subsection (2)—
“appropriate enforcement body”, in relation to any premises, means a person responsible under Part 1 of the Health and Safety at Work etc. Act 1974 (c. 37) for

the enforcement of relevant statutory provisions (within the meaning of Part 1 of that Act) in relation to those premises; and
“work premises” means premises which are used as a place of work (within the meaning of Part 1 of that Act).”

Commencement

Sch. 12 para. 4: April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 12 para. 4: England, Wales, Scotland



Law In Force

5 Superannuation Act 1972 (c. 11)

In Schedule 1 to the Superannuation Act 1972 (types of employment in relation to which schemes may be made), at the appropriate place in the list of “Other Bodies” insert–

“The Rail Passengers' Council.”

Commencement

Sch. 12 para. 5: July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Extent

Sch. 12 para. 5: England, Wales, Scotland



Law In Force

6 Level Crossings Act 1983 (c. 16)

(1) Section 1 of the Level Crossings Act 1983 is amended as follows.

(2) In subsection (6A) of that section (duty of the operator of a level crossing to make a request to the Secretary of State for an order where the HSE gives written notice to the operator that a request should be made), for “Health and Safety Executive” substitute “Office of Rail Regulation”.

(3) In subsection (10B) of that section (duty of the Secretary of State to take account of advice given by or on behalf of the HSC), for “Health and Safety Commission” substitute “Office of Rail Regulation”.

Commencement

Sch. 12 para. 6(1)-(3): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 12 para. 6-(3): England, Wales, Scotland

✓ Law In Force

7 Telecommunications Act 1984 (c. 12)

In section 101 of the Telecommunications Act 1984 (general restrictions on disclosure of information), in subsection (3), at the end insert–

“(r) the Railways Act 2005.”

Commencement

Sch. 12 para. 7: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 7: England, Wales, Scotland

✓ Law In Force

8 Transport Act 1985 (c. 67)

In section 6(1) of the Transport Act 1985 (local bus services), for the words from “with” onwards substitute “entered into, where a railway service has been temporarily interrupted, with the Secretary of State, the Scottish Ministers or the National Assembly for Wales under section 40 of the Railways Act 2005 (substitution services provided for interrupted or discontinued railway services)”.

Commencement

Sch. 12 para. 8: July 24, 2005 except in relation to the transfer of functions from the Strategic Rail Authority to the Scottish Ministers; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 8-: England, Wales, Scotland

✓ Law In Force

9 Airports Act 1986 (c. 31)

In section 74 of the Airports Act 1986 (restriction on disclosure of information), in subsection (3), at the end insert–

“(s) the Railways Act 2005.”

Commencement

Sch. 12 para. 9: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 9: England, Wales, Scotland

✓ Law In Force

10 Water Industry Act 1991 (c. 56)

In Schedule 15 to the Water Industry Act 1991 (disclosure of information), in Part 2 (enactments etc. in respect of which disclosure may be made), at the end insert—

“The Railways Act 2005.”

Commencement

Sch. 12 para. 10: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 10: England, Wales, Scotland

✓ Law In Force

11 Water Resources Act 1991 (c. 57)

In Schedule 24 to the Water Resources Act 1991 (disclosure of information), in Part 2 (enactments etc. in respect of which disclosure may be made), at the end insert—

“The Railways Act 2005.”

Commencement

Sch. 12 para. 11: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 11: England, Wales, Scotland

✓ Law In Force

12 Deregulation and Contracting Out Act 1994 (c. 40)

(1) Section 37 of the Deregulation and Contracting Out Act 1994 (power to repeal certain health and safety provisions) is amended as follows.

(2) In subsection (2) of that section—

(a) for paragraph (a) substitute—

“(a) in the case of regulations under paragraph (a) of that subsection repealing or revoking a provision specified in section 117(4) of the Railways Act 1993, the Office of Rail Regulation,

(aa) in the case of regulations under paragraph (a) of that subsection not falling within paragraph (a) of this subsection, the Health and Safety Commission,

(ab) in the case of regulations under paragraph (b) of that subsection revoking a provision of regulations which make provision exclusively in relation to

transport systems falling within paragraph 1(3) of Schedule 3 to the Railways Act 2005, the Office of Rail Regulation,
(ac) in the case of regulations under paragraph (b) of that subsection not falling within paragraph (ab) of this subsection, the Health and Safety Commission,”

; and

(b) in the words after paragraph (b), for “either” substitute “any”.

(3) In subsections (3) and (4) of that section, for the words from “the Health”, in the first place where they occur in each subsection, to “Ireland” substitute “the required consultee”.

(4) After subsection (4) of that section, insert—

“(4A) In subsections (3) and (4), “the required consultee” means the body which the appropriate authority is required to consult by virtue of subsection (2)(a) to (b).”

Commencement

Sch. 12 para. 12(1)-(4): April 1, 2006 (SI 2006/266 art. 2(2), Sch. 1)

Extent

Sch. 12 para. 12-(4): England, Wales, Scotland

✓ Law In Force

13 Railway Heritage Act 1996 (c. 42)

(1) The Railway Heritage Act 1996 is amended as follows.

(2) Section 1 (bodies to which the Act applies) is to become subsection (1) of that section and is amended as follows—

(a) in paragraph (f), for the words from “Strategic” to the end substitute “Secretary of State”;

(b) in paragraph (g), for “Authority” substitute “Secretary of State”.

(3) In that section, after that subsection insert—

“(2) The Secretary of State may, by order made by statutory instrument, modify subsection (1) by adding a body or a description of body to the list of bodies to which this Act applies.

(3) Before making an order under subsection (2), the Secretary of State must consult the bodies that appear to him to be the ones that will become bodies to which this Act applies on the coming into force of the order.

(4) A statutory instrument containing an order under subsection (2) shall be subject to annulment in pursuance of a resolution of either House of Parliament.”

(4) In section 2 (establishment of statutory committee)—

(a) in paragraph (a) of subsection (2), omit “the Authority with the approval of”;

(b) in paragraph (c) of that subsection, for “requiring the Authority” substitute “for the Secretary of State”;

(c) in subsection (3), for “the Authority and with such other” substitute “such”.

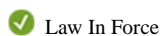
(5) In section 4(6)(b) (exclusion of a disposal made in accordance with a transfer scheme under the 2000 Act from the application of sections 4 and 5), after “Transport Act 2000” insert “or the Railways Act 2005”.

Commencement

Sch. 12 para. 13(1)-(5): November 21, 2005 (SI 2005/2812 art. 2(2), Sch. 2 para. 1)

Extent

Sch. 12 para. 13-(5): England, Wales, Scotland



14 Greater London Authority Act 1999 (c. 29)

(1) The Greater London Authority Act 1999 is amended as follows.

(2) In section 175 (co-operation between Transport for London and the Secretary of State)–

- (a) in subsection (1)(a)(ii), for the words from “whose provision” to “Railways Act 1993” substitute “are secured services (within the meaning of Part 4 of the Railways Act 2005) provided by or on behalf of the Secretary of State”; and
- (b) in subsection (3)(b), for “sections 37 and 38 of that Act” substitute “sections 22 to 24 of the Railways Act 2005”.

(3) In section 177(1)(b) and (2) (provision of extra passenger transport services and facilities), for “Strategic Rail Authority” substitute “Secretary of State”.

(4) In section 179(3) (London local bus services), for the words from “Strategic Rail Authority” to “railway service)” substitute “Secretary of State entered into under section 40 of the Railways Act 2005 (substitution services provided for interrupted or discontinued railway services)”.

(5) In section 235(2)(b) (exception to the restriction on disclosure of information for a disclosure made for the purpose of facilitating the carrying out of certain statutory functions)–

- (a) omit “the Strategic Rail Authority,”; and
- (b) at the end insert “or the Railways Act 2005”.

(6) In section 240(2) and (7) (arrangements with London authorities for travel concessions), for “Strategic Rail Authority”, wherever occurring, substitute “Secretary of State”.

(7) In section 247(2) (consultation with the SRA about appointments to the LTUC), for “Strategic Rail Authority” substitute “Secretary of State”.

(8) In section 250(2) (persons to whom LTUC annual report is to be made), for “Strategic Rail Authority” substitute “Secretary of State”.

(9) In paragraphs 9, 11 and 15 of Schedule 18 (consultation by LTUC with SRA and information provided to SRA by LTUC), for “Strategic Rail Authority”, in each place, substitute “Secretary of State”.

Commencement

Sch. 12 para. 14(1): June 8, 2005 for provisions specified in SI 2005/1444 Sch.1; July 24, 2005 for provisions specified in SI 2005/1909 art.2 and Sch.1; December 1, 2006 as specified in SI 2006/2911 art.2 and Sch.1 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2006/2911 art. 2, Sch. 1)

Sch. 12 para. 14(2)-(2)(b), (5)(a): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Sch. 12 para. 14(3)-(4), (6)-(9): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Sch. 12 para. 14(5), (5)(b): June 8, 2005

Extent


Sch. 12 para. 14(1)-(9): England, Wales, Scotland

 Repealed

15 [...]¹

Notes

¹ Repealed by Postal Services Act 2011 c. 5 Sch.12(3) para.173 (October 1, 2011)

 Law In Force

16 Utilities Act 2000 (c. 27)

In section 105 of the Utilities Act 2000 (general restrictions on disclosure of information), in subsection (6), at the end insert—


“(u) the Railways Act 2005.”

Commencement

Sch. 12 para. 16: June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 16: England, Wales, Scotland

 Law In Force

17 Transport Act 2000 (c. 38)

(1) The 2000 Act is amended as follows.

(2) In section 137(4)(d) (required notice in connection with the making of a ticketing scheme), for “Strategic Rail Authority” substitute “Secretary of State”.

(3) In subsection (1) of section 228 (extension of functions of Rail Passengers' Council and Rail Passengers' Committees), for “Sections 76 and 77” substitute “Section 76” and for “are amended” substitute “is amended”.

(4) In subsection (1) of section 248 (substitute services to be suitable for disabled persons), for paragraph (b) substitute—

“(b) the provision of such services is secured by the Secretary of State, the Scottish Ministers or the National Assembly for Wales.”

(5) In subsection (2) of that section, for “In doing so the person or Authority” substitute “In providing or securing the provision of the services, the person providing them, the Secretary of State, the Scottish Ministers or the National Assembly for Wales”.

(6) In subsection (3) of that section—

- (a) for “the person or Authority” substitute “a person”; and
- (b) omit the words “or it”.

(7) In paragraph 3(3) of Schedule 9 (air traffic: information), after paragraph (rc) insert—

“(rd) the Railways Act 2005;”.

(8) In Schedule 25 (transfer of BR's property etc. to Secretary of State), after paragraph 12 insert—

“12A Duties in relation to foreign property

(1) Where there is a transfer in accordance with a transfer scheme of—

- (a) foreign property, or
- (b) a foreign right or liability,

the Board and the Secretary of State must take all requisite steps to secure that the vesting of the foreign property, right or liability in the Secretary of State by this Act is effective under the relevant foreign law.

(2) Until the vesting of the foreign property, right or liability in the Secretary of State in accordance with the transfer scheme is effective under the relevant foreign law, the Board must—

- (a) hold the property or right for the benefit of the Secretary of State; or
- (b) discharge the liability on behalf of the Secretary of State.

(3) Nothing in sub-paragraph (1) or (2) prejudices the effect under the law of a part of the United Kingdom of the vesting of any foreign property, right or liability in the Secretary of State in accordance with a transfer scheme.

(4) References in this paragraph to foreign property, or to a foreign right or liability, are references to any property, right or liability as respects which an issue arising in any proceedings would be determined (in accordance with the rules of private international law) by reference to the law of a country or territory outside the United Kingdom.

(5) An obligation imposed under this paragraph in relation to property, rights or liabilities shall be enforceable as if contained in a contract between the Board and the Secretary of State.”

(9) In paragraph 10 of Schedule 28 (transitional provision in relation to section 56 of the Transport Act 1962 (c. 46))—

- (a) for “Rail Passengers' Committees” substitute “London Transport Users' Committee”;
- (b) in paragraph (a), for “sections 76 and 77” substitute “section 76”;
- (c) in paragraph (b), for “those subsections” substitute “that subsection”.

Commencement

Sch. 12 para. 17(1): June 8, 2005 for provisions specified in SI 2005/1444 Sch.1; July 24, 2005 for provisions specified in SI 2005/1909 art.2 and Sch.1; August 1, 2006 for provisions specified in SI 2006/1951 art.2(g) and (i) (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2006/1951 art. 2(2)(g), art. 2(2)(i))

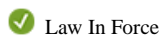
Sch. 12 para. 17(2)-(3), (8)-(9)(c): July 24, 2005 (SI 2005/1909 art. 2, Sch. 1 para. 1)

Sch. 12 para. 17(4)-(6)(b): August 1, 2006 (SI 2006/1951 art. 2(2)(i))

Sch. 12 para. 17(7): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 17(1)-(9)(c): England, Wales, Scotland



Law In Force

18 Enterprise Act 2002 (c. 40)

(1) The Enterprise Act 2002 is amended as follows.

(2) In subsection (4) of section 168 (duty of Competition Commission and the Secretary of State in relation to regulated markets)–

- (a) in paragraph (h), omit “where none of the conditions of the licence relate to consumer protection”;
- (b) paragraph (i) shall cease to have effect; and
- (c) in paragraph (k), for the words from “Strategic” to the end substitute “Secretary of State, the Scottish Ministers and the National Assembly for Wales under section 4 of the Act of 1993”.

(3) In subsection (5) of that section, for paragraph (j) substitute–

- “(j) the Secretary of State;
- (k) the Scottish Ministers; or
- (l) the National Assembly for Wales.”

(4) In Schedule 15 (enactments for the purposes of which disclosures of information are allowed), at the end insert–

“Railways Act 2005 (c. 14)”.

