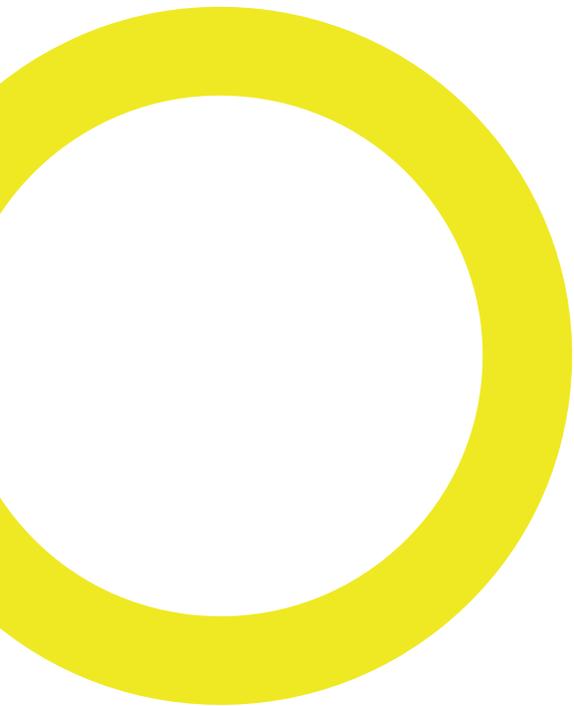


# Penalty Fares Scheme



## **1 Introduction**

- 1.1 We, Merseyrail Electrics 2002 Ltd, give notice, under The Railway (Penalty Fares) Regulations 2018 that we wish to make an amendment to our existing penalty fares scheme. With effect from Monday 16th July 2018 our scheme will include Maghull North Station.
- 1.2 The 'new build' Maghull North station will be located just off School Lane adjacent to the former Ashworth Hospital site, between the existing Maghull and Town Green stations on the Ormskirk branch of our Northern Line.
- 1.3 We have prepared this scheme taking account of the following document.
  - The Railways (Penalty Fares) Regulations 2018.
- 1.4 In line with The Railway (Penalty Fares) Regulations 2018 guidance, we have sent copies of this scheme to:
  - Rail Delivery Group
  - Merseytravel
  - Penalty Services Limited
  - Transport Focus

## **2 Penalty Fare Trains**

- 2.1 For the purposes of this scheme, all the trains that we operate on the following routes will be penalty fares trains.

Liverpool – Southport

Liverpool – Ormskirk

Liverpool – Kirkby

Liverpool – Hunts Cross

Liverpool – West Kirby

Liverpool – New Brighton

Liverpool – Chester

Liverpool – Ellesmere Port

A map showing the routes on which the penalty fares trains run is attached as Appendix A.

## **3 Penalty Fare Stations**

- 3.1 For the purposes of this scheme, the following stations will be penalty fares stations.

Aigburth

Ainsdale

Aintree

Aughton Park

Birkenhead Central

Birkenhead North

Birkenhead Park

Bache

Bank Hall

Bebington

Bidston

Birkdale

Blundellsands &

Crosby

Bootle New Strand

Bootle Oriel Rd

Bromborough

Bromborough Rake

Brunswick

Capenhurst

Chester

Conway Park

Cressington

Eastham Rake

Ellesmere Port	Liverpool Central Liverpool	Rice Lane
Fazakerley	South Parkway	Rock Ferry
Formby	Leasowe	Sandhills
Freshfield	Lime Street (Low Level)	Seaforth & Litherland
Green Lane	Little Sutton Maghull	Southport
Hall Road	Maghull North Manor Road	Spital
Hamilton Square	Meols	St Michaels
Hightown	Moorfields	Town Green
Hillside	Moreton	W Grove Road
Hooton	New Brighton	Wallasey
Hoylake	Old Roan	Walton
Hunts Cross	Ormskirk	Waterloo
James Street	Orrell Park	West Kirby
Kirkby	Overpool	
Kirkdale	Port Sunlight	

A map showing where these penalty fares stations are is attached as Appendix A.

#### **4 Compulsory Ticket Areas (CTAs)**

4.1 The Railway (Penalty Fares) Regulations 2018 allow an operator to create compulsory ticket areas (CTAs) at stations. A CTA is an area at a station which a person must not enter or be present in without being able to produce:

(a) a valid travel ticket authorising travel on a train arriving at or departing from that area; or

(b) a platform ticket authorising their entry to or presence in that area.

