



Railways Act 1993

1993 CHAPTER 43

PART I U.K.

THE PROVISION OF RAILWAY SERVICES

Enforcement by ^[F1]the Office of Rail and Road and the ^[F2]Authority

Textual Amendments

- F1** Words in s. 55 cross-heading substituted (16.10.2015) by virtue of [The Office of Rail Regulation \(Change of Name\) Regulations 2015 \(S.I. 2015/1682\)](#), Sch. para. 1
- F2** Words in the heading before section 55 substituted (1.2.2001) by [2000 c. 38, s. 215, Sch. 16 para. 35\(5\)](#); [S.I. 2001/57, art. 3\(1\), Sch. 2 Pt. I](#) (subject to savings and transitional provisions in [Sch. 2 Pt. II](#)) (which S.I. was amended by [S.I. 2001/115, art. 2\(2\)](#))

55 Orders for securing compliance. E+W+S

- (1) Subject to subsections (2) to ^[F3](5C) and section 56 below, where the appropriate ^[F4]authority is satisfied that a relevant operator is contravening, or is likely to contravene, any relevant condition or requirement, ^[F4]it shall by a final order make such provision as is requisite for the purpose of securing compliance with that condition or requirement.
- (2) Subject to ^[F5]subsections (5) to ^[F3](5C) below, where it appears to the appropriate ^[F4]authority—
- that a relevant operator is contravening, or is likely to contravene, any relevant condition or requirement, and
 - that it is requisite that a provisional order be made,
- ^[F4]it shall (instead of taking steps towards the making of a final order) by a provisional order make such provision as appears to ^[F4]it requisite for the purpose of securing compliance with that condition or requirement.

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- (3) In determining for the purposes of subsection (2)(b) above whether it is requisite that a provisional order be made, the appropriate [F4authority] shall have regard, in particular, to the extent to which any person is likely to sustain loss or damage in consequence of anything which, in contravention of the relevant condition or requirement, is likely to be done, or omitted to be done, before a final order may be made.
- (4) Subject to [F5subsections (5) to][F3(5C)] and section 56 below, the appropriate [F4authority] shall confirm a provisional order, with or without modifications, if—
 - (a) [F4it] is satisfied that the relevant operator to whom the order relates is contravening, or is likely to contravene, any relevant condition or requirement; and
 - (b) the provision made by the order (with any modifications) is requisite for the purpose of securing compliance with that condition or requirement.
- (5) The appropriate [F4authority] shall not make a final order, or make or confirm a provisional order, in relation to a relevant operator if [F4it] is satisfied—
 - (a) that the duties imposed on [F4it] by section 4 [F6above F7. . .] preclude the making or, as the case may be, the confirmation of the order;
 - F8(b)
 - F8(c)

[F9(5ZA) [F10Neither the Secretary of State nor the Scottish Ministers [F11nor the Welsh Ministers] shall] make a final order, or make or confirm a provisional order, in relation to a licence holder or person under closure restrictions unless—

- (a) [F12the Secretary of State, the Scottish Ministers or the Welsh Ministers (as the case may be) has or have] given notice to [F13the Office of Rail and Road] specifying a period within which [F14it] may give notice to [F15him or them] if [F14it] considers that the most appropriate way of proceeding is under the M1Competition Act 1998;
- (b) that period has expired; and
- (c) [F13the Office of Rail and Road] has not given notice to [F16the Secretary of State, the Scottish Ministers or the Welsh Ministers (as the case may be)] within that period that [F14it] so considers (or, if [F14it] has, [F14it] has withdrawn it).]

[F17(5A) Before making a final order or making or confirming a provisional order, [F18the Office of Rail and Road] shall consider whether it would be more appropriate to proceed under the Competition Act 1998.

(5AA) [F19The Office of Rail and Road] shall not make a final order or make or confirm a provisional order if it considers that it would be more appropriate to proceed under the Competition Act 1998.]

[F20(5B) If the appropriate authority is satisfied—

- (a) that the relevant operator has agreed to take, and is taking, all such steps as it appears to the appropriate authority for the time being to be appropriate for the relevant operator to take for the purpose of securing or facilitating compliance with the condition or requirement in question, or
- (b) that the contravention or apprehended contravention will not adversely affect the interests of users of railway services or lead to any increase in public expenditure,

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it shall only make a final order, or make or confirm a provisional order, if it considers it appropriate to do so.]

[^{F21}(5C) Neither the Secretary of State nor the Scottish Ministers [^{F22}nor the Welsh 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 [^{F23}or the Welsh 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 [^{F24}the Office of Rail and Road], 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), [^{F25}(5AA)] or (5B) above.]

[^{F26}(6) Where the appropriate authority must comply with this subsection, it must—

- (a) serve notice of its decision on the relevant operator; and]
- (b) publish the notice in such manner as [^{F4}it] considers appropriate for the purpose of bringing the matters to which the notice relates to the attention of persons likely to be affected by them.

(7) A final or provisional order—

- (a) shall require the relevant operator to whom it relates (according to the circumstances of the case) to do, or not to do, such things as are specified in the order or are of a description so specified;
- (b) shall take effect at such time, being the earliest practicable time, as is determined by or under the order; and
- (c) may be revoked at any time by the appropriate [^{F4}authority].

[^{F27}(7A) The provision that may be made in a final or provisional order includes, in particular, provision requiring the relevant operator to pay [^{F28} in the event of a specified contravention of the order—

(a) in the case of an order made by the Scottish Ministers, to them, ^{F29} ...

[^{F30}(aa) in the case of an order made by the Welsh Ministers, to them, and]

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

such] reasonable sum in respect of the contravention as is specified in, or determined in accordance with, the order in such manner, at such place and by such date as is so specified or determined.

(7B) The amount of the sum may not exceed 10 per cent. of the turnover of the relevant operator determined in accordance with an order made by the Secretary of State; and an order under this subsection shall not be made unless a draft of the statutory instrument containing it has been laid before and approved by a resolution of each House of Parliament.

(7C) If the whole or any part of the sum is not paid by the date by which it is to be paid, the unpaid balance from time to time shall carry interest at the rate for the time being specified in section 17 of the ^{M2}Judgments Act 1838.]

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(9) Without prejudice to [F31]section 44 of the Railways Act 2005 (exclusion of liability for breach of statutory duty)], nothing in this section or in sections 56 to 58 below shall exclude the availability of any remedy in respect of any contravention or apprehended contravention of a relevant condition or requirement.

