

## **Penalty Fares Scheme**

Tyne and Wear Passenger Transport Executive (hereafter referred to as NEXUS ) of Nexus House, St. James Boulevard, Newcastle Upon Tyne NE1 4AX

### **1 Introduction**

- 1.1 We, Nexus, give notice under rule 3.2 of the SRA's Penalty Fares Rules 2002 that we want to amend a penalty fares scheme with effect from( TO BE CONFIRMED ) This document describes our penalty fares scheme for the purposes of rule 3.2 b.
- 1.2 We have decided to amend the penalty fares scheme in this area because the existing Metro services, to which the current penalty fares scheme applies, now extends to an additional 12 stations on the Railtrack infrastructure between Fellgate and South Hylton (inclusive) The stations concerned are set out in Paragraph 3 below.
- 1.3 We have prepared this scheme taking account of the following documents:
  - The Railways (Penalty Fares) Regulations 1994.
  - The Penalty Fares Rules 2002.
  - Strategic Rail Authority Penalty Fares Policy 2002.
- 1.4 In line with rule 3.2, we have sent copies of this scheme to:
  - The Strategic Rail Authority;
  - The Rail Passengers Committee for North Eastern England

### **2 Penalty Fares Trains**

- 2.1 For the purposes of this scheme, all the trains that we operate within the area bounded by the following stations will be penalty fares trains:

Newcastle International Airport, South Shields , St. James, Whitley Bay , and South Hylton .  
A map showing the routes on which the penalty fares trains run is attached as appendix A.

### **3 Penalty Fares Stations**

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

Airport; Callerton Parkway; Bank Foot; Kingston Park; Fawdon; Wansbeck Road; Regent Centre; South Gosforth; Ilford Road; West Jesmond; Jesmond; Haymarket; Monument; Central Station; Gateshead; Gateshead Stadium; Felling; Heworth; Pelaw; Hebburn; Jarrow; Bede; Tyne Dock; Chichester; South Shields; St. James; Manors; Byker; Chillingham Road; Walkergate; Wallsend; Hadrian Road; Howdon; Percy Main; Meadow Well; North Shields; Tynemouth; Cullercoats; Whitley Bay; Monkseaton; West Monkseaton; Shiremoor; Palmersville; Benton; Four Lane Ends; Longbenton; Fellgate; Brockley Whins; East Boldon; Seaburn; Stadium of Light; St. Peters; Sunderland; Park Lane; University; Millfield; Pallion and South Hylton.

- 3.2 A map showing where these Penalty Fares stations are is attached at Appendix A.

#### 4 Compulsory Ticket Areas (CTAs)

- 4.1 The scheme will create the following compulsory ticket areas, which will be clearly marked:

Station	Part of station covered by CTA	Reason for CTA
All stations listed in 3.1 above except for Sunderland Station	All platforms and other designated areas which are clearly marked	Metro Stations are not manned and passengers are required to be in possession of a valid ticket before commencing their journey

- 4.2 Warning notices are clearly displayed at all stations advising passengers that they are entering a 'paid area' and that they must have a valid ticket before commencing their journey.
- 4.3 People visiting Metro stations for the purpose of assisting passengers with luggage or helping passengers with disabilities must notify Metro Control Centre via the Help Points located on each platform at Metro Stations, or inform a member of Metro staff if there are staff present at the time.

#### 5 Ticket Facilities

- 5.1 All Metro Stations have Ticket Issuing Machines (TIMs), which sell a complete range of single journey and return tickets. In addition Nexus Travel Centres sell a wide range of season tickets. Ticket Issuing Machines (T.I.M.s) accept the full range of coins. They DO NOT accept notes, or credit/debit cards. However, note changers are installed at some of Metro's busier stations.
- 5.2 Information advising passengers of the range of tickets available from TIMs is clearly displayed adjacent to TIMs at all stations. A copy of the poster is attached at Appendix B.
- 5.3 As Metro stations are unmanned all TIMs are monitored electronically from Metro's Control Centre located at South Gosforth where faults are reported automatically and the necessary remedial actions taken to rectify them without delay. This information is also relayed to all Authorised Collectors on the Metro System to keep them up to date with any faults that may occur on TIMs.

