

**Les Waters**  
**Head of Licensing**  
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To holders of:

- Passenger SNRPs
- Charter Passenger SNRPs
- Passenger train licences
- Station licences

which are listed in Schedules 1, 2, 3 and 4

31 January 2023

By email and post

Dear Sir/Madam

**Notice of modification of the licences and SNRPs listed in Schedules 1 to 4 of this Notice in accordance with section 12 of the Railways Act 1993 (“the Act”) and Regulation 13 of the Railway (Licensing of Railway Undertakings) Regulations 2005 (“the Regulations”)**

The companies listed in Schedules 1, 2, 3 and 4 of this notice have been granted a licence, under section 8 of the Act, or Statements of National Regulatory Provisions (“SNRPs”), under regulation 10 and schedule 4 of the Regulations, to operate railway assets.

On 20 October 2022, and in accordance with section 12(2) of the Act, and regulation 13(2) of the Regulations, the Office of Rail and Road (“ORR”) [gave notice](#) of its proposal to modify licences and SNRPs listed in Schedules 1, 2, 3 and 4 of this notice to include changes regarding licence holders’ complaints handling obligations. The principal effect of these changes is that licence and SNRP holders will be required to establish and thereafter comply with a procedure for handling complaints that complies with ORR’s Complaints Code of Practice.

The accompanying notices summarised the outcome of the policy development and stakeholder consultation process. Alongside those notices we published the Complaints Code of Practice with which licence holders will need to comply.

All relevant licence/SNRP holders have given their written consent to the amended licence condition being incorporated into their respective licences/SNRPs.

Under section 12(1) of the Act and regulation 13(1) of the Regulations and with the consent of the licence and SNRP holders, I therefore modify the licences and



SNRPs listed in Schedules 1, 2, 3 and 4 of this notice by including the amended complaints handling licence conditions set out below. These changes will take effect from **1 April 2023**.

Our 20 October notices also set out proposed changes regarding licence holders' membership of the relevant Alternative Dispute Resolution (ADR) scheme. We will issue the outcome of that consultation separately and in due course. For now, the current requirements on ADR membership remain unchanged.

We will place a copy of this letter on our website and public register, and update the affected licences and SNRPs on our website after 1 April 2023. We will also publish a clean version of the Complaints Code of Practice alongside this notice.

A handwritten signature in blue ink that reads 'Les Waters'.

**Les Waters**  
**Duly authorised by the Office of Rail and Road**

## Schedule 1: Railways Act licence holders

<b>Passenger train licence holder</b>	<b>Licence number</b>
Merseyrail Electrics 2002 Ltd	UK 03 2003 0011
Merseyside Passenger Transport Services Ltd (Inactive OLR)	UK 03 2014 0004
North Yorkshire Moors Railway Enterprises plc	UK 03 2007 0002
Pre Metro Operations Ltd	UK 03 2003 0004
South Yorkshire Supertram Ltd	UK 03 2018 0001
Tyne and Wear Passenger Transport Executive	UK 03 2002 0002
<b>Station licence holder</b>	<b>Licence number</b>
Abellio East Anglia Ltd	UK 03 2016 0005
Abellio East Midlands Ltd	UK 03 2019 0001
Arriva Rail London Ltd	UK 03 2016 0009
c2c Railway Ltd (formerly DfT OLR7 Ltd) (Inactive)	UK 03 2019 0016
Chiltern Rail Ltd (formerly DfT OLR11 Ltd) (Inactive)	UK 03 2020 0018
Cross Country Rail Ltd (formerly DfT OLR6 Ltd) (Inactive)	UK 03 2019 0013
First Greater Western Ltd	UK 03 2006 0002
First MTR South Western Trains Ltd	UK 03 2017 0001
First TransPennine Express Ltd	UK 03 2016 0002
First Trenitalia West Coast Rail Ltd	UK 03 2019 0018
GA Trains Ltd (formerly DfT OLR9 Ltd) (Inactive)	UK 03 2020 0012

