
STATUTORY INSTRUMENTS

2011 No. 2632

**ROAD TRAFFIC
PUBLIC PASSENGER TRANSPORT**

The Road Transport Operator Regulations 2011

Made - - - - 1st November 2011
Laid before Parliament 7th November 2011
Coming into force - - 4th December 2011

The Secretary of State for Transport makes these Regulations in exercise of the powers conferred by section 2(2) of the European Communities Act 1972(1).

The Secretary of State has been designated(2) for the purposes of section 2(2) in relation to the carriage of passengers and goods by road.

PART 1

General

Citation, commencement and extent

1.—(1) These Regulations may be cited as the Road Transport Operator Regulations 2011 and come into force on 4th December 2011.

^{F1}(2)

F1 [Reg. 1\(2\)](#) omitted (17.3.2022) by virtue of [The Goods Vehicles \(Licensing of Operators\) \(Amendment\) Regulations 2022 \(S.I. 2022/293\)](#), regs. 2(1), **18**

Commencement Information

II [Reg. 1](#) in force at 4.12.2011, see [reg. 1\(1\)](#)

(1) 1972 c.68; section 2(2) was amended by section 27(1)(a) of the Legislative and Regulatory Reform Act 2006 (c.51).
(2) S.I. 1996/266; to which there are amendments not relevant to these Regulations.

Purpose and interpretation

2.—(1) These Regulations implement Regulation 1071/2009.

(2) In these Regulations —

“the commencement date” means 4th December 2011;

“Regulation 1071/2009” means Regulation (EC) No. 1071/2009 of the European Parliament and of the Council of 21 October 2009 establishing common rules concerning the conditions to be complied with to pursue the occupation of road transport operator and repealing Council Directive 96/26/EC(3);

“the 1981 Act” means the Public Passenger Vehicles Act 1981(4);

“the 1995 Act” means the Goods Vehicles (Licensing of Operators) Act 1995(5).

(3) Unless the context otherwise requires, expressions used in Regulation 1071/2009 have the same meaning when used in these Regulations.

Commencement Information

I2 Reg. 2 in force at 4.12.2011, see reg. 1(1)

Revocation

3. The following instruments are revoked—

- (a) the Public Service Vehicle Operators (Qualifications) Regulations 1990(6);
- (b) the Goods Vehicle Operators (Qualifications) Regulations 1999(7); and
- (c) the Public Service Vehicle Operators (Qualifications) Regulations 1999(8).

(3) OJ No L 300, 14. 11.09, p 51.

(4) 1981 c.14. Section 4 was amended by the Transport Act 1985 (c.67), section 3(2) and by the Local Transport Act 2008 (c.26), section 2(1) to (6). Section 12 was amended by the Transport Act 1985, section 1 and Schedule 1, paragraph 4 and section 3 and Schedule 2, Part II. Section 14 was amended by the Transport Act 1985, section 3 and Schedule 2, Part II and by the Deregulation and Contracting Out Act 1994 (c.40), sections 59 and 68 and Schedule 14, paragraph 2. Section 14A was inserted by the Transport Act 1985, section 25 and was amended by the Deregulation and Contracting Out Act 1994, sections 60, 68 and 81 and Schedule 14, paragraph 3 and Schedule 17. Section 16A was inserted by S.I. 1999/2431, regulation 5. Section 17 was amended by the Transport Act 1985, sections 3 and 139(2) and Schedule 2, Part II, paragraph 4(8) and Schedule 7, paragraph 21(5) and (6) and by the Deregulation and Contracting Out Act 1994, sections 62, 68 and 81 and Schedules 14 and 17. Section 17A was inserted by the Transport Act 1985, section 5. Section 57 was amended by the Transport Act 1985, sections 1 and 139(3), Schedule 1, paragraph 9 and Schedule 8, and by the Mental Capacity Act 2005 (c.9), section 67(1) and Schedule 6, paragraph 26. Section 82(1) was amended by the Local Transport Act 2008, section 2(7) and by the Transport Act 1985, section 3(5) and Schedule 2, Part II, paragraphs (1) and (20). Schedule 3 was amended by the Transport Act 1985, section 3 and Schedule 2, Part II; by the Criminal Justice Act 2003 (c.44), section 304 and Schedule 32, Part I; by the Road Safety Act 2006 (c.49), section 7; by the Armed Forces Act 2006 (c.52), section 378 and Schedule 16, paragraph 90 and section 383(2); by S.I. 1990/1851, regulation 2 and the Schedule; by S.I. 1999/2431, regulations 1(2), 3 and 4; and by S.I. 2004/3223, regulation 1(2).

(5) 1995 c.23. Section 2 was amended by the Transport Act 2000 (c.67), section 261. Section 12 was amended by the Planning (Consequential Provisions) (Scotland) Act 1997 (c.11), section 4 and Schedule 2, paragraph 59(1). Section 22 was amended by S.I. 2009/1941, article 2(1) and Schedule 1, paragraph 153. Section 24 was amended by S.I. 2009/1885, article 4(1) and Schedule 1, paragraphs 18 and 19. Section 35 was amended by S.I. 2009/1885, article 4(1) and Schedule 1, paragraphs 18 and 21. Section 49 was amended by S.I. 1997/2971, article 6(1) and the Schedule, paragraph 24. Section 58(1) was amended by S.I. 2009/1941, article 2(1) and Schedule 1, paragraph 153(1) and (4). Schedule 3 was amended by the Criminal Justice Act 2003 (c.49), section 304 and Schedule 32, Part I, paragraph 68; by the Armed Forces Act 2006 (c.52), section 378(1) and Schedule 16, paragraph 131; by S.I. 1999/1167, regulation 3; by S.I. 2004/3222, regulation 2; and by S.I. 1999/2430, regulations 2 to 4(2)(b) and 5(5).

(6) S.I. 1990/1851.

(7) S.I. 1999/2430.

(8) S.I. 1999/2431.

Commencement Information

I3 Reg. 3 in force at 4.12.2011, see **reg. 1(1)**

Competent authorities etc.

- 4.—^{F2}(1)
- ^{F3}(2)
- ^{F2}(3)
- ^{F2}(4)

- F2** Reg. 4(1)(3)(4) omitted (17.3.2022) by virtue of [The Goods Vehicles \(Licensing of Operators\) \(Amendment\) Regulations 2022 \(S.I. 2022/293\)](#), regs. 2(1), **19(1)**
- F3** Reg. 4(2) omitted (17.3.2022) by virtue of [The Goods Vehicles \(Licensing of Operators\) \(Amendment\) Regulations 2022 \(S.I. 2022/293\)](#), regs. 2(1), **19(2)**

Authorisations to pursue or engage in the occupation of road transport operator

5.—(1) A standard licence granted under the 1981 Act (including before the commencement date) constitutes an authorisation to pursue or engage in the occupation of road transport operator for the purposes of Regulation 1071/2009 in the capacity of road passenger transport operator.

- ^{F4}(2)

- F4** Reg. 5(2) omitted (17.3.2022) by virtue of [The Goods Vehicles \(Licensing of Operators\) \(Amendment\) Regulations 2022 \(S.I. 2022/293\)](#), regs. 2(1), **20**

Commencement Information

I4 Reg. 5 in force at 4.12.2011, see **reg. 1(1)**

Notification of changes to data

- 6.—^{F5}(1)

(2) The obligation imposed by [^{F6}Article 11(5) of Regulation 1071/2009] on such an undertaking constitutes a condition attached to the licence for the purposes of —

- (a) in the case of a licence granted under the 1981 Act, section 17(3)(b) of that Act; ^{F7}...