(10) In this Part—

“the appropriate [F32]authority” means—

- (a) in relation to any relevant condition or requirement in the case of a licence holder, F33 . . . , F34 . . . [F35]the Office of Rail and Road];
- (aa) [F36]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

- (ab) [F37]in relation to a term of a Welsh franchise agreement, where the term relates solely to providing or securing the provision of a Wales-only service or a Welsh component of a Welsh service, the Welsh Ministers;
- (ac) in relation to a term of a Welsh franchise agreement, where the term does not relate solely to providing or securing the provision of a Wales-only service or a Welsh component of a Welsh service, the Secretary of State;
- (ad) in relation to a term of a franchise agreement that is not a Scottish franchise agreement or a Welsh franchise agreement, the Secretary of State;
- (ae) in relation to a duty mentioned in subsection (11) which is imposed or arises in a Welsh case, the Welsh Ministers;
- (af) in relation to a duty mentioned in subsection (11) which is imposed or arises in a case that is not a Scottish case or a Welsh case, the Secretary of State;]]

“final order” means an order under this section, other than a provisional order [F38]or an order under subsection (7B)];

“provisional order” means an order under this section which, if not previously confirmed in accordance with subsection (4) above, will cease to have effect at the end of such period (not exceeding three months) as is determined by or under the order;

“relevant condition or requirement” means—

- (a) in the case of a licence holder, any condition of his licence;
- (b) in the case of a franchisee, or any franchise operator who is a party to the franchise agreement, any term of the franchise agreement;
- (c) [F39]in the case of a person under closure restrictions, any duty mentioned in subsection (11) to which he is subject;]

[F40]“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.]

(11) In [F41]subsections [F42](5ZA)] and (10)] above, “person under closure restrictions” means a person[F43] who is under—

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- (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).]

[^{F44}(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;

^{F45} ...

(11B) [^{F46}In this section], “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.]

[^{F47}(11C) In subsection (10) “a Welsh case”, in relation to a closure, means—

- (a) a case in which the Welsh 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 Welsh 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 of which notice is given under section 37 of that Act (experimental passenger services) and the proposal relates to a Wales-only service.]

^{F48}(12)

Textual Amendments

- F3** Words in s. 55(1)(2)(4) substituted (24.7.2005) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 21(2)**; S.I. 2005/1909, **art. 2**
- F4** Words in s. 55(1)-(7) substituted (1.2.2001) by 2000 c. 38, s. 215, **Sch. 16 para. 35(2)**; S.I. 2001/57, **art. 3(1)**, **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II) (which S.I. was amended by S.I. 2001/115, **art. 2(2)**)
- F5** Words in s. 55(2)(4) substituted (1.2.2001) by 2000 c. 38, s. 252, **Sch. 27 para. 30(3)**; S.I. 2001/57, **art. 3(1)**, **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F6** Words in s. 55(5)(a) substituted (1.2.2001) by 2000 c. 38, s. 252, **Sch. 27 para. 30(4)**; S.I. 2001/57, **art. 3(1)**, **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)

Changes to legislation: There are currently no known outstanding effects for the Railways Act 1993, Cross Heading: Enforcement by the Office of Rail and Road and the Authority. (See end of Document for details)

- F7** Words in s. 55(5) repealed (1.12.2006) by Railways Act 2005 (c. 14), ss. 1, 59, 60, Sch. 1 para. 21(3), **Sch. 13 Pt. 1** (with s. 14(4)(5) Sch. 11 para. 11(2)); S.I. 2006/2911, {art. 2} (subject to the transitional and saving provisions in arts. 3-7)
- F8** S. 55(5)(b)(c) repealed (1.2.2001) by 2000 c. 38, ss. 226(1)(a), 274, **Sch. 31 Pt. IV** (with Sch. 28 paras. 9, 17); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F9** S. 55(5ZA) inserted (1.2.2001) by 2000 c. 38, s. 216, **Sch. 17 para. 11(2)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F10** Words in s. 55(5ZA) substituted 24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 21(4)(a)**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F11** Words in s. 55(5ZA) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(2)(a)**
- F12** Words in s. 55(5ZA)(a) substituted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(2)(b)**
- F13** Words in s. 55(5ZA) substituted (16.10.2015) by The Office of Rail Regulation (Change of Name) Regulations 2015 (S.I. 2015/1682), **Sch. para. 1(jj)**
- F14** Word in s. 55 substituted (5.7.2004) by Railways and Transport Safety Act 2003 (c. 20), ss. 16, 120, {Sch. 2 para. 3(b) Table}; S.I. 2004/827, **art. 4(g)**
- F15** Words in s. 55(5ZA)(a) substituted 24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 21(4)(b)**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, art. 2 Sch.; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F16** Words in s. 55(5ZA)(c) substituted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(2)(c)**
- F17** S. 55(5A)(5AA) substituted for s. 55(5A) (1.4.2014) by Enterprise and Regulatory Reform Act 2013 (c. 24), s. 103(3), **Sch. 14 para. 12(2)**; S.I. 2014/416, art. 2(1)(e) (with Sch.)
- F18** Words in s. 55(5A) substituted (16.10.2015) by The Office of Rail Regulation (Change of Name) Regulations 2015 (S.I. 2015/1682), reg. 1(2), **Sch. para. 1(jj)**
- F19** Words in s. 55(5AA) substituted (16.10.2015) by The Office of Rail Regulation (Change of Name) Regulations 2015 (S.I. 2015/1682), reg. 1(2), **Sch. para. 1(jj)**
- F20** S. 55(5B) inserted (1.2.2001) by 2000 c. 38, s. 226(1)(b) (with Sch. 28 paras. 9, 17); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F21** S. 55(5C)(5D) inserted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 21(5)**; S.I. 2005/1909, {art. 2}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, {art. 2}, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F22** Words in s. 55(5C) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(3)**
- F23** Words in s. 55(5D)(a) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(4)**
- F24** Words in s. 55(5D)(b) substituted (16.10.2015) by The Office of Rail Regulation (Change of Name) Regulations 2015 (S.I. 2015/1682), reg. 1(2), **Sch. para. 1(jj)**
- F25** Word in s. 55(5D)(b) substituted (1.4.2014) by Enterprise and Regulatory Reform Act 2013 (c. 24), s. 103(3), **Sch. 14 para. 12(3)**; S.I. 2014/416, art. 2(1)(e) (with Sch.)
- F26** S. 55(6): "words from the beginning to the end of paragraph (a)" substituted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by virtue of Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 21(6)**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F27** S. 55(7A)(7B)(7C) substituted (1.2.2001) for s. 55(8) by 2000 c. 38, s. 225(2); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)

