

SCHEDULE 2

Regulation 12

Procedure for and appeals against financial penalties

Notice of intent

1.—(1) Before imposing a financial penalty on a private landlord for a breach of a duty under regulation 3, a local housing authority must serve a notice on the private landlord of its intention to do so (a “notice of intent”).

(2) The notice of intent must be served before the end of the period of 6 months beginning with the first day on which the authority is satisfied, in accordance with regulation 11, that the private landlord is in breach (“the relevant day”), subject to sub-paragraph (3).

(3) If the breach continues beyond the end of the relevant day, the notice of intent may be served—

- (a) at any time when the breach is continuing; or
- (b) within the period of 6 months beginning with the last day on which the breach occurs.

(4) The notice of intent must set out—

- (a) the amount of the proposed financial penalty;
- (b) the reasons for proposing to impose the penalty; and
- (c) information about the right to make representations under paragraph 2.

Commencement Information

11 Sch. 2 para. 1 in force at 1.6.2020, see [reg. 1\(2\)](#)

Right to make representations

2. The private landlord may, within the period of 28 days beginning with the day after that on which the notice of intent was served, make written representations to the local housing authority about the proposal to impose a financial penalty on the private landlord.

Commencement Information

12 Sch. 2 para. 2 in force at 1.6.2020, see [reg. 1\(2\)](#)

Final notice

3.—(1) Within 28 days of the end of the period mentioned in paragraph 2 the local housing authority must—

- (a) decide whether to impose a financial penalty on the private landlord; and
- (b) if it decides to do so, decide the amount of the penalty.

(2) If the authority decides to impose a financial penalty on the private landlord, it must serve a notice on the private landlord (a “final notice”) imposing that penalty.

(3) The final notice must require the penalty to be paid within the period of 28 days beginning with the day after that on which the notice was served.

(4) The final notice must set out—

- (a) the amount of the financial penalty;
- (b) the reasons for imposing the penalty;

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- (c) information about how to pay the penalty;
- (d) the period for payment of the penalty;
- (e) information about rights of appeal; and
- (f) the consequences of failure to comply with the notice.

Commencement Information

I3 Sch. 2 para. 3 in force at 1.6.2020, see **reg. 1(2)**

Withdrawal or amendment of notice

- 4.—(1) A local housing authority may at any time—
- (a) withdraw a notice of intent or final notice; or
 - (b) reduce the amount specified in the notice of intent or final notice.
- (2) The power in sub-paragraph (1) is to be exercised by giving notice in writing to the private landlord on whom the notice was served.

Commencement Information

I4 Sch. 2 para. 4 in force at 1.6.2020, see **reg. 1(2)**

Appeals

- 5.—(1) A private landlord on whom a final notice is served may appeal to the First-tier Tribunal against—
- (a) the decision to impose the penalty; or
 - (b) the amount of the penalty.
- (2) An appeal under this paragraph must be brought within the period of 28 days beginning with the day after that on which the final notice was served.
- (3) If a private landlord appeals under this paragraph, the final notice is suspended until the appeal is finally determined or withdrawn.
- (4) An appeal under this paragraph—
- (a) is to be a re-hearing of the local housing authority’s decision; but
 - (b) may be determined having regard to matters of which the authority was unaware when it made that decision.
- (5) On an appeal under this paragraph the First-tier Tribunal may confirm, quash or vary the final notice.
- (6) The final notice may not be varied under sub-paragraph (5) so as to make it impose a financial penalty of more than £30,000.

Commencement Information

I5 Sch. 2 para. 5 in force at 1.6.2020, see **reg. 1(2)**

Recovery of financial penalty

6.—(1) This paragraph applies if the private landlord does not pay the whole or any part of a financial penalty which, in accordance with this Schedule, the private landlord is liable to pay.

(2) The local housing authority which imposed the financial penalty may recover the penalty or part on the order of the county court as if it were payable under an order of that court.

(3) In proceedings before the county court for the recovery of a financial penalty or part of a financial penalty, a certificate which—

(a) is signed by the chief finance officer of the local housing authority which imposed the penalty; and

(b) states that the amount due has not been received by a date specified in the certificate

is conclusive evidence that the amount has not been received by that date.

(4) A certificate to that effect and purporting to be so signed is to be treated as being so signed, unless the contrary is proved.

(5) In this paragraph “chief finance officer” has the same meaning as in section 5 of the Local Government and Housing Act 1989(1).

Commencement Information

16 Sch. 2 para. 6 in force at 1.6.2020, see [reg. 1\(2\)](#)

Proceeds of financial penalties

7.—(1) Where a local housing authority imposes a financial penalty under these Regulations, it may apply the proceeds to meet the costs and expenses incurred in, or associated with, carrying out any of its enforcement functions in relation to the private rented sector.

(2) Any part of any financial penalty recovered which is not to be applied in accordance with sub-paragraph (1) must be paid into the Consolidated Fund.

(3) In sub-paragraph (1)—

“enforcement function” means, in relation to a local authority—

(a) any of its functions—

(i) under these Regulations;

(ii) under Parts 1 to 4 of the Housing Act 2004; or

(iii) under Part 2 of the Housing and Planning Act 2016; or

(b) in a case not covered by paragraph (a), any of its functions—

(i) connected with an investigation of, or proceedings relating to, a contravention of the law relating to housing or landlords and tenants; or

(ii) connected with the promotion of compliance with the law relating to housing or landlords and tenants; and

“private rented sector” means—

(a) residential premises in England that are let, or intended to be let by a private landlord under a tenancy;

(1) 1989 c. 42. Relevant part amended by Schedule 22(4), paragraph 1 of the Marine and Coastal Access Act 2009 (c. 23); words inserted by section 132(2) of the Greater London Authority Act 1999 (c. 29), Schedule 16(13), paragraph 202(6)(a) of the Police Reform and Social Responsibility Act 2011 (c. 13), and Schedule 1(2), paragraph 63(4)(a) of the Policing and Crime Act 2017 (c. 3).

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(b) the activities of a private landlord under a tenancy of residential premises in England.

Commencement Information

I7 Sch. 2 para. 7 in force at 1.6.2020, see **reg. 1(2)**

Changes to legislation:

There are currently no known outstanding effects for the The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020, SCHEDULE 2.