4.2 The scheme will not create any compulsory ticket areas, i.e. passengers not wishing to travel will not be required to buy a ticket, e.g. those passengers who are meeting passengers or seeing passengers off.

#### **5 Ticket Selling Facilities**

5.1 The ticket facilities provided at each penalty fares station are set out in Appendix B. There are ticket office facilities at all stations with the exception of Bache, Capenhurst, Little Sutton and Overpool, where a TVM (Ticket Vending Machine) is installed to sell tickets. Ellesmere Port is only partially staffed and a TVM is installed to provide ticket facilities when the ticket office is closed. A second way of buying tickets at the busier staffed stations is provided in the form of a TVM. This is because all the staffed stations within the Scheme are staffed from 15 minutes before the first train until 15 minutes after the last train seven days per week (except Chester for the first train to Liverpool on Saturdays). We realise that there will be occasions when the ticket office could be unstaffed and have put the following arrangements in place:

## 5.2 Ticket Office unstaffed

5.2.1 If absence is known in advance, staff rosters are adjusted to avoid a ticket office being unstaffed. If a ticket office unexpectedly becomes unstaffed the Merseyrail Control will arrange for staff to attend as soon as practicable (normally within 30 minutes). The staff that may be called on are other station staff, Station Managers and Authorised Collectors. Station Managers and Authorised Collectors are equipped with mobile telephones to enable rapid communication. In addition each staffed station is equipped with a land line and a mobile telephone.

## 5.3 Temporary arrangements

5.3.1 During any period when a station is unable to sell tickets the following arrangements apply. If an Authorised Collector encounters a passenger who boarded at the relevant station, they sell the ticket as requested including discounted, but not quota linked tickets and do not issue a Penalty Fare Notice. In addition the destination station at which the passenger completes their journey will also sell them a ticket. Authorised Collectors and station ticket office staff will be advised by email and/or text message from the Merseyrail Control at the start and finish of temporary arrangements and the relevant station.

## 5.4 Temporarily unstaffed ticket offices/Non-functioning TVMs

5.4.1 At single person stations, staff are required to be in the ticket office at all times apart from exceptional circumstances. These occasions include emergencies and assisting with disabled customers.

There may also be occasions when the staff are away from the ticket window but still in the ticket office, e.g. when counting cash.

5.4.2 When the member of staff is going to be away from the ticket office for a period of time exceeding 5 minutes and will be unable to hear and respond to a passenger's request for service, station staff are instructed to advise the Authorised Collectors by way of email and/or text message. They will also display a sign that advises passengers to pay at their destination.

5.4.3 The Merseyrail Control also send emails and/or text messages to the Authorised Collector to advise of any ticket office closures. If an Authorised Collector finds a customer who claims that they were unable to purchase a ticket because the ticket office was closed, the Authorised Collector rings the station to confirm the position.

5.5 The ticket facilities at each penalty fares station are sufficient to meet the Ticketing and Settlement Agreement and Passenger's Charter queuing standards under normal circumstances at all times of day. At Chester (the only station within this scheme that Merseyrail do not control the ticket office or gateline) we will ensure that passengers are not charged a penalty fares when queuing standards are not met at this station. The process will be as follows:

5.5.1 Authorised collectors will be instructed to contact Chester ticket office by mobile phone to confirm whether there has been a queuing issue when any passenger from Chester provides this reason for not purchasing a ticket, when not previously advised of a problem.

- 5.5.2 Authorised Collectors will always use their discretion and will not issue a penalty fare to a passenger from Chester unless advised that there had not been queuing problem.
- 5.5.3 If the above methods of communication fail completely and a passenger or passengers are issued with a penalty fare as a direct result; the independent appeals body will be instructed to uphold any appeal subject to confirmation from us.
- 5.6 At staffed stations, staff will check ticket machines every day to ensure they are performing properly. Staff will put faults right themselves wherever possible; otherwise our maintenance contractors will repair any faults. Under our maintenance contract, machine faults will normally be put right within 24 hours.
- 5.7 TVMs at Bache, Capenhurst, Ellesmere Port, Little Sutton and Overpool will be monitored at all times by our Security Contractor, who will report any faults to the Authorised Collectors on duty via email and/or text message. If an Authorised Collector finds a customer who claims that they were unable to purchase a ticket because the TVM was not working, the Authorised Collector will contact the Security Contractor to confirm the position.

