NOTICE OF MODIFICATION OF NETWORK RAIL INFRASTRUCTURE LIMITED’S STATION LICENCE

Schedule 1: Schedule 1: Mark-up of Network Rail’s station licence showing the modifications.
STATION LICENCE

granted to

Network Rail Infrastructure Limited
(formerly Railtrack-RAILTRACK PLC)

as amended by paragraph 4, Schedule 3 of the Railways and Transport Safety Act 2003 and the Railways Act 2005 (Licensing Modification) Scheme No 1
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Part I – Scope of the Licence

1. The Secretary of State, in exercise of the powers conferred by section 8 of the Railways Act 1993 (as amended) ("the Act"), hereby grants to Railtrack PLC1 ("the licence holder") a licence authorising the licence holder to be the operator of stations, as provided in paragraphs 2 and 3 below, subject to the Conditions set out in Part III hereof ("the Conditions").

2. The licence holder is authorised by this licence to be the operator of:

a. the stations listed in Schedule 2 hereto; and

b. any such other station as the licence holder specifies in a notice given to the Office of Rail Regulation and in respect of which the Office of Rail Regulation does not give to the licence holder, within a period of 30 days beginning with the day on which the licence holder gives that notice, a notice objecting to the licence holder being so authorised.

3. a. This licence, so far as relating to the stations listed in Schedule 2 hereto, shall come into force on 1 April 1994; and, so far as relating to any station referred to in sub-paragraph 2(b) above, shall come into force at the end of the period of 30 days there mentioned, or on such other date as the Office of Rail Regulation may specify by notice given to the licence holder within that period.

b. This licence shall continue in force unless and until revoked in accordance with the provisions of Schedule 1 hereto or by not less than 10 years' notice given to the licence holder by the Secretary of State, such notice not to be given earlier than 25 years after the date first mentioned in sub-paragraph (a).

31 March 1994

Signed by authority of the Secretary of State for Transport

1 Network Rail Infrastructure Limited since 3 February 2003
Part II – Interpretation

1. In this licence

"control" shall be construed in accordance with sub-sections (2) and (4) to (6) of section 416 of the Income and Corporation Taxes Act 1988 with the following modifications namely:

a) for the words "the greater part" wherever they occur in the said sub-section (2) there shall be substituted the words "30 per cent or more"; and

b) in the said sub-section (6), for the word "may" there shall be substituted the word "shall", the words from "and such attributions" onwards shall be omitted and in the other provisions of that sub-section any reference to an associate of a person shall be construed as including only a relative of his (as defined by section 417(4) of that Act), a partner of his and a trustee of a settlement (as defined by section 681(4) of that Act) of which he is a beneficiary;

"licensed activities" means things authorised to be done by the licence holder in its capacity as operator of stations pursuant to this licence;

"LTUC" means the London Transport Users' Committee and any successor to LTUC which performs the same functions;

"ORR" means the Office of Rail Regulation;

"RPC" means the Rail Passengers' Council and any successor or delegated body which performs the function of the RPC;

"RSSB" means the Rail Safety and Standards Board Limited (a company limited by guarantee and registered in England and Wales under number 04655675), and its successors and assigns; and

"TfL" means Transport for London.

2. Any reference in this licence to a numbered paragraph is a reference to the paragraph bearing that number in the Condition in which the reference occurs.

3. In interpreting this licence, headings shall be disregarded.
4. Where in this licence the licence holder is required to comply with any obligation within a specified time limit, that obligation shall be deemed to continue after that time limit if the licence holder fails to comply with that obligation within that time limit.

5. The provisions of section 149 of the Act shall apply for the purposes of the service of any document pursuant to this licence.

6. Unless the context otherwise requires, terms and expressions defined in the Act and the Railways Act 2005 shall have the same meanings in this licence.

7. Where in this licence there is a provision for ORR or the Secretary of State to give consent, such consent may be given subject to conditions.

8. The Interpretation Act 1978 shall apply to this licence as if it were an Act.
Part III - Conditions

Condition 1: Insurance against Third-Party Liability

1. The licence holder shall, in respect of licensed activities, maintain insurance (including self-insurance) against third party liabilities on terms approved by the Office of Rail Regulation (including, but without limitation, with respect to the type, cover and level of insurance and identity of insurer), with any such modification as may be required pursuant to paragraph 3.

2. The licence holder shall, except as the Office of Rail Regulation may otherwise consent, procure that every insurance policy maintained pursuant to paragraph 1 shall bear an endorsement to the effect that 30 days' notice shall be given to the Office of Rail Regulation by the insurer or insurance broker of any lapse or cancellation of, or material change to, the policy.