Commencement

Sch. 12 para. 18(1): June 8, 2005 for provisions specified in SI 2005/1444 Sch.1; July 24, 2005 for provisions specified in SI 2005/1909 art.2 and Sch.1; October 16, 2005 otherwise (SI 2005/1444 art. 2(1), Sch. 1 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Sch. 12 para. 18(2)-(2)(b): July 24, 2005


Sch. 12 para. 18(2)(c)-(3): July 24, 2005 except in relation to the transfer of functions from the Strategic Rail Authority to the Scottish Ministers; October 16, 2005 otherwise (SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Sch. 12 para. 18(4): June 8, 2005 (SI 2005/1444 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 12 para. 18(1)-(4): England, Wales, Scotland

SCHEDULE 13**REPEALS****Section 59****PART 1****REPEALED ENACTMENTS**

 Partially In Force

| <i>Short title and chapter</i> | <i>Extent of repeal</i> |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Ministry of Transport Act 1919 (c. 50) | Section 17(1)(a). |
| Transport Act 1962 (c. 46) | <p>In section 43–</p> <p>(a) in subsections (1), (2) and (5), the words “or the Strategic Rail Authority”;</p> <p>(b) in subsection (3), the words “and the Strategic Rail Authority”.</p> <p>In section 56–</p> <p>(a) in subsection (4), the words from “and copies” to the end;</p> <p>(b) subsection (5);</p> <p>(c) in subsection (6ZA), the words “in the case of any Rail Passengers' Committee” and the words “that Rail Passengers' Committee and”;</p> <p>(d) subsection (20).</p> |

| <i>Short title and chapter</i> | <i>Extent of repeal</i> |
|-------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Parliamentary Commissioner Act 1967 (c. 13) | In Schedule 2, the entries relating to Rail Passengers' Committees and to the Strategic Rail Authority. |
| Transport Act 1968 (c. 73) | In section 10(1), paragraphs (vi) and (viza). In section 15(1)(d), the words from “otherwise” onwards. In section 20— (a) in subsection (2), the words from the beginning to “9A(3) of this Act” and paragraph (b) and the word “and” immediately preceding it; (b) subsections (3) to (7). In section 56(2B), the definition of “franchising functions”. |
| Superannuation Act 1972 (c. 11) | In Schedule 1, in the list of “Other Bodies”, the entry relating to the Strategic Rail Authority. |
| Health and Safety at Work etc. Act 1974 (c. 37) | In section 18(5), the words “or by regulations under subsection (2) above”. Section 78(7)(c). |
| House of Commons Disqualification Act 1975 (c. 24) | In Schedule 1— (a) in Part 2, the entry relating to the Strategic Rail Authority; (b) in Part 3, the entry relating to a member of a Rail Passengers' Committee in receipt of remuneration. |
| Northern Ireland Assembly Disqualification Act 1975 (c. 25) | In Part 2 of Schedule 1, the entry relating to the Strategic Rail Authority. |
| Race Relations Act 1976 (c. 74) | In Part 2 of Schedule 1A, the entry relating to the Strategic Rail Authority. |
| Transport Act 1985 (c. 67) | In Schedule 3, paragraph 13. |
| Channel Tunnel Act 1987 (c. 53) | In section 41(1)(a), the words “and each of the Rail Passengers' Committees”. |
| Railways Act 1993 (c. 43) | Section 2. Section 3. In section 4— (a) in subsection (3)(a), the words from “taking into account” to “Executive”; (b) in subsection (3A), paragraph (a) and, in paragraph (b), the words “and 37 to 50”; (c) in subsection (5)(d), the words “London Regional Transport”. In section 7— (a) in subsections (1) and (3), the words “and the Authority”, in each place; (b) subsections (5A), (6A) and (8A). Section 7A. In section 8— (a) in subsection (1)(a), the words “and the Authority”; (b) in subsection (1)(b), the words “given after consultation with the Authority”; (c) in subsection (2), paragraph (a); (d) |

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| | <p>in subsection (7)(a), the words “, to the Authority and to the Health and Safety Executive”;</p> <p>(e)</p> <p>in subsection (7)(b), the words “and to the Health and Safety Executive”;</p> <p>(f)</p> <p>in subsection (8), the words “and the Authority”.</p> <p>In section 10(4), the definition of “call”.</p> <p>In section 11—</p> <p>(a)</p> <p>in subsection (2)(b), the words “and the Authority”;</p> <p>(b)</p> <p>in subsection (4), the words “or persons”.</p> <p>In section 12—</p> <p>(a)</p> <p>subsections (1A) to (1C);</p> <p>(b)</p> <p>in subsection (3), the words “(1B) or” and “the Authority or”;</p> <p>(c)</p> <p>subsection (4).</p> <p>Section 13(1A) to (1C).</p> <p>Section 14(5A).</p> <p>In section 15—</p> <p>(a)</p> <p>subsections (1B) and (3A);</p> <p>(b)</p> <p>in subsections (2), (4A), (4B), (4C) and (4D), the words “or Authority”, wherever occurring;</p> <p>(c)</p> <p>in subsection (4) the words “or (3A)” and “or the Authority”;</p> <p>(d)</p> <p>subsection (5).</p> <p>In section 15A(1), the words “or Authority”.</p> <p>In section 15B—</p> <p>(a)</p> <p>in subsection (1)(b), the words “or required to be made by the Authority”;</p> <p>(b)</p> <p>in subsection (5), the words “the Authority and the Health and Safety Executive”.</p> <p>In section 15C(3), the words “and the Authority”, and “each”.</p> <p>In section 16(3), the words “to the Authority and to the Health and Safety Executive”.</p> <p>Section 23(2B).</p> <p>In section 24(3), the words “and the Authority”.</p> <p>Section 26(4).</p> <p>In section 30(1)—</p> <p>(a)</p> <p>paragraph (a); and</p> <p>(b)</p> <p>in paragraph (b), the words “(otherwise than because of such a direction)”.</p> <p>Sections 34 and 35.</p> <p>Sections 37 to 49.</p> <p>Section 50(1)(a) and (2).</p> <p>In section 54(3), the definition of “franchising functions” in relation to a Passenger Transport Authority or Passenger Transport Executive.</p> <p>In section 55—</p> |

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| | <p>(a) in subsection (5), the words “or, as the case may be, section 207 of the Transport Act 2000”;</p> <p>(b) in subsection (10), in paragraph (a) of the definition of “the appropriate authority”, the words “apart from a condition which relates to consumer protection,”;</p> <p>(c) in that subsection, in paragraph (d) of the definition of “relevant condition or requirement”, the words “(other than the Authority)”.</p> <p>In section 59(6)(a), the “and” at the end of sub-paragraph (ii).</p> <p>In section 61–</p> <p>(a) in subsection (1), sub-paragraph (ii) of paragraph (a);</p> <p>(b) in subsection (2), paragraph (b) and the word “or” immediately preceding it.</p> <p>In section 62–</p> <p>(a) in subsection (2), sub-paragraph (ii) of paragraph (a);</p> <p>(b) in subsection (3), paragraph (b) and the word “or” immediately preceding it;</p> <p>(c) in subsection (5), sub-paragraph (ii) of paragraph (a);</p> <p>(d) in subsection (6), paragraph (b) and the word “or” immediately preceding it;</p> <p>(e) in subsection (7), paragraph (b) and the word “and” immediately preceding it.</p> <p>In section 63(2), the words “in such manner and on such conditions as he may think fit”.</p> <p>In section 67(6), sub-paragraph (i) of paragraph (b).</p> <p>In section 68(1)(a), the words “which does not relate to consumer protection”.</p> <p>Section 69(4).</p> <p>Section 71A.</p> <p>In section 72(1), the words “for the purposes of this Part”.</p> <p>In section 73–</p> <p>(a) in subsection (1), the words “for the purposes of this Part”;</p> <p>(b) in subsection (2), in paragraph (e), the words “a licence or”, and paragraphs (h) to (m);</p> <p>(c) subsections (5) and (6).</p> <p>Section 75.</p> <p>In section 76–</p> <p>(a) subsection (3);</p> <p>(b) in subsection (6)(a), the words “and the Authority”;</p> <p>(c) subsection (8).</p> <p>Section 77.</p> |

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| | <p>Section 79.</p> <p>In section 83—</p> <ul style="list-style-type: none"> (a) in subsection (1), the definitions of “closure consent” and “notice period”; (b) subsection (3). <p>In section 118—</p> <ul style="list-style-type: none"> (a) subsection (1) (b); (b) in subsection (3), the words “or the Authority”; (c) in subsection (5), the words “and the Authority” and “each”; (d) in subsection (9), the words “and the Authority”. <p>Section 130(5), (6) and (10).</p> <p>In section 136—</p> <ul style="list-style-type: none"> (a) subsection (3)(b); (b) in subsection (6), the words “and the Authority” and “each”; (c) in subsections (7) and (10), the words “or the Authority”, wherever occurring. <p>In section 144(1), the words from “and a Passenger Transport Executive” onwards.</p> <p>In section 145—</p> <ul style="list-style-type: none"> (a) the words “the Authority”, wherever occurring; (b) subsection (7). <p>In section 151—</p> <ul style="list-style-type: none"> (a) the definition of “the Authority”; (b) the words “the Authority”, wherever occurring; (c) subsection (3). <p>Schedule 2.</p> <p>Schedule 3.</p> <p>In Schedule 4A—</p> <ul style="list-style-type: none"> (a) paragraph 3; (b) in paragraph 7(4)(b), the words “the Authority and the Health and Safety Executive”; (c) paragraph 10. <p>Schedule 5.</p> <p>In Schedule 6—</p> <ul style="list-style-type: none"> (a) in paragraph 3, in the substituted section 13(3), paragraph (b); (b) in paragraph 7(2), in the substituted section 18(1)(b), the words from “or, if” to “consent of the Secretary of State”; (c) |

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| | <p>in paragraph 9, in each of subsections (1) and (2A) of the substituted section 23, paragraph (c);</p> <p>(d)</p> <p>in paragraph 10(2), in the substituted section 27(1A), the words from “or, if” to “consent of the Secretary of State”.</p> <p>In Schedule 11, in paragraph 1(1), in the definition of “eligible persons”, paragraph (a)(ia).</p> |
| Railway Heritage Act 1996 (c. 42) | <p>Section 1(a) and (b).</p> <p>In section 2(2)(a), the words “the Authority with the approval of”.</p> |
| Channel Tunnel Rail Link Act 1996 (c. 61) | <p>Section 19(2), (5) and (6).</p> <p>Section 42A.</p> |
| Greater London Authority Act 1999 (c. 29) | <p>In section 175(1), the words after paragraph (b).</p> <p>Sections 196 and 197.</p> <p>In section 199(1), the words “and the Strategic Rail Authority”.</p> <p>Section 201.</p> <p>Sections 203 and 204.</p> <p>In section 235(2)(b), the words “the Strategic Rail Authority,”.</p> <p>Section 252(1).</p> <p>In Schedule 19, paragraph 5.</p> |
| Freedom of Information Act 2000 (c. 36) | <p>In Part 6 of Schedule 1, the entries relating to any Rail Passengers' Committee established under section 2(2) of the Railways Act 1993 and to the Strategic Rail Authority.</p> |
| Transport Act 2000 (c. 38) | <p>Sections 201 to 211.</p> <p>Section 212(4).</p> <p>Sections 213 and 214.</p> <p>Section 217(2).</p> <p>Sections 218 to 222.</p> <p>Section 224(2)(b).</p> <p>Section 226(1)(c) and the word “and” immediately preceding it.</p> <p>In section 227–</p> <p>(a)</p> <p>subsection (1);</p> <p>(b)</p> <p>in subsection (3), the words from “and such references” to the end.</p> <p>In section 228–</p> <p>(a)</p> <p>in subsection (2), the words “of each of those sections”;</p> <p>(b)</p> <p>in subsection (3), paragraph (b) and the word “and” immediately preceding it;</p> <p>(c)</p> <p>subsection (5).</p> <p>Sections 234 to 239.</p> <p>Section 246.</p> <p>In section 248(3), the words “or it”.</p> <p>Section 249.</p> <p>Section 251.</p> <p>In section 278–</p> <p>(a)</p> <p>in subsection (2), paragraph (b) and the word “or” immediately preceding it;</p> <p>(b)</p> |

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| | <p>in subsection (3), paragraph (b) and the word “or” immediately preceding it.</p> <p>Schedules 14 and 15.</p> <p>In Schedule 16–</p> <ul style="list-style-type: none"> (a) paragraphs 2 to 7; (b) paragraphs 9 to 13; (c) paragraph 14(2), (3)(a) and (4); (d) paragraph 15; (e) paragraph 16(2) and (3)(a); (f) paragraph 17(2)(a), (3), (4)(a) and (5)(a); (g) paragraph 18(2)(a) and (3); (h) paragraphs 19 to 33; (i) paragraph 34(2)(a), (3) and (4)(a), (b) and (c); (j) paragraph 35(3)(b), (4) and (5); (k) paragraphs 39 to 42; (l) paragraphs 44 to 48; (m) paragraph 49(2), (3)(a), (4) and (5); (n) paragraph 50; (o) paragraph 51(2), (4) and (5); (p) paragraphs 52 and 53; (q) paragraph 59; (r) paragraphs 61 and 62. (s) paragraph 64; (t) paragraph 66. <p>In Schedule 17–</p> <ul style="list-style-type: none"> (a) paragraph 2(2) to (5), (7) and (8); (b) paragraph 3; (c) paragraph 4(2)(a) and (5)(a); (d) paragraph 6(2), (3)(a), (4) and (5); (e) paragraph 7(2) to (4), (5)(a), (6)(a), (7) and (8)(a); |

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| | <p>(f) paragraph 8(2), (3)(a), (4) and (5);</p> <p>(g) paragraph 9(4)(b) and (6) to (8);</p> <p>(h) paragraph 10;</p> <p>(i) paragraph 11(3);</p> <p>(j) paragraphs 13 and 14;</p> <p>(k) paragraph 16(b) and the word “and” immediately preceding it;</p> <p>(l) paragraphs 18 and 19;</p> <p>(m) paragraph 20(2) and (5);</p> <p>(n) paragraphs 21 to 27;</p> <p>(o) paragraphs 29 and 30;</p> <p>(p) Part 3.</p> <p>In Schedule 18–</p> <p>(a) paragraphs 1 to 3;</p> <p>(b) paragraph 6(2) and (3)(a);</p> <p>(c) Part 2.</p> <p>Schedules 19 to 21.</p> <p>In Schedule 22–</p> <p>(a) paragraphs 2 to 7;</p> <p>(b) in paragraph 8, sub-paragraph (4)(b) and, in sub-paragraph (10), the words “and Rail Passengers’ Committees”;</p> <p>(c) paragraphs 9 to 14;</p> <p>(d) paragraph 15(2)(c) to (e), (3), (4)(a), (5) and (6);</p> <p>(e) paragraph 18;</p> <p>(f) paragraph 22;</p> <p>(g) paragraph 23(a).</p> <p>In Schedule 23, paragraphs 1 to 9.</p> <p>In Schedule 25, in paragraph 15, the words “and the Authority”.</p> <p>In Schedule 27–</p> <p>(a) paragraph 1(4) to (6);</p> <p>(b) paragraphs 2 to 5;</p> <p>(c) paragraph 14;</p> |

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| | <p>(d) paragraph 24(3);</p> <p>(e) paragraphs 25 to 29;</p> <p>(f) paragraph 30(2);</p> <p>(g) paragraph 35;</p> <p>(h) paragraph 39(3) and (5);</p> <p>(i) paragraph 41(2);</p> <p>(j) paragraph 43;</p> <p>(k) paragraphs 46 and 47;</p> <p>(l) paragraph 55;</p> <p>(m) paragraph 58;</p> <p>(n) paragraphs 60 and 61;</p> <p>(o) paragraph 62(5) and (6).</p> <p>In Schedule 28—</p> <p>(a) paragraph 1;</p> <p>(b) paragraph 4;</p> <p>(c) in paragraph 5(2), the words from “; but the Authority” to the end.</p> <p>(d) paragraph 6;</p> <p>(e) in paragraph 7, in sub-paragraph (1), the words “, as inserted by section 225(1),”, and in sub-paragraph (2), the words “, as inserted by section 225(2),”;</p> <p>(f) paragraphs 8 and 9;</p> <p>(g) paragraphs 11 to 16.</p> <p>In Schedule 31, the entry relating to the Railway Heritage Act 1996.</p> |
| Enterprise Act 2002 (c. 40) | <p>In section 168—</p> <p>(a) in subsection (4), in paragraph (h), the words “where none of the conditions of the licence relate to consumer protection”, and paragraph (i);</p> <p>(b) in subsection (5), the word “or” at the end of paragraph (i).</p> |
| Scottish Public Services Ombudsman Act 2002 (asp 11) | In Part 2 of Schedule 2, paragraph 82. |
| Railways and Transport Safety Act 2003 (c. 20) | <p>Section 62(1)(j), (m) and (n).</p> <p>In section 73(3)—</p> <p>(a)</p> |

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| | <p>paragraph (a); (b) in paragraph (b), the words “(whether by the Strategic Rail Authority or by another person)”.</p> <p>Section 104.</p> <p>In Schedule 2– (a) in the table in paragraph 3, the entries relating to sections 7A, 43, 46, 46A, 46B, 75, 77 and 79 and Schedules 2 and 3; (b) paragraph 11; (c) paragraph 16.</p> <p>In Schedule 4– (a) paragraph 2(1)(d); (b) paragraph 6(b) and the word “or” immediately preceding it.</p> |

Commencement

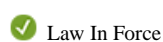
Sch. 13(1) para. 1(a)-(bal): June 8, 2005 for repeals specified in SI 2005/1444 Sch.1; June 26, 2005 for repeals specified in SI 2005/1444 Sch.2; July 24, 2005 for repeals specified in SI 2005/1909 Sch.1; October 16, 2006 for repeals specified in SI 2005/2812 Sch.1; November 21, 2005 for repeals specified in SI 2005/2812 Sch.2; April 1, 2006 for repeals specified in SI 2006/266 Sch.1; August 1, 2006 for the repeal specified in SI 2006/1951 art.2(j); December 1, 2006 for repeals specified in SI 2006/2911 art.2 and Sch.1; January 29, 2007 for repeals specified in SI 2007/62 art.2(e); not yet in force otherwise (SI 2005/1444 art. 2(1), art. 2(2), Sch. 1 para. 1, Sch. 2 para. 1; SI 2005/1909 art. 2, Sch. 1 para. 1; SI 2005/2812 art. 2(1), art. 2(2), Sch. 1 para. 1, Sch. 2 para. 1; SI 2006/266 art. 2(2), Sch. 1; SI 2006/1951 art. 2(2)(j); SI 2006/2911 art. 2, Sch. 1; SI 2007/62 art. 2(2)(e))

Extent

Sch. 13(1) para. 1-(bal): England, Wales, Scotland

PART 2

SAVINGS



1

The repeal of the entry relating to the Strategic Rail Authority in the list of “Other Bodies” in Schedule 1 to the Superannuation Act 1972 (c. 11) does not affect–


- (a) any pension, allowance or gratuity granted before the coming into force of the repeal to or in respect of a person by virtue of his employment with the Strategic Rail Authority;
or
- (b) any right or entitlement to the grant of a pension, allowance or gratuity accruing before that coming into force to or in respect of a person by virtue of that employment.