- ^{F7}(b)

- F5** Reg. 6(1) omitted (17.3.2022) by virtue of [The Goods Vehicles \(Licensing of Operators\) \(Amendment\) Regulations 2022 \(S.I. 2022/293\)](#), regs. 2(1), **21(1)**
- F6** Words in reg. 6(2) substituted (17.3.2022) by [The Goods Vehicles \(Licensing of Operators\) \(Amendment\) Regulations 2022 \(S.I. 2022/293\)](#), regs. 2(1), **21(2)(a)**
- F7** Reg. 6(2)(b) and word omitted (17.3.2022) by virtue of [The Goods Vehicles \(Licensing of Operators\) \(Amendment\) Regulations 2022 \(S.I. 2022/293\)](#), regs. 2(1), **21(2)(b)**

Commencement Information

I5 Reg. 6 in force at 4.12.2011, see **reg. 1(1)**

PART 2

Amendments to primary legislation

Amendments to the Public Passenger Vehicles Act 1981 and the Transport Act 1985

- 7.—(1) The 1981 Act and the Transport Act 1985(9) are amended in accordance with Schedule 1.
- (2) Those amendments are subject to the transitional provisions in Part 1 of Schedule 3.

.....
Commencement Information

I6 [Reg. 7](#) in force at 4.12.2011, see [reg. 1\(1\)](#)

Amendments to the Goods Vehicles (Licensing of Operators) Act 1995

- 8.—(1) The 1995 Act is amended in accordance with Schedule 2.
- (2) Those amendments are subject to the transitional provisions in Part 2 of Schedule 3.

.....
Commencement Information

I7 [Reg. 8](#) in force at 4.12.2011, see [reg. 1\(1\)](#)

PART 3

Review

Review

- 9.—(1) The Secretary of State must from time to time—
 - (a) carry out a review of these Regulations,
 - (b) set out the conclusions of the review in a report, and
 - (c) publish the report.
- ^{F8}(2)
- (3) The report must in particular—
 - (a) set out the objectives intended to be achieved by the regulatory system established by these Regulations,
 - (b) assess the extent to which those objectives are achieved, and
 - (c) assess whether those objectives remain appropriate and, if so, the extent to which they could be achieved with a system that imposes less regulation.
- (4) The first report under this regulation must be published before the end of the period of five years beginning with the day on which these Regulations come into force.
- (5) Reports under this regulation are afterwards to be published at intervals not exceeding five years.

(9) [1985 c. 67](#); section 28 was amended by the Deregulation and Contracting Out Act [1994 \(c. 40\)](#), section 67(2) to (5).

Changes to legislation: There are currently no known outstanding effects for the
The Road Transport Operator Regulations 2011. (See end of Document for details)

F8 Reg. 9(2) omitted (17.3.2022) by virtue of The Goods Vehicles (Licensing of Operators) (Amendment) Regulations 2022 (S.I. 2022/293), regs. 2(1), **22**

Commencement Information

I8 Reg. 9 in force at 4.12.2011, see **reg. 1(1)**

Signed by authority of the Secretary of State

Mike Penning
Parliamentary Under Secretary of State
Department for Transport

SCHEDULE 1

Regulation 7(1)

Amendments to the Public Passenger Vehicles Act 1981 and the Transport Act 1985

Amendments to the Public Passenger Vehicles Act 1981

1. The 1981 Act is amended as specified in paragraphs 2 to 11.

Commencement Information

I9 Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**

- 2.—(1) Section 12 (PSV operators' licences) is amended as follows.

- (2) After subsection (1) insert—

“(1A) Subsection (1) applies in spite of Article 1.4(b) and (c) of the 2009 Regulation (exemptions unless otherwise provided in national law for certain undertakings engaged in road passenger transport services and for slow vehicles), but is subject to section 46 of this Act and section 18 of the Transport Act 1985”.

Commencement Information

I9 Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**

I10 Sch. 1 para. 2 in force at 4.12.2011, see **reg. 1(1)**

3. For section 14 substitute—

“Grant of licences

14.—(1) On an application for a standard licence a traffic commissioner must consider whether the requirements of sections 14ZA and 14ZC are satisfied.

(2) On an application for a restricted licence a traffic commissioner must consider whether the requirements of sections 14ZB and 14ZC are satisfied.

(3) If on an application for a PSV operator's licence the traffic commissioner determines that the relevant requirements mentioned in subsection (1) or (2) are satisfied the commissioner must, subject to section 16 (conditions attached to licences), grant the licence in accordance with the application.

Requirements for standard licences

14ZA.—(1) The requirements of this section are set out in subsections (2) and (3).

(2) The first requirement is that the traffic commissioner is satisfied that the applicant—

- (a) has an effective and stable establishment in Great Britain (as determined in accordance with Article 5 of the 2009 Regulation),
- (b) is of good repute (as determined in accordance with paragraph 1 of Schedule 3),
- (c) has appropriate financial standing (as determined in accordance with Article 7 of the 2009 Regulation), and
- (d) is professionally competent (as determined in accordance with paragraphs 3, 4 and 6 of Schedule 3).

Changes to legislation: There are currently no known outstanding effects for the *The Road Transport Operator Regulations 2011*. (See end of Document for details)

(3) The second requirement is that the traffic commissioner is satisfied that the applicant has designated a transport manager in accordance with Article 4 of the 2009 Regulation who—

- (a) is of good repute (as determined in accordance with paragraph 1 of Schedule 3),
- (b) is professionally competent (as determined in accordance with paragraph 6 of Schedule 3), and
- (c) in the case of a transport manager designated under Article 4.2 of the 2009 Regulation—
 - (i) is not prohibited from being so designated by a traffic commissioner, and
 - (ii) is not designated to act as transport manager for a greater number of road transport operators or in respect of a greater number of vehicles than the traffic commissioner considers appropriate, having regard to the upper limits in Article 4.2(c) of the 2009 Regulation, or such smaller number as the commissioner considers appropriate (see Article 4.3 of the 2009 Regulation).

Requirements for restricted licences

14ZB. The requirement of this section is that the traffic commissioner is satisfied that the applicant —

- (a) is of good repute (as determined in accordance with paragraph 1 of Schedule 3), and
- (b) has appropriate financial standing (as determined in accordance with paragraph 2 of Schedule 3).

Requirements for standard and restricted licences

14ZC.—(1) The requirement of this section is that the traffic commissioner is satisfied —

- (a) that there will be adequate facilities or arrangements for maintaining in a fit and serviceable condition the vehicles proposed to be used under the licence; and
- (b) that there will be adequate arrangements for securing compliance with the requirements of the law relating to the driving and operation of those vehicles.

(2) In considering whether the requirement of this section is satisfied, the traffic commissioner may take into account any undertakings given by the applicant (or procured by the applicant to be given) for the purposes of the application and may assume those undertakings will be fulfilled.

(3) Where the traffic commissioner grants an application for a PSV operator’s licence, any undertakings taken into account by the commissioner under subsection (2) that the commissioner considers to be material to the granting of the application must be recorded in the licence issued to the applicant”.

Commencement Information

I9 Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**

I11 Sch. 1 para. 3 in force at 4.12.2011, see **reg. 1(1)**

4. In section 14A (objections to application for PSV operator’s licence), in subsection (1) for “section 14(1) and (3)” substitute “sections 14ZA to 14ZC”.

Commencement Information

- I9** Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**
- I12** Sch. 1 para. 4 in force at 4.12.2011, see **reg. 1(1)**

- 5.—(1) Section 16A (conditions as to matters required to be notified) is amended as follows.
- (2) In subsection (1)(a), for “section 14(1)” substitute “section 14ZA(2)”.
 - (3) In subsection (1)(b)—
 - (a) omit “relevant”;
 - (b) for “section 14(1)(a) or (c)” substitute “section 14ZA(3)(a) and (b)”.
 - (4) Omit subsection (2).

Commencement Information

- I9** Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**
- I13** Sch. 1 para. 5 in force at 4.12.2011, see **reg. 1(1)**

- 6.—(1) Section 17 (revocation, suspension etc of licences) is amended as follows.
- (2) For subsection (1) substitute—
 - “(1) The traffic commissioner by whom a standard licence was granted must revoke the licence if it appears to the commissioner at any time that—
 - (a) the holder no longer satisfies the requirements of section 14ZA(2), or
 - (b) the transport manager designated in accordance with Article 4 of the 2009 Regulation no longer satisfies the requirements of section 14ZA(3).
 - (1A) Before revoking a standard licence under subsection (1), the traffic commissioner may serve on the holder a notice setting a time limit, in accordance with Article 13.1 of the 2009 Regulation, for the holder to rectify the situation.
 - (1B) If the holder rectifies the situation within the time limit set under subsection (1A), the traffic commissioner must not revoke the licence”.
 - (3) In subsection (3)(d), for the words from “the requirement” to the end substitute “the requirements of section 14ZB”.
 - (4) Omit subsection (6).