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- F28** Words in s. 55(7A) substituted 24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 21(7)**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F29** Word in s. 55(7A) omitted (14.10.2018 at 2.00 a.m.) by virtue of The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(5)**
- F30** S. 55(7A)(aa) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(5)**
- F31** Words in s. 55(9) substituted (1.12.2006) by Railways Act 2005 (c. 14), ss. 54, 60, **Sch. 11 para. 7(1)**; S.I. 2006/2911, {art. 2}, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F32** Words in s. 55(10) substituted (1.2.2001) by 2000 c. 38, s. 215, **Sch. 16 para. 35(3)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II) (which S.I. was amended by S.I. 2001/115, **art. 2(2)**)
- F33** S.55(10): words in definition of "the appropriate authority" repealed (24.7.2005) by Railways Act 2005 (c. 14), **ss. 1, 59** 60, Sch. 1 para. 21(4)(b), {Sch. 13 Pt. 1} (with s. 14(4)(5) Sch. 11 para. 11(2)); S.I. 2005/1909, {art. 2}, Sch.
- F34** Words in s. 55(10) repealed (1.2.2001) by 2000 c. 38, ss. 216, 274, Sch. 17 para. 26(a), **Sch. 31 Pt. IV**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F35** Words in s. 55(10)(a) substituted (16.10.2015) by The Office of Rail Regulation (Change of Name) Regulations 2015 (S.I. 2015/1682), reg. 1(2), **Sch. para. 1(jj)**
- F36** S. 55(10): paras. (aa)(b) in definition of "the appropriate authority" substituted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) for para. (b) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 21(8)(b)**; S.I. 2005/1909, **art. 1**, Sch. S.I. 2005/2812, {art. 2(1)}, Sch. 2; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F37** Words in s. 55(10) substituted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(6)**
- F38** S. 55(10): words in definition of "final order" inserted (24.7.2005) by Railways Act 2005 (c. 14), ss. 54, 60, **Sch. 11 para. 7(2)**; S.I. 2005/1909, **art. 2**, Sch.
- F39** S. 55(10): para. (c) in definition of "relevant condition or requirement" substituted (1.12.2006) for paras. (c)(d) by Railways Act 2005 (c. 14), ss. 54, 60, **Sch. 11 para. 7(3)**; S.I. 2006/2911, {art. 2}, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F40** S. 55(10): definition of "relevant operator" substituted (1.12.2006) by Railways Act 2005 (c. 14), ss. 54, 60, **Sch. 11 para. 7(4)**; S.I. 2006/2911, {art. 2}, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F41** Words in s. 55(11) substituted (1.3.2000) by 1998 c. 41, s. 66(5), **Sch. 10 Pt. IV para. 15(7)(b)** (with s. 73); S.I. 2000/344, art. 2, **Sch.**
- F42** Word in s. 55(11) substituted (1.2.2001) by 2000 c. 38, s. 216, **Sch. 17 para. 11(4)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F43** S. 55(11)(a)-(c) and words substituted (1.12.2006) for s. 55(11)(a)(b) by Railways Act 2005 (c. 14), ss. 54, 60, **Sch. 11 para. 7(5)**; S.I. 2006/2911, {art. 2}, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F44** S. 55(11A)(11B) inserted (1.12.2006) by Railways Act 2005 (c. 14), ss. 54, 60, **Sch. 11 para. 7(6)**; S.I. 2006/2911, {art. 2}, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F45** Words in s. 55(11A) omitted (14.10.2018 at 2.00 a.m.) by virtue of The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(7)**
- F46** Words in s. 55(11B) substituted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(8)**
- F47** S. 55(11C) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 13(9)**
- F48** S. 55(12) repealed (1.2.2001) by 2000 c. 38, ss. 252, 274, Sch. 27 para. 30(5), **Sch. 31 Pt. IV**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)

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Modifications etc. (not altering text)

- C1** S. 55 applied (with modifications) (28.11.2005) by [The Railway \(Licensing of Railway Undertakings\) Regulations 2005 \(S.I. 2005/3050\)](#), reg. 14, **Sch. 3 para. 1(c)**
- C2** Ss. 55-58 applied (25.6.2010) by [The Rail Passengers Rights and Obligations Regulations 2010 \(S.I. 2010/1504\)](#), **reg. 17**
- C3** S. 55(5)(a) modified (28.1.2005) by [The Railway \(Licensing of Railway Undertakings\) Regulations 2005 \(S.I. 2005/3050\)](#), reg. 14, **Sch. 3 para. 6**

Marginal Citations

- M1** 1998 c. 41.
M2 1838 c. 110.

56 Procedural requirements [F49 for section 55 orders]. E+W+S

- (1) Before [F50:it] makes a final order or confirms a provisional order, the appropriate [F51:authority] shall give notice—
- (a) stating that [F50:it] proposes to make or confirm the order and setting out its effect,
 - (b) setting out—
 - (i) the relevant condition or requirement for the purpose of securing compliance with which the order is to be made or confirmed,
 - (ii) the acts or omissions which, in [F52:its] opinion, constitute or would constitute contraventions of that condition or requirement, and
 - (iii) the other facts which, in [F52:its] opinion, justify the making or confirmation of the order, and
 - (c) specifying the period (not being less than [F53:21] days from the date of publication of the notice) within which representations or objections with respect to the proposed order or proposed confirmation may be made,
- and shall consider any representations or objections which are duly made and not withdrawn.
- (2) A notice under subsection (1) above shall be given—
- (a) by publishing the notice in such manner as the appropriate [F51:authority] considers appropriate for the purpose of bringing the matters to which the notice relates to the attention of persons likely to be affected by them; and
 - (b) by serving a copy of the notice, and a copy of the proposed order or of the order proposed to be confirmed, on the relevant operator to whom the order relates.
- [F54:(2A) Where [F55:the Office of Rail and Road] serves a copy of a notice under subsection (1) above on a licence holder, he shall also serve a copy on the [F56:Secretary of State and on the Scottish Ministers][F57:and the Welsh Ministers].]
- (3) The appropriate [F51:authority] shall not make a final order with modifications, or confirm a provisional order with modifications, except—
- (a) with the consent to the modifications of the relevant operator to whom the order relates; or
 - (b) after complying with the requirements of subsection (4) below.
- (4) The requirements mentioned in subsection (3) above are that the appropriate [F51:authority] shall—