## **6 Publicity and Warning Notices**

- 6.1 In line with The Railway (Penalty Fares) Regulations 2018, notices informing passengers that we are going to introduce a penalty fares scheme will be displayed at each penalty fares station. An example of the notice is shown as Appendix C.
- 6.2 As well as these notices, we will do the following to make sure that the introduction of the scheme is well publicised. We will display additional warning posters and make announcements on trains and at stations using the wording contained in appendix c.
- 6.3 Before the scheme is introduced, we will brief front-line staff and customer services staff about how the penalty fares scheme will work.
- 6.4 We will produce leaflets that will explain how the scheme works and which will include a map showing the penalty fares stations and the routes on which penalty fares trains run. These leaflets will be available, free of charge, at all staffed penalty fares stations from at least three weeks before the scheme is introduced. We will do all we reasonably can to make sure that copies of the leaflet are available at each staffed penalty fares station and from our customer services department for as long as the scheme remains in force. We will provide a full copy of our Penalty Fares Scheme, and The Railways (Penalty Fares) Regulations 2018 to each person who requests information about the scheme.
- 6.5 In line with The Railways (Penalty Fares) Regulations 2018, penalty fares warning notices will be displayed at each penalty fares station from the date the scheme is introduced and for as long as the scheme remains in force. These notices will take the form of posters in poster frames, displayed at each entrance to the platforms and on the platforms at interchange stations where they can be seen by any passenger

changing onto a penalty fares train. The poster format will be produced in line with the 'display warning notice guidelines' contained in The Railways (Penalty Fares) Regulations 2018. An example of a warning notice is shown as Appendix D. We will check that these warning notices are properly displayed at each station which we operate as part of our regular station audit process. None of the stations included within our scheme are run by other operators.

6.6 We will also provide penalty fares warning notices on board penalty fares trains. An example is shown as Appendix E.

## **7 Selecting and Training Authorised Collectors**

7.1 The selection process for RPOs (Revenue Protection Officers) who will be Authorised Collectors has three stages:

### **Stage 1: Application Screening**

- The candidate's application will be screened to ensure that:
- They have a valid work permit
- Subject to the Rehabilitation of Offenders Act there are no convictions involving dishonesty or assault etc.
- If previously employed in the industry enquiries are made with previous employer to establish if they would recommend employment
- Their level of sickness falls within the company expectations
- There are no health issues which would effect them carrying out the role
- Their previous employment history has a degree of customer interaction

### **Stage 2: Assessment**

- Verbal comprehension test
- Numerical test
- Psychometric testing

### **Stage 3: Interview**

A formal interview with a structured questioning process covering flexible approach to work; dealing with difficult people; conforming to guidelines and checking important details; environmental awareness; shift work; wearing of uniform; working in all weather conditions; team-working and communication.

The candidate must successfully complete each stage before they can progress to the next.

7.2 We will train each person who is to be an Authorised Collector, to make sure they can carry out their duties properly. The training will include:

- Product training, including ticket types and restrictions, excess fares and railcards
- National Rail Conditions of Carriage
- National Routing Guide

- Railway bye-laws
- The Railways (Penalty Fares) Regulations 2018
- Details of the scheme, including how they should use their discretion
- Customer service skills
- Conflict Resolution

This training will be arranged by the Merseyrail Head of Learning & Development and will be delivered by fully competent trainers, trained to NVQ standard, with the assistance of experienced Authorised Collectors. Appropriate records of all training will be kept.

- 7.3 After the training, we will assess trainees' knowledge and ability, the trainees' will be required to reach a specific competency level. We will only appoint someone as an authorised collector and give that person identification as an authorised collector, once that person has achieved the level of competency required.
- 7.4 Each new authorised collector will be subject to an appraisal at 3 and 5 monthly intervals whilst on probation by their immediate manager to ensure they are working to the required competency levels. Once they have completed their probationary period they will be subject to appraisal every 12 months and all Authorised Collectors will receive refresher Penalty Fare Rules training every 2 years. If an authorised collector fails to reach a satisfactory level of competence in the assessment, we will not allow them to continue as an authorised collector until they have successfully passed the assessment after retraining. We will keep records of these assessments and any retraining given.
- 7.5 We will fully investigate all complaints about Authorised Collectors or how this penalty fare scheme is run, and we will take any action that is necessary as a result. We will keep records of the investigation and any action we take. If appropriate, we will remove an authorised collector from duty and withdraw their authorised collector's identification, until they have been given extra training and re-assessed as satisfactory.
- 7.6 Each authorised collector will be given a routine briefing by his or her supervisor or manager every four weeks, covering relevant issues concerning safety, customer service, product change and revenue protection.
- 7.7 We will use a combination of induction training and briefings to ensure that all other staff, including ticket office staff, platform staff, customer service staff and train crew, know how the penalty fares scheme works. We will keep appropriate records of this training or briefing.

