

To holders of:

- Passenger SNRPs
 - Charter Passenger SNRPs
 - Passenger train licences
 - Station licences
- as listed in Schedules 1, 2, and 3

18 July 2023

By email and post

Dear Sir/Madam

Notice of modification of the licences and SNRPs listed in Schedules 1 to 3 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, and 3 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 the licences and SNRPs listed in Schedules 1, 2 and 3 of this notice to include changes regarding licence holders’ membership of the relevant Alternative Dispute Resolution (“ADR”) scheme. The accompanying notices summarised the outcome of the policy development and stakeholder consultation process that had led up to these proposed changes.

The principal effect of the changes is that licence and SNRP holders will be required to become and remain members of an ADR scheme in the rail sector, procured by ORR. Licence and SNRP holders will also be required to comply with relevant obligations under the ADR scheme membership terms and to contribute to the funding of the scheme. This change fulfils the commitment in the [May 2021 Plan for Rail](#) which set out an intent for ORR to take over sponsorship of the Rail Ombudsman from the Rail Delivery Group (“RDG”).


All relevant licence/SNRP holders have given their written consent to the amended 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, and 3 of this notice by including the amended complaints handling conditions set out below. These changes will take effect from **20 September 2023**.



Licence and SNRP holders will be contacted by the Rail Ombudsman regarding the transition to the ORR-sponsored scheme and will be asked to onboard to the new scheme in advance of the 20 September date. Condition 5 or 6 (as appropriate) specifies that ORR will inform licence holders of the payments that they will be required to make as members of the ORR scheme. Pursuant to this, licence holders should treat this notice as confirmation that the Rail Ombudsman, on behalf of ORR, will write to members to inform them of the required payments in due course. This will ensure that preparations for the ORR-sponsored scheme to go live can be completed in good time and in advance of the commencement of the scheme's operational services.

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 20 September 2023.

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Les Waters
Head of Licensing

Duly authorised by the Office of Rail and Road

Schedule 1: Railways Act licence holders

Passenger train licence holder	Licence number
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

Station licence holder	Licence number
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 Trenitalia West Coast Rail Ltd	UK 03 2019 0018
GA Trains Ltd (formerly DfT OLR9 Ltd) (Inactive)	UK 03 2020 0012

Station licence holder	Licence number
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

Station licence holder	Licence number
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) (Active)	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.

Note: This notice shows what Condition 6 will look like in its entirety from 20 September 2023. Paragraphs 1-4 took effect from 1 April 2023; paragraphs 5 and 6 will take effect from 20 September 2023.

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) the licence holder shall make such payments as required for the Relevant ADR Scheme on the terms notified to the licence holder in writing by ORR.
6. For the purposes of this Condition:

“Relevant ADR Scheme” means:

 - the alternative dispute resolution scheme procured by ORR and approved by the Designated Competent Authority.



“Complaints Code of Practice” means:

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

“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

Passenger train licence holder	Licence number
London Underground Ltd	UK 03 2004 0008

Station licence holder	Licence number
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.

Note: This notice shows what Condition 5 or 6 will look like in its entirety from 20 September 2023. Paragraphs 1-6 took effect from 1 April 2023; paragraphs 7 and 8 will take effect from 20 September 2023.

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) the licence holder shall make such payments as required for the Relevant ADR Scheme on the terms notified to the licence holder in writing by ORR.
8. For the purposes of this Condition:

“Relevant ADR Scheme” means:

 - the alternative dispute resolution scheme procured by ORR and approved by the Designated Competent Authority.



“Complaints Code of Practice” means:

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

“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
Caledonian Sleeper Ltd (formerly SOLR2 Ltd) (Active)	UK 02 2007 0007
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 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

Passenger SNRP holder	SNRP number
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 (will not be modified as operations ceased after 24 June 2023)	UK 02 2015 0001
SE Trains Ltd (formerly DfT OLR2 Ltd) (Active)	UK 02 2006 0009
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

Passenger SNRP holder	SNRP number
TransPennine Trains Ltd (formerly DfT OLR10 Ltd) (Active)	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

Note: Hanson & Hall, Rail Services Solutions Limited (“Hanson & Hall”), applied for a passenger charter licence and SNRP on 2 November 2022, which we granted on 23 February 2023. Hanson & Hall was therefore not included in our statutory consultation of 20 October 2022, and we will deal with this separately.

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

Note: This notice shows what Condition 6 will look like in its entirety from 20 September 2023. Paragraphs 1-4 took effect from 1 April 2023; paragraphs 5 and 6 will take effect from 20 September 2023.

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) the SNRP holder shall make such payments as required for the Relevant ADR Scheme on the terms notified to the SNRP holder in writing by ORR.
6. For the purposes of this Condition:

“Relevant ADR Scheme” means:

 - the alternative dispute resolution scheme procured by ORR and approved by the Designated Competent Authority.

“Complaints Code of Practice” means:

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

“Designated Competent Authority” means:

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