3. Where the Office of Rail Regulation notifies the licence holder that the Office of Rail Regulation reasonably requires any modification of the insurance approved by the Office of Rail Regulation pursuant to paragraph 1, the licence holder shall, no later than 60 days (or such longer period as the Office of Rail Regulation may approve) from the date of the notice, procure that such modification is made.

4. In this Condition:

   “self-insurance” means the licence holder’s financial capacity to meet any liability to a third party in respect of which the licence holder does not otherwise have insurance.

   1. The licence holder shall, in respect of licensed activities, maintain insurance against third party liabilities in accordance with any relevant ORR general or specific approval, as amended from time to time.
Condition 2: Claims Allocation and Handling

1. The licence holder shall, except in so far as the Office of Rail Regulation ORR may otherwise consent, at all times be a party to such agreements or arrangements relating to:

   a) the handling of claims against operators of railway assets; and
   b) the allocation, among operators of railway assets, of liabilities to persons other than such operators; and

   as may have been approved by the Office of Rail Regulation ORR, as at the date first mentioned in sub-paragraph 3(a) of Part I of this licence (as may have been amended from time to time).

2. Except with the consent of the Office of Rail Regulation ORR, the licence holder shall not, in relation to any of the agreements or arrangements described in paragraph 1 (the “relevant claims handling arrangements”), enter into any agreement or arrangement with any other party to the relevant claims handling arrangements:

   a) under which the licence holder agrees not to exercise any rights which it may have under any of the relevant claims handling arrangements; or
   b) varying the relevant claims handling arrangements,

   other than as provided for under the terms of those the relevant claims handling arrangements.

Condition 3: Transport Police

Deleted

1. The licence holder shall, at all times when it is not the employer of the British Transport Police, be a party to an agreement approved by the Secretary of State with the employer of the British Transport Police for the provision of core police services to the licence holder.

2. The licence holder shall, at all times when it is the employer of the British Transport Police, require the British Transport Police to provide core police services to the licence holder.

3. In this Condition:

   “core police services” means services specified for the time being as core police services in the code issued by the Police Committee established under the scheme made, or treated as if made, under section 132 of the Act.
Condition 4: Provision of Services for Disabled People

1. The licence holder shall by 1 October 1994 establish and thereafter comply with:
   a) a statement of policy; and
   b) a detailed body of arrangements, procedures, services and other benefits to be implemented or provided by the licence holder,

designed to protect the interests of people who are disabled in their use of stations of which the licence holder is the operator pursuant to this licence and to facilitate such use (together "the Disabled People’s Protection Policy").

2. In establishing the Disabled People’s Protection Policy and in making any alteration to it, the licence holder shall have due regard to the code of practice published by the Secretary of State pursuant to section 70 or section 71B of the Act.

3. The licence holder shall not establish, or make any material alteration to, the Disabled People’s Protection Policy unless and until:
   a) the Rail Passengers’ Council RPC and, where appropriate, LTUC has been consulted; and
   b) the licence holder has submitted the Disabled People's Protection Policy or (as the case may be) any proposed alteration, to the Office of Rail Regulation Secretary of State, and the Secretary of State has approved it, either:
      (i) in the case of a proposed alteration submitted before 1 February 2001, the licence holder has submitted the proposed alteration to the Office of Rail Regulation; or
      in the case of a proposed alteration submitted on or after 1 February 2001, the licence holder has submitted the proposed alteration to the Authority,
      in the case of a proposed alteration submitted on or after 24 July 2005, the licence holder has submitted the proposed alteration to the Secretary of State,

   and before 1 February 2001 the Office of Rail Regulation has approved the proposed alteration, on or after 1 February 2001 and prior to 24 July 2005 the Strategic Rail Authority has approved the proposed alteration and thereafter the Secretary of State has approved the proposed alteration.

4. Where the Secretary of State requires the licence holder to carry out a review of the Disabled People’s Protection Policy or any part of or aspect thereof and the manner in which it has been implemented, with a view to determining whether any alteration should be made thereto, the licence holder shall promptly carry out such a review and shall submit a written report to the Secretary of State setting out the results or conclusions thereof.

The licence holder shall:

5.
(a) send a copy of the Disabled People’s Protection Policy and of any alteration to it (in each case following approval by the Secretary of State where required under sub-paragraph 3(b)) to the Secretary of State and the Rail Passengers’ Council;

(b) in a place of reasonable prominence at each station of which the licence holder is the operator pursuant to this licence, display a notice giving the address from which a current copy of the statement referred to in sub-paragraph 1(a) may be obtained;

(c) give or send free of charge a current copy of the statement referred to in sub-paragraph 1(a) (as altered) to any person who requests it.