## **8 Written Instructions to Authorised Collectors**

- 8.1 Authorised Collectors will carry identification and produce it when charging a penalty fare or when asked by a passenger. This identification will include the authorised collector's photograph and will show that they are authorised to collect penalty fares on our behalf and on behalf of any other operator who have authorised them to collect penalty fares. We will not allow Authorised Collectors to collect

penalty fares if they do not have this identification with them. The design of this identification will be in line with The Railways (Penalty Fares) Regulations 2018, schedule 1 part 2. An example of an Authorised Collector's identification is shown as Appendix F

- 8.2 When they charge a penalty fare, Authorised Collectors will do so via software upon an appropriate digital device and printer. The PFN (Penalty Fare Notice) issued to the passenger will contain the information determined as required within The Railways (Penalty Fares) Regulations 2018.
- 8.3 We will provide each authorised collector with written instructions in the form of a revenue protection handbook. The instructions will include details of the penalty fares trains and penalty fares stations under this scheme, the opening hours and contact phone numbers for the ticket office at each penalty fares station and the control centre. It will include details of the arrangements made in connection with other operators' trains, passengers and penalty fares schemes. We will issue replacement pages to Authorised Collectors to keep their handbooks up to date whenever we make any changes.
- 8.4 The instructions will clearly set out where passengers are, and are not, to be charged a PFN, including the procedures for:
- passengers who have changed onto a penalty fares train from another train;
  - passengers who have tickets which are not valid only because of a ticket restriction;
  - passengers who have a ticket for their journey, but who are travelling by a route for which that ticket is not valid;
  - season-ticket holders who do not have their season ticket with them.
- 8.5 Authorised Collectors will be given the discretion not to charge a penalty fare, and either charge the full single fare in line with National Rail Conditions of Carriage or charge any relevant discounted fare as appropriate under the circumstances. The instructions will set out clear guidelines for using this discretion, which will be used towards:
- passengers who have mobility problems and passengers who are frail, elderly or heavily pregnant, who may not be able to get to the ticket office easily at the station where they got on the train or stand in a queue for a long time;
  - passengers who are not aware of the scheme because they are blind or partially sighted, are foreign visitors who live abroad, do not speak English very well, or have learning difficulties;
  - passengers who are travelling from stations where the only available ticket facilities are ticket machines, who have enough money (or credit or debit cards) to buy a ticket, but not the correct coins or notes needed to use the ticket machine;
  - passengers travelling from stations where the only available ticket facilities are ticket machines, who claim that the machines were accepting coins only or the exact fare only and the passenger did not have the necessary coins (unless the authorised collector can confirm that the machines are in fact working normally);

- passengers who are travelling from a station where the authorised collector has been told about long ticket office queues, or where fewer ticket windows than normal are open; and
  - all passengers when the train service is severely disrupted, which is defined as when rail replacement bus services are required to operate on an unplanned basis.
- 8.6 The instructions will set out procedures to make sure that people at risk, including children, people who are frail, elderly or heavily pregnant, and other vulnerable passengers, are not put at greater risk by charging them a penalty fare, especially late at night.
- 8.7 The instructions will remind Authorised Collectors that although they may require passengers to make a minimum payment, passengers who are charged a penalty fare have 21 days, beginning with the day following the day on which this penalty fare is charged to pay the outstanding balance or appeal the decision to issue the notice. Authorised Collectors will be given the discretion not to charge this minimum payment and to give passengers 21 days, beginning with the day following the day on which this penalty fare is charged to pay the full amount or appeal the decision to issue the notice.
- 8.8 None of the stations within the Scheme contain a CTA. Therefore before carrying out a barrier check at a station Authorised Collectors will make sure
- that they are in a position where they can see that a person approaching the barrier has got off a train; or
  - that they carry out a thorough search of the platform area before the check starts, to make sure that there is no-one on the platform side of the barrier check who is not travelling.
- 8.9 Authorised Collectors will not be paid commission for penalty fares they charge.
- 8.10 We reserve the right to prosecute passengers if we think they intended to avoid paying their fare. In these circumstances, we will not charge them a penalty fare or, if they have already been charged a penalty fare, we will refund it.