Commencement Information

- I9** Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**
- I14** Sch. 1 para. 6 in force at 4.12.2011, see **reg. 1(1)**

7. In section 17A (assessors to assist traffic commissioners), in subsection (1) after “Act” insert “or under the 2009 Regulation”.

Commencement Information

- I9** Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**
- I15** Sch. 1 para. 7 in force at 4.12.2011, see **reg. 1(1)**

8. In section 54 (inquiries held by traffic commissioners), in subsection (8)—
- (a) in paragraph (b), after “below” insert “or under the 2009 Regulation”;
 - (b) in paragraph (c), after “enactment” insert “or the 2009 Regulation”.

Commencement Information

I9 Sch. 1 para. 1 in force at 4.12.2011, see [reg. 1\(1\)](#)

I16 Sch. 1 para. 8 in force at 4.12.2011, see [reg. 1\(1\)](#)

9. In section 57 (death, bankruptcy etc. of licence holder), after subsection (4) insert—
- “(5) In the case of a standard licence, subsection (4)(a) is subject to Article 13.1 of the 2009 Regulation (time limits for rectification).”

Commencement Information

I9 Sch. 1 para. 1 in force at 4.12.2011, see [reg. 1\(1\)](#)

I17 Sch. 1 para. 9 in force at 4.12.2011, see [reg. 1\(1\)](#)

- 10.—(1) Section 82 (general interpretation provisions) is amended as follows.
- (2) After the definition of “public service vehicle” insert—
- ““the 2009 Regulation” means Regulation (EC) No 1071/2009 of the European Parliament and of the Council of 21 October 2009 establishing common rules concerning the conditions to be complied with to pursue the occupation of road transport operator and repealing Council Directive 96/26/EC;
- “Regulation (EC) 1073/2009” means Regulation (EC) No 1073/2009 of the European Parliament and of the Council of 21 October 2009 on common rules for access to the international market for coach and bus services, and amending Regulation (EC) No 561/2006;”.
- (3) For the definition of “transport manager” substitute—
- ““transport manager” has the same meaning as in the 2009 Regulation;”.

Commencement Information

I9 Sch. 1 para. 1 in force at 4.12.2011, see [reg. 1\(1\)](#)

I18 Sch. 1 para. 10 in force at 4.12.2011, see [reg. 1\(1\)](#)

- 11.—(1) Schedule 3 (supplementary provisions as to qualifications for PSV operators licences) is amended as follows.
- (2) In paragraph 2 (appropriate financial standing)—
- (a) in sub-paragraph (1), for “a PSV operators licence” substitute “a restricted licence”;
 - (b) omit sub-paragraph (2).
- (3) Omit paragraph 5.
- (4) In paragraph 6 (professional competence)—
- (a) in sub-paragraph (1), omit “Subject to paragraph 10 below;”;
 - (b) after sub-paragraph (1) insert—

- “(1A) The approved body may exempt an individual from certain parts of the examination mentioned in sub-paragraph (1)(a) if the individual is the holder of a certificate of competence, diploma or other qualification which covers those parts and which is recognised for the purposes of this sub-paragraph by the Secretary of State.”;
- (c) in sub-paragraph (2), for “Council Directive No 96/26/EC” substitute “the 2009 Regulation”;
 - (d) in sub-paragraph (3), for “Annex 1a to that Directive” substitute “Annex III to that Regulation and must have security features in compliance with Annex II to that Regulation.”
- (5) In paragraph 7 (professional competence: interpretation)—
- (a) in the definition of “approved body”, in paragraph (c), for “Article 3(4) of Council Directive No 96/26/EC” substitute “Article 8.3 of the 2009 Regulation”;
 - (b) in the definition of “requisite skills”, for “that Directive” substitute “that Regulation”.
- (6) After paragraph 7 insert—

“Determinations in respect of transport managers

7A.—(1) A traffic commissioner must not in any proceedings under this Act or the 2009 Regulation make a finding that a transport manager is not of good repute or is not professionally competent unless the commissioner is satisfied that the transport manager has been served with a notice—

- (a) stating that the question whether the transport manager is of good repute or (as the case may be) professionally competent is an issue in the proceedings;
- (b) setting out the nature of the allegations against the transport manager;
- (c) stating that the transport manager is entitled to make representations under this paragraph within 28 days beginning with the date on which the notice is served on the transport manager; and
- (d) stating that the transport manager is entitled to request an inquiry as provided in section 54.

(2) Where a transport manager makes representations under this paragraph, the traffic commissioner must consider the representations—

- (a) in considering whether or not to hold an inquiry as provided in section 54; and
- (b) in determining whether the transport manager is of good repute or (as the case may be) professionally competent.

(3) The traffic commissioner must hold an inquiry as provided in section 54 if the transport manager requests one under sub-paragraph (1)(d).

(4) A notice is deemed for the purposes of sub-paragraph (1) to have been served on a transport manager on the date on which it would have been delivered in the ordinary course of post if it was sent by post addressed to the transport manager at the transport manager’s last known address, notwithstanding that the notice was returned as undelivered or was for any other reason not received by the transport manager.

7B.—(1) In proceedings under this Act or the 2009 Regulation for determining whether a person who is a transport manager is of good repute or professionally competent, a traffic commissioner must consider whether a finding that the person was no longer of good repute or (as the case may be) professionally competent would constitute a disproportionate response.

(2) If the commissioner determines that the person is no longer of good repute or (as the case may be) professionally competent, the commissioner must order the person to be disqualified (either indefinitely or for such period as the commissioner thinks fit) from acting as a transport manager.

(3) While a disqualification under sub-paragraph (2) is in force—

- (a) the person may not act as transport manager for any road transport undertaking;
- (b) a certificate issued to the person under Article 8.8 of the 2009 Regulation (certificate of professional competence) is not valid.

(4) A person in respect of whom an order has been made under sub-paragraph (2) may appeal to the Upper Tribunal against the order.

(5) The traffic commissioner may direct that an order under sub-paragraph (2) is not to take effect until the expiry of the time within which an appeal may be made to the Upper Tribunal against the order and, if such an appeal is made, until the appeal has been disposed of.

(6) If the traffic commissioner refuses to give a direction under sub-paragraph (5), the person in respect of whom the order has been made may apply to the Upper Tribunal for such a direction.

7C.—(1) The traffic commissioner by whom a disqualification order is made under paragraph 7B(2) may, subject to sub-paragraph (2), at any time cancel the order or, with the consent of the disqualified person, vary the order.

(2) The traffic commissioner by whom a disqualification order is made under paragraph 7B(2) may specify measures with which the disqualified person must comply before the order can be cancelled or varied.

(3) Measures specified under sub-paragraph (2) may be varied by the traffic commissioner—

- (a) on the application of the disqualified person, or
- (b) by the traffic commissioner.

(4) Before making a variation under sub-paragraph (3)(b), the traffic commissioner must serve a notice on the disqualified person—

- (a) stating the traffic commissioner’s intention to vary the measures specified under sub-paragraph (2),
- (b) stating that the person is entitled to make representations under sub-paragraph (5) within 28 days beginning with the date on which the notice is served on the person, and
- (c) stating that the person is entitled to request an inquiry as provided in section 54.

(5) Where a person makes representations under this sub-paragraph, the traffic commissioner must consider the representations in deciding whether to vary the measures specified under sub-paragraph (2).

(6) The traffic commissioner must hold an inquiry as provided in section 54 if the disqualified person requests one under sub-paragraph (4)(c).

(7) A notice is deemed for the purposes of sub-paragraph (4) to have been served on a person on the date on which it would have been delivered in the ordinary course of post if it was sent by post addressed to the person at the person’s last known address, notwithstanding that the notice was returned as undelivered or was for any other reason not received by the person”.

(7) Omit paragraphs 8 to 10 (and the cross-heading above them).