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- (a) serve on the relevant operator to whom the order relates such notice as appears to him requisite of [F52:its] proposal to make or confirm the order with modifications;
 - (b) [F58:unless the proposed modifications are trivial, in that notice specify a period (not being less than seven] from the date of service of the notice) within which representations or objections with respect to the proposed modifications may be made; and
 - (c) consider any representations or objections which are duly made and not withdrawn.
- (5) As soon as practicable after making a final order or making or confirming a provisional order, the appropriate [F51:authority] shall—
- (a) serve a copy of the order on the relevant operator to whom the order relates; and
 - (b) publish the order in such manner as [F50:it] considers appropriate for the purpose of bringing it to the attention of persons likely to be affected by it.
- (6) Before revoking a final order or a provisional order which has been confirmed, the appropriate [F51:authority] shall give notice—
- (a) stating that [F50:it] proposes to revoke the order and setting out the effect of its revocation, and
 - (b) specifying the period (not being less than [F59:21] days from the date of publication of the notice) within which representations or objections with respect to the proposed revocation may be made,
- and shall consider any representations or objections which are duly made and not withdrawn.
- (7) If, after giving notice under subsection (6) above, the appropriate [F51:authority] decides not to revoke the order to which the notice relates, [F50:it] shall give notice of [F52:its] decision.
- (8) A notice under subsection (6) or (7) above shall be given—
- (a) by publishing the notice in such manner as the appropriate [F51:authority] considers appropriate for the purpose of bringing the matters to which the notice relates to the attention of persons likely to be affected by them; and
 - (b) by serving a copy of the notice on the relevant operator to whom the order relates.

Textual Amendments

- F49** Words in s. 56 sidenote inserted (1.2.2001) by 2000 c. 38, s. 252, **Sch. 27 para. 31**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F50** Word in s. 56 substituted (1.2.2001) by 2000 c. 38, s. 215, **Sch. 16 para. 36(b)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II) (which S.I. was amended by S.I. 2001/115, **art. 2(2)**)
- F51** Word in s. 56 substituted (1.2.2001) by 2000 c. 38, s. 215, **Sch. 16 para. 36(a)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II) (which S.I. was amended by S.I. 2001/115, **art. 2(2)**)
- F52** Word in s. 56 substituted (1.2.2001) by 2000 c. 38, s. 215, **Sch. 16 para. 36(c)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II) (which S.I. was amended by S.I. 2001/115, **art. 2(2)**)

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- F53** Word in s. 56(1)(c) substituted (1.2.2001) by 2000 c. 38, s. 226(2)(a); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F54** S. 56(2A) inserted (1.2.2001) by 2000 c. 38, s. 216, **Sch. 17 para. 12** (with Sch. 28 paras. 2(5), 17); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F55** Words in s. 56(2A) substituted (16.10.2015) by The Office of Rail Regulation (Change of Name) Regulations 2015 (S.I. 2015/1682), reg. 1(2), **Sch. para. 1(kk)**
- F56** Words in s. 56(2A) substituted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 22**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F57** Words in s. 56(2A) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 14**
- F58** Words in s. 56(4)(b) substituted (1.2.2001) by 2000 c. 38, s. 226(2)(b); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F59** Words in s. 56(6)(b) substituted (1.2.2001) by 2000 c. 38, s. 226(2)(c); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)

Modifications etc. (not altering text)

- C2** Ss. 55-58 applied (25.6.2010) by The Rail Passengers Rights and Obligations Regulations 2010 (S.I. 2010/1504), **reg. 17**
- C4** S. 56 applied (with modifications) (28.11.2005) by The Railway (Licensing of Railway Undertakings) Regulations 2005 (S.I. 2005/3050), reg. 14, **Sch. 3 para. 1(c)**

57 Validity and effect of [^{F60}section 55] orders. **E+W+S**

- (1) If the relevant operator to whom a final or provisional order relates is aggrieved by the order and desires to question its validity on the ground—
- (a) that its making or confirmation was not within the powers of section 55 above, or
 - (b) that any of the requirements of section 56 above have not been complied with in relation to it,
- he may, within 42 days from the date of service on him of a copy of the order, make an application to the court under this section.
- (2) On any such application the court, if satisfied that the making or confirmation of the order was not within those powers or that the interests of the relevant operator have been substantially prejudiced by a failure to comply with those requirements—
- (a) may quash the order or any provision of the order; ^{F61} . . .
 - ^{F62}(b)
- [^{F63}(2A) If such an application is made in relation to a provision of an order requiring the payment of a sum in the event of a contravention and the sum would be payable before the time when the application is determined, it need not be paid until that time.
- (2B) Where such an application is so made the court, if satisfied as mentioned in subsection (2) above, may (instead of quashing the order or the provision of the order) make provision under either or both of paragraphs (a) and (b) of subsection (2C) below.
- (2C) The provision referred to in subsection (2B) above is—
- (a) provision substituting for the sum, or provision for determining a sum, specified in the order such lesser sum, or such other provision for determining

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- a sum, as the court considers appropriate in all the circumstances of the case;
and
- (b) provision substituting for the date by which the sum is to be paid specified in or determined in accordance with the order such later date as the court considers appropriate in all the circumstances of the case.
- (2D) Where the court substitutes a lesser sum, or different provision for determining a sum, it may require the payment of interest on the new sum at such rate, and from such date, as it determines; and where it specifies as the date by which the sum is to be paid a date before the determination of the application it may require the payment of interest on the sum from that date at such rate as it determines.]
- (3) Except as provided by this section, the validity of a final or provisional order shall not be questioned by any legal proceedings whatever.
- (4) The obligation to comply with a final or provisional order shall be a duty owed to any person who may be affected by a contravention of the order.
- (5) Where a duty is owed by virtue of subsection (4) above to any person, any breach of the duty which causes that person to sustain loss or damage shall be actionable at the suit or instance of that person.
- (6) In any proceedings brought against a relevant operator in pursuance of subsection (5) above, it shall be a defence for him to prove that he took all reasonable steps and exercised all due diligence to avoid contravening the order.
- (7) Without prejudice to any right which any person may have by virtue of subsection (5) above to bring civil proceedings in respect of any contravention or apprehended contravention of a final or provisional order, compliance with any such order shall be enforceable by civil proceedings by the appropriate [^{F64}authority] for an injunction or for interdict or for any other appropriate relief or remedy.
- (8) Where a relevant operator to whom a final or provisional order relates has made an application pursuant to subsection (1) above questioning the validity of that order, the making of that application shall not affect—
- (a) his obligation to comply with the order, or
- (b) the right which any person may have to bring civil proceedings against him in pursuance of subsection (5) or (7) above.
- (9) In this section and [^{F65}sections 57F and 58] below “the court” means the High Court in relation to England and Wales and the Court of Session in relation to Scotland.