## **9 Checking That Ticket Selling Facilities Are Available and Warning Notices Displayed**

- 9.1 We have a control centre (Merseyrail Control) at Sandhills. This is open twenty-four hours per day 7 days per week, 365 days a year. Ticket office staff at each penalty fares station, which we operate, will tell the Control:
- when they open their ticket office (via Liverpool Central);
  - if their ticket office closes temporarily (and when it reopens);
  - if their ticket office closes before its advertised time;
  - when very long queues build up (and when queuing levels return to normal);
  - when ticket machines break down, or only accept coins or the exact fare; and
  - when these ticket machines are working properly again.

- 9.2 The control centre will keep an appropriate record of the information they have received, and will provide this to the independent appeals body as necessary so that they can investigate appeals.
- 9.3 We will give each authorised collector a mobile phone, and the control centre will send details via email and/or text message of ticket office closures, very long ticket queues and faulty ticket machines to every authorised collector.

## 10 Selling Tickets On-board Trains

- 10.1 We do not intend guards or other on-train staff to act as Authorised Collectors as part of their normal duties. On-train staff will not sell tickets on board penalty fares trains

## 11 Arrangements with Other Operators

The following table identifies each penalty fares station which is served by trains of other operators, and sets out the arrangements which we will make with other operators.

Station	Is there a CTA?	Also served by trains operated by:	Does this operator have a penalty fares scheme?	Arrangements that will apply
Southport	No	Northern	No	A
Ormskirk	No	Northern	No	A
Kirkby	No	Northern	No	A
Hunts Cross	No	Northern, East Midlands Trains, Trans Pennine Express	Yes*	A
Liverpool South Parkway	No	Northern, East Midlands Trains, London Midland, Trans Pennine Express	Yes*	A
Chester	No	Arriva Trains Wales, Northern, Virgin Trains	No	A
Bidston	No	Arriva Trains Wales	No	A

\*Northern planning to implement May 2018

- A Passengers alighting from this operator's trains will not be charged penalty fares, but will be dealt with in line with the current National Rail Conditions of Carriage. It is possible to see who has got off this operator's trains from the place where checks are carried out.

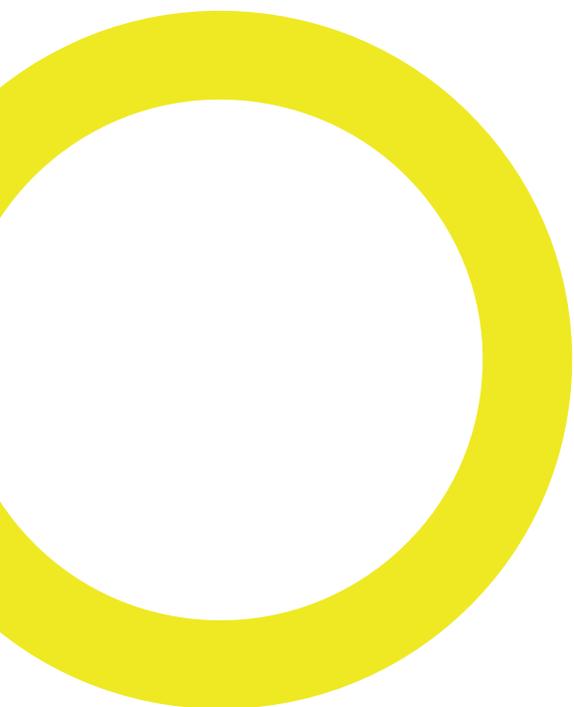
- B Passengers joining or alighting from this operator's trains will not be charged penalty fares. The trains of this operator use separate platforms and ticket checks will only affect passengers on trains to which penalty fares apply.
- C Passengers joining or alighting from this operator's trains will not be charged penalty fares. The CTA does not cover the platforms used by this operator.
- D Passengers who say they have alighted from this operator's trains (at or around the times when this operator's trains arrive) will not be charged a penalty fare. Only a few trains run by this operator serve this station on any given day.
- E Penalty fares will be charged to passengers alighting from this operator's trains under the terms of that operator's scheme, as long as the authorised collector has been individually authorised to collect penalty fares on behalf of this operator. These Authorised Collectors will be trained in the details of the other operator's scheme, including the relevant discretion guidelines and how to confirm what ticket facilities are available at the penalty fares stations of the other operator. The identification carried by each authorised collector in line with rule 5 will show the names of the operators who he or she is authorised to collect penalty fares for.
- F We will authorise this operator's Authorised Collectors to charge penalty fares under this scheme on our behalf. These Authorised Collectors will be given details of this scheme, including the discretion guidelines and details of how to contact the [retail control centre].