Commencement

Sch. 13(2) para. 1(a)-(b): December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 13(2) para. 1-(b): England, Wales, Scotland

 Law In Force

2


The repeal of section 219 of the 2000 Act has effect subject to section 46(4).

Commencement

Sch. 13(2) para. 2: October 16, 2005 (SI 2005/2812 art. 2(1), Sch. 1 para. 1)

Extent

Sch. 13(2) para. 2: England, Wales, Scotland

 Law In Force

3


The repeal of Part 3 of Schedule 17 to that Act does not affect the provisions of that Part in their application in relation to any transfer scheme made before the coming into force of the repeal.

Commencement

Sch. 13(2) para. 3: December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 13(2) para. 3: England, Wales, Scotland

 Law In Force

4

The repeal of Schedule 19 to that Act does not affect the provisions of that Schedule in their application in relation to any transfer scheme made before the coming into force of the repeal.

Commencement

Sch. 13(2) para. 4: December 1, 2006 (SI 2006/2911 art. 2, Sch. 1)

Extent

Sch. 13(2) para. 4: England, Wales, Scotland

EXPLANATORY NOTES

INTRODUCTION

1. These explanatory notes relate to the Railways Act 2005 which received Royal Assent on 7th April 2005. They have been prepared by the Department for Transport in order to assist the reader in understanding the Act. They do not form part of the Act and have not been endorsed by Parliament.
2. The notes need to be read in conjunction with the Act. They are not, and are not meant to be, a comprehensive description of the Act. So where a section or part of a section does not seem to require any explanation or comment, none is given.

SUMMARY AND BACKGROUND

3. The main purpose of this Act is to tackle the long-standing structural problems of the railways.
4. The Act gives effect to the proposals that require primary legislation in the White Paper “The Future of Rail”, published on 15th July, 2004.
5. The White Paper set out the conclusion of the rail review which the Secretary of State for Transport announced on 19th January 2004. The aim of the review was to develop proposals for a simplified structure and organisation for Britain's railways.
6. A list of Acronyms used in these explanatory notes is attached at Annex B.

OVERVIEW OF THE STRUCTURE

7. The Act is in six parts with thirteen Schedules. The main provisions of the Act are as follows.

Part 1: Transfer of Functions and Railway Strategy

8. Part 1 provides for the Strategic Rail Authority (SRA) to be wound up, for the SRA's strategic and financial functions to pass to the Department for Transport and in some cases, to the devolved administrations, and for its consumer protection functions to pass to the Office of Rail Regulation (ORR). The Act also enables the SRA's assets, rights and liabilities to be transferred to third parties.
9. The Act also transfers safety functions under the Health and Safety at Work etc. Act 1974 in respect of the railways industry from the Health and Safety Commission/Executive (HSC/E) to the ORR.
10. The Act provides for changes to the access charges review process, with a duty on the Secretary of State to specify the outputs to be delivered by the rail industry.
11. The Act also gives the Scottish Ministers the power to prepare and publish a strategy for carrying out their functions in relation to railways in Scotland.

Part 2: Public Sector Funding Authorities for Railways

12. The Act provides a power for the Secretary of State to give financial assistance for any railway purpose.

13. The Act also makes provision for the provision of financial assistance from the Secretary of State, the Scottish Ministers and the National Assembly for Wales (NAW) for freight services.

14. The Act enables the Scottish Ministers to take increased responsibility for passenger services and infrastructure relating to Scotland. The NAW will also take on increased responsibilities for passenger services in Wales, and be made a signatory to the Wales and Borders franchise agreement.

15. This Part also modifies the powers of Passenger Transport Executives (PTEs) so that they may, subject to the Secretary of State's approval, enter into franchise agreements and agreements relating to the quality of franchised rail services. The Secretary of State will have a duty to consult a PTE when preparing to let a franchise which involves services to, from or within the area covered by the PTE. It also provides for Transport for London to be given equivalent powers to PTEs.

Part 3: Rail Passengers' Council and Rail Passengers' Committees

16. The Act establishes the Rail Passengers' Council as a single national body reporting to the Secretary of State and dissolves the formal federal structure of regional Rail Passengers' Committees.

Part 4: Network Modifications etc.

17. Part 4 sets out procedures for operators and public sector funders to follow when they wish to discontinue all passenger services on a line or from a station or close all or part of a network or station. It replaces the current procedures in sections 37 to 49 of and Schedule 5 to the 1993 Act as amended by the Transport Act 2000.

18. Where a rail service in an English PTE area is to be discontinued or otherwise reduced, this Part provides for bus franchising for substitution of rail services. The Act will amend the procedure for entering into a bus quality contract scheme where the scheme is specifically for a bus service, or network, which meets transport needs equivalent to rail services being reduced or closed, and is consistent with the local transport plan. This part also enables the Secretary of State, the Scottish Ministers and the NAW to secure the provision of substitute bus services where a railway passenger service has been temporarily interrupted or discontinued.

Part 5: Further Miscellaneous Provisions

19. The Act enables railway operators to make bye-laws, subject to confirmation by the Secretary of State and, where appropriate, the Scottish Ministers, to enable them and the police to control the conduct and behaviour of people using the railways.

20. The Act also makes provision for the Scottish Ministers to be empowered to make penalty fare regulations for Scotland.

21. This Part also provides the Scottish Ministers with the power to prepare (and from time to time revise) a code of practice for protecting the interests of disabled rail users in Scotland.

22. This Part also provides for the Scottish Ministers to be able to exercise the functions of the Secretary of State in relation to a railway administration order involving a Scottish railway company.

23. The Act provides for a duty on the ORR to provide the Secretary of State, the Scottish Ministers and the NAW with advice and information.

24. This Part also provides a duty for PTEs to give advice to the Secretary of State when requested, in relation to railway matters.

Part 6: General and Supplemental

25. Part 6 contains general and supplementary provisions, including making provision for the consequences for taxation of the various transfers under the transfer schemes provided for in the Act. This Part amends the Secretary of State's powers under sections 118 and 119 of the 1993 Act, so that they can apply to trams and other guided transport systems. This Part also makes provisions relating to expenses and powers exercisable by statutory instrument.

COMMENTARY ON SECTIONS AND SCHEDULES

Part 1: Transfer of Functions and Railway Strategy

Transfer of Functions

Overview

26. The Government's review of the railways concluded that it would be necessary to wind up the Strategic Rail Authority. The reasons given were that it would improve efficiency, reduce bureaucracy and provide a clearer focus on leadership within the rail industry.

Section 1: Transfer etc. of SRA functions and abolition

27. Section 1 provides for the abolition of the Strategic Rail Authority and for the reallocation of its functions, where they are not discontinued. The Strategic Rail Authority's strategic functions and its financial obligations (see also Section 6) will become the responsibility of the Secretary of State for Transport, together with many of its operational functions, such as the letting and management of railway franchises. Other Strategic Rail Authority functions will be reallocated to third parties. In some cases this will not require legislative provision. The Secretary of State may make an order for the abolition of the SRA when he is satisfied (having consulted the SRA) that the liabilities of the SRA have been adequately provided for and that it is no longer necessary for the SRA to exist.

28. The intention is for the Scottish Executive and the NAW to take on increased responsibilities for passenger services and, in Scotland, infrastructure responsibilities. This section requires the Secretary of State to transfer the Strategic Rail Authority's interest in the Scotrail franchise to the Scottish Ministers. The SRA interest in the franchise agreement with Arriva Trains Wales is intended to be transferred under this section to the Secretary of State and the NAW jointly. The SRA interest in all other franchise agreements is intended to be transferred to the Secretary of State.

29. The Rail Passengers' Council, currently funded through the Strategic Rail Authority, will become a body corporate and will be funded by grant from the Department for Transport. Rail Passengers' Committees will be disbanded and the newly constituted Rail Passengers' Council will be the sole national consumer body for rail.

30. The section also provides for the transfer to the Secretary of State, and as appropriate the Scottish Ministers, the NAW and the Office of Rail Regulation of the Strategic Rail Authority's property, rights and liabilities, including shares in its subsidiary companies, such as BRB (Residuary) Limited. Provision is also made for the transfer of property, rights and liabilities to the Rail Passengers' Council.

31. This section also gives the Secretary of State powers to make modifications of legislative provisions in relation to rail pensions that may be necessary or expedient as a consequence of the transfer of the SRA's functions or its abolition or as a consequence of a transfer scheme transferring its property rights or liabilities.

32. The provisions of Part III of the Transport Act 1980 and schedule 11 to 1993 Act, among other things, set out mechanisms under which the Department for Transport provides funding to the trustees of a number of older, partially unfunded pension schemes some of which were set up by the pre-nationalisation rail companies. The role of the SRA as sponsoring employer is likely to be transferred, on its abolition, to the Department for Transport under a transfer scheme to be made under section 1(2). The purpose of the order making power under subsection (8) is to enable consequential provision to be made in the light of that transfer of liabilities.

33. Further consideration needs to be given to the detail of the provision required. Currently, it is anticipated however that the Department for Transport will retain its existing statutory funding liabilities alongside liabilities, as sponsoring employer, which will be transferred to it from the SRA. Whatever provision is made will be designed to ensure that the existing position of beneficiaries of the relevant pension schemes and the funding of those schemes is unaffected.

34. Section 244 of the Transport Act 2000 had the effect of converting the British Railways Board's (BRB's) customary practice of providing indexation for cost of living increases for these older pension schemes into a binding obligation of the SRA. Consequential provision will be required to reflect the abolition of the SRA. It is likely this will be to transfer this obligation to the Department for Transport to reflect the expected transfer of employer obligations for these schemes to the Department. The intention again will be to ensure that the existing position of beneficiaries of the relevant schemes is unaffected by amendments made.

35. The affirmative resolution procedure will apply to any order made under subsection (8). The details of the affirmative procedure are described in section 55(4).

36. It is anticipated that the SRA will be wound up gradually, and the transfer of its functions is to be completed before it is abolished. The section includes provision to allow the Secretary of State to reduce the membership of the Strategic Rail Authority as part of the transitional period leading to abolition.

Section 2: Transfer of safety functions to the ORR

37. Section 2 brings into effect schedule 3, which concerns the transfer of safety functions under the Health and Safety at Work etc Act 1974 ("the 1974 Act") to the ORR.

Railway Strategy

Section 3: General Duties under s.4 of the 1993 Act

38. This section amends the general duties of the ORR and the Secretary of State provided in s4 of the 1993 Act that apply to the exercise of their functions under that Act.

39. Sections 3(2), 3(8) (a) and 3(9) provide that the general duties do not apply to the safety functions being transferred to the ORR under Schedule 3, to which quite separate considerations apply. Thus the transferred safety functions are not subject to the balancing of the general duties applicable to other functions. This reflects the need to ensure that the transferred safety functions are not compromised in the pursuit of the ORR's other functions.

40. Section 3(3) provides an additional general duty to promote improvements in railway service performance in terms of reliability, punctuality and minimising overcrowding and journey times. It also removes the general duty to have regard to the SRA's strategies given the abolition of that body.

41. Section 3(4) retains a duty for the ORR to take into account safety matters in the exercise of its general duties. This is distinct from the safety functions being transferred to the ORR under schedule 3.

42. Sections 3(5) and (6) modify s.4(3A) of the 1993 Act which applies the general duties (specified in s.4(1) to (3) of the 1993 Act) to certain functions undertaken by the Secretary of State. Section 3(5) provides that these duties apply to network modification functions undertaken by the Secretary of State. Section 3(6) applies these duties to functions undertaken by the Scottish Ministers in relation to improving, providing or developing railway facilities, or network modification. It also applies the duties to functions undertaken by the NAW in relation to network modification.

43. Sections 3(8) and (9) modify s.4(5) of the 1993 Act which specifies further general duties applicable only to the Office of Rail Regulation. On non-safety function railway matters the ORR must have regard to general guidance from the Secretary of State and the funds he has available for the purposes of his railways functions. The ORR must also have regard to general guidance from the Scottish Ministers on Scottish railway matters with potentially different weighting where expenditure falls to the Scottish Ministers. It also must have regard to strategies and policies of the NAW on Welsh railway matters that the NAW notifies to it. Also the Secretary of State must consult NAW before giving general guidance to the ORR under section 4(5) of the 1993 Act. On matters relating to its safety functions (except enforcement functions), the ORR must have regard to general guidance from the Secretary of State only, under new section 4(5B) of the 1993 Act. Section 3(9) inserts an additional general duty, under new section 4(5C) of the 1993 Act, requiring the ORR, in considering anything affecting the interests of railway service users and providers, to have regard to the interests in securing value for money of those providing public money and of the general public.

44. Section 3(10) inserts new Section (7ZA) of section 4 of the 1993 Act. This Section concerns general guidance given to the ORR by the Secretary of State, including in relation to the ORR's new safety functions and by the Scottish Ministers in respect of railway matters relating to Scotland at Section 3(8)(b). It permits the Secretary of State and the Scottish Ministers to vary or revoke any advice given in respect of the purposes set out above, and places a requirement on the Secretary of State and the Scottish Ministers to publish any guidance which they may issue for those purposes in such a manner as they may consider appropriate.

Section 4: Use of access charges reviews for application of strategy

45. Section 4, which introduces Schedule 4, amends Schedule 4A of the 1993 Act which provides a process by which the conclusions of an access charges review by the ORR are taken forward. Schedule 4 of the Act also establishes the process for the prior stage of conducting the review. This includes in particular how the Secretary of State and the Scottish Ministers make inputs at various stages of the review.

Section 5: Railway strategy for Scotland

46. Section 5 gives the Scottish Ministers the power to formulate and publish strategies in respect of railways in Scotland and to revise them from time to time as they feel appropriate. They are not obliged to formulate or revise a strategy. However, where they do formulate or revise a strategy they must publish the strategy or revised strategy in a way which will bring it to the attention of those bodies likely to be affected by it.

Part 2: Public Sector Funding Authorities for Railways

Assisting and securing the provision of services

Section 6: Financial assistance etc. from the Secretary of State

47. Section 6 provides a power for the Secretary of State to give financial assistance for any railway purpose. The assistance may take the form of grants, loans, guarantees or investments, and may be subject to such terms and conditions as the Secretary of State thinks fit. For the purposes of section 6 the term railway is deemed to have its “wider meaning”. This term is defined by section 81(2) of the 1993 Act and covers a railway, tramway or transport system which uses another mode of guided transport but which is not a trolley vehicle system. The terms “guided transport”, “railway”, “tramway” and “trolley vehicle system” are defined by section 67(1) of the Transport and Works Act 1992.

48. This section is similar to section 211 of the Transport Act 2000 (which is repealed by section 58 of and Schedule 13 to the Act) which enables the Strategic Rail Authority to provide financial assistance for railway purposes. It is intended that the Secretary of State's power will be used in particular:

- to provide financial support to train operators under franchise agreements; and
- to provide financial support to Network Rail for the provision of rail infrastructure.

Where the support is in respect of services operated under a franchise agreement, it may only be given in accordance with the terms of that franchise agreement. The purpose of this provision is to ensure transparency, so that the provisions of a franchise agreement, which have to be published on a public register, under section 73 of the 1993 Act, cannot be amended by a private side agreement.

49. The section also replaces a power in section 17 of the Ministry of Transport Act 1919 which covers some of the same subject matter as this section and is superseded by it.