6. Nothing in this Condition shall oblige the licence holder to undertake any action that entails excessive cost taking into account all the circumstances, including the nature and scale, of licensed activities.

Condition 5: Complaints Handling Procedure

1. The licence holder shall within 3 months beginning with the date first mentioned in sub-paragraph 3(a) of Part I of this licence establish and thereafter comply with a procedure (“Complaints Procedure”) approved by the Secretary of State for handling complaints relating to licensed activities from its customers and potential customers.

2. Subject to paragraph 6, the licence holder shall not implement or make any material alteration to the Complaints Procedure unless and until:

(a) the Rail Passengers’ Committee and, where relevant appropriate, LTUC has been consulted; and

(b) the licence holder has submitted the proposed alteration to either:

(i) the Office of Rail Regulation in respect of an alteration proposed before 1 February 2001; or

(ii) the Authority in respect of a proposed alteration proposed after 1 February 2001 and prior to 24 July 2005; and

(iii) the Secretary of State and in respect of a proposed alteration submitted on or after 24 July 2005

and before 1 February 2001 the Office of Rail Regulation has approved the proposed alteration, on or after 1 February and prior to 24 July 2005 the Strategic Rail Authority has approved the proposed alteration and thereafter the Secretary of State has approved it.

3. The licence holder shall send a copy of the Complaints Procedure and of any material alteration to it (in each case following approval by the Office of Rail Regulation or the Secretary of State where required under paragraph 1 and sub-paragraph 2(b)) to the Secretary of State and the Rail Passengers’ Committee and, where appropriate, LTUC referred to in sub-paragraph 2(a).
4. Where the Secretary of State requires the licence holder to carry out a review of the Complaints Procedure or any part of it or aspect thereof and the manner in which the same has been operated, with a view to determining whether any alterations should be made thereto, the licence holder shall promptly carry out such review and shall submit a written report to the Secretary of State setting out the results or conclusions thereof.

5. The licence holder shall make such alterations to the Complaints Procedure, or the manner in which it is operated, as the Secretary of State may reasonably require after the Secretary of State has received a report under paragraph 4 and consulted the licence holder.

6. Paragraph 2 does not apply to any alteration made pursuant to paragraph 5.

Condition 6: Rail Passengers’ Council and London Transport Users’ Committee

1. Whenever reasonably requested to do so in connection with its licensed activities by either the Rail Passengers’ Council (where relevant) or, where appropriate, and LTUC (where relevant) in respect of their statutory functions, the licence holder shall attend and participate in any meeting between the RPC and, where appropriate, LTUC (on the one hand) and (on the other hand) any passenger service operator who may be or may have been affected by licensed activities, to discuss and review such matters as the RPC and, where appropriate, LTUC may wish to consider in connection with its functions under Part I of the Act. The licence holder shall not under this Condition be obliged to attend more than 2 meetings with the RPC and, where appropriate, LTUC (as relevant) in any calendar year.

2. The licence holder shall provide the Rail Passengers’ Council (RPC) and/or LTUC (as relevant) with such information as satisfies all the following conditions:
   a) the RPC and, where appropriate, LTUC (as relevant) reasonably requests the information for the purpose of the proper performance of its statutory functions under Part I of the Act;
   b) no undue burden is imposed on the licence holder in procuring or furnishing the information;
   c) unless the RPC and, where appropriate, LTUC (as relevant) considers the information essential to enable the licence holder to exercise its statutory functions, the information would normally be available to the licence holder.

3. In every year in which the licence holder meets with the RPC and, where appropriate, LTUC (separately or jointly) pursuant to paragraph 1, the licence holder shall be represented by one or more senior executives of the licence holder in at least one meeting with the RPC and, where appropriate, LTUC (separately or jointly).

4. Where the licence holder holds another licence, each the number specified as a maximum or minimum in this Condition shall apply jointly to meetings under this Condition and to meetings under any corresponding condition in—of— that other licence.
5. Where:

a) the licence holder and the RPC and, where appropriate, LTUC or both disagree as to the reasonableness of a request made to the licence holder by the RPC and, where appropriate, or LTUC (as relevant) under paragraph 1 or paragraph 2;

(b) either any party refers the dispute to the Secretary of State ORR and the Secretary of State ORR determines that the request is reasonable,

the licence holder shall promptly thereafter comply with the request.

b) either party refers the dispute:

(i) to the Office of Rail Regulation in the case of a reference prior to 1 February 2001; or

(ii) to the Authority in the case of a reference on or after 1 February 2001; and

(iii) to the Secretary of State in the case of a reference on or after 24 July 2005;

prior to 1 February 2001 the Office of Rail Regulation determines that the request is reasonable, on or after 1 February 2001 and prior to 24 July 2005 the Authority determines that the request is reasonable and thereafter the Secretary of State determines that the request is reasonable, the licence holder shall promptly thereafter comply with the request.