Textual Amendments

- F60** Words in s. 57 sidenote inserted (1.2.2001) by 2000 c. 38, s. 252, **Sch. 27 para. 32(5)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F61** S. 57(2)(b) and word “or” immediately preceding it repealed (1.2.2001) by 2000 c. 38, s. 274, **Sch. 31 Pt. IV**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F62** S. 57(2)(b) omitted (1.2.2001) by virtue of 2000 c. 38, s. 252, **Sch. 27 para. 32(2)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F63** S. 57(2A)-(2D) inserted (1.2.2001) by 2000 c. 38, s. 252, **Sch. 27 para. 32(3)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)

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- F64** Word in s. 57(7) substituted (1.2.2001) by 2000 c. 38, s. 215, **Sch. 16 para. 37**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in **Sch. 2 Pt. II**) (which S.I. was amended by S.I. 2001/115, **art. 2(2)**)
- F65** Words in s. 57(9) substituted (1.2.2001) by 2000 c. 38, s. 252, **Sch. 27 para. 32(4)**; S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in **Sch. 2 Pt. II**)

Modifications etc. (not altering text)

- C2** Ss. 55-58 applied (25.6.2010) by **The Rail Passengers Rights and Obligations Regulations 2010 (S.I. 2010/1504), reg. 17**
- C5** S. 57 applied (with modifications) (28.11.2005) by **The Railway (Licensing of Railway Undertakings) Regulations 2005 (S.I. 2005/3050), reg. 14, Sch. 3 para. 1(c)**

[^{F66}57A Penalties. E+W+S

- (1) If the appropriate authority is satisfied that a relevant operator has contravened or is contravening—
 - (a) a relevant condition or requirement, or
 - (b) a final or provisional order made by the appropriate authority,
 the appropriate authority may impose on the relevant operator a penalty of such amount as is reasonable.
- (2) A penalty is payable
 - [^{F67}(a) in the case of a penalty imposed by the Scottish Ministers, to them; ^{F68}...
 - [^{F69}(aa) in the case of a penalty imposed by the Welsh Ministers, to them; and]
 - (b) in any other case, to the Secretary of State.]
- (3) The amount of a penalty imposed on a relevant operator may not exceed 10 per cent. of his turnover determined in accordance with an order made by the Secretary of State; and an order under this subsection shall not be made unless a draft of the statutory instrument containing it has been laid before and approved by a resolution of each House of Parliament.
- (4) No penalty may be imposed in respect of any contravention of a final or provisional order if provision was made in the order by virtue of section 55(7A) above in relation to the contravention.
- (5) [^{F70}Neither the Secretary of State nor the Scottish Ministers [^{F71}nor the Welsh Ministers] shall] impose a penalty on a licence holder or person under closure restrictions unless—
 - (a) [^{F72}the Secretary of State, the Scottish Ministers or the Welsh Ministers (as the case may be) has or have] given notice to [^{F73}the Office of Rail and Road] specifying a period within which [^{F74}it] may give notice to [^{F75}him or them] if [^{F74}it] considers that the most appropriate way of proceeding is under the ^{M3}Competition Act 1998;
 - (b) that period has expired; and
 - (c) [^{F73}the Office of Rail and Road] has not given notice to [^{F76}the Secretary of State, the Scottish Ministers or the Welsh Ministers (as the case may be)] within that period that [^{F74}it] so considers (or, if [^{F74}it] has, [^{F74}it] has withdrawn it).

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[^{F77}(6) Before imposing a penalty under this section, [^{F73}the Office of Rail and Road] shall consider whether it would be more appropriate to proceed under the Competition Act 1998.]

[[^{F73}The Office of Rail and Road] shall not impose a penalty under this section if it ^{F77}(7) considers that it would be more appropriate to proceed under the Competition Act 1998.]]

Textual Amendments

- F66** Ss. 57A-57F inserted (1.2.2001) by 2000 c. 38, s. 225(1) (with Sch. 28 paras. 6-8, 17); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F67** S. 57A(2)(a)(b) substituted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) for words by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 23(2)**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F68** Word in s. 57A(2) omitted (14.10.2018 at 2.00 a.m.) by virtue of The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 15(2)**
- F69** S. 57A(aa) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 15(2)**
- F70** Words in s. 57A(5) substituted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 23(3)(a)**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F71** Words in s. 57A(5) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 15(3)(a)**
- F72** Words in s. 57A(5)(a) substituted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 15(3)(b)**
- F73** Words in ss. 57A(5)-(7) substituted (16.10.2015) by The Office of Rail Regulation (Change of Name) Regulations 2015 (S.I. 2015/1682), reg. 1(2), **Sch. para. 1(II)**
- F74** Word in s. 57A substituted (5.7.2004) by Railways and Transport Safety Act 2003 (c. 20), ss. 16, 120, {Sch. 2 para. 3(b) Table}; S.I. 2004/827, **art. 4(g)**
- F75** Words in s. 57A(5)(a) substituted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 23(3)(b)**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F76** Words in s. 57A(5)(c) substituted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 15(3)(c)**
- F77** S. 57A(6)(7) substituted for s. 57A(6) (1.4.2014) by Enterprise and Regulatory Reform Act 2013 (c. 24), s. 103(3), **Sch. 14 para. 13**; S.I. 2014/416, art. 2(1)(e) (with Sch.)

Modifications etc. (not altering text)

- C2** Ss. 55-58 applied (25.6.2010) by The Rail Passengers Rights and Obligations Regulations 2010 (S.I. 2010/1504), **reg. 17**
- C6** S. 57A applied (with modifications) (28.11.2005) by The Railway (Licensing of Railway Undertakings) Regulations 2005 (S.I. 2005/3050), **reg. 15**, {Sch. 3 para. 1(c)}
- C7** S. 57A(2)(3)(6)(7) modified (29.7.2016) by The Railways (Access, Management and Licensing of Railway Undertakings) Regulations 2016 (S.I. 2016/645), regs. 1(1), **38(3)(4)** (with reg. 4)

Marginal Citations

- M3** 1998 c. 41.