Section 7: Notification of assistance from Secretary of State for freight services, Section 9: Notification of assistance from the Scottish Ministers for freight services and Section 11: Notification of assistance from Welsh Assembly for freight services

50. Under the Transport Act 2000, the SRA has sole power (under section 211) to make or modify financial assistance schemes aimed at securing the provision, improvement or development of rail freight. The SRA must inform both the Scottish Ministers and National Assembly of Wales of these schemes (under section 249). The Scottish Ministers have the sole power to apply these schemes in Scotland and the National Assembly of Wales and SRA have joint powers to do so in Wales. These provisions of the Transport Act 2000 are repealed by this Act.

51. Under sections 8 and 10 of this Act, the Scottish Ministers and National Assembly of Wales will have new powers to make and modify schemes of this kind themselves. The sections to which this note relates seek to encourage the co-ordination of such schemes, given that rail freight activities may cross the borders between England, Wales and Scotland.

52. Section 7 requires the Secretary of State to notify the Scottish Ministers and National Assembly of Wales of any new or modified schemes. Sections 9 and 11 impose reciprocal duties on the Scottish Ministers and NAW to notify the Secretary of State of their own new or modified schemes.

53. Section 6(4) requires the Secretary of State to have regard to the desirability of acting consistently with anything notified to him by either the Scottish Ministers under section 9 or the NAW under section 11. Sections 8(6) and 10(9) require the Scottish Ministers and National Assembly of Wales

respectively to have the same regard to anything notified to them by the Secretary of State under section 7.

Section 8: Franchising and financial assistance in relation to Scotland

54. Section 8(1)–(9) provides a power, based on section 211 of the Transport Act 2000, for the Scottish Ministers to provide financial assistance in connection with “Scottish services”. Similar provisions apply to the Secretary of State under section 6 and to the NAW under section 10. This power applies to both freight and passenger services.

55. Section 8 (1) enables the Scottish Ministers to provide financial assistance to any franchisee where the Ministers are party to a franchise agreement. They can provide financial assistance to buy services from the franchisee, including both Scotland-only services and cross border services. They can also provide financial assistance to the franchisee for any other purpose in relation to such services. This might include the provision of new passenger facilities, such as a station or the re-opening of a disused line, or improvements to existing facilities.

56. Section 8(2) enables the Scottish Ministers to provide financial assistance otherwise than under a franchise agreement for “Scottish purposes”. It will enable them to provide funding to a wide range of parties, so as to develop the railway services within Scotland and cross-border services.

57. Section 8 (3) defines the meaning of “Scottish purposes” for the purposes of section 8 (2).

58. Section 8 (4) clarifies what may constitute the provision of financial assistance by the Scottish Ministers for the purposes of section 8.

59. Section 8 (5) gives the Scottish Ministers the discretion to enter into agreements and other arrangements to provide financial assistance to any party under Section (1) or (2) on whatever such terms and conditions they think appropriate.

60. Section 8 (6) relates to section 7 (notification of assistance from the Secretary of State for freight services). It obliges the Scottish Ministers to consider whether or not, in providing financial assistance in relation to freight services, the effect is consistent with any scheme relating to the provision of grants for freight facilities that the Secretary of State has notified to them. The section does not require the Ministers to act in accordance with the Secretary of State's scheme.

61. Section 8 (7) clarifies the way in which the Scottish Ministers may enter into agreements or other arrangements under Section 8(2) to provide financial assistance in respect of franchised services. This clarification is needed because Section 8(2) gives the Scottish Ministers a wide power, which enables them to provide assistance outside the terms of a franchise agreement. The clarification is that where the Scottish Ministers enter into an agreement or arrangement with a “relevant person” they may only do so under the terms of a franchise agreement. This is intended to ensure transparency in relation to franchise agreements, which are public documents, kept on the public register. Section 8(7) ensures that the Scottish Ministers only enter into agreements with franchisees etc. which relate to franchised services where those agreements are entered into in accordance with the franchise agreement.

62. Section 8 (8) defines the meaning of a “relevant person” for the purposes of section 8 (7) as a franchisee, franchise operator, or employee, agent or independent contractor of the franchisee or franchise operator.

63. Section 8 (9) defines the meaning of “Scottish service”, “facilities” and “railway” for the purposes of section 8. For the purposes of section 8 the term “railway” is deemed to have its “wider meaning”. This term is itself defined by section 81(2) of the 1993 Act and means a railway, tramway

or transport system which uses another mode of guided transport but which is not a trolley vehicle system. The terms “guided transport” , “railway” , “tramway” and “trolley vehicle system” are defined by section 67(1) of the Transport and Works Act 1992.

Section 10: Franchising and financial assistance in relation to Wales

64. Section 10(1) provides that the Secretary of State must consult the NAW before issuing an invitation to tender for or, where he does not invite tenders, entering into a franchise agreement under which the services to be provided are or include “Welsh services”. “Welsh services” is defined in section 56 and means railway passenger services which start in Wales, end in Wales or otherwise make at least one scheduled call in Wales. The franchise agreements in question would include, but would not be limited to, those which are the subject of section 10(2).

65. Section 10(2) provides for the Secretary of State and the NAW to be joint parties to a passenger rail franchise that provides services that are or include “Wales-only services”. “Wales-only services” is defined in section 56 and means services that both start and end in Wales and do not make any other scheduled calls outside Wales, and have not been excluded from the definition by an order made by the Secretary of State. In practice this means the current Wales and Borders franchise which is operated by Arriva Trains Wales, since this is the only franchise which at present provides or includes Wales-only services. The Secretary of State will not be able to enter into a franchise agreement that falls within the scope of this section on his own with a franchisee; he may only do so if the NAW joins with him as a co-signatory to the agreement. In future the franchise agreements referred to in section 10(2) could include a different franchise to the current Wales and Borders franchise, or more than one franchise, if they provided Wales-only services. As mentioned in the notes to section 1, it is intended that the SRA interest in the franchise agreement with Arriva Trains Wales will be transferred to the Secretary of State and the NAW jointly.

66. Section 10(3)–(12) provides a power for the NAW to provide financial assistance connected with Welsh services. This power is based on section 211 of the Transport Act 2000. Similar provisions apply to the Secretary of State under section 6 and the Scottish Ministers under section 8.

67. Section 10(3) enables the NAW to provide financial assistance to any franchisee where the NAW is a party to the franchise agreement. The NAW can provide financial assistance to buy services from the franchisee which operate to, from or within Wales. It can also provide financial assistance to the franchisee for any other purpose in relation to such services. This might include the provision of new passenger facilities, such as a station or the re-opening of a disused line, or improvements to existing facilities. The NAW's power under this section is not limited to franchises it is a party to for the purposes of section 10(2). It will be possible for the Secretary of State to invite the NAW to be party to other franchise agreements that provide services that make scheduled calls in Wales. In addition, it will be possible for the Assembly to be a party to a franchise agreement with the Scottish Ministers if the Scottish Ministers and NAW agreed that the Assembly should provide financial assistance to secure a service between Wales and Scotland under a Scottish franchise.

68. Section 10(4) enables the NAW to provide financial assistance otherwise than under a franchise agreement for “Welsh purposes”. It will enable the NAW to provide funding, so as to develop the railway serving Wales, to a wide range of parties, such as Network Rail, freight operators and other

third parties. In addition, subject to section 10(10), it will enable NAW to provide financial assistance to franchisees where the NAW is not a party to the relevant franchise agreement.

69. Section 10(5) defines the meaning of “Welsh purposes” for the purposes of section 10(4).

70. Section 10(6) enables the NAW to make payments to the Secretary of State or the Scottish Ministers in relation to their respective roles as “operator of last resort”. This role arises under amended section 30 of the 1993 Act when a franchise that either of them has let ends and is not replaced with another franchise agreement. Where the NAW secured services as a party to the franchise agreement in question it will be able to provide the necessary financial assistance for those services to continue to be provided.

71. Section 10(7) clarifies what may constitute the provision of financial assistance by the NAW for the purposes of section 10.

72. Section 10(8) gives the NAW the discretion to enter into agreements and other arrangements to provide financial assistance to any party under section 10(3) or (4) on whatever such terms and conditions it thinks appropriate.

73. Section 10(9) relates to section 7 (notification of assistance from the Secretary of State for freight services). It obliges the NAW to consider whether or not, in providing financial assistance in relation to freight services the effect is consistent with any scheme relating to the provision of grants for freight facilities that the Secretary of State has notified to it. The section does not require the NAW to act in accordance with the Secretary of State's scheme.

74. Section 10(10) clarifies the way in which the NAW may enter into agreements or other arrangements under Section 10(4) to provide financial assistance in respect of franchised services. This clarification is needed because Section 10(4) gives NAW a wide power, which enables it to provide assistance outside the terms of a franchise agreement. The clarification is that where the NAW enters into an agreement or arrangement with a franchisee, franchise operator, or employee, agent or independent contractor of the franchisee or franchise operator (a “relevant person”) it may only do so under the terms of a franchise agreement. This is intended to ensure transparency in relation to franchise agreements, which are public documents, kept on the public register. Section 10(10) ensures that NAW only enters into agreements with franchisees etc. which relate to franchised services where those agreements are entered into in accordance with the franchise agreement.

75. Section 10(12) defines the meaning of “facilities” and “railway” for the purposes of section 10. For the purposes of section 10 the term “railway” is deemed to have its “wider meaning”. This term is itself defined by section 81(2) of the 1993 Act and means a railway, tramway or transport system which uses another mode of guided transport but which is not a trolley vehicle system. The terms “guided transport”, “railway”, “tramway” and “trolley vehicle system” are defined by section 67(1) of the Transport and Works Act 1992.

Section 12: Transfer schemes at end of franchising agreements

76. Section 12 provides for the making of a Transfer Scheme when a franchise agreement terminates (for whatever reason) to transfer the relevant franchise assets (as defined in section 12(8)). Under section 27 of the 1993 Act, the SRA has power to designate property, rights and liabilities as “franchise assets” under a franchise agreement. These “franchise assets” are important to the operation of the franchised services, and accordingly section 27 provides that franchise assets may not be disposed of by the franchise operator without the consent of the SRA. Schedule 1 of this Act amends section 27 so that these functions will be exercised in future by the Scottish Ministers

in relation to Scottish franchise agreements, and by the Secretary of State in relation to other franchise agreements.

77. Section 12 is primarily intended for use where a franchise agreement is terminating, and a new franchisee is taking over from the existing franchisee. The Secretary of State or the Scottish Ministers, as appropriate, may make a Transfer Scheme for the transfer of the franchise assets from the old franchise company to the new franchise company. The old franchise company will be paid for the franchise assets in accordance with the terms of its franchise agreement.

78. However, there may be circumstances in which a franchise agreement terminates but is not replaced with a new franchisee. This may happen, for example, where the franchise agreement terminates and the services have to be provided under amended section 30 of the 1993 Act by the Secretary of State or the Scottish Ministers as “operator of last resort”. In order to enable the Secretary of State or the Scottish Ministers (or a company owned by one or both of them) to discharge the duty to act as operator of last resort, it is necessary for the franchise assets to be transferred to them. Section 12(2) makes provision for this.

79. Section 57(3) and (4) explains the meaning of companies which are “wholly owned” and “jointly owned” for the purposes of this Act. Section 12(2) uses these terms.

Passenger Transport Executives

Section 13: Railway functions of Passenger Transport Executives

80. Subsection (1) provides that the Secretary of State must consult a Passenger Transport Executive in England before issuing an invitation to tender for or, where he does not invite tenders, entering into a franchise agreement which includes services where that Passenger Transport Executive have an interest.

81. Subsection (2) defines the services in which a Passenger Transport Executive has an interest. These are railway passenger services within a PTE's area or railway passenger services to or from a PTE area.

82. Subsection (3) enables a Passenger Transport Executive in England to enter into arrangements with the Secretary of State whereby the PTE can make payments to the Secretary of State that relate to railway passenger services, station services or bus substitution services provided within the PTE's area and/or the Secretary of State can use his powers in relation to those services within the PTE's area in a particular way. This would for example enable the parties to agree for the Secretary of State to secure additional railway passenger services under the franchise agreement which the PTE would fund. “Bus substitution service” is defined in Schedule 11 Paragraph 11(b) of the Act.

83. Subsection (4) enables Passenger Transport Executives in England to enter into agreements directly with Train Operating Companies who are rail franchisees and franchise operators in connection with railway passenger services and related station services within the PTE's area.

84. Subsection (5) specifies that Passenger Transport Executives in England need to obtain the approval of the Secretary of State before entering into agreements with franchisees or franchise operators (or anyone who proposes to be one). This requirement applies whether the PTE is relying on its powers under subsection (4) or any of its other powers (such as its general powers under section 10 of the Transport Act 1968 (c.73)).

85. Subsection (6) enables the Secretary of State to give approval to agreements for the purposes of subsection (5) under either a general approval (approving a class of agreements such as agreements relating to a specified issue) or a specific approval (for a particular individual agreement). It also

enables the Secretary of State to withdraw any approval which he may give in relation to an agreement at any stage up to the point that the agreement is entered into.

86. Subsection (7) confirms that the agreements that a Passenger Transport Executive in England may, with the approval of the Secretary of State, enter into include rail franchise agreements which comprise or which include services within their passenger transport area.

87. Subsection (8) specifies that the Secretary of State and a Passenger Transport Executive in England must provide information to each other which has been reasonably requested by the other for the purposes of undertaking their functions with respect to railways or railway services. Subsection 8(b) provides that this duty is limited to a duty to share information which the disclosing body may lawfully disclose (i.e., the information is not covered by a contractual or statutory prohibition on disclosure).

Section 14: Repeals and savings relating to Passenger Transport Executives

88. Subsection (1) specifies the sections of the Transport Act 1968 and the 1993 Act that are to be repealed in relation to PTEs.

89. Subsection (2) provides that Passenger Transport Executives which are party to franchise agreements at the time when this section is brought into force may continue to be a party to those franchise agreements.

90. Subsection (3) provides that subsection (2) and sections 13(4) and 13(7) of this Act must be disregarded if there are provisions within the relevant franchise agreement that enable any person to amend that agreement in such a way as to cause a Passenger Transport Executive to cease to be a party to that agreement. It also provides that a Passenger Transport Executive must comply with all directions that the Secretary of State gives to them pursuant to which they will cease to be a party to a franchise agreement.

91. Subsection (4) contains a transitional provision that notwithstanding the repeals in this Act and the provisions of section 14, section 34(17) of the 1993 Act (c.43) shall continue to have effect in relation to any franchise agreement to which a PTE is party before the commencement of this section. In addition any other provision that affects the meaning of section 34(17) will continue in force for the purposes of this section. Section 34(17) is a dispute resolution provision for franchise agreements to which the SRA and PTEs are party, and provides that disputes may be referred by either body to the Secretary of State, who may give such directions to the SRA and the PTE with respect to the franchise agreement as he may think fit.

92. Subsection (5) provides that, if the provisions of subsection (4) are used, any references to the Strategic Rail Authority are to have effect as references to the Secretary of State where the interest in the franchise agreement has been transferred to the Secretary of State.

London

Section 15: Duty of Secretary of State and Transport for London to co-operate

93. Section 15 replaces various references in section 175 of the Greater London Authority Act 1999 (the GLA Act) to the SRA with references to the Secretary of State. The revised section 175 provides a duty on the Secretary of State and Transport for London (TfL) to co-operate. In addition it amends section 175 so that the Secretary of State must consult TfL before issuing an invitation to tender (or when entering a franchise agreement for which an ITT has not been issued) for railway passenger services to, from or within London. TfL and the Secretary of State also have a reciprocal duty to share with the other information relating to certain transport functions. Section 175 as amended

also allows TfL to enter into arrangements with the Secretary of State in relation to railway services to, from or within London and for payments to be made by TfL to the Secretary of State in respect of them.

Section 16: Relaxation of contractual restrictions on Transport for London

94. Section 16 repeals section 201 of the GLA Act, which places restrictions on the type of agreements that TfL can enter into which involve the provision of railway services by licensed operators on the national network. This section provides instead for a prohibition on TfL entering into agreements with rail franchisees without the consent of the Secretary of State. Certain agreements (those in respect of the grant of a use of a railway facility) are excluded from this prohibition.