Condition 7: Railway Group Standards

1. The licence holder shall comply with the Railway Group Standards applicable to its licensed activities.

2. In this Condition:

"Railway Group Standards" means:

a) technical standards with which railway assets or equipment used on or as part of railway assets must conform; and

b) operating procedures with which the operators of railway assets must comply,

in each case as authorised pursuant to the Railway Group Standards Code prepared pursuant to the network licence held by Railtrack PLC.

Condition 8: Liability of Operators to Each Other Deleted

1. The licence holder shall, except in so far as the Office of Rail Regulation may otherwise consent, at all times be a party to such agreements or arrangements relating to certain matters relating to the liabilities of operators of railway assets to each other, as may have been approved by the Office of Rail Regulation as at the date on which this licence came into force (as amended from time to time).
2. Except with the consent of the Office of Rail Regulation, the licence holder shall not, in relation to any of the agreements or arrangements described in paragraph 1 (the "relevant claims handling arrangements"), enter into any agreement or arrangement with any other party to the relevant claims handling arrangements:

   a) under which the licence holder agrees not to exercise any rights which it may have under any of the relevant claims handling arrangements; or

   b) varying the relevant claims handling arrangements,

other than as provided for under the terms of those arrangements.

Condition 9: Non-Discrimination

1. Except in so far as the Office of Rail Regulation may otherwise consent, the licence holder shall not in its licensed activities, or in carrying out any other function contemplated by this licence, unduly discriminate between particular persons or between any classes or descriptions of person.

Condition 10: Environmental Matters

1. The licence holder shall, taking due account of any relevant guidance issued to it by the Office of Rail Regulation, have a written policy designed to protect the environment from the effect of licensed activities, together with operational objectives and management arrangements to give effect to the policy. The licence holder shall review the policy, the operational objectives and the management arrangements periodically and otherwise as appropriate. Nothing contained in this paragraph shall oblige the licence holder to undertake any action that entails excessive cost taking into account all the circumstances, including the nature and scale, of operations of the type carried out by the licence holder.

2. The licence holder shall, upon establishment and any material modification of them, promptly send the Office of Rail Regulation a copy of the policy together with a general description of the operational objectives and management arrangements.

3. The licence holder shall act with regard to the policy and operational objectives and use its reasonable endeavours to operate the management arrangements effectively.

Condition 11: Provision of Information to the Office of Rail Regulation

1. Subject to paragraphs 3 and 4 the licence holder shall furnish to the Office of Rail Regulation such information as the Office of Rail Regulation may reasonably require for the purpose of carrying out any of his functions under Part I of the Act.
2. Information required to be furnished under this Condition shall be furnished in such form and manner and as at such times as the Office of Rail Regulation may reasonably require.

3. This Condition shall not require the licence holder to furnish to the Office of Rail Regulation information for the purposes of any function of the Office of Rail Regulation under sections 69 and 71 of the Act.

4. Neither this Condition nor any other Condition shall require the licence holder to produce any documents or furnish any information:

   a) for any purpose referred to in section 58 of the Act which it could not be compelled to produce or furnish under that section; or

   b) which it could not be compelled to produce or give in evidence in civil proceedings in any court.

5. Subject to paragraph 4, nothing in this Condition shall prejudice any right of the Office of Rail Regulation to require information under or pursuant to any other Condition. The right of the Office of Rail Regulation to require information pursuant to this Condition shall not be affected by any right to require information under or pursuant to any other Condition.

Condition 12: Payment of Fees

1. Within 30 days beginning with the date first mentioned in subparagraph 3(a) of Part I of this licence, the licence holder shall render to the Secretary of State a payment of £10,000.