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^{F78}57B Statement of policy. E+W+S

- (1) The [^{F79}Secretary of State, the Scottish Ministers][^{F80}, the Welsh Ministers] and [^{F81}the Office of Rail and Road] shall each prepare and publish a statement of policy with respect to the imposition of penalties and the determination of their amount.
- (2) A statement of policy may include provision for a decision whether to impose a penalty, or the determination of the amount of any penalty, in respect of the contravention of any relevant condition or requirement or order to be influenced by—
 - (a) the desirability of securing compliance with that relevant condition or requirement or order;
 - (b) the consequences or likely consequences of anything which has been or is being done or omitted to be done in contravention of that relevant condition or requirement or order; and
 - (c) the desirability of deterring contraventions of relevant conditions and requirements and final and provisional orders.
- (3) In deciding whether to impose a penalty, and in determining the amount of any penalty, in respect of a contravention the [^{F79}Secretary of State, the Scottish Ministers][^{F82}, the Welsh Ministers] and Regulator shall have regard to any statement of [^{F83}his, their or] its ^{F84} . . . policy published at the time when the contravention occurred.
- (4) The [^{F79}Secretary of State, the Scottish Ministers][^{F82}, the Welsh Ministers] and [^{F81}the Office of Rail and Road] —
 - (a) may at any time alter or replace a statement of [^{F83}his, their or]^{F85} . . . its policy; and
 - (b) shall publish the altered or replacement statement.
- (5) The [^{F79}Secretary of State, the Scottish Ministers][^{F82}, the Welsh Ministers] and [^{F81}the Office of Rail and Road] shall undertake appropriate consultation when preparing, altering or replacing a statement of policy.
- (6) The [^{F79}Secretary of State, the Scottish Ministers][^{F82}, the Welsh Ministers] and [^{F81}the Office of Rail and Road] shall publish a statement of policy in the manner that appears most suitable for bringing it to the attention of those likely to be affected by it.
- (7) This section applies in relation to sums required to be paid by virtue of section 55(7A) above as to penalties, but as if—
 - (a) references to the imposition of penalties were to the inclusion in an order of a requirement to pay a sum;
 - (b) references to relevant conditions or requirements were omitted; and
 - (c) the reference in subsection (2)(b) above to anything which has been or is being done or omitted to be done included a reference to anything which is likely to be done or omitted to be done.

Textual Amendments

- F78** Ss. 57A-57F inserted (1.2.2001) by 2000 c. 38, s. 225(1) (with Sch. 28 paras. 6-8, 17); S.I. 2001/57, art. 3(1), Sch. 2 Pt. I (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F79** Words in s. 57B substituted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, Sch. 1 para. 24(1)(a)(2); S.I. 2005/1909, {art. 2}, Sch.; S.I. 2005/2812, art. 2(1), Sch. 1; S.I. 2006/2911, art. 2, Sch. (subject to the transitional and saving provisions in arts. 3-7)

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- F80** Words in s. 57B(1) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 16**
- F81** Words in s. 57B substituted (16.10.2015) by The Office of Rail Regulation (Change of Name) Regulations 2015 (S.I. 2015/1682), reg. 1(2), **Sch. para. 1(mm)**
- F82** Words in ss. 57B(3)-(6) inserted (14.10.2018 at 2.00 a.m.) by The Welsh Ministers (Transfer of Functions) (Railways) Order 2018 (S.I. 2018/631), art. 1(3), **Sch. para. 16**
- F83** Words in s. 57B(3)(4) inserted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by Railways Act 2005 (c. 14), ss. 1, 60, **Sch. 1 para. 24(1)(b)(2)**; S.I. 2005/1909, {art. 2}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F84** Words in s. 57B(3) repealed (5.7.2004) by Railways and Transport Safety Act 2003 (c. 20), ss. 16, 118, 120, Sch. 2 para. 13(a), **Sch. 8**; S.I. 2004/827, **art. 4(i)**
- F85** Words in s. 57B(4)(a) repealed (5.7.2004) by Railways and Transport Safety Act 2003 (c. 20), ss. 16, 118, 120, Sch. 2 para. 13(b), **Sch. 8**; S.I. 2004/827, **art. 4(i)**

Modifications etc. (not altering text)

- C2** Ss. 55-58 applied (25.6.2010) by The Rail Passengers Rights and Obligations Regulations 2010 (S.I. 2010/1504), **reg. 17**
- C8** S. 57B applied (with modifications) (28.11.2005) by The Railway (Licensing of Railway Undertakings) Regulations 2005 (S.I. 2005/3050), reg. 15, **Sch. 3 para. 1(c)**
- C9** Ss. 57B(1)-(6) modified (29.7.2016) by The Railways (Access, Management and Licensing of Railway Undertakings) Regulations 2016 (S.I. 2016/645), regs. 1(1), **38(3)(4)** (with reg. 4)

^{F86}57C Procedural requirements for penalties. E+W+S

- (1) Before it imposes a penalty on a relevant operator, the appropriate authority shall give notice—
- stating that it proposes to impose a penalty on the relevant operator and the amount of the penalty proposed,
 - setting out the relevant condition or requirement or order in question,
 - specifying the acts or omissions which, in its opinion, constitute contraventions of that condition or requirement or order and the other facts which, in its opinion, justify the imposition of a penalty and the amount of the penalty proposed,
 - specifying the manner in which, and place at which, it is proposed to require the penalty to be paid, and
 - specifying the period (not being less than 21 days from the date of publication of the notice) within which representations or objections with respect to the proposed penalty may be made,
- and shall consider any representations or objections which are duly made and not withdrawn.
- (2) A notice under subsection (1) above shall be given—
- by publishing the notice in such manner as the appropriate authority considers appropriate; and
 - by serving a copy of the notice on the relevant operator.
- (3) Where [^{F87}the Office of Rail and Road] serves a copy of a notice under subsection (1) above on a licence holder, he shall also serve a copy on the [^{F88}Secretary of State and on the Scottish Ministers][^{F89}and the Welsh Ministers].
- (4) The appropriate authority shall not modify a proposal to impose a penalty except—

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- (a) with the consent of the relevant operator;
 - (b) where the modifications consist of a reduction of the amount of the penalty or a deferral of the date by which it is to be paid; or
 - (c) after complying with the requirements of subsection (5) below.
- (5) The requirements mentioned in subsection (4)(c) above are that the appropriate authority shall—
- (a) give to the relevant operator such notice as appears to it requisite of its modified proposal;
 - (b) unless the proposed modifications are trivial, in that notice specify a period (not being less than seven days from the date of service of the notice) within which representations or objections with respect to the proposed modifications may be made; and
 - (c) consider any representations or objections which are duly made and not withdrawn.
- (6) As soon as practicable after imposing a penalty, the appropriate authority shall give notice—
- (a) stating that it has imposed a penalty on the relevant operator and its amount;
 - (b) setting out the relevant condition or requirement or order in question;
 - (c) specifying the acts or omissions which, in its opinion, constitute contraventions of that condition or requirement or order and the other facts which, in its opinion, justify the imposition of the penalty and its amount;
 - (d) specifying the manner in which, and place at which, the penalty is to be paid; and
 - (e) specifying the date (not being less than fourteen days from the date of publication of the notice) by which the penalty is to be paid.
- (7) A notice under subsection (6) above shall be given—
- (a) by publishing the notice in such manner as the appropriate authority considers appropriate; and
 - (b) by serving a copy of the notice on the relevant operator.
- (8) The relevant operator may, within 21 days of the date of service on him of the notice under subsection (6) above, make an application to the appropriate authority for it to specify different dates by which different portions of the penalty are to be paid.