## **12 Appeals**

- 12.1 All appeals against a penalty fare charged under this scheme will be handled by the independent appeals body, Penalty Services Limited. In line with The Railways (Penalty Fares) Regulations 2018, every passenger charged a penalty fare under this scheme will be made aware of their right to appeal. Details of how to appeal will be shown on the penalty fare notice.
- 12.2 We will provide Penalty Services Limited details of this scheme, including details of ticket facilities and ticket office opening hours, the instructions given to Authorised Collectors and guidelines for using discretion. We will inform Penalty Services Limited of any changes to this information promptly. We will inform Penalty Services Limited of the necessary contact details of the relevant functions within Merseyrail who will support them in the investigation of appeals.

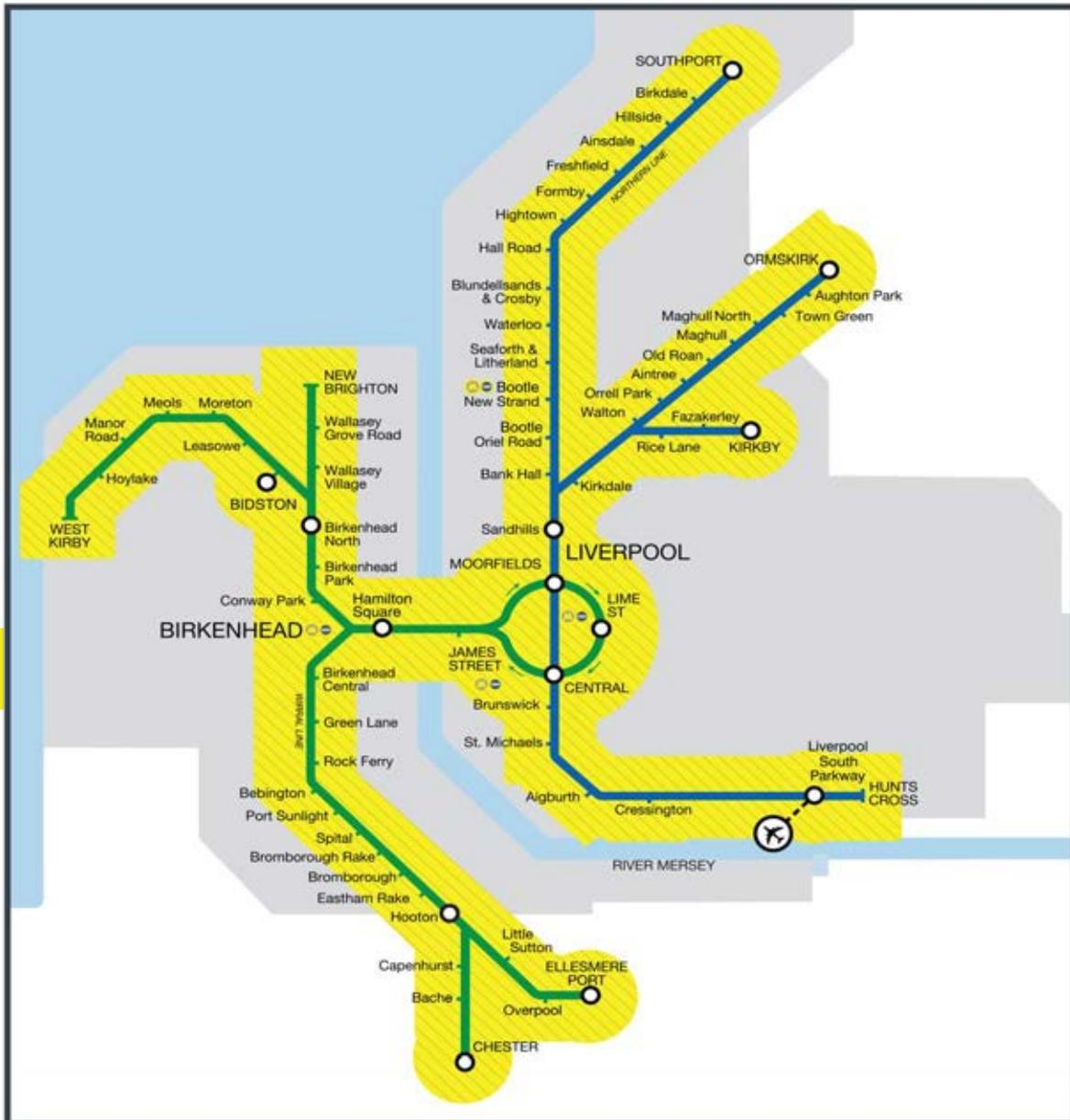
## **Appendices**

- Appendix A Map showing penalty fares trains and penalty fares stations.
- Appendix B Summary of the ticket selling facilities available at penalty fares stations.
- Appendix C Example of the notices informing passengers that a penalty fares scheme is being introduced.
- Appendix D Example of the penalty fares warning notice that will be displayed at every penalty fares station from the date the scheme is introduced and for as long as the scheme remains in force.
- Appendix E Example of on-train penalty fare warning notice
- Appendix F Example of an Authorised Collector's identification