(8) In the heading, in the shoulder reference, for “14(2)” substitute “14ZA,14ZB”.

Changes to legislation: There are currently no known outstanding effects for the The Road Transport Operator Regulations 2011. (See end of Document for details)

Commencement Information

- I9** Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**
I19 Sch. 1 para. 11 in force at 4.12.2011, see **reg. 1(1)**

Commencement Information

- I9** Sch. 1 para. 1 in force at 4.12.2011, see **reg. 1(1)**
I10 Sch. 1 para. 2 in force at 4.12.2011, see **reg. 1(1)**
I11 Sch. 1 para. 3 in force at 4.12.2011, see **reg. 1(1)**
I12 Sch. 1 para. 4 in force at 4.12.2011, see **reg. 1(1)**
I13 Sch. 1 para. 5 in force at 4.12.2011, see **reg. 1(1)**
I14 Sch. 1 para. 6 in force at 4.12.2011, see **reg. 1(1)**
I15 Sch. 1 para. 7 in force at 4.12.2011, see **reg. 1(1)**
I16 Sch. 1 para. 8 in force at 4.12.2011, see **reg. 1(1)**
I17 Sch. 1 para. 9 in force at 4.12.2011, see **reg. 1(1)**
I18 Sch. 1 para. 10 in force at 4.12.2011, see **reg. 1(1)**
I19 Sch. 1 para. 11 in force at 4.12.2011, see **reg. 1(1)**

Amendment of the Transport Act 1985

12.—(1) The Transport Act 1985 is amended as specified in sub-paragraph (2).

(2) In section 28 (power to disqualify PSV operators), in subsection (2)(b), for “section 14(4)” substitute “section 14(3)”.

Commencement Information

- I20** Sch. 1 para. 12 in force at 4.12.2011, see **reg. 1(1)**

SCHEDULE 2

Regulation 8(1)

Amendments to the Goods Vehicles (Licensing of Operators) Act 1995

1. The 1995 Act is amended as follows.

Commencement Information

- I21** Sch. 2 para. 1 in force at 4.12.2011, see **reg. 1(1)**

2.—(1) Section 2 (obligation to hold operator’s licence) is amended as follows.

(2) After subsection (1) insert—

“(1A) Subsection (1) applies in spite of Article 1.4(c) of the 2009 Regulation (exemption for slow vehicles unless otherwise provided in national law).

(1B) Subsection (1)(a) does not apply to the use of a small goods vehicle falling within paragraph 1A of Schedule 1.

(1C) Subsection (1)(b) does not apply to the use of a small goods vehicle falling within any of paragraphs 2, 3 or 4 of Schedule 1.”

(3) In subsection (2), omit paragraph (a).

(4) For subsection (3) substitute—

“(3) In subsection (2)(b) and (c), “established”, “haulier” and “international carriage” have the same meaning as in Regulation (EC) No 1072/2009 on common rules for access to the international road haulage market”.

Commencement Information

I22 Sch. 2 para. 2 in force at 4.12.2011, see **reg. 1(1)**

3. In section 4 (temporary exemptions), omit subsection (4).

Commencement Information

I23 Sch. 2 para. 3 in force at 4.12.2011, see **reg. 1(1)**

4.—(1) Section 12 (objections to, and representations against, issue of operators’ licences) is amended as follows.

(2) In subsection (1)(a), for “section 13” substitute “sections 13A to 13D”.

(3) In subsection (11)—

(a) in the opening words, for “section 13” substitute “sections 13A to 13D”;

(b) in paragraph (a) for “subsections (3), (5) and (6) of that section” substitute “sections 13A, 13C and 13D”;

(c) in paragraph (b), for “subsections (4), (5) and (6) of that section” substitute “sections 13B, 13C and 13D”.

Commencement Information

I24 Sch. 2 para. 4 in force at 4.12.2011, see **reg. 1(1)**

5. For section 13 substitute—

“Determination of applications for operators’ licences

13.—(1) On an application for a standard licence a traffic commissioner must consider—

(a) whether the requirements of sections 13A and 13C are satisfied, and

(b) if the commissioner thinks fit, whether the requirement of section 13D is satisfied.

(2) On an application for a restricted licence a traffic commissioner must consider—

(a) whether the requirements of sections 13B and 13C are satisfied, and

(b) if the commissioner thinks fit, whether the requirement of section 13D is satisfied.

(3) Subsections (1) and (2) are subject to sections 11 (publication of application) and 45(2) (payment of application fee).

Changes to legislation: There are currently no known outstanding effects for the Road Transport Operator Regulations 2011. (See end of Document for details)

(4) In considering whether any of the requirements of sections 13A to 13D are satisfied, the traffic commissioner must have regard to any objection duly made under section 12(1)(a) in respect of the application.

(5) If the traffic commissioner determines that any of the requirements that the commissioner has taken into consideration in accordance with subsection (1) or (2) are not satisfied, the commissioner must refuse the application.

(6) In any other case the commissioner must grant the application, unless either of the following provisions applies—

- (a) section 14(2) (power to refuse application on environmental grounds);
- (b) section 45(2) (power to refuse to proceed until fee is paid).

Requirements for standard licences

13A.—(1) The requirements of this section are set out in subsections (2) and (3).

(2) The first requirement is that the traffic commissioner is satisfied that the applicant—

- (a) has an effective and stable establishment in Great Britain (as determined in accordance with Article 5 of the 2009 Regulation),
- (b) is of good repute (as determined in accordance with paragraphs 1 to 5 of Schedule 3),
- (c) has appropriate financial standing (as determined in accordance with Article 7 of the 2009 Regulation), and
- (d) is professionally competent (as determined in accordance with paragraphs 8 to 13 of Schedule 3).

(3) The second requirement is that the traffic commissioner is satisfied that the applicant has designated a transport manager in accordance with Article 4 of the 2009 Regulation who—

- (a) is of good repute (as determined in accordance with paragraphs 1 to 5 of Schedule 3),
- (b) is professionally competent (as determined in accordance with paragraph 13 of Schedule 3), and
- (c) in the case of a transport manager designated under Article 4.2 of the 2009 Regulation—
 - (i) is not prohibited from being so designated by the traffic commissioner, and
 - (ii) is not designated to act as transport manager for a greater number of road transport undertakings or in respect of a greater number of vehicles than the traffic commissioner considers appropriate, having regard to the upper limits in Article 4.2(c) of the 2009 Regulation, or such smaller number as the commissioner considers appropriate (see Article 4.3 of the Regulation).

Requirements for restricted licences

13B. The requirement of this section is that the applicant is not unfit to hold an operator's licence by reason of—

- (a) any activities or convictions of which particulars may be required to be given under section 8(4) by virtue of paragraph 1(e) or (f) of Schedule 2;

- (b) any conviction required to be notified in accordance with section 9(1) (convictions etc required to be notified subsequent to the making of an application).

Requirements for standard and restricted licences

13C.—(1) The requirements of this section are that it must be possible (taking into account the traffic commissioner’s powers under section 15(3) to issue a licence in terms that differ from those applied for) to issue a licence in relation to which subsections (2) to (6) will apply.

(2) There must be satisfactory arrangements for securing that the following are complied with in the case of vehicles used under the licence—

- (a) Part 6 of the Transport Act 1968 (drivers’ hours);
- (b) the applicable Community rules, within the meaning of that Part.

(3) There must be satisfactory arrangements for securing that vehicles used under the licence are not overloaded.

(4) There must be satisfactory facilities and arrangements for maintaining the vehicles used under the licence in a fit and serviceable condition.

(5) The licence must specify at least one place in the traffic commissioner’s area as an operating centre of the licence-holder, and each place so specified must be available and suitable for use as an operating centre of the licence-holder (disregarding any respect in which it may be unsuitable on environmental grounds).

(6) The capacity of the place specified as an operating centre (if there is only one) or both or all of the places so specified taken together (if there are more than one) must be sufficient to provide an operating centre for all the vehicles used under the licence.

(7) In considering whether the requirements of subsections (2) to (6) are satisfied, the traffic commissioner may take into account any undertakings given by the applicant (or procured by the applicant to be given) for the purposes of the application, and may assume that those undertakings will be fulfilled.