Glasgow Prestwick International Airport Ltd	UK 03 1994 0006
Govia Thameslink Railway Ltd	UK 03 2014 0008
Greater Western Railway Ltd (formerly DfT OLR4 Ltd) (Inactive)	UK 03 2019 0007
London North Eastern Railway Ltd (formerly DfT OLR1 Ltd) (Active)	UK 03 2014 0003
London Southend Airport Company Ltd	UK 03 2020 0005
Merseyrail Electrics 2002 Ltd	UK 03 2003 0013
Merseyrail Electrics 2002 Ltd (Liverpool South Parkway station)	UK 03 2005 0086
Merseyside Passenger Transport Services Ltd (Inactive OLR)	UK 03 2014 0005
Midlands East Trains Ltd (formerly DfT OLR13 Ltd) (Inactive)	UK 03 2020 0024
Mitie Technical Facilities Management Ltd	UK 03 2013 0001
MTR Corporation (Crossrail) Ltd	UK 03 2015 0005
Northern Trains Ltd (formerly DfT OLR3 Ltd) (Active)	UK 03 2019 0004
Rail for London Ltd (Inactive OLR)	UK 03 2007 0017
Railway West Coast Ltd (formerly DfT OLR8 Ltd) (Inactive)	UK 03 2020 0009
ScotRail Trains Ltd (formerly SOLR1 Ltd)	UK 03 2020 0001
SE Trains Ltd (formerly DfT OLR2 Ltd) (Active)	UK 03 2018 0009
South Western Railway Ltd (formerly DfT OLR5 Ltd) (Inactive)	UK 03 2019 0010
South Yorkshire Supertram Ltd	UK 03 2018 0002

Thameslink Southern Great Northern Ltd (formerly DfT OLR14 Ltd) (Inactive)	UK 03 2020 0027
The Chiltern Railway Company Ltd	UK 03 1995 0015
TransPennine Trains Ltd (formerly DfT OLR10 Ltd) (Inactive)	UK 03 2020 0015
Transport for Greater Manchester	UK 03 2020 0031
Transport for Wales Rail Ltd (formerly Wales Operator of Last Resort Ltd)	UK 03 2020 0006
Trenitalia c2c Ltd	UK 03 2014 0011
Tyne and Wear Passenger Transport Executive	UK 03 2002 0003
West Midlands Trains Ltd	UK 03 2017 0004
WM Trains Ltd (formerly DfT OLR12 Ltd) (Inactive)	UK 03 2020 0021

**Modifications to Condition 6 in the Railways Act licences listed in Schedule 1 above.**

**Complaints Handling**

1. The licence holder shall establish and thereafter comply with a procedure for handling complaints relating to licensed activities from its customers and potential customers. The procedure shall comply with the Complaints Code of Practice.
2. Not used
3. Not used
4. Not used
5. Alternative Dispute Resolution:
  - (a) The licence holder shall become and thereafter remain, a member of the Relevant ADR Scheme;
  - (b) the licence holder shall comply with its obligations under the Relevant ADR Scheme; and
  - (c) if the Relevant ADR Scheme, at any time, ceases to be Compliant, the licence holder must:
    - (i) within 14 days after becoming aware that the Relevant ADR Scheme is no longer Compliant, notify ORR of that fact;
    - (ii) within no more than 28 days after becoming aware that the Relevant ADR Scheme is no longer Compliant, notify ORR of the arrangements it has put in place to ensure that the interests of passengers are not adversely affected and must, if so directed by ORR at any time, revise those arrangements to take account of any concerns ORR reasonably raises about the protection of passenger interests; and
    - (iii) if the Relevant ADR Scheme continues to be non-Compliant for more than 6 months:

- take all such steps as are reasonably practicable, including working together with other members of the Relevant ADR Scheme, and Rail Delivery Group, as appropriate, to identify another alternative dispute resolution scheme which is Compliant; and
- notify such scheme to ORR within not more than 12 months (or such longer period as ORR may agree) after the date on which the Relevant ADR Scheme ceased to be Compliant.

6. For the purposes of this Condition:

“Relevant ADR Scheme” means:

- the alternative dispute resolution scheme procured by Rail Delivery Group (the Rail Ombudsman) or, as the case may be, any Successor Scheme.

“Successor Scheme” means:

- such other alternative dispute resolution scheme as is notified to ORR by the licence holder under sub-paragraph (c)(iii) above and is accepted by ORR as providing suitable protection for the interests of passengers.

“Complaints Code of Practice” means:

- the Complaints Code of Practice published by ORR, as amended from time to time.

“Compliant”, in relation to the Relevant ADR Scheme, means:

- that the scheme is approved by the Designated Competent Authority.

“Designated Competent Authority” means:

- the relevant Designated Competent Authority under The Alternative Dispute Resolution for Consumer Disputes (Competent Authorities and Information) Regulations 2015.