2. In respect of the each year beginning on 1 April 1995 and in each subsequent year, the licence holder shall render to the Office of Rail Regulation a payment which is the aggregate of the following amounts:

   a) the annual fee applicable to this licence, as determined in accordance with the scale of fees published by the Office of Rail Regulation; and

   b) an amount which shall represent a fair proportion as determined by the Office of Rail Regulation of the amount estimated by the Office of Rail Regulation (in consultation with the Competition Commission) as having been incurred in the calendar year immediately preceding the 1 April in question by the Competition Commission in connection with references made to it under section 13 of the Act with respect to this licence or any class of licence of which the Office of Rail Regulation determines that this licence forms part;

and the payment shall be rendered by the licence holder within such time as the Office of Rail Regulation may require, being not less than 30 days beginning with the day on which the Office of Rail Regulation gives notice to the licence holder of its amount.
Condition 13: Accounting Separation

1. The licence holder shall, in respect of each station of which it is the operator pursuant to this licence and at which the trains of more than one passenger service operator are scheduled to stop, maintain sufficient accounting records to enable calculation of the charges payable by such operators for permission to use such stations.

2. Any such accounting records shall conform to such accounting policies as the Office of Rail Regulation (ORR) may reasonably require.

3. The licence holder shall, when reasonably requires, allow such accounting records to be audited at the licence holder's expense, by a person approved by the Office of Rail Regulation (ORR), for the purpose of assessing the allocation of costs as between different passenger service operators.

4. Where the licence holder carries on any business other than licensed activities, the licence holder shall keep its accounting records for licensed activities separate from its accounting records for such other business.

Condition 14: Change of Control

1. The licence holder shall, if any person obtains control of the licence holder, notify the Secretary of State as soon as practicable thereafter.

Condition 15: Emergency Access

1. During any emergency affecting the railway, the licence holder shall, to the extent that it is legally entitled to do so, grant to any person requiring it such permission to use any station of which the licence holder is the operator pursuant to this licence as is necessary or expedient to alleviate the effects of the emergency.

Condition 16: Co-operation with London Regional Transport for London (TfL)

1. The licence holder shall co-operate with London Regional Transport for London ("TfL") for the purpose of:

   a) ensuring the efficient operation of railway services and the provision of railway facilities; and

   b) co-ordinating, where possible, anticipated investment projects,

   to the extent that such matters affect or may affect both the licence holder's and TfL's provision of railway services.
Condition 17: Information as to Stations of which the Licence Holder is the Operator

1. If the licence holder, having commenced ceases to be the operator of any station of which it is authorised by this licence to be the operator, ceases to be the operator, the licence holder shall within one month notify the Office of Rail Regulation ORR of such cessation.

2. The licence holder shall on each anniversary of the date first mentioned in sub-paragraph 3(a) of Part I of this licence furnish to the Office of Rail Regulation a list of stations of which it is the operator pursuant to this licence.
SCHEDULE 1 - Terms as to Revocation

1. The Secretary of State may, after having consulted the Office of Rail Regulation, revoke this licence by not less than 3 months' notice to the licence holder:

   a) if the licence holder agrees in writing with the Secretary of State that this licence should be revoked;

   b) if a final order has been made, or a provisional order has been confirmed under section 55 of the Act, in respect of any contravention or apprehended contravention by the licence holder of any Condition of this licence, and the licence holder does not comply with the order within a period of 3 months beginning with the day on which the Secretary of State gives notice to the licence holder stating that this licence will be revoked pursuant to this term if the licence holder does not so comply; provided that the Secretary of State shall not give any such notice before the expiration of the period within which an application could be made under section 57 of the Act in relation to the order in question or before any proceedings relating to any such application are finally determined; or

   c) if a person obtains control of the licence holder and:

      (i) the Secretary of State has not approved such obtaining of control;

      (ii) within one month of that obtaining of control coming to the notice of the Secretary of State, the Secretary of State serves notice on the licence holder stating that the Secretary of State proposes to revoke this licence in pursuance of this paragraph unless the person who has obtained control of the licence holder ceases to have control of the licence holder within the period of 3 months beginning with the day of service of the notice; and

      (iii) that cessation of control does not take place within that period.

2. The Secretary of State may, after having consulted the Office of Rail Regulation, revoke this licence forthwith by notice to the licence holder if the licence holder commits a serious breach of the Railways (Safety Case) Regulations 2000.
SCHEDULE 2 - Subject Matter of Licence

Glasgow Central Station
Edinburgh Waverley Station
Leeds Station
Manchester Piccadilly Station
Birmingham New Street Station
London Bridge Station
King's Cross Station
Liverpool Street Station
Paddington Station
Waterloo Station (excluding Waterloo International Terminal and Waterloo East Station)
Euston Station
Victoria Station
Charing Cross Station

2 This is the original form of Schedule 2, but through the procedure under paragraph 2(b) of Part 1 of this licence, the following stations have been added:

Gatwick Airport Station (added by notice 29 March 1995)
Fenchurch Street (added by notice 14 March 2002)
Cannon Street (added by notice 4 November 2002)
Liverpool Lime Street (added by notice 6 June 2003)