(8) In considering whether subsection (5) will apply in relation to a licence, the traffic commissioner may take into account any conditions that could be attached to the licence under section 21 (conditions for securing road safety) and may assume that any conditions so attached will not be contravened.

(9) In considering whether subsection (5) or (6) will apply in relation to a licence, the traffic commissioner may take into account (if this is the case) that any proposed operating centre of the applicant would be used—

- (a) as an operating centre of the holders of other operators’ licences as well as an operating centre of the applicant; or
- (b) by the applicant or by other persons for purposes other than keeping vehicles used under the licence.

Further requirement for standard and restricted licences

13D. The requirement of this section is that the provision of the facilities and arrangements for maintaining the vehicles in a fit and serviceable condition (see section 13C(4)) is not prejudiced by reason of the applicant’s having insufficient financial resources for that purpose”.

Commencement Information

I25 Sch. 2 para. 5 in force at 4.12.2011, see **reg. 1(1)**

- 6.**—(1) Section 15 (issue of operators’ licences) is amended as follows.
- (2) In subsection (2)—
- (a) for “subsection (5) or (6) of section 13” substitute “section 13C or 13D”;
 - (b) for “that section” substitute “section 13”.
- (3) In subsection (4), for “section 13(8)” substitute “section 13C(7)”.

Commencement Information

I26 Sch. 2 para. 6 in force at 4.12.2011, see **reg. 1(1)**

- 7.** In section 17 (variation of operators’ licences), in subsection (5)(c), for “section 13” substitute “sections 13 to 13D”.

Commencement Information

I27 Sch. 2 para. 7 in force at 4.12.2011, see **reg. 1(1)**

- 8.**—(1) Section 22 (conditions as to matters required to be notified to traffic commissioner) is amended as follows.
- (2) In subsection (2)—
- (a) in paragraph (a), for “section 13(3)” substitute “section 13A(2)”;
 - (b) in paragraph (b)—
 - (i) omit “relevant”;
 - (ii) for “section 13(3)(a) or (c)” substitute “section 13A(3)”;
 - (c) omit subsection (3);
 - (d) in subsection (6), for “level 4” substitute “level 5”.

Commencement Information

I28 Sch. 2 para. 8 in force at 4.12.2011, see **reg. 1(1)**

- 9.** In section 24 (interim operators’ licences)—
- (a) after subsection (7) insert—
 - “(7A) A request for the issuing of an interim standard licence—
 - (a) shall not be treated as an application for an operator’s licence for the purposes of section 10, 11, 12, 14, 15(1) to (4), 36 or 37 or Schedule 4, but
 - (b) shall be treated as such an application for the purposes of any other provision of this Act.”;
 - (b) in subsection (8), after “interim” insert “restricted”.

Commencement Information

I29 Sch. 2 para. 9 in force at 4.12.2011, see **reg. 1(1)**

- 10.**—(1) Section 27 (revocation of standard licences) is amended as follows.
- (2) In subsection (1), for the words from “the licence-holder” to the end, substitute—
- “(a) the licence-holder no longer satisfies the requirements of section 13A(2), or
 - (b) the transport manager designated in accordance with Article 4 of the 2009 Regulation no longer satisfies the requirements of section 13A(3)”.
- (3) After subsection (3), insert—
- “(3A) A notice under subsection (2) may set a time limit, in accordance with Article 13.1 of the 2009 Regulation, for the licence-holder to rectify the situation.
 - (3B) If the licence-holder rectifies the situation within the time limit set under subsection (3A), the traffic commissioner must not make the direction under subsection (1).”
- (4) In subsection (4), for “subsection (3)” substitute “subsections (3) to (3B)”.

Commencement Information

I30 Sch. 2 para. 10 in force at 4.12.2011, see **reg. 1(1)**

- 11.**—(1) Section 35 (power of traffic commissioners to hold inquiries) is amended as follows.
- (2) In subsection (1), at the end insert “or the 2009 Regulation”.
- (3) In subsection (2)—
- (a) for “section 26, 27 or 28” substitute “this Act or the 2009 Regulation”;
 - (b) after “29(1)” insert “or paragraph 15(1)(d) or 17(4)(c) of Schedule 3”.
- (4) In subsection (3), after “this Act” insert “or the 2009 Regulation”.
- (5) In subsection (4)—
- (a) in paragraph (b), after “this Act” insert “or the 2009 Regulation”;
 - (b) in paragraph (c), after “this Act” insert “or the 2009 Regulation”.

Commencement Information

I31 Sch. 2 para. 11 in force at 4.12.2011, see **reg. 1(1)**

- 12.** In section 38 (forgery of documents, etc), in subsection (2)(e), after “paragraph 13(1)” insert “or (1A)”.

Commencement Information

I32 Sch. 2 para. 12 in force at 4.12.2011, see **reg. 1(1)**

- 13.** In section 39 (false statements), in subsection (1)(e), after “paragraph 13(1)” insert “or (1A)”.

Commencement Information

I33 Sch. 2 para. 13 in force at 4.12.2011, see **reg. 1(1)**

14. In section 43 (evidence by certificate), in subsection (2), after paragraph (h) insert—
- “(ha) that a person is by virtue of an order of the commissioner disqualified from acting as a transport manager, either indefinitely or for a specified period (see paragraph 16 of Schedule 3);”.

Commencement Information

I34 Sch. 2 para. 14 in force at 4.12.2011, see **reg. 1(1)**

15. In section 44 (assessors), in subsection (1), after “this Act” insert “or the 2009 Regulation”.

Commencement Information

I35 Sch. 2 para. 15 in force at 4.12.2011, see **reg. 1(1)**

16. In section 46 (holding companies and subsidiaries), in subsection (3)—
- (a) in the opening words, omit the words from “(which” to “1984)”;
- (b) in paragraph (a), for “13(3)” substitute “13A”.

Commencement Information

I36 Sch. 2 para. 16 in force at 4.12.2011, see **reg. 1(1)**

17. In section 49 (certificates of qualification)—
- (a) in subsection (2)(b), for the words from “Article 3” to the end substitute “Article 19, 20 or (as the case may be) 21 of the 2009 Regulation.”;
- (b) in subsection (5), for “the 1974 Council Directive” substitute “the 2009 Regulation”.

Commencement Information

I37 Sch. 2 para. 17 in force at 4.12.2011, see **reg. 1(1)**

- 18.—(1) Section 58(1) (general interpretation) is amended as follows.
- (2) Omit the definitions of “the 1974 Council Directive” and “the 1977 Council Directive”.
- (3) In the definition of “international transport operations” and “national transport operations” for “the 1974 Council Directive” substitute “the 2009 Regulation”.
- (4) After the definition of “prescribed” insert—
- ““the 2009 Regulation” means Regulation (EC) No 1071/2009 of the European Parliament and of the Council of 21 October 2009 establishing common rules concerning the conditions to be complied with to pursue the occupation of road transport operator and repealing Council Directive 96/26/EC.”.
- (5) For the definition of “transport manager” substitute—
- ““transport manager” has the same meaning as in the 2009 Regulation.”.

Commencement Information

I38 Sch. 2 para. 18 in force at 4.12.2011, see **reg. 1(1)**

19.—(1) Schedule 1 (meaning of “small goods vehicle”) is amended as follows.

(2) Omit paragraph 1.

(3) Before paragraph 2 insert—

“**1A.** A goods vehicle falls within this paragraph if the vehicle, or a vehicle combination including the vehicle, has a permissible laden mass not exceeding 3.5 tonnes”.

Commencement Information

I39 Sch. 2 para. 19 in force at 4.12.2011, see **reg. 1(1)**

20.—(1) Schedule 3 (qualifications for standard licence) is amended as follows.

(2) Omit paragraph 6.

(3) Omit paragraphs 10 and 11.

(4) In paragraph 12, for “paragraphs 8 to 11” substitute “paragraphs 8 and 9”.

(5) In paragraph 13 (requirements for professional competence)—

(a) after sub-paragraph (1) insert—

“(1A) The approved body may exempt an individual from certain parts of the examination mentioned in sub-paragraph (1)(a) if the individual is the holder of a certificate of competence, diploma or other qualification which covers those parts and which is recognised for the purposes of this sub-paragraph by the Secretary of State.”