#### 6 Publicity and Warning Notices

- 6.1 In line with rule 3, notices telling passengers that we are going to amend our penalty fares scheme will be displayed where they can be seen clearly at each penalty fares station for three weeks before the date on which the scheme comes into force. The wording of the notices is shown in 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:
- A notice will be placed in local newspapers serving the Tyne and Wear area advising of the intention to introduce an amended Penalty Fares Scheme. This notice will also appear three weeks before the date on which the scheme comes into force.
- 6.3 Before the scheme is introduced, we will brief all Authorised Collectors for Metro's Penalty Fare Scheme.



- 6.4 We will produce leaflets incorporating a map of the Metro System which will explain how the scheme works. These leaflets will be available free of charge from all Nexus Travel Centres, Metro's Offices at South Gosforth and Nexus' Head Office in Newcastle at least three weeks before the scheme is introduced. We will do all we reasonably can to make sure that copies of the leaflet remain available at the above locations for as long as the scheme remains in force. We will also give a copy of this leaflet and a copy of the SRA's Penalty Fares Rules to each person who asks for information about the scheme under rule 8. The leaflet titled 'Pay Your Way Not the £10 Penalty' is currently in draft form and is attached as Appendix D. [The final version will be produced following consultation on the Penalty Fares Scheme with the S.R.A.]
- 6.5 Penalty fares warning notices will be displayed in line with rule 4, at each penalty fares station and at each entrance to each CTA, 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 special poster sites, 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 wording and design of these warnings is shown in appendix E. The signs will follow the signing guidelines contained in the code of practice on penalty fares to be produced by the Association of Train Operating Companies. We will check that these warning notices are properly displayed at each station which we operate every four weeks as part of our regular station audit process. In the case of Sunderland Station where Arriva Trains Northern are the Station Facility Owner mobile employees of Metro will ensure that the signs continue to be displayed.
- 6.6 We will also provide penalty fares warning notices on board penalty fares trains. The wording of these warnings is shown in appendix E.

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

- 7.1 Metro's Authorised Collectors are required to carry out a wide range of duties including train driving; protection of revenue – including selling tickets, checking for valid tickets, issuing penalty fares notices; staffing and monitoring of stations; provision of passenger information; and co-ordination of alternative services in the event of disruption to Metro services. The staff concerned are required to undergo psychometric tests and interviews as part of the selection process as well as being medically examined to ensure that they are suitable and fit for the role.
- 7.2 We will train each person who is to be an Authorised Collector, to make sure that they do this job properly. The training will include:
- product training, including ticket types and restrictions, excess fares, and railcards;
  - Nexus Conditions of Carriage;
  - Railway byelaws;
  - Penalty Fares Rules and the Regulations;
  - details of this scheme, including how they should use their discretion;
  - customer service;
  - avoiding conflict.

This training will be carried out by Nexus staff qualified to D32/33 Level or equivalent.

and will be given to N.V.Q. Standards for Customer Services.

Appropriate records of this training will be kept.

- 7.3 After the training, we will assess trainees' knowledge and ability. We will only appoint someone as an Authorised Collector and give that person identification as an Authorised Collector, if that person demonstrates satisfactory knowledge of the subjects listed above.