## Schedule 2: Railways Act licence holders

<b>Passenger train licence holder</b>	<b>Licence number</b>
London Underground Ltd	UK 03 2004 0008
<b>Station licence holder</b>	<b>Licence number</b>
London Underground Ltd	UK 03 2004 0009
Network Rail Infrastructure Ltd	UK 03 1994 0004

## **Modifications to the Railways Act licences for Network Rail Infrastructure Limited and London Underground Limited.**

**For licences listed in Schedule 2 above, modify Condition 5 or 6, as appropriate.**

### **Complaints Handling**

1. The licence holder shall establish and thereafter comply with a procedure for handling complaints relating to licensed activities from its customers and potential customers. The procedure shall comply with the Complaints Code of Practice.
2. Not used
3. Not used
4. Not used
5. Not used
6. Not used
7. Alternative Dispute Resolution:
  - (a) The licence holder shall become and thereafter remain, a member of the Relevant ADR Scheme;
  - (b) the licence holder shall comply with its obligations under the Relevant ADR Scheme; and
  - (c) if the Relevant ADR Scheme, at any time, ceases to be Compliant, the licence holder must:
    - (i) within 14 days after becoming aware that the Relevant ADR Scheme is no longer Compliant, notify ORR of that fact;
    - (ii) within no more than 28 days after becoming aware that the Relevant ADR Scheme is no longer Compliant, notify ORR of the arrangements it has put in place to ensure that the interests of passengers are not adversely affected and must, if so directed by ORR at any time, revise those arrangements to take account of any concerns ORR reasonably raises about the protection of passenger interests; and

- (iii) if the Relevant ADR Scheme continues to be non-Compliant for more than 6 months:
- take all such steps as are reasonably practicable, including working together with other members of the Relevant ADR Scheme, and Rail Delivery Group, as appropriate, to identify another alternative dispute resolution scheme which is Compliant; and
  - notify such scheme to ORR within not more than 12 months (or such longer period as ORR may agree) after the date on which the Relevant ADR Scheme ceased to be Compliant.

8. For the purposes of this Condition:

“Relevant ADR Scheme” means:

- the alternative dispute resolution scheme procured by Rail Delivery Group (the Rail Ombudsman) or, as the case may be, any Successor Scheme.

“Successor Scheme” means:

- such other alternative dispute resolution scheme as is notified to ORR by the licence holder under sub-paragraph (c)(iii) above, and is accepted by ORR as providing suitable protection for the interests of passengers.

“Complaints Code of Practice” means:

- the Complaints Code of Practice published by ORR, as amended from time to time.

“Compliant”, in relation to the Relevant ADR Scheme, means:

- that the scheme is approved by the Designated Competent Authority.

“Designated Competent Authority” means:

- the relevant Designated Competent Authority under The Alternative Dispute Resolution for Consumer Disputes (Competent Authorities and Information) Regulations 2015.

### Schedule 3: Passenger SNRP holders

Passenger SNRP holder	SNRP number
Abellio East Anglia Ltd	UK 02 2016 0003
Abellio East Midlands Ltd	UK 02 2019 0001
Arriva Rail London Ltd	UK 03 2016 0007
c2c Railway Ltd (formerly DfT OLR7 Ltd) (Inactive)	UK 02 2006 0011
Chiltern Rail Ltd (formerly DfT OLR11 Ltd) (Inactive)	UK 02 2020 0005
Cross Country Rail Ltd (formerly DfT OLR6 Ltd) (Inactive)	UK 02 2006 0007
Direct Rail Services Ltd	UK 02 2005 0024
East Coast Trains Ltd	UK 02 2021 0001
First Greater Western Ltd	UK 02 2006 0002
First MTR South Western Trains Ltd	UK 02 2017 0002
First TransPennine Express Ltd	UK 02 2016 0001
First Trenitalia West Coast Rail Ltd	UK 02 2019 0002
GA Trains Ltd (formerly DfT OLR9 Ltd) (Inactive)	UK 02 2020 0003
GB Railfreight Ltd	UK 02 2009 0001
Govia Thameslink Railway Ltd	UK 02 2014 0002
Grand Central Railway Company Ltd	UK 02 2007 0003
Greater Western Railway Ltd (formerly DfT OLR4 Ltd) (Inactive)	UK 02 2006 0013
Heathrow Express Operating Co Ltd	UK 02 2014 0001