Section 17: Membership of Transport for London

95. Section 17 amends the GLA Act to change the membership of the TfL board. It increases the maximum membership of TfL from fifteen to seventeen (or, where the Mayor is a member, from fourteen to sixteen). It also requires the Mayor to ensure that two additional TfL board members represent the interests of people living, working and studying in areas outside Greater London that are served by railway passenger services in respect of which TfL exercises functions, and to consult the relevant regional planning bodies before making relevant these board appointments.

Provision of service by provider of last resort

Section 18: Qualification of duty in respect of services funded by others

96. Section 18 limits the circumstances in which, if a franchise ends and is not replaced with another franchise, the relevant franchising authority is required to continue to provide the services as the “operator of last resort”. The “operator of last resort” function is in section 30 of the 1993 Act (which is amended by this Act). The limitation is that the operator of last resort need not provide services that were funded under the franchise agreement in question by the NAW, a PTE or TfL if it believes that that party will not supply it with the necessary funds. The section gives the operator of last resort the discretion to decide not to provide the services if he believes the funding will not be forthcoming — i.e. before he falls short of the necessary funding. The relevant franchising authority, and therefore operator of last resort, for the purposes of this section is the Secretary of State for franchises in England and Wales, or the Scottish Ministers for Scottish franchises.

Part 3: Rail Passengers' Council and Rail Passengers' Committees

Section 19: The Rail Passengers' Council

97. Section 19 provides for the existing Rail Passengers' Council (RPC) to be replaced by a new, recast body of the same name. The existing RPC, which exists by virtue of section 3 of the 1993 Act, is abolished by subsection (6). As with the existing RPC the new body will be an executive Non-Departmental Public Body (NDPB). But it will take on the additional responsibilities and requirements of a body corporate (see Schedule 5). The current RPC is sponsored by the Strategic Rail Authority.

98. Section 19(2) sets out the make-up of the new Council. The Scottish Ministers, the NAW and the London Assembly are each to appoint a member of the Council. The Council Chairman and not more than 12 other members are to be appointed by the Secretary of State.

99. Section 19(4) — The RPC will continue as a national GB-wide body sponsored by the Secretary of State. Payment of all Council members other than the LTUC member will come from the central

RPC budget. Section 19(4) ensures that the Secretary of State is content with the terms and conditions of those Council members appointed by the Scottish Ministers and the NAW. The London Assembly will be responsible for the terms, conditions and remuneration of their Council appointee (section 19(5)) but must consult the Secretary of State.

100. Section 19(7) — The new Council created by subsection (1) is legally a different body to the current Council created under section 3 of the 1993 Act, even though the name of the two bodies is the same. To assist with the smooth transition to the new body, subsection (7) provides that any reference to the current body in enactments, instruments and other documents will continue to have effect but will apply to the new body. This would cover, for example, the reference to the Council in Schedule 1 of the Public Records Act 1958, and the references to the Council and its functions in section 76 of the 1993 Act.

Section 20: Delegation of functions by Council

101. This section inserts a new section 76A into the 1993 Act which enables the RPC to delegate certain of its duties to other public bodies which may agree to discharge those duties. It is anticipated that a regional transport users body may be a suitable body to enter into such an agreement with the RPC. New section 76A(4) provides that the agreement of the Secretary of State is required before any such agreement can be entered into.

102. The duties which can be delegated by an agreement under subsection (1) are those set out in section 76(7A) of the 1993 Act. These are the duties of the RPC, so far as it appears expedient from time to time to do so, (a) to keep under review matters affecting the interests of the public in relation to railway passenger services and station services; (b) to make representations to, and consult, such persons as they think appropriate about those matters; and (c) to co-operate with other bodies representing the interests of users of public passenger transport services.

103. The new RPC will operate as a national body without the existing structure of regional committees. Alternative management approaches are being developed which will enable the RPC to build and maintain contacts with the wide variety of rail interests and passenger representative bodies that already exist or will be developed across the country. This is expected to occur largely through informal co-operation. This power to delegate provides the RPC with the flexibility to formalise such working relationships for specific matters should it agree to do so with the relevant public body (and with the consent of the Secretary of State). For example a local public transport group may be better placed to pursue a rail issue of particular local concern.

104. In delegating any such duties the RPC would not be prevented from working alongside the delegatee. Section 76A(2)(b) of the 1993 Act, as inserted by section 20, expressly provides that the RPC will retain powers to do all of those things which it would have been able to do by virtue of section 76(7A) had it not delegated any of its duties under this provision.

Section 21: Rail Passengers' Committee

105. This section abolishes regional Rail Passengers' Committees. There is currently a federal relationship between the Council and the Committees, under which every chairman of a regional Committee is automatically a member of the Council. The RPC will continue to operate as a national body, but there will no longer be a federation of statutory regional committees (although it will be possible for the Secretary of State to direct that the Council should establish committees in relation to particular localities under Schedule 5 Paragraph 18, and the Council will be able to delegate certain of its functions under section 20). Section 21(3) introduces Schedule 6, which provides that the London Transport Users' Committee (which was treated as the Rail Passengers' Committee for

the Greater London area by virtue of section 2 of the 1993 Act) will continue to have the functions that it has had as a Rail Passengers' Committee. The LTUC is established under section 247 of the Greater London Authority Act 1999. Responsibility for this body lies with the London Assembly.

Part 4: Network Modifications etc.

106. The main content of this Part sets out the procedures which must be followed for proposals to close certain railway services, networks or stations of specified descriptions. Generally such proposals require a public consultation and an assessment by the person carrying out the consultation whether the proposal meets criteria set out in government guidance. Such a proposal must be referred to the ORR who must issue a notice, a “closure ratification notice” before the closure is allowed to proceed. If certain conditions are not met the ORR must issue a “closure non-ratification notice” and the closure will not be allowed to proceed. The Secretary of State or Scottish Ministers are generally under duties to ensure the continued operation of services, networks or stations if the operator ceases provision before the ORR has issued a notice or if the ORR issues a notice that does not allow a closure to proceed.

107. Proposals to which the consultation procedures do not apply include minor closures of specified descriptions, closures relating to experimental passenger services and services through the Channel Tunnel. Closure procedures for Light Maintenance Depots (LMDs) that were subject to the closure procedures under the equivalent sections of the 1993 Act are no longer subject to the statutory closure procedures.

Discontinuance of railway passenger services

Section 22: Proposal by operator to discontinue non-franchised services

108. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when a service operator proposes to close all non-franchised services on a line or from a station.

109. It sets out the information an operator proposing a closure must provide to the appropriate National Authority (NA — the Secretary of State or the Scottish Ministers). This must include a summary of the assessment of the proposal carried out by the operator, following guidance provided by the Secretary of State or the Scottish Ministers or joint guidance provided by a combination of the Secretary of State, Scottish Ministers or National Assembly of Wales depending on the circumstances of the closure as set out in section 42. The content of the guidance is not on the face of the Act, but is likely to include criteria that cover economic, financial, environmental and social factors based on those used by the Department for Transport for appraisals in other transport modes.

110. The NA must carry out a public consultation on any proposal that it thinks should proceed, following the approach set out in Schedule 7 to the Act. This includes a number of statutory consultees, with a minimum 12 week consultation period.

111. Following the consultation, the NA must then decide whether to refer the proposal to the ORR, the outcome of which will determine if the closure may proceed or not.

Section 23: Proposals by funding authority to discontinue non-franchised services

112. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when a railway funding authority (RFA) proposes to close all non-franchised services on a line or from a station.

113. It sets out the steps a railway funding authority (RFA) making a proposal needs to take. RFAs include the Secretary of State, the Scottish Ministers, the NAW, Passenger Transport Executives and Transport for London and the Mayor. Generally, RFAs can only initiate proposals for closures if they are parties to an agreement that provides financial assistance in support of the rail service (or network or facility) in question. The exceptions are PTEs, the Mayor and Transport for London who can initiate proposals for closures for services, networks or stations wholly within their areas, or for other services, networks or stations for which they are the only public funding body.

114. The RFA must carry out an assessment of the proposal in accordance with the guidance provided by the Secretary of State or the Scottish Ministers or joint guidance produced by a combination of the Secretary of State, Scottish Ministers or National Assembly of Wales depending on the circumstances of the closure as set out in section 42. The RFA must also consult on the proposal, again as described in the Explanatory Note for section 22.

115. Following the consultation, the RFA must then decide whether to refer the proposal to the ORR, the outcome of which will determine if the closure may proceed or not.

Section 24: Proposals to discontinue franchised or secured services

116. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when a railway funding authority (RFA) proposes to close all franchised or secured services on a particular line or from a particular station. ‘Secured services’ are those which an NA has a duty to provide. These are duties that arise under Part 4 of the Act or where the NA acts as ‘operator of last resort’ under section 30 of the 1993 Act.

117. The procedure is similar to that for section 23, as described above.

Section 25: Proposal to discontinue excluded services

118. This section sets out the circumstances and procedures under which operators can initiate proposals to discontinue all services on a particular line or from a particular station that are not ‘relevant railway passenger services’ for the purposes of sections 22 to 24 or experimental passenger services, and have been designated as services by Order to which this section applies.

119. Services may not be “relevant railway passenger services” because they have been excluded from the main closure provisions in sections 22 to 24 by an Order under section 38. Another reason may be that such services (for example tram services) fall within the wider meaning of “railway” in section 81(2) of the 1993 Act, but not within the limited meaning set out in section 81(1) of that Act.

120. Services that have been designated as services to which this section applies cover two categories. The first category is referred to as “special procedure excluded services” that are not “excluded London services”. The second category is referred to as special procedure excluded services that are “excluded London services”.

121. “Special procedure excluded services” are designated by order under section 25(7) by the national authority. The national authority will be the Scottish Ministers in the case of services wholly within Scotland or certain cross border services and otherwise the Secretary of State. Services that have been so designated are subject to the closure procedures set out in this section provided they are not excluded London services. The procedures are similar to the main closure provisions in section 22 that apply to closure of non-passenger franchised services. As in section 22, under section 25 the operator must not discontinue the services before the ORR has issued a “closure

ratification notice” as set out in section 32. However unlike section 22, there is no duty on the national authority to secure the continued provision of the services in the event that the ORR does not ratify the closure under section 32.

122. “Excluded London services” are defined in section 25(7) mean any excluded service provided by TfL or that has been designated as a “London service” by the Secretary of State by order. Under section 25(8), the Secretary of State can designate a service as a “London service” if it is a service that is wholly within Greater London. Special procedure services that are excluded London services are subject to closure procedures that are set out in Schedule 8. These procedures are different to the main closure procedures set out in sections 22 to 24 passenger services. This is because they largely replicate the procedures that are currently set out in paragraph 5A of Schedule 5 to the Railways Act 1993.

123. Under subsections (10) and (11), services to which Schedule 5 to the Railways Act 1993 applies immediately before commencement of section 25, either by virtue of an order under section 49(3) of the 1993 Act, or under paragraph 5A(1)(b)(ii) of Schedule 5 to that Act, or because they are otherwise so treated, are deemed to be services to which section 25 applies.

124. Services to which this section will apply because they have been designated as services to which Schedule 5 to the 1993 Act applies are predominantly light rail or metro systems, including Manchester Metrolink, the Tyne & Wear Metro and the Croydon Tramlink.

Discontinuance of operation of passenger network

Section 26: Proposal by operator to close passenger networks

125. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when an operator proposes to discontinue all or part of their passenger network. The procedures are similar to those for operators wishing to discontinue non-franchised services set out in section 22. This section applies to Network Rail's network.

Section 27: Proposal by funding authority to close passenger network

126. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when an RFA proposes to close all or part of a passenger network. The procedures are similar to those for RFAs wishing to discontinue non-franchised passenger services set out in section 23.

Section 28: Proposal to discontinue operation of secured network

127. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when an RFA proposes closure of all or part of a passenger network that it has a duty to provide, for example pending the outcome of a reference to the ORR. The procedures are similar to those for RFAs wishing to discontinue non-franchised passenger services set out in section 23

Discontinuance of use or operation of stations

Section 29: Proposal by operator to close station

128. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when operators of stations propose to close all or part of those stations. The procedures are similar to those for operators wishing to discontinue non-franchised services set out in section 22.

Section 30: Proposal by funding authority to close station

129. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when a RFA can initiate proposals to close all or part of a station. The procedures are similar to those for RFAs wishing to discontinue non-franchised passenger services set out in section 23.

Section 31: Proposal to discontinue operation of secured station

130. Subject to specified exceptions, this section sets out the circumstances and procedures that apply when a RFA can propose closure of all or part of a station it has a duty to provide, for example pending the outcome of a reference to the ORR. The procedures are similar to those for RFAs wishing to discontinue non-franchised passenger services set out in section 23.

References to the ORR

Section 32: References to the ORR

131. This section sets out the information a NA or RFA must provide to the ORR as part of a reference on a closure proposal following a consultation. It also sets out the duties of the ORR in considering a reference.

132. A reference to the ORR can only be made if the body intending to make it is satisfied that the proposal meets the criteria in the guidance provided by the Secretary of State, the Scottish Ministers or NAW or any combination of them, as set out in section 42.

133. If the ORR is satisfied that the consultation process was flawed or that the proposal does not meet the criteria, it must issue a “closure non-ratification notice” and the closure must not go ahead. If it is not satisfied of either of those things, it must issue a “closure ratification notice”. The effect of this is that the ORR must issue a closure ratification notice on the reference made to it, but only where it has fulfilled the duties set out in this section.

134. Should the NA or RFA decide to implement the closure that the outcome of the reference allowed, then it would need to negotiate separately changes to appropriate franchise or other agreements with the relevant other parties. The outcome of the ORR reference itself does not authorise anything that would contravene such agreements.

Section 33: Closure requirements

135. This section sets out the powers of the ORR to impose specific requirements in connection with a closure. If an operator fails to comply with requirements that have been imposed on it, the Secretary of State or the Scottish Ministers may take enforcement action under the 1993 Act. This can be in the form of an order setting out steps that the operator must take or financial penalties. Requirements can also be imposed on any of the railway funding authorities and the Passenger Transport Authority but these requirements are not subject to enforcement action.

Excluded Proposals

Section 34: Minor modifications

136. This section sets out the powers of the Secretary of State and the Scottish Ministers to determine that closures of services, network and stations are ‘minor modifications’ and so not subject to main closure procedures. Section 35 describes the closures eligible to be treated as minor modifications. The concept of ‘minor modifications’ is very similar to that of ‘minor closures’ in the 1993 Act.

137. Under this section a closure is a minor modification if it has been determined as such or falls within a description that has been so determined. Such a determination can be made only in respect of eligible closures as described in section 35.

Section 35: Closures eligible to be treated as minor modifications

138. This section describes the type of closure proposals that are eligible to be treated as minor modifications and therefore not subject to the closure procedures in sections 22 to 31. Much of it is based on the descriptions of minor closures in the 1993 Act.

139. It also gives a power to the Secretary of State and the Scottish Ministers to make an order that any other description of closures which are temporary or have only a limited effect on the provision of passenger services should be treated as minor modifications, subject to the negative resolution procedure.

Section 36: Designation of experimental passenger services

140. This section sets out the powers of the Secretary of State, the Scottish Ministers as well as the NAW to designate passenger services as ‘experimental’. The maximum period for which a service may be designated as “experimental” is five years. A service that is already so designated under the 1993 Act will continue to be so designated until the 5 years expires in their case (or the designation is revoked). Designated experimental services are not covered by the provisions in sections 22 to 24 but have a separate and simplified closure procedure as set out in section 37.

Section 37: Discontinuance of experimental passenger services

141. This section sets out the procedures for discontinuing services designated as experimental for franchised and non-franchised services. These procedures involve notice being given that the service is to be discontinued at least six weeks before the service is discontinued.

Section 38: Services, networks and stations excluded by order

142. This section gives the Secretary of State and the Scottish Ministers powers to exclude services, networks and stations from the provisions of sections 22 to 24 and 26 to 31. A similar power for the Secretary of State exists in the 1993 Act. It has been used to exempt light rail, metro and discrete parts of the heavy rail network from the closure provisions. Services that have been excluded by order under this section may be subject to the closure procedures described in section 25 if designated by order under section 25 following the negative resolution procedure.