# Appendix A

## Penalty fare Area.



### Key Information

**You are travelling in a penalty fare area,**  
you must have a valid ticket when travelling within the marked area.

# Appendix B

## Ticket Facilities.



## Key Information

### Ticket Selling Facilities.

- Staffed Only
- TVM Only
- ▲ Staffed & TVM

# Appendix C

## Implementation warning poster.



The poster features a black header with a red triangular warning sign on the left containing a white ticket icon and the text 'PENALTY FARES'. To the right of the sign, the word 'WARNING' is written in large white capital letters, followed by 'Have you paid?' in white. The main body of the poster is yellow. It contains a bold black warning message, a paragraph explaining the consequences of not having a ticket, and two white boxes with black borders providing specific instructions and examples. At the bottom, there are logos for National Rail and Merseyrail.

**WARNING**  
Have you paid?

**From Monday 16 July 2018, this will be a Penalty Fares station.**

**This will mean you must buy a ticket before you travel, otherwise you may have to pay a **Penalty Fare (at least £20).****

If you can not produce a valid ticket for your entire journey, or permit to travel when asked to do so you may be charged a **Penalty Fare of £20 or twice the full single fare** (whichever is the greater amount) to the next station at which your train stops. Also, you may be charged the full single fare to your destination station if you continue your journey on the same train.

**Buying your ticket**

Please buy your ticket from the ticket office or ticket vending machine (where available).

If you are wishing to pay by cash at a card only machine you must obtain a Promise to Pay voucher from the Ticket Vending machine. A Promise to Pay voucher must be exchanged for a ticket as soon as possible.

**Examples of when a Penalty Fare may be charged**

If you:

- travel without a valid ticket
- are unable to produce an appropriate Railcard for a discount ticket
- are aged 16 or over, travelling on a child rate ticket
- travel beyond the destination on your ticket.

For further information please pick up a Penalty Fares leaflet from your nearest staffed station.

# Appendix D

## Penalty fares warning notice.



# WARNING

## Have you paid?

**Please buy your ticket  
before you travel otherwise  
you may have to pay a  
Penalty Fare.**

If you cannot produce a valid ticket for your entire journey when asked to do so you may be charged a **Penalty Fare of £20** to the next station at which your train stops. Also, you may be charged the full single fare to your destination station if you continue your journey on the same train. A penalty fare is £20 or twice the full single fare applicable to your journey.

#### Buying your ticket

Please buy your ticket from the ticket office or the self service ticket machines (where available).