Textual Amendments

- F86** Ss. 57A-57F inserted (1.2.2001) by 2000 c. 38, s. 225(1) (with Sch. 28 paras. 6-8, 17); S.I. 2001/57, art. 3(1), **Sch. 2 Pt. I** (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F87** Words in s. 57C(3) substituted (16.10.2015) by [The Office of Rail Regulation \(Change of Name\) Regulations 2015 \(S.I. 2015/1682\)](#), reg. 1(2), **Sch. para. 1(nn)**
- F88** Words in s. 57C(3) substituted (24.7.2005 for certain purposes and 16.10.2005 for certain further purposes and 1.12.2006 in so far as not already in force) by [Railways Act 2005 \(c. 14\)](#), ss. 1, 60, **Sch. 1 para. 25**; S.I. 2005/1909, {art. 1}, Sch.; S.I. 2005/2812, **art. 2(1)**, Sch. 1; S.I. 2006/2911, **art. 2**, Sch. (subject to the transitional and saving provisions in arts. 3-7)
- F89** Words in s. 57C(3) inserted (14.10.2018 at 2.00 a.m.) by [The Welsh Ministers \(Transfer of Functions\) \(Railways\) Order 2018 \(S.I. 2018/631\)](#), art. 1(3), **Sch. para. 17**

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Modifications etc. (not altering text)

- C2** Ss. 55-58 applied (25.6.2010) by [The Rail Passengers Rights and Obligations Regulations 2010 \(S.I. 2010/1504\)](#), [reg. 17](#)
- C10** S. 57C applied (with modifications) (28.11.2005) by [The Railway \(Licensing of Railway Undertakings\) Regulations 2005 \(S.I. 2005/3050\)](#), [reg. 14](#), [Sch. 3 para. 1\(c\)](#)
- C11** S. 57C modified (29.7.2016) by [The Railways \(Access, Management and Licensing of Railway Undertakings\) Regulations 2016 \(S.I. 2016/645\)](#), [regs. 1\(1\)](#), [38\(3\)\(4\)](#) (with [reg. 4](#))

^{F90}57D Time limits. E+W+S

- (1) No penalty may be imposed in respect of a contravention by a relevant operator—
- (a) by virtue of paragraph (a) of subsection (1) of section 57A above in a case where no final or provisional order has been made in relation to the contravention, or
- (b) by virtue of paragraph (b) of that subsection,
- unless a copy of the notice relating to the penalty under section 57C(1) above is served on the relevant operator within two years of the time of the contravention.
- (2) No penalty may be imposed in respect of a contravention by a relevant operator by virtue of section 57A(1)(a) above in a case where a final or provisional order has been made in relation to the contravention unless a copy of the notice relating to the penalty under section 57C(1) above is served on the relevant operator—
- (a) within three months of the confirmation of the provisional order or the making of the final order; or
- (b) where the provisional order is not confirmed, within six months of the making of the provisional order.

Textual Amendments

- F90** S. 57A-57F inserted (1.2.2001) by [2000 c. 38, s. 225\(1\)](#) (with [Sch. 28 paras. 6-8, 17](#)); [S.I. 2001/57, art. 3\(1\)](#), [Sch. 2 Pt. I](#) (subject to savings and transitional provisions in [Sch. 2 Pt. II](#))

Modifications etc. (not altering text)

- C2** Ss. 55-58 applied (25.6.2010) by [The Rail Passengers Rights and Obligations Regulations 2010 \(S.I. 2010/1504\)](#), [reg. 17](#)
- C12** S. 57D applied (with modifications) (28.11.2005) by [The Railway \(Licensing of Railway Undertakings\) Regulations 2005 \(S.I. 2005/3050\)](#), [reg. 14](#), [Sch. 3 para. 1\(c\)](#)
- C13** S. 57D(1) modified (29.7.2016) by [The Railways \(Access, Management and Licensing of Railway Undertakings\) Regulations 2016 \(S.I. 2016/645\)](#), [regs. 1\(1\)](#), [38\(3\)\(4\)](#) (with [reg. 4](#))

^{F91}57E Interest and payment of instalments. E+W+S

- (1) If the whole or any part of a penalty is not paid by the date by which it is to be paid, the unpaid balance from time to time shall carry interest at the rate for the time being specified in section 17 of the ^{M4}Judgments Act 1838.
- (2) If an application is made under subsection (8) of section 57C above in relation to a penalty, the penalty need not be paid until the application has been determined.
- (3) If the appropriate authority grants an application under that subsection in relation to a penalty but any portion of the penalty is not paid by the date specified in relation to it

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by the appropriate authority under that subsection, so much of the penalty as has not already been paid is to be paid immediately.

Textual Amendments

F91 S. 57A-57F inserted (1.2.2001) by 2000 c. 38, s. 225(1) (with Sch. 28 paras. 6-8, 17); S.I. 2001/57, art. 3(1), Sch. 2 Pt. I (subject to savings and transitional provisions in Sch. 2 Pt. II)

Modifications etc. (not altering text)

C2 Ss. 55-58 applied (25.6.2010) by The Rail Passengers Rights and Obligations Regulations 2010 (S.I. 2010/1504), reg. 17

C14 S. 57E applied (with modifications) (28.11.2005) by The Railway (Licensing of Railway Undertakings) Regulations 2005 (S.I. 2005/3050), reg. 14, Sch. 3 para. 1(c)

C15 S. 57E modified (29.7.2016) by The Railways (Access, Management and Licensing of Railway Undertakings) Regulations 2016 (S.I. 2016/645), regs. 1(1), 38(3)(4) (with reg. 4)

Marginal Citations

M4 1838 c. 110.

^{F92}57F Validity and effect of penalties. **E+W+S**

- (1) If the relevant operator to whom a [^{F93}penalty notice] relates is aggrieved by a penalty and desires to question its validity on the ground—
 - (a) that it was not within the powers of section 57A above,
 - (b) that any of the requirements of section 57C above have not been complied with in relation to it and his interests have been substantially prejudiced by the non-compliance, or
 - (c) that it was unreasonable of the appropriate authority not to grant an application under section 57C(8) above;
 he may make an application to the court under this section.
- (2) An application under this section by a person shall be made—
 - (a) where it is on the ground mentioned in subsection (1)(c) above, within 42 days from the date on which he is notified of the decision not to grant the application under section 57C(8) above, and
 - (b) in any other case, within 42 days from the date of service on him of the notice under section 57C(6) above.
- (3) If an application is made under this section in relation to a penalty, the penalty need not be paid until the application has been determined.
- (4) On an application under this section on the ground mentioned in subsection (1)(a) or (b) above the court, if satisfied that the ground is established, may quash the penalty or (instead of quashing it) make provision under either or both of paragraphs (a) and (b) of subsection (5) below.
- (5) The provision referred to in subsection (4) above is—
 - (a) provision substituting a penalty of such lesser amount as the court considers appropriate in all the circumstances of the case; and
 - (b) provision substituting as the date by which the penalty, or any portion of the penalty, is to be paid a date later than that specified in the notice under section 57C(6) above.