- 7.4 Normally we will give refresher training to each Authorised Collector every 6 months. The refresher training will cover the same subjects as the initial training, and an assessment will be carried out afterwards. If an Authorised Collector fails to reach a satisfactory standard in the assessment, we will not allow them to continue as an Authorised Collector until they successfully pass an assessment after more training. Appropriate records of this refresher training will be kept.
- 7.5 We will fully investigate all complaints about Authorised Collectors or how this penalty fares scheme is run, and we will take any action which is necessary as a result. We will keep records of the investigation and the action which 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 each week, covering relevant issues concerning safety, customer service, product changes and revenue protection.
- 7.7 We will use a combination of induction training and briefing to make sure that all Authorised Collectors 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 normally wear a distinctive uniform which clearly shows that they work for us. In line with rule 5, they 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 operators who have authorised them to collect penalty fares. We will not allow Authorised Collectors to collect penalty fares if they do not have this badge with them. The design of this badge will conform with the code of practice on penalty fares to be produced by the Association of Train Operating Companies, and an example is shown at Appendix F.
- 8.2 When they charge a penalty fare, Authorised Collectors will follow rule 8 by issuing a penalty notice. The wording and layout of this notice is shown in appendix G.
- 8.3 We will provide each Authorised Collector with written instructions in the form of a Penalty Fares Guidance for Staff. A copy of these instructions is enclosed (in hard copy to follow). The instructions will include details of the penalty fares trains and penalty fares stations under this scheme and the number for Metro's Control Centre. It will include details of any arrangements made in connection with other operators' trains, passengers and penalty fares schemes. We will issue replacement pages to authorised collectors to keep this information 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 penalty fare, 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 charge the full single fare in line with the Nexus Conditions of Carriage. The instructions will set out clear guidelines for using this discretion, which will be used:
- towards passengers with mobility problems and passengers who are frail, elderly or heavily pregnant, who may not easily be able to get a ticket at the station where they boarded the train.
  - towards 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;
  - towards passengers travelling from stations where the only available ticket facilities are ticket machines, who have enough money (or credit/debit cards) to buy a ticket, but not the correct coins needed to use the ticket machines;
  - towards all passengers when the train service is severely disrupted.
- 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 in line with rule 8.2, passengers who are charged a penalty fare have 21 days in which to pay the remainder. Authorised Collectors will be given the discretion not to impose this minimum payment, but allow passengers 21 days in which to pay the full amount of the penalty fare.
- 8.8 If a barrier check is to be carried out at a station without a CTA, 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.
- 8.10 We reserve the right to prosecute passengers if we think they intended to avoid paying their fare. In these circumstances, they will not be charged a penalty fare, or if they have already been charged a penalty fare, it will be refunded.

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

- 9.1 Metro Stations are normally unmanned and the availability and operability of T.I.M.s is monitored via remote indication from the Control Centre. The Control Centre located at South Gosforth Station can be contacted by telephone on 0191 203 3199 until 2300 hrs every day including weekends and bank holidays.
- 9.2 The control centre will keep an appropriate record of the information they have received, and will give this to IPFAS as necessary so that they can investigate appeals.

- 9.3 We will give each Authorised Collector a radio/mobile phone and the Control Centre will send details of faulty ticket machines to every authorised collector.

## **10. Selling Tickets On Board Trains**

- 10.1 We do not intend to train any other staff as Authorised Collectors. On-train staff will check and sell tickets on board penalty fares trains, but will provide a penalty fares warning to any passenger who is liable to a penalty fare, and will draw the attention of the passenger to that warning. The warning issued to passengers travelling without a valid ticket is attached as Appendix H.
- 10.2 The on-train staff issuing penalty fares warnings are deployed on occasions in order to offer added security to Metro passengers. They receive regular training to enable them to carry out their duties and they are monitored by members of Metro's Operating staff on a daily basis.

## **11 Appeals**

- 11.1 All appeals against a penalty fare charged under this scheme will be handled by the Independent Penalty Fares Appeal Service (IPFAS). In line with the SRA's Penalty Fares Rules, every passenger charged a penalty fare under this scheme will be made aware of their right to appeal. IPFAS' address will be shown on the penalty fare notice, together with details of how to make an appeal.
- 11.2 IPFAS will decide appeals in line with the code of practice approved by the Regulator on 23 December 1997, as amended with the SRA's approval from time to time. IPFAS will send passengers a copy of this code of practice if they ask.
- 11.3 We will give IPFAS 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 tell IPFAS about any changes to this information promptly. We will give IPFAS the necessary contact details for the [retail control centre], relevant revenue protection managers and ticket offices so that they can investigate appeals. We will pay IPFAS a set fee for each appeal, whether or not the appeal is accepted.