(b) in sub-paragraph (2), for “Council Directive No 96/26/EC” substitute “the 2009 Regulation”;

(c) in sub-paragraph (2A), for the words from “Annex Ia to that Directive” substitute “Annex 3 to that Regulation and must have security features in compliance with Annex 2 to that Regulation”;

(d) in sub-paragraph (3)—

(i) in the definition of “approved body”, in paragraph (c), for “Article 3.4 of Council Directive No 96/26/EC” substitute “Article 8.3 of the 2009 Regulation”;

(ii) in the definition of “the requisite skills” for “that Directive” substitute “that Regulation”.

(6) In paragraph 15 (transport manager to be notified of proceedings)—

(a) in sub-paragraph (1)—

(i) in the opening words, after “Act” insert “or under the 2009 Regulation”;

(ii) omit “and” at the end of paragraph (b);

(iii) after paragraph (c) insert—

“and

(d) stating that he is entitled to request an inquiry as provided in section 35”.

(b) after sub-paragraph (2) insert—

“(2A) The traffic commissioner must hold an inquiry as provided in section 35 if the transport manager requests one under sub-paragraph (1)(d)”.

(7) After paragraph 15 (transport manager to be notified of proceedings) insert—

“Determinations in respect of transport managers

16.—(1) In proceedings under this Act or the 2009 Regulation for determining whether a person who is a transport manager is of good repute or professionally competent, a traffic commissioner must consider whether a finding that the person was no longer of good repute or (as the case may be) professionally competent would constitute a disproportionate response.

(2) If the commissioner determines that the person is no longer of good repute or (as the case may be) professionally competent, the commissioner must order the person to be disqualified (either indefinitely or for such period as the commissioner thinks fit) from acting as a transport manager.

(3) While a disqualification under sub-paragraph (2) is in force—

- (a) the person may not act as transport manager for any road transport undertaking;
- (b) a certificate issued to the person under Article 8.8 of the 2009 Regulation (certificate of professional competence) is not valid.

(4) A person in respect of whom an order has been made under sub-paragraph (2) may appeal to the Upper Tribunal against the order.

(5) The traffic commissioner may direct that an order under sub-paragraph (2) is not to take effect until the expiry of the time within which an appeal may be made to the Upper Tribunal against the order and, if such an appeal is made, until the appeal has been disposed of.

(6) If the traffic commissioner refuses to give a direction under sub-paragraph (5), the person in respect of whom the order has been made may apply to the Upper Tribunal for such a direction.

Transport managers: cancellation or variation of disqualification order

17.—(1) The traffic commissioner by whom a disqualification order is made under paragraph 16(2) may, subject to sub-paragraph (2), at any time cancel the order or, with the consent of the disqualified person, vary the order.

(2) The traffic commissioner by whom a disqualification order is made under paragraph 16(2) may specify measures with which the disqualified person must comply before the order can be cancelled or varied.

(3) Measures specified under sub-paragraph (2) may be varied by the traffic commissioner—

- (a) on the application of the disqualified person, or
- (b) by the traffic commissioner.

(4) Before making a variation under sub-paragraph (3)(b), the traffic commissioner must serve a notice on the disqualified person—

- (a) stating the traffic commissioner’s intention to vary the measures specified under sub-paragraph (2);
- (b) stating that the person is entitled to make representations under sub-paragraph (5) within 28 days beginning with the date on which the notice is served on the person, and

(c) stating that the person is entitled to request an inquiry as provided in section 35.

(5) Where a person makes representations under this sub-paragraph, the traffic commissioner must consider the representations in deciding whether to vary the measures specified under sub-paragraph (2).

(6) The traffic commissioner must hold an inquiry as provided in section 35 if the disqualified person requests one under sub-paragraph (4)(c).

(7) A notice shall be deemed for the purposes of sub-paragraph (4) to have been served on a person on the date on which it would have been delivered in the ordinary course of post if it was sent by post addressed to the person at the person's last known address, notwithstanding that the notice was returned as undelivered or was for any other reason not received by the person."

(8) In the heading, in the shoulder reference, for "13" substitute "13A".

Commencement Information

I40 Sch. 2 para. 20 in force at 4.12.2011, see **reg. 1(1)**

21. In Schedule 4 (transfer of operating centres), in paragraph 2—

(a) in sub-paragraph (3), for "section 13(5)(d)" substitute "section 13C(5)";

(b) in sub-paragraph (4), for "section 13(11)" substitute "section 13(6)".

Commencement Information

I41 Sch. 2 para. 21 in force at 4.12.2011, see **reg. 1(1)**

SCHEDULE 3

Regulations 7(2) and 8(2)

Transitional provisions

PART 1

Transitional Provisions for the Public Passenger Vehicles Act 1981

Meaning of "standard licence"

1. In this Part "standard licence" has the meaning given by section 82(1) of the 1981 Act.

Commencement Information

I42 Sch. 3 para. 1 in force at 4.12.2011, see **reg. 1(1)**

Standard licences issued before the commencement date

2.—(1) A person who holds a standard licence that was issued before the commencement date must, on and after the commencement date, comply with the requirements of section 14ZA of the 1981 Act (and section 17(1) of the 1981 Act as substituted by paragraph 6 of Schedule 1 (revocation for failure to comply with requirements of section 14ZA) applies accordingly).

(2) Sub-paragraph (1) is subject to sub-paragraph (3) and paragraph 6 (exemption from professional competence examinations for certain transport managers).

(3) A certificate issued to a person under paragraph 6(1)(a) of Schedule 3 to the 1981 Act before the commencement date is to be treated as a certificate issued under paragraph 6(1)(a) of that Schedule on or after the commencement date.

Commencement Information

I43 Sch. 3 para. 2 in force at 4.12.2011, see **reg. 1(1)**

Conditions contained in standard licences issued before the commencement date

3.—(1) This paragraph applies to a standard licence issued before the commencement date.

(2) In a condition attached to the licence under section 16A(1)(a) of the 1981 Act, a reference to section 14(1) of that Act is to be read, on and after the commencement date, as a reference to section 14ZA(2) of that Act.

(3) In a condition attached to the licence under section 16A(1)(b) of the 1981 Act, a reference to section 14(1)(a) or (c) of that Act is to be read, on and after the commencement date, as a reference to section 14ZA(3) of that Act.

Commencement Information

I44 Sch. 3 para. 3 in force at 4.12.2011, see **reg. 1(1)**

Objections to issue of operators' licences made before the commencement date

4.—(1) This paragraph applies where a traffic commissioner receives an application for a standard licence before the commencement date, but does not grant the application until on or after the commencement date.

(2) An objection to the grant of the application made under section 14A(1) of the 1981 Act before the commencement date is to be treated as if it had been made on or after the commencement date under section 14A of that Act as amended by paragraph 4 of Schedule 1.

Commencement Information

I45 Sch. 3 para. 4 in force at 4.12.2011, see **reg. 1(1)**

Period for appointment of new transport manager under paragraph 5 of Schedule 3

5.—(1) Sub-paragraph (2) applies where a traffic commissioner has, before the commencement date, given an opinion as to the period reasonably required for—

- (a) the appointment of a new transport manager under paragraph 5(1) of Schedule 3 to the 1981 Act, or
- (b) the removal of the transport manager or the appointment of another transport manager in his place under paragraph 5(2) of that Schedule.

(2) The licence-holder is not to be treated, on and after the commencement date, as failing to satisfy the requirement of professional competence under section 14ZA(2)(d) or (3)(b) of the 1981 Act until the expiry of the period.

(3) Sub-paragraph (4) applies where before the commencement date a traffic commissioner could have, but has not, given an opinion as to the period reasonably required for—

- (a) the appointment of a new transport manager under paragraph 5(1) of Schedule 3 to the 1981 Act, or
- (b) the removal of the transport manager or the appointment of another transport manager in his place under paragraph 5(2) of that Schedule.