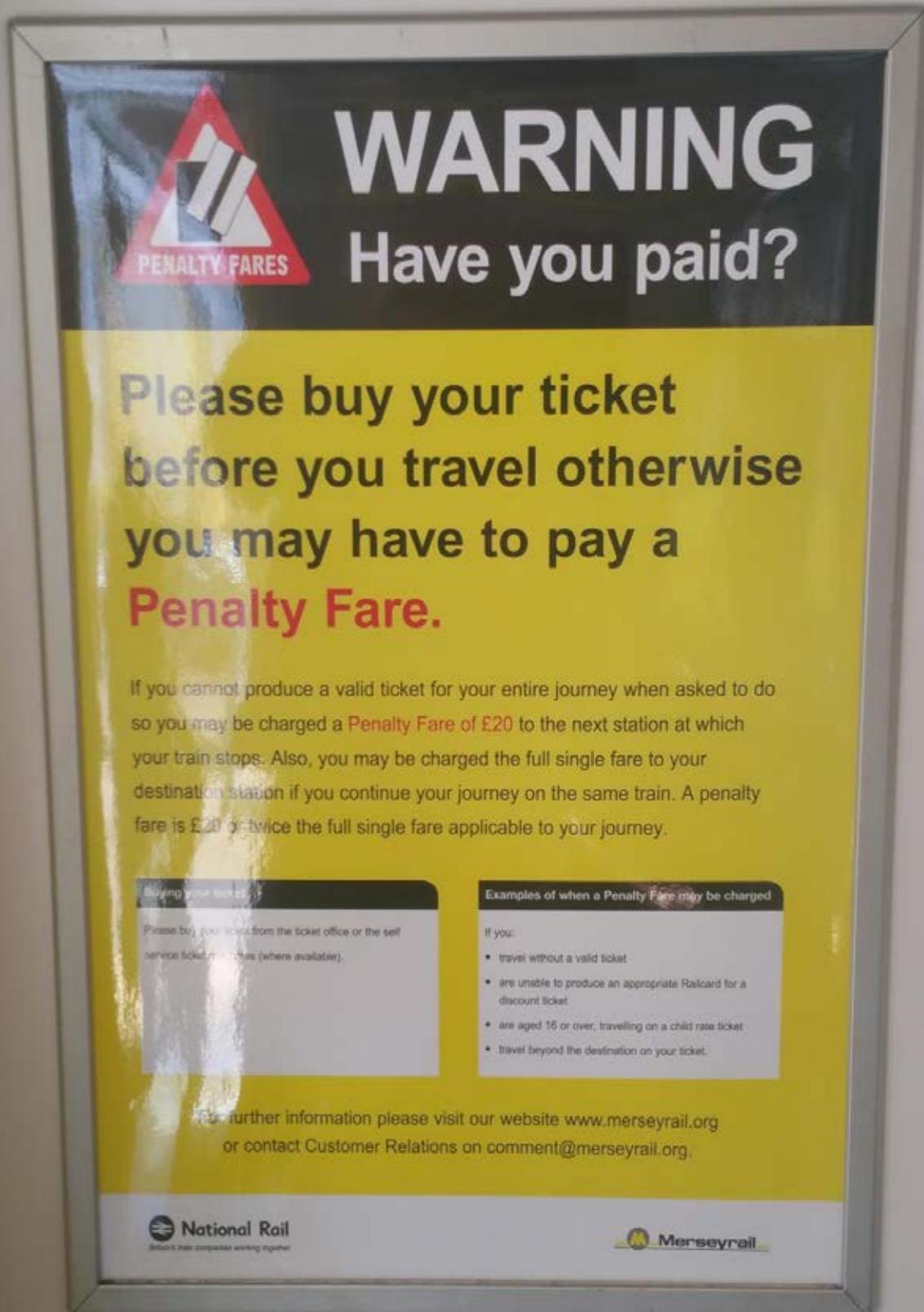
#### Examples of when a Penalty Fare may be charged

If you:

- travel without a valid ticket
- are unable to produce an appropriate Railcard for a discount ticket
- are aged 16 or over, travelling on a child rate ticket
- travel beyond the destination on your ticket.

For further information please visit our website [www.merseyrail.org](http://www.merseyrail.org)  
or contact Customer Relations on [comment@merseyrail.org](mailto:comment@merseyrail.org).

# Appendix E



The image shows a warning sign for Penalty Fares. At the top left is a red triangle with a white border containing a stylized train icon and the text 'PENALTY FARES'. To the right of this is the word 'WARNING' in large white letters on a black background, followed by the question 'Have you paid?' in white. Below this is a yellow section with the text 'Please buy your ticket before you travel otherwise you may have to pay a Penalty Fare.' in black and red. A paragraph explains the consequences of not having a ticket. Two boxes provide further details: 'Buying your ticket' and 'Examples of when a Penalty Fare may be charged'. At the bottom, there is contact information and logos for National Rail and Merseyrail.

**WARNING**  
Have you paid?

**Please buy your ticket before you travel otherwise you may have to pay a Penalty Fare.**

If you cannot produce a valid ticket for your entire journey when asked to do so you may be charged a **Penalty Fare of £20** to the next station at which your train stops. Also, you may be charged the full single fare to your destination station if you continue your journey on the same train. A penalty fare is £20 or twice the full single fare applicable to your journey.

**Buying your ticket**

Please buy your ticket from the ticket office or the self service ticket machines (where available).

**Examples of when a Penalty Fare may be charged**

If you:

- travel without a valid ticket
- are unable to produce an appropriate Railcard for a discount ticket
- are aged 16 or over, travelling on a child rate ticket
- travel beyond the destination on your ticket.

For further information please visit our website [www.merseyrail.org](http://www.merseyrail.org) or contact Customer Relations on [comment@merseyrail.org](mailto:comment@merseyrail.org).

 **National Rail**  
Britain's train companies working together

 **Merseyrail**

# Appendix F

## Example of Authorised Collectors I.D. Card.