Substitution services**Section 39: Quality contracts schemes in connection with service modifications**

143. Section 39 adapts the powers to make quality contracts schemes for local bus services in sections 124 to 134 of the Transport Act 2000. The changes apply in cases where a rail service, or part of a rail service, which is either wholly or primarily in the area of a Passenger Transport Executive (in England) is or is to be discontinued under Part 4, or otherwise reduced (e.g. with fewer stops or lower frequency).

144. Quality contracts schemes under the existing provisions of the 2000 Act are made by local transport authorities, including the Passenger Transport Authorities which control the Passenger Transport Executives, and must be approved by the Secretary of State. They may only be made if they satisfy the conditions in section 124(1) of that Act, one of which is that they must be the only practicable way of implementing policies in the authority's bus strategy.

145. Quality contracts schemes apply to an area. Within that area, they give the authority powers to determine the network, frequency and fares of bus services within the scheme. Any bus services within the area must be provided in accordance with a contract with the local authority, unless the

service is excluded from the scheme. The local authority must let contracts by competitive tender to operators, who are granted the exclusive right to operate the service.

146. Subsection (1) provides an alternative set of tests to be met in the context of a scheme made by a Passenger Transport Authority (alone or with another local transport authority) in response to the discontinuance or reduction of a rail service in their area. The remainder of the section adds definitions or makes consequential amendments to the Transport Act 2000.

Section 40: Substitute road services

147. This section gives the Secretary of State, the Scottish Ministers and the NAW the power to secure the provision of substitute bus services if a passenger rail service is temporarily interrupted or has been discontinued.

Supplemental provisions of Part

Section 41: Proposals by funding authorities

148. This section sets out the circumstances under which RFAs can initiate closure proposals under sections 22 to 31. RFAs, except for PTEs, the Mayor and Transport for London, can initiate closure proposals if, and only if:

- (a) the closure proposal is made alongside another proposal by the authority;
- (b) this other proposal concerns an agreement to which the authority is a party that relates to the provision of financial assistance for the passenger service, network or station that it proposes should be closed;
- (c) in the authority's view, the proposal to change the funding agreement referred to in (b) above is likely to result in the actual closure of the passenger service, network or station concerned.

149. The effect of this is that RFAs can only initiate closures for which they provide the funding for, either directly or indirectly. PTEs, the Mayor and Transport for London can only propose closures for services, networks or stations wholly within their areas, or for services, networks or stations for which they are the only public funding body.

Section 42: Closures guidance

150. This section sets out the duties of the Secretary of State, the Scottish Ministers and the NAW in publishing guidance on assessing closure proposals referred to in sections 22 to 31. Neither this nor any other section of the Act sets out what will be in the guidance, but it is likely to include criteria that are likely to cover economic, financial, environmental and social factors based on those used by the Department for Transport for appraisals in other transport modes.

151. The section allows for the guidance to include different provisions for different purposes and for different types of closure proposal. This means that the guidance and criteria could be different for, say, operator initiated proposals and RFA initiated ones, as well as smaller and larger proposals.

Section 43: Procedure relating to publication and modification of closures guidance

152. Section 43 provides for parliamentary scrutiny of Closures Guidance, and modifications to such Guidance, that the Secretary of State, Scottish Ministers and the National Assembly for Wales have a duty to publish under Section 42. Subsections (1) and (2) of the Section requires that new Closures Guidance and all modifications to it must be laid in both Houses of the Westminster Parliament and/or the Scottish Parliament as appropriate, depending on whether the Secretary of State, Scottish Ministers or both have a duty to publish the Guidance under Section 42. The Guidance,

or modifications to it, is then brought into force by an order made by the Secretary of State and/or Scottish Ministers as appropriate under subsection (3). The order is subject to the negative resolution procedure. These orders are subject to the consent of the National Assembly of Wales, where they bring into force joint Guidance published by the NAW with Scottish Ministers and/or the Secretary of State.

153. Subsection (6) provides that if the order made under subsection (3) introducing the Guidance or amendments to it is annulled by the UK or Scottish Parliament, the Guidance or modifications are effectively withdrawn and that in these circumstances, existing Guidance would continue to be in force. Subsection (7) makes clear that the withdrawal of any guidance following annulment of an order to which it relates does not affect anything done in consequence of the Guidance before its withdrawal and doesn't preclude publication of further guidance.

Section 44: Exclusion of liability for breach of statutory duty

154. This section exempts specified persons from liability for breach of statutory duty in certain circumstances. Paragraphs (a), (b), (c) and (d) (to the extent they relate to closure requirements imposed on relevant operators), (e) and (f) of subsection (2) of this section are based on section 50(2) of the 1993 Act and cover obligations whose breach could lead to a final or interim order under section 55 of the 1993 Act; a breach of such an order would carry liability for breach of statutory duty (see section 57 of that Act). Paragraph (d) (to the extent that it relates to closure requirements imposed on the Secretary of State or the Scottish Ministers) and (g) of subsection (2) of section 44 are based on section 50(1) of the 1993 Act.

Section 45: Interpretation of Part 4

155. This contains definitions of terms used in sections 22 to 45 of the Act. It also gives a power to the Secretary of State or the Scottish Ministers to designate additional bodies as RFAs subject to negative resolution procedure.

Part 5: Further Miscellaneous Provisions

Conduct and accessibility on railways

Section 46: Bye-laws

156. Section 46 enables railway operators to make bye-laws, subject to confirmation by the Secretary of State and, where appropriate, the Scottish Ministers, to enable them and the police to control the conduct and behaviour of people using the railways. It also provides a mechanism governing the making of such bye-laws.

157. Subsection (1) defines the specific circumstances which the bye-laws can be made to regulate.

158. Subsection (2) lists some of the specific activities which the bye-laws may regulate including the issue of tickets, fare evasion, obstructing or interfering with the working of the railway, smoking, causing a nuisance, receipt and delivery of goods, and control of bicycles and other vehicles on footways.

159. Subsection (3) gives effect to Schedule 9, which provides the procedure for the making of bye-laws.

160. Subsection (4) ensures that existing bye-laws made by the Strategic Rail Authority continue to have effect until they are revoked.

161. Subsections (5) and (6) provide the Secretary of State with an order making power to revoke or amend bye-laws made by the Strategic Rail Authority and other bye-laws currently in force.

162. Subsection (7) defines the meaning of “railway operator” in the context of the power to make bye-laws under subsection (1).

163. Subsection (8) enables bye-laws to be applied to railway assets operated by a railway operator or rolling stock which a railway operator manages.

Section 47: Power of Scottish Ministers to make penalty fare regulations

164. Under the terms of Section 130 of the 1993 Act, as amended by the Transport Act 2000, provision is made for the making of regulations connected with the charging of penalty fares on the national rail network. The power to make regulations relating to the amount of a penalty fare is currently a power for the Secretary of State to exercise. Section 47 makes provision for the Scottish Ministers to also be empowered to make penalty fare regulations in relation to trains and stations used in connection with railway passenger services provided under Scottish franchise agreements, other Scotland-only services or services which have been secured by the Scottish Ministers. Regulations made by the Scottish Ministers will be subject to the negative resolution procedure in the Scottish Parliament (the equivalent procedure in Scotland to that which applies to regulations made by the Secretary of State under section 130 of the 1993 Act).

Section 48: Code of practice for disabled rail users in Scotland

165. Section 48 provides the Scottish Ministers with the power to prepare (and from time to time revise) a code of practice for protecting the interests of disabled persons in Scotland who are users of railway passenger services or station services. In preparing or revising the code, the Scottish Ministers are to consult the Disabled Persons Transport Advisory Committee. Where the Scottish Ministers use this power to prepare a code of practice, they must publish the code (as revised from time to time) in such manner as they consider appropriate.

Railway administration orders for companies providing Scottish services

Section 49: Functions of Scottish Ministers in relation to railway administration

Section 50: Assistance by Scottish Ministers for companies in railway administration

166. The provision of Sections 59 to 65 of the 1993 Act deal with Railways Administration — a particular system of insolvency for the rail industry based upon the Insolvency Act 1986 but with different purposes, in that it is primarily focused on ensuring that railway services are maintained.

167. Sections 49 and 50 provide for the Scottish Ministers to be able to exercise functions in relation to the railways administration of a franchise operator in relation to a Scottish franchise agreement. They provide the Ministers with power to apply for a railways administration order in respect of such an operator. The Scottish Ministers must also be notified in advance of any proposals to obtain a winding up order, a voluntary winding up resolution or an administration order in respect of a Scottish protected railway company. This advance notification allows time for the Scottish Ministers to apply, if they consider it appropriate to do so, for a railways administration order in respect of that company. If a railways administration order is made, this effectively blocks the proposal for the other procedure from progressing. In addition, the Scottish Ministers must be notified in advance of any proposals by any person to enforce their security over the property of a Scottish protected railway company. This advance notice again allows time for the Scottish Ministers to apply, if they consider it appropriate to do so, for a railways administration order in respect of the company.

168. They also give the Ministers power to provide funding or guarantees in order to achieve the purposes of the railways administration order, and to indemnify the railways administrator appointed under the railways administration order (and persons connected with him). They may set such conditions on the financial assistance they provide as they see fit.

Duties of co-operation etc.

Section 51: ORR to advise national authorities

169. Section 51 places a new duty on the ORR to provide information and advice to the Secretary of State, to the Scottish Ministers and to the NAW in connection with their respective railways functions. Subsection (1) requires the ORR to meet the Secretary of State's reasonable requirements for information and advice and other assistance, including in connection with his railway safety functions. Subsection (2) imposes a similar requirement in relation to the Scottish Ministers in connection with their railway functions (which do not include railway safety functions). Subsection (3) imposes a requirement for the ORR to meet the reasonable requirements of the NAW for information and advice on its railway functions (which do not include railway safety functions).

Section 52: Duty of Passenger Transport Executives to advise Secretary of State

170. Subsection (1) specifies that the Passenger Transport Executives must provide advice to the Secretary of State when he requests it on matters connected to his functions in relation to railways or railway services. It is envisaged that advice could be sought as a useful factor to be considered as part of the Secretary of State's rail planning activities. This provision could be used to request advice on how changes in the local rail network can be made to best reflect local priorities within the resources available. This might include value for money assessments of how resources spent on rail in the PTE's area could be best allocated across all transport modes to support local transport priorities.

171. Subsection (2) provides that Passenger Transport Executives do not have to comply with a request outlined in subsection (1) if it would impose an unreasonable administrative burden.

172. Subsection (3) allows that in determining what is an unreasonable administrative burden other requests for advice made under the provisions of this section should be taken into account. This means that, although an individual request for advice might not constitute an unreasonable burden, if that request is made alongside a large number of other requests, they could in totality be seen to represent an unreasonable burden.

173. Subsection (4) defines the Secretary of State's functions in relation to railways or railway services and provides that in relation to this section these functions do not include those relating to rail safety.

Part 6: General and Supplemental

General

Section 53: Taxation

174. Section 53, together with Schedule 10, makes provision for the consequences for taxation of the various transfers under the transfer schemes for which the Act provides.

Section 54: Further amendments of the 1993 Act

175. Section 54(1) extends the scope of the Secretary of State's powers under sections 118 and 119 of the 1993 Act. It amends the 1993 Act so that for the purposes of those sections, the term railway is deemed to have its “wider meaning”. This term is defined by section 81(2) of the 1993 Act and covers a railway, tramway or transport system which uses another mode of guided transport but which is not a trolley vehicle system. The terms “guided transport”, “railway”, “tramway” and “trolley vehicle system” are defined by section 67(1) of the Transport and Works Act 1992. Section 118 provides a power for the Secretary of State to give directions in relation to the control of railways in times of hostilities, severe international tension or great national emergency. Section 119 provides a power to the Secretary of State to give instructions to owners and operators of railway assets and providers of railway services for the purposes of ensuring that relevant assets, or persons or property on or in such assets, are protected against acts of violence.

176. Section 54(2) and (3) limit this power in relation to Scotland. In respect of an asset wholly in Scotland, the “wider meaning” of railways does not apply except where the Secretary of State's instruction is given in the interests of national security (including protection against terrorism).

Supplemental

Section 55: Expenses etc.

177. Section 55 makes provision for money to be provided by Parliament to meet costs attributable to the Act. It also provides that sums received by the Secretary of State in relation to:

- section 6, which provides for financial assistance from the Secretary of State in relation to securing railway services or assets,
- section 10(5), which allows the NAW to make payments to the Secretary of State in relation to the provision of services by operator of last resort;
- section 13(2), which allows Passenger Transport Executives and the Secretary of State to enter into arrangements, including arrangements under which payments will be made by the Executive to the Secretary of State, and
- paragraph 7 of Schedule 5, which allows the Secretary of State to give a direction to the RPC requiring it to pay him a specified sum, will be paid into the Consolidated Fund.

Section 56: Powers exercisable by statutory instrument

178. Section 56 governs the manner in which the Secretary of State and the Scottish Ministers must exercise their powers under the Act to make orders and regulations. Where a section in the Act creates a power to make orders and regulations, the section may also provide that the statutory instrument containing the order or regulation in question is subject to the negative resolution procedure or to the affirmative resolution procedure. Section 56(2) and (3) explain what these procedures involve. The different procedures involve different levels of Parliamentary scrutiny for the statutory instrument.

179. Subsection (5) provides that most of the powers to make statutory instruments can be exercised flexibly, so that (for example) powers can make provision for different approaches to be taken in relation to different cases or different areas. This flexibility does not apply to the power to make commencement orders under section 60(2).

Section 57: Meaning of “Wales-only service” and “Welsh service”

180. Section 57 defines the meaning of “Wales-only service” and “Welsh service” for the purposes of the Act.

181. Section 57(1)(a) provides the geographical description of what constitutes a “Wales-only service”.

182. Section 57(1)(b) enables the Secretary of State to make an order to exclude any services that would otherwise fall within the definition of “Wales-only service”. This will enable the Secretary of State to decide whether or not any franchises that begin to provide Wales-only services should be let jointly with the NAW in accordance with Section 10(2). For example, First Great Western currently provides services between England and Wales, but does not provide any services that are Wales-only. If the franchisee began to provide Wales-only services the Secretary of State would decide whether or not it was appropriate for the NAW to be a party to the franchise and, if not, make an order to exclude the Great Western services from the definition of Wales-only.

183. Section 57(2) requires the Secretary of State to consult the NAW before making an order under section 56(1) (b).

184. Section 57(3) specifies the Parliamentary procedure that the Secretary of State must use to make an order under section 57(1) (b) — namely the negative resolution procedure.

Section 58: General Interpretation

185. This section defines certain terms which are used in the Act. Section 58(2) provides that terms which are defined in the 1993 Act (either for the purposes of Part 1 of that Act or for the whole of the Act) have the same meaning in this Act as in that Act.

Section 60: Short title, commencement and extent

186. Section 60(2) provides for the Secretary of State to make commencement orders which will bring the provisions in the Act into force. The Secretary of State may make more than one such order, and may bring into force different provisions on different dates.

187. Section 60(3) enables the Secretary of State to make such an order as he thinks fit which would make additional legislation to deal with the way in which in the parts of the Act dealing with Network Modifications, or the repeal of sections of the 1993 Act relating to closures, are brought into force. It also enables the Secretary of State to make transitional provisions via an order in connection with the bringing into force of Section 21 which relates to the abolition of the Rail Passengers' Committees.

188. Section 60(5) provides that section 13 on the Railway functions of Passenger Transport Executives, and section 39 on Quality contracts schemes in connections with closures, extend only to England and Wales.

189. Section 60(6) provides that the Act will not apply in Northern Ireland.

190. Section 60 Subsections (2) to (5) enable the Secretary of State to make a scheme to modify existing railway licences and licence exemptions, granted under sections 8 and 7(3) of the Railways Act 1993, where necessary in consequence of certain provisions in the Act. The relevant provisions are set out in subsection (3) and include, for example, provisions that transfer consumer protection licensing functions from the SRA to the ORR.

COMMENTARY ON SCHEDULES

Schedules 1 and 2 Background

191. Schedules 1 and 2 allow for the transfer, abolition or reallocation of the Strategic Rail Authority's functions and also of its property, rights and liabilities.