(4) The licence-holder is not to be treated as failing to satisfy the requirement of professional competence under section 14ZA(2)(d) or (3)(b) of the 1981 Act until the traffic commissioner has given an opinion as to that period, and that period has expired.

Commencement Information

I46 Sch. 3 para. 5 in force at 4.12.2011, see **reg. 1(1)**

Exemption from professional competence examinations for certain transport managers

6.—(1) The Secretary of State may grant a transport manager an exemption from the requirements of paragraph 6(1) of Schedule 3 to the 1981 Act for the purposes of compliance with the requirement of section 14ZA(3)(b) of that Act (professional competence).

(2) The Secretary of State may grant an exemption under sub-paragraph (1) only if satisfied that the transport manager has continuously managed a road haulage undertaking or a road passenger transport undertaking (within the meaning of Article 9 of the 2009 Regulation) in one or more Member States for the period of ten years ending on 4th December 2009.

(3) The Secretary of State may grant an exemption under sub-paragraph (1) on an application or without an application being made for it.

(4) The power conferred by sub-paragraph (1) may not be exercised after 4th December 2013.

(5) If an application is made for an exemption under sub-paragraph (1) and the Secretary of State refuses the application, the applicant may request a redetermination of the application by a traffic commissioner.

(6) Sub-paragraph (2) applies to a grant of an exemption by a traffic commissioner under sub-paragraph (5) as it applies to a grant of an exemption by the Secretary of State under sub-paragraph (1).

Commencement Information

I47 Sch. 3 para. 6 in force at 4.12.2011, see **reg. 1(1)**

Proceedings relating to transport manager: procedural provisions

7. Paragraphs 7A to 7C of Schedule 3 to the 1981 Act as inserted by paragraph 11(6) of Schedule 1, apply to proceedings under the 1981 Act that have been commenced, but not completed, before the commencement date.

Commencement Information

I48 Sch. 3 para. 7 in force at 4.12.2011, see **reg. 1(1)**

PART 2

Transitional Provisions for the Goods Vehicles (Licensing of Operators) Act 1995

Meaning of “standard licence”

8. In this Part “standard licence” has the meaning given by section 3(2) of the 1995 Act.

Commencement Information

I49 Sch. 3 para. 8 in force at 4.12.2011, see reg. 1(1)

Standard licences issued before the commencement date

9.—(1) A person who holds a standard licence that was issued before the commencement date must, on and after the commencement date, comply with the requirements of section 13A of the 1995 Act (and section 27(1) of the 1995 Act as amended by paragraph 10 of Schedule 2 (revocation for failure to comply with requirements of section 13A) applies accordingly).

(2) Sub-paragraph (1) is subject to sub-paragraph (3) and paragraph 14 (exemption from professional competence examinations for certain transport managers).

(3) A certificate issued to a person under paragraph 13(1)(a) of Schedule 3 to the 1995 Act before the commencement date is to be treated as a certificate issued under paragraph 13(1)(a) of that Schedule on or after the commencement date.

Commencement Information

I50 Sch. 3 para. 9 in force at 4.12.2011, see reg. 1(1)

Conditions contained in standard licences issued before the commencement date

10.—(1) This paragraph applies to a standard licence issued before the commencement date.

(2) In a condition attached to the licence under section 22(2)(a) of the 1995 Act, a reference to section 13(3) of that Act is to be read, on and after the commencement date, as a reference to section 13A(2) of that Act.

(3) In a condition attached to the licence under section 22(2)(b) of the 1995 Act, a reference to section 13(3)(a) or (c) of that Act is to be read, on and after the commencement date, as a reference to section 13A(3) of that Act.

Commencement Information

I51 Sch. 3 para. 10 in force at 4.12.2011, see reg. 1(1)

Offences under section 22(6) of the 1995 Act (contravention of condition attached to licence)

11.—(1) This paragraph applies where a person is guilty of an offence under section 22(6) of the 1995 Act (contravention of condition attached to licence).

(2) Where the offence was committed partly before and partly on or after the commencement date, section 22(6) as amended by paragraph 8(2)(d) of Schedule 2 applies in relation to the offence.

Commencement Information

I52 Sch. 3 para. 11 in force at 4.12.2011, see [reg. 1\(1\)](#)

Objections to issue of operators' licences made before the commencement date

12.—(1) This paragraph applies where a traffic commissioner receives an application for a standard licence before the commencement date, but does not grant the application until on or after the commencement date.

(2) An objection to the grant of the application made under section 12(1)(a) of the 1995 Act before the commencement date is to be treated as if it had been made on or after the commencement date under section 12 of that Act as amended by paragraph 4 of Schedule 2.

Commencement Information

I53 Sch. 3 para. 12 in force at 4.12.2011, see [reg. 1\(1\)](#)

Period for appointment of new transport manager under paragraph 10 or 11 of Schedule 3

13.—(1) Sub-paragraph (2) applies where a traffic commissioner has, before the commencement date, given an opinion as to the period reasonably required for—

- (a) the appointment of a new transport manager under paragraph 10 of Schedule 3 to the 1995 Act, or
- (b) the removal of the transport manager or the appointment of another transport manager in his place under paragraph 11 of that Schedule.

(2) The licence-holder is not to be treated, on and after the commencement date, as failing to satisfy the requirement of professional competence under section 13A(2)(d) or (3)(b) of the 1995 Act until the expiry of the period.

(3) Sub-paragraph (4) applies where before the commencement date a traffic commissioner could have, but has not, given an opinion as to the period reasonably required for—

- (a) the appointment of a new transport manager under paragraph 10 of Schedule 3 to the 1995 Act, or
- (b) the removal of the transport manager or the appointment of another transport manager in his place under paragraph 11 of that Schedule.

(4) The licence-holder is not to be treated as failing to satisfy the requirement of professional competence under section 13A(2)(d) or (3)(b) of the 1995 Act until the traffic commissioner has given an opinion as to that period, and that period has expired.

Commencement Information

I54 Sch. 3 para. 13 in force at 4.12.2011, see [reg. 1\(1\)](#)

Exemption from professional competence examinations for certain transport managers

14.—(1) The Secretary of State may grant a transport manager an exemption from the requirements of paragraph 13(1) of Schedule 3 to the 1995 Act for the purposes of compliance with the requirement of section 13A(3)(b) of that Act (professional competence).

(2) The Secretary of State may grant an exemption under sub-paragraph (1) only if satisfied that the transport manager has continuously managed a road haulage undertaking or a road passenger transport undertaking (within the meaning of Article 9 of the 2009 Regulation) in one or more member States for the period of ten years ending on 4th December 2009.

(3) The Secretary of State may grant an exemption under sub-paragraph (1) on an application or without an application being made for it.

(4) The power conferred by sub-paragraph (1) may not be exercised after 4th December 2013.

(5) If an application is made for an exemption under sub-paragraph (1) and the Secretary of State refuses the application, the applicant may request a redetermination of the application by a traffic commissioner.

(6) Sub-paragraph (2) applies to a grant of an exemption by a traffic commissioner under sub-paragraph (5) as it applies to a grant of an exemption by the Secretary of State under sub-paragraph (1).

Commencement Information

I55 Sch. 3 para. 14 in force at 4.12.2011, see [reg. 1\(1\)](#)

Proceedings relating to transport manager: procedural provisions

15. The amendments made to paragraph 15 of Schedule 3 to the 1995 Act by paragraph 20(6) of Schedule 2, and paragraphs 16 and 17 of that Schedule as inserted by paragraph 20(7) of Schedule 2, apply to proceedings under the 1995 Act that have been commenced, but not completed, before the commencement date.

Commencement Information

I56 Sch. 3 para. 15 in force at 4.12.2011, see [reg. 1\(1\)](#)

EXPLANATORY NOTE

(This note is not part of the Regulations)

These Regulations give effect in Great Britain to Regulation (EC) No. 1071/2009 of 21 October 2009 (“Regulation 1071/2009”) which establishes common rules concerning the conditions to be complied with to pursue the occupation of road transport operator and repeals Council Directive 96/26/EC. The Regulation comes into force with direct effect on 4th December 2011.