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- (6) On an application under this section on the ground mentioned in subsection (1)(c) above the court, if satisfied that the ground is established, may specify different dates by which different portions of the penalty are to be paid.
- (7) Where the court substitutes a penalty of a lesser amount it may require the payment of interest on the substituted penalty at such rate, and from such date, as it determines; and where it specifies as the date by which the penalty, or a portion of the penalty, is to be paid a date before the determination of the application it may require the payment of interest on the penalty, or portion, from that date at such rate as it determines.
- (8) Except as provided by this section, the validity of a penalty shall not be questioned by any legal proceedings whatever.

Textual Amendments

- F92** Ss. 57A-57F inserted (1.2.2001) by 2000 c. 38, s. 225(1) (with Sch. 28 paras. 6-8, 17); S.I. 2001/57, art. 3(1), Sch. 2 Pt. I (subject to savings and transitional provisions in Sch. 2 Pt. II)
- F93** Words in s. 57F(1) substituted (24.7.2005) by Railways Act 2005 (c. 14), ss. 54, 60, Sch. 11 para. 8; S.I. 2005/1909, {art. 1}, Sch.

Modifications etc. (not altering text)

- C2** Ss. 55-58 applied (25.6.2010) by The Rail Passengers Rights and Obligations Regulations 2010 (S.I. 2010/1504), reg. 17
- C16** S. 57F applied (with modifications) (28.11.2005) by The Railway (Licensing of Railway Undertakings) Regulations 2005 (S.I. 2005/3050), reg. 15, {Sch. 3 para. 1(c)}
- C17** S. 57F modified (29.7.2016) by The Railways (Access, Management and Licensing of Railway Undertakings) Regulations 2016 (S.I. 2016/645), regs. 1(1), 38(3)(4) (with reg. 4)

58 Power to require information etc^[F94] for purposes of sections 55 and 57A]. **E+W** **+S**

- (1) Where it appears to the appropriate ^[F95]authority that a relevant operator ^[F96]may have contravened or be contravening—
 - (a) a relevant condition or requirement, or
 - (b) a final or provisional order made by the appropriate authority,the] appropriate ^[F95]authority may, for any purpose connected with such of ^[F95]its] functions under section 55 ^[F97]or 57A] above as are exercisable in relation to that matter, serve a notice under subsection (2) below on any person.
- (2) A notice under this subsection is a notice signed by the appropriate ^[F98]authority and—
 - (a) requiring the person on whom it is served to produce, at a time and place specified in the notice, to the appropriate ^[F98]authority] or to any person appointed by the appropriate ^[F98]authority] for the purpose, any documents which are specified or described in the notice and are in that person's custody or under his control; or
 - (b) requiring that person, if he is carrying on a business, to furnish, at a time and place and in the form and manner specified in the notice, to the appropriate ^[F98]authority] such information as may be specified or described in the notice.
- (3) No person shall be required under this section to produce any documents which he could not be compelled to produce in civil proceedings in the court or, in complying

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with any requirement for the furnishing of information, to give any information which he could not be compelled to give in evidence in any such proceedings.

- (4) A person who without reasonable excuse fails to do anything required of him by notice under subsection (2) above is guilty of an offence and shall be liable on summary conviction to a fine not exceeding level 5 on the standard scale.
- (5) A person who intentionally alters, suppresses or destroys any document which he has been required by any notice under subsection (2) above to produce is guilty of an offence and shall be liable—
 - (a) on summary conviction, to a fine not exceeding the statutory maximum;
 - (b) on conviction on indictment, to a fine.
- (6) If a person makes default in complying with a notice under subsection (2) above, the court may, on the application of the appropriate [^{F98}authority], make such order as the court thinks fit for requiring the default to be made good; and any such order may provide that all the costs or expenses of and incidental to the application shall be borne by the person in default or by any officers of a company or other association who are responsible for its default.
- (7) Any reference in this section 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 the reference to suppressing a document includes a reference to destroying the means of reproducing information recorded otherwise than in legible form.

Textual Amendments

- F94** Words in s. 58 sidenote inserted (1.2.2001) by [2000 c. 38, s. 252, Sch. 27 para. 33\(3\)](#); S.I. 2001/57, [art. 3\(1\), Sch. 2 Pt. I](#) (subject to savings and transitional provisions in [Sch. 2 Pt. II](#))
- F95** Word in s. 58(1) substituted (1.2.2001) by [2000 c. 38, s. 215, Sch. 16 para. 38\(2\)](#); S.I. 2001/57, [art. 3\(1\), Sch. 2 Pt. I](#) (subject to savings and transitional provisions in [Sch. 2 Pt. II](#)) (which S.I. was amended by S.I. 2001/115, [art. 2\(2\)](#))
- F96** Words in s. 58(1) substituted (1.2.2001) by [2000 c. 38, s. 252, Sch. 27 para. 33\(2\)\(a\)](#); S.I. 2001/57, [art. 3\(1\), Sch. 2 Pt. I](#) (subject to savings and transitional provisions in [Sch. 2 Pt. II](#))
- F97** Words in s. 58(1) inserted (1.2.2001) by [2000 c. 38, s. 252, Sch. 27 para. 33\(2\)\(b\)](#); S.I. 2001/57, [art. 3\(1\), Sch. 2 Pt. I](#) (subject to savings and transitional provisions in [Sch. 2 Pt. II](#))
- F98** Word in s. 58(2)(6) substituted (1.2.2001) by [2000 c. 38, s. 215, Sch. 16 para. 38\(3\)](#); S.I. 2001/57, [art. 3\(1\), Sch. 2 Pt. I](#) (subject to savings and transitional provisions in [Sch. 2 Pt. II](#)) (which S.I. was amended by S.I. 2001/115, [art. 2\(2\)](#))

Modifications etc. (not altering text)

- C2** Ss. 55-58 applied (25.6.2010) by [The Rail Passengers Rights and Obligations Regulations 2010 \(S.I. 2010/1504\), reg. 17](#)
- C18** S. 58 applied (with modifications) (28.11.2005) by [The Railway \(Licensing of Railway Undertakings\) Regulations 2005 \(S.I. 2005/3050\), reg. 14, Sch. 3 para. 1\(c\)](#)

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