Hull Trains Company Ltd	UK 02 2005 0055
Locomotive Services (TOC) Ltd	UK 02 2017 0001
London North Eastern Railway Ltd (formerly DfT OLR1 Ltd) (Active)	UK 02 2006 0012
Midlands East Trains Ltd (formerly DfT OLR13 Ltd) (Inactive)	UK 02 2020 0007
MTR Corporation (Crossrail) Ltd	UK 02 2015 0004
Northern Trains Ltd (formerly DfT OLR3 Ltd) (Active)	UK 02 2006 0010
RailAdventure UK Ltd (formerly SLC Operations Ltd)	UK 02 2021 0002
Rail for London Ltd (Inactive OLR)	UK 02 2007 0008
Rail Operations (UK) Ltd	UK 02 2016 0011
Railway West Coast Ltd (formerly DfT OLR8 Ltd) (Inactive)	UK 02 2020 0002
ScotRail Trains Ltd (formerly SOLR1 Ltd)	UK 02 2007 0006
Serco Caledonian Sleepers Ltd	UK 02 2015 0001
SE Trains Ltd (formerly DfT OLR2 Ltd) (Active)	UK 02 2006 0009
SOLR2 Ltd (Inactive OLR)	UK 02 2007 0007
South Western Railway Ltd (formerly DfT OLR5 Limited) (Inactive)	UK 02 2006 0008
Thameslink Southern Great Northern Ltd (formerly DfT OLR14 Ltd) (Inactive)	UK 02 2020 0008
The Chiltern Railway Company Ltd	UK 02 2005 0019
TransPennine Trains Ltd (formerly DfT OLR10 Ltd) (Inactive)	UK 02 2020 0004

Transport for Wales (formerly Wales Operator of Last Resort Ltd)	UK 02 2020 0001
Trenitalia c2c Ltd	UK 02 2014 0003
Vintage Trains Ltd	UK 02 2018 0001
West Coast Railway Company Ltd	UK 02 2005 0079
West Midlands Trains Ltd	UK 02 2017 0003
WM Trains Ltd (formerly DfT OLR12 Ltd) (Inactive)	UK 02 2020 0006
XC Trains Ltd	UK 02 2007 0010



**Modifications to Condition 6 in the Passenger SNRPs listed in Schedule 3 above.**

**Complaints Handling**

1. The SNRP holder shall establish and thereafter comply with a procedure for handling complaints relating to licensed activities from its customers and potential customers. The procedure shall comply with the Complaints Code of Practice, and shall also comply with article 27 of the PRO Regulation.
2. Not used
3. Not used
4. Not used
5. Alternative Dispute Resolution:
  - (a) The SNRP holder shall become and thereafter remain, a member of the Relevant ADR Scheme;
  - (b) the SNRP holder shall comply with its obligations under the Relevant ADR Scheme; and
  - (c) if the Relevant ADR Scheme, at any time, ceases to be Compliant, the SNRP holder must:
    - (i) within 14 days after becoming aware that the Relevant ADR Scheme is no longer Compliant, notify ORR of that fact;
    - (ii) within no more than 28 days after becoming aware that the Relevant ADR Scheme is no longer Compliant, notify ORR of the arrangements it has put in place to ensure that the interests of passengers are not adversely affected and must, if so directed by ORR at any time, revise those arrangements to take account of any concerns ORR reasonably raises about the protection of passenger interests; and
    - (iii) if the Relevant ADR Scheme continues to be non-Compliant for more than 6 months:

- take all such steps as are reasonably practicable, including working together with other members of the Relevant ADR Scheme, and Rail Delivery Group, as appropriate, to identify another alternative dispute resolution scheme which is Compliant; and
- notify such scheme to ORR within not more than 12 months (or such longer period as ORR may agree) after the date on which the Relevant ADR Scheme ceased to be Compliant.

6. For the purposes of this Condition:

“Relevant ADR Scheme” means:

- the alternative dispute resolution scheme procured by Rail Delivery Group (the Rail Ombudsman) or, as the case may be, any Successor Scheme.

“Successor Scheme” means:

- such other alternative dispute resolution scheme as is notified to ORR by the SNRP holder under sub-paragraph (c)(iii) above, and is accepted by ORR as providing suitable protection for the interests of passengers.

“Complaints Code of Practice” means:

- the Complaints Code of Practice published by ORR, as amended from time to time.

“Compliant”, in relation to the Relevant ADR Scheme, means:

- that the scheme is approved by the Designated Competent Authority.

“Designated Competent Authority” means:

- the relevant Designated Competent Authority under The Alternative Dispute Resolution for Consumer Disputes (Competent Authorities and Information) Regulations 2015.

#### Schedule 4: Passenger SNRP holder Eurostar International Ltd

Passenger SNRP holder	SNRP number
Eurostar International Ltd	UK 02 2005 0027

#### Modifications to Condition 6 in the GB Passenger SNRP listed in this Schedule.

#### Complaints Handling

1. The SNRP holder shall establish and thereafter comply with a procedure for handling complaints relating to licensed activities from its customers and potential customers. The procedure shall comply with the Complaints Code of Practice, and shall also comply with article 27 of the PRO Regulation.
2. For the purposes of this Condition:  
  
“Complaints Code of Practice” means:  
  
- the Complaints Code of Practice published by ORR, as amended from time to time.
3. Not used
4. Not used