Regulation 1071/2009 governs admission to, and pursuit of, the occupation of road transport operator. It requires road transport undertakings to have an effective and stable establishment in member states, be of good repute and have appropriate financial standing and the requisite professional competence; and it specifies conditions to be met to satisfy these requirements.

The Regulation provides for the enforcement of its provisions by requiring member states to designate one or more competent authorities to ensure its correct application, requiring undertakings

to hold authorisations to engage in the occupation of road transport operator, and establishing the procedure for withdrawing authorisations and declaring transport managers unfit to manage transport activities. It also provides for appeals against adverse decisions, the establishment of national electronic registers of authorised undertakings, the protection of personal data, administrative cooperation between member states, the mutual recognition of certificates and member states to establish penalties for infringements.

Regulation 1071/2009 repeals Council Directive 96/26/EC which previously regulated this area and was implemented in Great Britain by the Public Passenger Vehicles Act 1981 (“the 1981 Act”) and the Goods Vehicles (Licensing of Operators) Act 1995 (“the 1995 Act”). These Regulations make amendments to those Acts (which regulate a wider range of operations than the Regulation) to accommodate the coming into force of Regulation 1071/2009 with direct effect, including making provision in exercise of discretionary powers conferred by the Regulation.

Part 1 of these Regulations contains general provisions. *Regulation 1(2)* provides for the Regulations not to apply to Northern Ireland except for regulation 4(2) which concerns the national electronic register. *Regulation 3* revokes three sets of Regulations which amended relevant parts of the 1981 and 1995 Acts but are now spent. Under *regulation 4* traffic commissioners are designated as the Competent Authority for the purposes of Regulation 1071/2009 and the Secretary of State is designated as the authority responsible for the national electronic register. *Regulation 5* provides that standard operator licences issued under the 1981 and 1995 Acts constitute authorisations for the purposes of Regulation 1071/2009. *Regulation 6* specifies a period of up to 28 days within which licensees are to notify changes in data for the purposes of article 11.5 of Regulation 1071/2009 and provides for the article to be enforced as if it was a licence condition.

Part 2 of the Regulations provides for amendments to primary legislation and for related transitional provisions. *Regulation 7* and *Schedules 1 and 3 (Part 1)* relate to the 1981 Act and the Transport Act 1985 and *regulation 8* and *Schedules 2 and 3 (Part 2)* relate to the 1995 Act.

The principal amendments made to the 1981 Act by *Schedule 1* include:

- (a) in *paragraph 2*, the introduction of a new section 12(1A) to make clear that the power to disapply the derogation in article 1.4(b) and (c) of Regulation 1071/2009 (for certain road passenger undertakings and for slow vehicles) is being exercised;
- (b) in *paragraph 3*, the replacement of section 14 (grant of licences) with new sections 14 to 14ZC to reflect the new conditions to apply to standard licence holders by virtue of the Regulation;
- (c) in *paragraph 6*, the amendment of section 17 (revocation, suspension etc. of licences) to incorporate the time limits allowed for rectification by article 13 of the Regulation;
- (d) in *paragraph 11*, amendments to Schedule 3 (supplementary provisions as to qualifications for PSV operators licences) which:
 - (i) implement article 8.7 by empowering the approved body to grant exemptions from parts of the examination required by article 8.1 for holders of existing qualifications (sub-paragraph (4)(b));
 - (ii) introduce in new paragraphs 7A to 7C provisions which, respectively, permit transport managers to make representations in proceedings which could result in the finding that they are not of good repute or professionally competent and regulate the disqualification and re-instatement of transport managers (sub-paragraph (6)); and
 - (iii) revoke transitional provisions related to the implementation of Directive 96/26/EC which is revoked by Regulation 1071/2009 (sub-paragraph (7)).

Paragraph 12 of Schedule 1 makes a minor consequential amendment to section 28 of the Transport Act 1985 (power to disqualify PSV operators).

The principal amendments made to the 1995 Act by *Schedule 2* include:

Changes to legislation: There are currently no known outstanding effects for the *The Road Transport Operator Regulations 2011*. (See end of Document for details)

- (a) in *paragraph 2*, the introduction of a new section 2(1A) to make clear the power to disapply the derogation in article 1.4(c) of Regulation 1071/2009 (for slow vehicles) is being exercised and (read with *paragraph 19(3)* of the Schedule) the replacement in respect of carriage for hire or reward operations of the small vehicles exemptions in Schedule 1 with an exemption based on article 1.4(a) of the Regulation;
- (b) in *paragraph 5*, the replacement of section 13 (determination of applications for operators' licences) with new sections 13 to 13D to reflect the new conditions to apply to standard licence holders by virtue of the Regulation;
- (c) in *paragraph 8(2)(d)*, the increase of the penalty in section 22(6) for contravening a condition attached to a licence under that section from level 4 on the standard scale to level 5;
- (d) in *paragraph 9*, the amendment of section 24 (interim licences) to allow a request for an interim standard licence to be treated as an application for an operator's licence for the purposes of section 13 of the Act;
- (e) in *paragraph 10*, the amendment of section 27 (revocation of standard licences) to incorporate the time limits allowed for rectification by article 13 of the Regulation;
- (f) in *paragraph 20*, amendments to Schedule 3 (qualifications for standard licence) which:
 - (i) implement article 8.7 of Regulation 1071/2009 by empowering the approved body to grant exemptions from parts of the examination required by article 8.1 for holders of existing qualifications (sub-paragraph (5)(a));
 - (ii) amend paragraph 15 (notification of transport manager of proceedings) to permit a transport manager to request an inquiry under section 35 of the Act (sub-paragraph 6(b)); and
 - (iii) introduce new paragraphs 16 and 17 which regulate the disqualification and reinstatement of transport managers (sub-paragraph (7)).

Schedule 3 makes transitional provisions in respect of the amendments made to the 1981 Act (*Part 1*) and the 1995 Act (*Part 2*). These include provision for:

- (a) the application of the new provisions to existing standard licences and the continued application of certificates of professional competence (*paragraphs 2 and 9*);
- (b) the amendment of references to licence conditions in standard licences (*paragraphs 3 and 10*);
- (c) the application of the revised penalty for offences under section 22(6) of the 1995 Act (breaches of certain licence conditions) to apply to offences committed partly before and partly after the 4th December 2011 (*paragraph 11*);
- (d) objections already made to pending licence applications to continue to have effect (*paragraphs 4 and 12*);
- (e) the application of paragraphs 5(1) and 5(2) of Schedule 3 to the 1981 Act and paragraphs 10 and 11 of Schedule 3 to the 1995 Act (opinions given by a traffic commissioner as to the period required for the appointment of a new transport manager) during the commencement period (*paragraphs 5 and 13*);
- (f) in exercise of the discretion conferred by article 9 of Regulation 1071/2009, the power for the Secretary of State to grant transport managers who have continuously managed a road haulage or road passenger transport undertaking for a period of ten years ending on 4th December 2009 an exemption from the examination requirements of paragraph 6(1) of Schedule 3 to the 1981 Act and paragraph 13(1) of Schedule 3 to the 1995 Act (*paragraphs 6 and 14*); and

- (g) new paragraphs 7A to 7C of Schedule 3 to the 1981 Act and new paragraphs 16 and 17 of Schedule 3 to the 1995 Act to apply to proceedings in progress on the commencement date (*paragraphs 7 and 15*).

In Part 3 of these Regulations, *regulation 9* requires the Secretary of State to review their operation and effect, and to publish a report within five years after they come into force and within every five years after that. Following a review it will fall to the Secretary of State to consider whether these Regulations should remain as they are, or be revoked or be amended. A further instrument would be needed to revoke or to amend them.

A full impact assessment of the effect that Regulation 1071/2009 (along with two related EC Road Transport Regulations) will have on the costs of business and the voluntary sector is available from the Operator Licensing and Roadworthiness Division at the Department for Transport, Great Minister House, 33 Horseferry Road, London SW1P 4DR and from the Department's website at <http://www.dft.gov.uk/consultations/dft-2011-11>. It is also published with the Explanatory Memorandum alongside this instrument on www.legislation.gov.uk.

Changes to legislation:

There are currently no known outstanding effects for the The Road Transport Operator Regulations 2011.