Schedule 1— Transfer etc. of functions of the Strategic Rail Authority

192. This schedule deals with the transfer or abolition of the Strategic Rail Authority's functions.

193. Paragraphs 1 to 10 transfer from the SRA to the ORR all functions relating to consumer protection conditions attached to licences and licence exemptions. As a result there is no longer a need for the distinction drawn by the 1993 Act between consumer protection and other conditions.

194. Paragraphs 11 to 26, 29–33, and 35 transfer to the Secretary of State and, where appropriate, the Scottish Ministers, functions which are currently with the Strategic Rail Authority. The functions relate to railway facilities, access and franchise agreements, the operator of last resort duty, enforcement conditions, the code of practice for the protection of disabled rail users, the registers kept for the purposes of functions under the 1993 Act, the Rail Passengers' Council, the power to require information from licence holders and concessionary travel.

195. Paragraphs 27, 28, 34 and 36 abolish functions of the SRA by removing legislative references to it. The SRA functions abolished in paragraphs 27, 28 and 34 relate to railways administration orders, the enforcement of consumer protection provisions in operating licences, and the penalty fares regime. In addition paragraph 36 removes SRA powers to provide rail services, secure the provision of substitute bus and taxi services and make railway byelaws.

196. In relation to Paragraph 32 the Rail Passengers' Council is currently the responsibility of the Strategic Rail Authority. It has powers to sponsor and to direct the body and is in receipt of its annual reports. Following the dissolution of the Strategic Rail Authority sponsorship of the Rail Passengers' Council will pass to the Secretary of State.

Schedule 2: Transfer schemes

197. This Schedule contains further provisions governing Transfer Schemes made under Sections 1 and 12. Provision is for powers to be given to the Secretary of State and the Scottish Ministers to transfer property, rights and liabilities for two different purposes:

- (i) the power to move the SRA's property, rights and liabilities in connection with its abolition; and
- (ii) the power to move franchise assets at the end of the franchise term.

Only the Secretary of State has power to make Transfer Schemes for the first of these purposes.

198. Paragraphs 1 and 2 set out how a Transfer Scheme may specify or identify property, rights and liabilities to be transferred. They also provide when the Scheme may come into force and define what may be transferred under a Scheme. A Transfer Scheme may include the transfer of property, rights and liabilities which could not be transferred by other arrangements (such as by contract). It may also provide that rights and interests which might otherwise be created, terminated or changed as a consequence of Transfer Scheme or anything relating to it shall only be enforceable to the extent that the Scheme provides that it is enforceable. Because this latter type of provision may affect the rights of third parties, there is provision in Paragraph 10 which sets out circumstances in which third parties may be paid compensation in relation to this.

199. Paragraphs 3 and 4 allow the maker of the Transfer Scheme to modify the property, rights and liabilities to which it relates and to place obligations on transferees and transferors in connection with the Transfer Scheme.

200. Paragraph 5 provides that Transfer Schemes made under this Act shall have the effect of vesting property, rights and liabilities in the transferee without the need for any further formalities. This would mean, for example, that legal title in any registered freehold land which is transferred

by a Scheme is vested in the transferee without the need for there to be a transfer document executed by the transferor, as would ordinarily be required in relation to a sale of land.

201. Paragraph 6 contains provisions which enable persons making Transfer Schemes to transfer the ability to progress and operate a railway project from one person to another. The provision permits both the transfer of the relevant property rights and the transfer of any statutory powers or duties the transferor may have in relation to that property. Railway projects routinely require statutory rights and powers, and these are usually provided in Orders made under the Transport and Works Act 1992.

202. Paragraph 8 allows the transferor and transferee to modify a transfer scheme by agreement after it has come into force. Where the agreement would relate to a contract of employment or adversely affect the interests of a third party, the agreement will only be valid if the relevant employee or third party is party to it.

203. Paragraph 9 contains provision for continuity of employment rights for employees of the transferor who become, by virtue of a Transfer Scheme, employees of the transferee. Paragraph 9 also provides safeguards in relation to the pensions' entitlements of employees transferred under a transfer scheme. Its effect is to provide that any of those employees who are currently entitled (by virtue of paragraph 8 of Schedule 11 to the 1993 Act) to continue to participate in the Railways Pension Scheme will not lose that entitlement by virtue of the transferee employer not being engaged in the "railway industry" (as defined in Schedule 11 of that Act) for those purposes. Transferred employees will also be deemed to have continuity of employment for those purposes, as well as more generally, and, where applicable, for the purposes of continuing to be a "protected person" under that Schedule and of continuing in consequence to benefit from the safeguards applying to the pension provision required for such persons.

204. Paragraph 9 also provides that where a person's employment is transferred by a transfer scheme to a transferee employer, the transfer itself will not be regarded as giving rise to a dismissal for the purposes of Part 11 of the Employment Rights Act 1996. Part 11 of the Employment Rights Act 1996 makes provision in relation to redundancy payments.

205. Paragraph 10 provides the circumstances in which compensation may be payable to third parties as a result of provisions in the Transfer Scheme. This Paragraph only applies to Transfer Schemes made under section 1, not to Schemes made under section 12.

206. Paragraph 11 provides a power for the person making a Transfer Scheme to require the transferor and transferee to provide him with the information which he needs in order to be able to make the Scheme. The transferor and transferee may be subject to fines if they do not comply with a request for information.

Schedule 3: Transfer of safety functions

207. Paragraph 1 sets out those purposes of Part 1 of the 1974 Act for which the ORR will be responsible. These are termed the "railway safety purposes" and are defined in sub-paragraphs (1)–(3) and (7). Sub-paragraph (4) provides a power for the Secretary of State, through regulations, to modify the definition of the railway safety purposes. This power is subject to the negative resolution procedure (sub-paragraph (6)) and would allow for the inclusion or exclusion of certain transport systems from the definition of railway safety purposes in line with the development of those systems or the regulatory regime.

208. Paragraph 2 makes provision in relation to the duties of the ORR with respect to railway safety purposes, which in the most part replicate those of the HSC as set out at sections 11(1) and (2) and sections 50(1), (2) and (3) of the 1974 Act.

209. Paragraph 3 amends the 1974 Act such that HSC no longer has responsibility for those railway safety functions conferred on the ORR by virtue of paragraph 2.

210. Paragraph 4 confers on the ORR the power to authorise a person to investigate and make a special report in respect of the railway safety purposes. Paragraph 5 concerns transitional provisions in this regard and allows the ORR to assume responsibility for the furtherance of any special report or investigation previously directed or authorised by HSC (under s.14(2)(a) of the 1974 Act) which is ongoing at the time of transfer. The ORR's powers do not extend to the directing of an inquiry in respect of the railway safety purposes, as the Rail Accident Investigation Branch has been established for these purposes. Furthermore, the Secretary of State will retain his prerogative powers to call an inquiry should he see fit to do so. However, paragraph 6 necessarily provides for the ORR to assume responsibility for any inquiry which has been formally commenced by HSC at the time of transfer.

211. Paragraph 7 provides that agency agreements may be made between the ORR and the Secretary of State enabling the ORR to perform in connection with the carrying out of its safety functions those functions of the Secretary of State. It also provides for similar agreements to be made between the ORR and a government department or other public authority that the Secretary of State may deem appropriate. These powers correspond to that at s.13(1)(b) of the 1974 Act.

212. Paragraph 8 provides that agency agreements may be made between the ORR and a government department or other public authority for the department or authority to perform, as the ORR may consider appropriate, certain safety functions of the ORR on its behalf. This power corresponds to that at s.13(1)(a) of the 1974 Act.

213. Paragraph 9 restricts HSC from issuing codes of practice (under s.16 of the 1974 Act) in so far as they relate exclusively to the safety of the railways and other guided transport systems.

214. Paragraph 10 places a duty on the ORR and the HSC to enter into an agreement with each other for the purposes of co-operation and the exchange of information in relation to the carrying out of safety functions. It provides that the ORR will not be bound by guidance issued by the HSC.

215. Paragraph 11 provides the ORR with the power to serve a notice, with the Secretary of State's consent, requiring a person to furnish it with any information it needs for the discharge of its safety functions. Paragraph 11(8) makes it an offence for a person to contravene a requirement imposed by a notice under the paragraph or to use disclosed information otherwise than for the purposes of the ORR's safety functions. These powers correspond to those of HSC at s.27 of the 1974 Act.

216. Paragraph 12 provides for the Secretary of State to make regulations to provide for a levy to be paid to the ORR in respect of railways safety activities undertaken by it.

217. Paragraph 13 removes the statutory requirement for consultation with HSC in the making of regulations by the Secretary of State, so far as they are made for or in connection with the railway safety purposes.

Schedule 4: Reviews by ORR of access charges and licence conditions

218. Paragraph 2. This paragraph broadens the scope of an access charges review so that this must include licence conditions for example in relation to the desired outputs (such as safety, capacity

and reliability) of the railway, and the timing of the next review and the circumstances in which this could be brought forward.

219. It also requires the ORR to give notice of its proposal to undertake an access charges review giving at least four weeks in urgent cases (and subject to consultation), and otherwise three months.

220. The Secretary of State and the Scottish Ministers are required as appropriate to provide within the notice period information about what they want to be achieved (i.e. their desired output specification) for railway activities and the public finance available. They may at the same time suggest when the next access charges review should be undertaken and the circumstances in which it would be appropriate to bring this forward. The notice can be extended or withdrawn by the ORR and Ministers may also notify the ORR that previously supplied information remains valid.

221. Ministers may revise the information they had provided if the ORR finds as a review of access charges progresses that the desired output specification cannot be achieved within the public financial resources. If such a revision still does not match desired outputs with resources there is a requirement to repeat the process once. It also gives an explicit obligation for the ORR to consider whether an access charges review would result in any adverse consequences for operators, and to have regard to any resulting need for mitigation or compensation.

222. The ORR must conduct a review of access charges (which engages its general duties under s4 of the 1993 Act) in a manner that it considers is most likely to secure what Ministers seek (as revised) within the public financial resources notified.

223. Where the ORR considers that the public financial resources are not sufficient to meet Ministers' desired output specifications despite revisions made by them, the ORR will determine how much of what is wanted by Ministers should be achieved using the available resources.

224. Paragraph 4. This provision requires the ORR, before consulting more widely on its review conclusions, to consult Ministers on the linked proposed modifications to licences dealing with output requirements for which Ministers had provided information.

225. Paragraphs 5 to 10. These provisions relate to what happens if the ORR's access review conclusions give rise to objections. In considering any revised review notice the ORR must also endeavour to achieve what Ministers want (as revised) within the public financial resources notified. The information that Ministers supplied must be provided by the ORR to the Competition Commission to accompany any reference or to assist the Commission in considering vetoing or making changes. Where the ORR proposes to make changes following a Competition Commission report, or subsequently modifies its proposals Ministers may, within a specified period of time, revise the information they supplied. The ORR must then consider the revised information before making the changes and include it with any notice to the Competition Commission.

226. Paragraph 11. This is a transitional provision that covers the situation where the ORR has given a review notice of its conclusions before the revised access charges review procedures set out in Schedule 4 come into force. Where there are objections to that notice, any new review notice or reference to the Competition Commission may or may not follow the new procedures set out in this Schedule at the ORR's discretion.

Schedule 5: Rail Passengers' Council established by s.19(1)

227. Schedule 5 sets out various constitutional provisions, including accounting, remuneration, finance, status and procedure, that will apply to the RPC in its new form as a statutory corporation.

228. Paragraph 2 sets the requirements for the remuneration of members. These apply in all cases except for the London Transport Users' Committee and the London member of the RPC. This committee and Council member are the responsibility of the London Assembly. The terms and conditions of their appointments are for the London Assembly to determine and to provide after consultation with the Secretary of State.

229. Paragraphs 3–5. Provide for the remuneration of staff. Previously RPC staff were classified as Strategic Rail Authority staff. As an independent body corporate the RPC will be responsible for its own staff, including their terms and conditions.

230. Parts 3 and 4. Under existing arrangements the RPC's sponsor, the Strategic Rail Authority, holds the status of body corporate. The RPC's budgeting arrangements have been a matter for the Authority. The RPC will now take on the body corporate status. The provisions set out in Parts 3 and 4 provide the process by which the RPC will be funded by Government grants and operate to a financial framework.

Schedule 6: Functions retained by London Transport Users' Committee

231. The duties, powers and role of the London Transport Users' Committee (LTUC) go beyond mainline passenger rail services. But their role in respect of rail is drawn from their position as the Rail Passengers' Committee for the Greater London area, under section 2 of the 1993 Act. With the dissolution of the regional committee network the Rail Passengers' Committees are being abolished. LTUC is sponsored by the London Assembly and not the Secretary of State. The Assembly were not seeking to remove rail from LTUC's remit, and it is therefore appropriate that LTUC should have new powers in respect of railways to replace the powers which it will be losing by virtue of the repeal of Rail Passengers' Committee functions under this Act. Schedule 6 provides for the continuation of LTUC's existing duties, powers and responsibilities to represent users of services in the London railway area.

Schedule 7: Consultations under Part 4

232. This schedule sets out how the consultation on a closure proposal required under sections 22 to 31 should be carried out. This schedule will apply to the beginning of the consultation, but thereafter the consultation will be governed by the relevant part of the closures guidance.

233. It requires the body carrying out the consultation, either a NA or RFA, to publish a notice in two successive weeks in local newspapers available in the area affected by the proposals as well as in national newspapers. The minimum consultation period is 12 weeks, in line with the Cabinet Office Code of Practice on consultations.

234. The Schedule lists bodies that are statutory consultees that include bodies representing the interests of railway passengers. The Secretary of State also has a power to designate bodies as representing the interests of railway passengers subject to the negative resolution procedure.

Schedule 8: Proposals to discontinue excluded London services

235. This Schedule sets out closure procedures which apply to excluded London services as defined in section 25 which are designated under that section as services to which Schedule 8 applies. At present, these are principally services operated by Transport for London, that is London Underground, Docklands Light Railway and Croydon Tramlink. The procedures in this schedule are similar to those for qualifying London services in Schedule 5 to the 1993 Act.

236. This Schedule only applies where the operator initiates the proposal. There is a 6 week consultation. The London Transport User Committee has a duty to consider objections to the

proposals and make a report to the Mayor on hardship that might arise. The Mayor takes the final decision on whether the closure should be allowed. For those involving services wholly or partly outside Greater London, for example the western end of the London Underground Metropolitan line, he has a duty to consult local authorities in the areas affected.

Schedule 9: Bye-laws by railway operators

237. Paragraph 1 of this Schedule defines the circumstances where, in relation to any bye-laws, the appropriate national authority means the Secretary of State or the Scottish Ministers.

238. Paragraph 2 sets out the penalties for contravening the bye-laws and provides for maximum fines not exceeding level 3 on the standard scale (currently £1000).

239. Paragraph 3 provides that, before bye-laws come into force, they must have been confirmed by the appropriate national authority.

240. Paragraph 4 requires the operator to give notice of his intention to make bye-laws. The manner in which the notice is published must be approved by the appropriate national authority. The operator must allow a specified time for representations to be made about the bye-laws to the appropriate national authority, and must consider such representations before seeking confirmation of the proposed bye-laws.

241. Paragraph 5 enables the appropriate national authority to confirm the bye-laws (with or without modification) and fix the date for their coming into force, or refuse to confirm them.

242. Paragraph 6 sets out how the bye-laws are to be made publicly available.

243. Paragraph 7 ensures that production of a certified, printed copy of the bye-laws is sufficient evidence in any legal proceedings of the existence and validity of those bye-laws.

244. Paragraph 8 provides that railway operators have the power to amend or revoke any bye-laws which they make, and that the Secretary of State and the Scottish Ministers are, separately, able to revoke bye-laws for which they are the appropriate national authority by order.

Schedule 10: Taxation provisions relating to transfer schemes

245. This Schedule makes provision for the consequences for taxation of the various transfer schemes and transfers for which the Act provides. The effect is, very broadly, to remove tax consequences which flow from the way the transfers are effected by schemes made under the Act. Similar provisions were made for previous reorganisations — for example, in Schedule 26 to the Transport Act 2000 (c.38).

246. The provisions reflect the different nature of different transfers:

- Part 1 deals with transfers under section 1 from the SRA and other publicly owned bodies to a national authority which is not liable to tax;
- Part 2 deals with transfers under section 1 from the SRA and other publicly owned bodies to a publicly owned body which is (in principle at least) liable to tax;
- Part 3 deals with transfers under section 12 which may be between two privately owned companies each of which is liable to tax;
- Part 4 deals with points which apply to transfer schemes generally.

Schedule 11: Miscellaneous amendments of 1993 Act

247. Paragraph 2. Section 9(3) of the 1993 Act currently permits the Secretary of State and the ORR to include a condition when granting a operating licence which requires the licence holder to provide information or documents which the Secretary of State or the ORR need to carry out their functions under Part 1 of the 1993 Act. This amendment provides that such a condition may in future also cover information or documents which are required in relation to the exercise of functions under Part 4 of this Act (network modifications). This reflects the fact that the closure provisions in Part 1 of the 1993 Act are repealed by the Act, and replaced with the network modification provisions in Part 4 of the Act.

248. Paragraph 3. References in section 17 and 19 to a person operating a railway facility “on behalf of the Secretary of State” are, following the amendments to these sections in Schedule 1 Paragraph 12, to be construed as references to a person operating a railway facility under an agreement or arrangement with either the Secretary of State or the Scottish Ministers where the Secretary of State or the Scottish Ministers have a duty or power to secure the operation of that facility. This amendment provides that the relevant duty or power may exist in either Part 1 of the 1993 Act or in Part 4 of the Act. This reflects the fact that the closure provisions in Part 1 of the 1993 Act are repealed by the Act, and replaced with the network modification provisions in Part 4 of the Act.

249. Paragraph 4. This paragraph revises section 30 of the 1993 Act to take account of the Network Modification sections in Part 4 of the Act that replace the closure provisions in section 37 to 49 of the 1993 Act.

250. Paragraph 5. This paragraph amends section 50 of the 1993 Act so that the Secretary of State and the Scottish Ministers are excluded from liability for breach of statutory duty arising from Part 1 of the 1993 Act in place of the SRA. This reflects the revised procedures for Network Modifications in the Act.

251. Paragraph 6. This provision enables the Secretary of State and the Scottish Ministers to enter into agreements and arrangements under which they give undertakings as to the exercise of their functions relating to rail franchising, where they do so for the purpose of encouraging investment in railways.

252. Paragraph 7. This paragraph revises section 55 of the 1993 Act to take account of the Network Modification sections in Part 4 of the Act that replace the closure provisions in sections 37 to 49 of the 1993 Act. It also contains minor corrections to the definition of “final order” in section 55(10) and a reference to a penalty notice in section 57F(1).

253. Paragraph 9. This paragraph amends the provisions in the 1993 Act governing the ability of the Secretary of State to provide financial assistance in relation to companies in railways administration. In particular, it provides that the Secretary of State may give an indemnity to a railways administrator (and certain persons connected with him) in respect of liabilities, loss and damage incurred in the exercise of his functions. It also provides that the Secretary of State may direct the relevant company in railways administration to repay sums which are paid under the terms of such an indemnity, except where the payment was made under the indemnity to cover a liability of the railways administrator to that company. Section 49, which inserts a new section 64A into the 1993 Act to give the Scottish Ministers similar financial assistance powers, also permits such indemnities to be given.

254. Paragraph 10. This paragraph amends the duty of the ORR to maintain a public register under section 72 of the 1993 Act. The purpose of these amendments is to ensure that the ORR duties are

appropriate in view of the repeal of the closure provisions in the 1993 Act and their replacement with the network modification provisions in Part 4 of the Act.

255. Paragraph 11. This paragraph amends the duty to maintain a public register which, by virtue of Schedule 1 Paragraph 30 of the Act, shall transfer from the SRA to the Secretary of State. The purpose of these amendments is to ensure that the duties are appropriate in view of the repeal of the closure provisions in the 1993 Act and their replacement with the network modification provisions in Part 4 of the Act.

256. Paragraph 12(a) refers to definitions in the 1993 Act inserted by section 48(1) and schedule 13(4) of this Act.

257. Paragraph 12(b) replaces the existing definition of bus substitution service in section 45(2) of the 1993 Act.

258. Paragraph 13. These amendments to section 136 of the 1993 Act provide that the Secretary of State and the Scottish Ministers are the competent authority for the purposes of the railways financial status regulations (Council Regulation (EEC) No 1192/69 on common rules with respect to the financial status of railway undertakings). They also provide that the Secretary of State, the Scottish Ministers, the NAW and Passenger Transport Executives are, where appropriate, the competent authority for the purposes of the public service obligations regulations (Council Regulation (EEC) No 1191/69 on public service obligations in transport, as amended by Council Regulation (EEC) No 1893/91).

259. Paragraph 14 ensures that whenever the Scottish Ministers exercise the powers that the Act gives them to make secondary legislation by means of regulations or an order under the 1993 Act the secondary legislation is made by means of a Statutory Instrument. It also gives the Scottish Ministers the ability to make incidental, supplemental, consequential or transitional provisions in the relevant Statutory Instrument in relation to the subject matter of the order or regulations. This is so as to ensure that the Scottish Ministers have sufficient flexibility to implement their regulations or orders in the most practicable way. This amendment to section 143 of the 1993 Act also gives the Scottish Ministers the discretion to use their powers to apply orders and regulations only in certain cases or to apply them differently depending on the case in question. These provisions are intended to give the Scottish Ministers a reasonable degree of flexibility to exercise their relevant powers in a way that reflects the reality of the situation rather than being unduly constrained by the narrow interpretation of the power they are exercising. These provisions already apply to the Secretary of State under section 143 of the 1993 Act. The paragraph also provides that enforcement orders made under section 55 by the Secretary of State and the Scottish Ministers are not subject to the requirements of section 143, and do not have to be made by statutory instrument.

260. Paragraph 15 amends section 145 of the 1993 Act, which provides for a general prohibition on the disclosure of information which relates to the affairs of any individual or business and which has been obtained under that Act. The amendments relate to the exceptions to the general prohibition.

261. The amendments in sub-paragraph (1) are intended to ensure that the exceptions are extended so as to cover the disclosure of information which is made for the purpose of assisting the Secretary of State or the Scottish Ministers in the exercise of their railways functions (including, but not limited to, their statutory functions under the 1993 Act, the Transport Act 2000, and this Act). The intention behind extending the exception in this way is to ensure that the Secretary of State and the Scottish Ministers can receive information which will help them to exercise their railway functions,

notwithstanding the general prohibition on disclosing sensitive information obtained under the 1993 Act.

262. The amendment in sub-paragraph (2) is a consequential amendment resulting from the abolition of Rail Passengers' Committees in section 19.

TERRITORIAL APPLICATION: WALES (SEE ALSO ANNEX A)

263. The general effect of the Act on the NAW is to extend its rail powers. The Act gives the Assembly a new role in making decisions about franchises that serve Wales.

264. In certain cases this takes the form of a joint role with the Secretary of State, where the franchises provide services that operate wholly within Wales or include such services ("Wales-only services"). At present this involves one franchise, Wales and Borders, operated by Arriva Trains Wales. The NAW will be a joint party to the franchise agreement and will be given the power to provide financial assistance to the franchisee. In other cases it gives the NAW the right to be consulted about proposals for franchises that provide services that call in Wales, but to which the NAW will not be a joint party (for example, the replacement Greater Western franchise may fall within this category).

265. The NAW's powers to give financial assistance extend to the ability to provide funding to any railway operator (including operators of passenger services, freight services and Network Rail) for the purposes of improving the provision of services and facilities for Wales.

266. The Act extends the powers of the NAW to provide assistance to freight operators under schemes to support the development of freight services and facilities in Wales. Previously, the NAW could provide such support in accordance with a scheme specified by the Strategic Rail Authority. Under the Act, the NAW is able to make its own schemes, or provide support in accordance with a scheme specified by the Secretary of State (or both).

267. As it is now a statutory funder of railway services, the Act gives NAW a new power to propose that services be closed in accordance with the closure procedures set out in the Act.

268. To support its new responsibilities, the NAW has the right to be consulted by the Secretary of State about the guidance he gives to the Office of Rail Regulation about the exercise of its role as the independent economic regulator for the GB railway network. It also has a new power to appoint a member of the rail passenger consumer body, the Rail Passengers' Council.

TERRITORIAL EXTENT

269. The Act extends to England, Scotland and Wales only.

COMMENCEMENT

270. Section 60 and Section 56(1) came into force on Royal Assent. All the remaining provisions will be commenced by Statutory Instrument on such dates as the Secretary of State may decide. Different dates may be appointed for different purposes.

HANSARD REFERENCES

The following table sets out the dates and Hansard references for each stage of this Act's passage through Parliament.

| Stage | Date | Hansard reference |
|-------------------------|------|-------------------|
| <i>House of Commons</i> | | |

| Stage | Date | Hansard reference |
|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|
| Introduction | 25 November 2004 | Vol. 428 Col. 245 |
| Second Reading | 6 December 2004 | Vol. 428 Col. 919–1013 |
| Committee | 14 December 2004 (1st & 2nd) 16 December 2004 (3rd) 11 January 2005 (4th & 5th) 13 January 2005 (6th & 7th) 18 January 2005 (8th) | Hansard Standing Committee A |
| Report and Third Reading | 27 January 2005 | Vol. 430 Cols. 473–542 |
| Commons Consideration | 6 April 2005 | Vol. 432 Col. 1525–1537 |
| <i>House of Lords</i> | | |
| Introduction | 27 January 2005 | Vol. 668 Col. 1512 |
| Second Reading | 10 February 2005 | Vol. 669 Cols. 927–78 |
| Grand Committee | 28 February 2005 3 March 2005 9 March 2005 | Vol. 670 Cols. 1–56GC Vol. 670 Cols. 127–82GC Vol. 670 Cols. 305–64GC |
| Report | 4 April 2005 | Vol. 671 Cols. 1559–1567 |
| Third reading | 6 April 2005 | Vol. 671 Col 785–752 |
| Lords Consideration | 7 April 2005 | Vol. 671 Col. 918–928 |

| | | |
|---------------------|---------------------|-------------------------------------------------------------------------|
| Royal Assent | 7 April 2005 | Vol. 432 Col. 1641 (Commons) Vol. 671 Col. 950 (Lords) |
|---------------------|---------------------|-------------------------------------------------------------------------|

Annex A

Provisions affecting the Powers of NAW

| Section/Schedule | Description |
|--------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section 1 and Schedule 2 | Secretary of State may transfer any of the SRA's property, rights and liabilities to NAW under a transfer scheme. A transfer may be to NAW alone, or to NAW jointly with one or more other body mentioned in section 1(3). NAW must be consulted in advance of any transfer to it. |
| Section 3(6)Section 3(8)Section 3(9) | Specifies a number of considerations, listed in section 4(1)–(3) of the 1993 Act, that the NAW must have regard to when exercising the functions conferred on it by that Act and Part 4 of the “Railways Act 2005”. The ORR to have regard to NAW railway strategies and policies notified to it by the Assembly; and to have regard to the NAW's ability to carry out its own functions conferred or imposed on it under any Act. Secretary of State to consult NAW about guidance to the Office of Rail Regulation. |
| Section 7(3) | The Secretary of State must notify the NAW about any freight scheme he makes, or any modifications to a scheme. |
| Section 10 | Secretary of State to consult NAW about proposals for franchises that serve Wales. Right of the NAW to be a party to franchise agreements that provide services wholly within Wales. Powers for the NAW to provide financial assistance to franchisees where it is party to a franchise agreement; and for other railways purposes in relation to Wales. |
| Section 11 | NAW must notify the Secretary of State about freight schemes it makes or modifies in respect of Wales. |

| Section/Schedule | Description |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section 18 | The Secretary of State's and/or the Scottish Ministers' duty to secure the continuation of a service that the NAW secured under a franchise that has ended and not been renewed does not apply if they believe the NAW will not provide the necessary funds. |
| S e c t i o n 19 | NAW may appoint a member of the Rail Passengers' Council. |
| Schedule 5, part 4, paragraph 11 | RPC must send a copy of its annual reports to the NAW. |
| Section 23 | Power to propose that non-franchised passenger services that the Assembly funds be closed. |
| Section 24 | Power to propose that franchised passenger services that the Assembly funds be closed. |
| Sections 27–28 | Power to propose that a passenger network that the Assembly funds be closed. |
| Sections 30–31 | Power to propose that a station that the Assembly funds be closed. |
| Schedule 7 | Sets out the consultation procedure that the NAW must follow when proposing a railway closure. It also gives the NAW the right to be consulted by others proposing closures that may affect them. |
| Section 33 | Duty to comply with any condition relating to a closure imposed on the Assembly by the ORR. |
| Section 36 | Power to designate new Welsh services funded by the NAW as experimental services. |
| Section 37 | Duty to give notice about the withdrawal of an experimental service that the Assembly funds under the terms a franchise agreement. |
| Section 40 | Power to secure the provision of substitute road services where passenger services wholly within Wales or that the Assembly funds are temporarily interrupted or discontinued. |
| Section 41 | Supplementary provisions relating to closure proposals made by the Assembly. |
| Section 42 | The Secretary of State must include NAW as a joint party in any guidance in relation to proposals to discontinue any Welsh service or services, any network or part of a network wholly in Wales, or any station or part of a station wholly in Wales. The Scottish Ministers must include NAW as a joint party in any guidance in relation to proposals to discontinue any cross-border services that NAW funds or part funds. |
| Section 51 | The ORR to comply with every reasonable requirement of the NAW for information or advice about a matter connected with NAW's railway functions and activities. |
| Section 57 | Definition of “Wales-only service” and “Welsh service” for the purposes of the Act. Requires the Secretary of State to consult the NAW before exercising his order making power to make exclusions from the definition of “Wales-only service”. |
| Schedule 1, paragraph 15(5) | Secretary of State to consult NAW before preparing, altering or replacing a statement of policy on franchising. |
| Schedule 10, Part 1 | Deals with taxation provisions in relation to any transfer of property, rights or liabilities to the NAW in accordance with a scheme made under section 1(2). |
| Schedule 11, paragraph 13(2)–(5) | Makes the NAW a “competent authority” for the purposes of the public service obligations regulations. |
| Schedule 12, paragraph 17(4) | Duty on the NAW to ensure that where it secures the provision of substitute road services the services are suitable for disabled passengers. |

Annex B

List of Acronyms

| | |
|--------|--------------------------------------|
| BRB(R) | British Railways Board (Residuary) |
| DfT | Department for Transport |
| GLA | Greater London Authority |
| HSE/C | Health & Safety Executive/Commission |

| | |
|-------|-----------------------------------------|
| LMD | Light Maintenance Depots |
| LTUC | London Transport Users Committee |
| NA | National Authority |
| NAW | National Assembly for Wales |
| NDPB | Non-Departmental Public Body |
| ORR | Office of Rail Regulation |
| PTE/A | Passenger Transport Executive/Authority |
| RFA | Railway Funding Authority |
| RPC | Rail Passengers Council |
| SE | Scottish Executive |
| SRA | Strategic Rail Authority |
| TfL | Transport for London |

Modifications

| Provision | Modification | Notes | Further Information |
|------------------------------|-----------------------------------------------------------------------------------------|------------------------------------------------|---------------------|
| Pt 6 s. 59(2) | Railway (Licensing of Railway Undertakings) Regulations 2005/3050, Sch. 3(1) para. 1(g) | Modified in relation to SNRPs and SNRP holders | |
| Pt 6 s. 59(3) | Railway (Licensing of Railway Undertakings) Regulations 2005/3050, Sch. 3(1) para. 1(g) | Modified in relation to SNRPs and SNRP holders | |
| Pt 6 s. 59(4) | Railway (Licensing of Railway Undertakings) Regulations 2005/3050, Sch. 3(1) para. 1(g) | Modified in relation to SNRPs and SNRP holders | |
| Pt 6 s. 59(5) | Railway (Licensing of Railway Undertakings) Regulations 2005/3050, Sch. 3(1) para. 1(g) | Modified in relation to SNRPs and SNRP holders | |
| Sch. 1(1) para. 24(2) | Railway (Licensing of Railway Undertakings) Regulations 2005/3050, Sch. 3(1) para. 1(h) | Modified in relation to SNRPs and SNRP holders | |

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