

**SCHEDULE 2**  
**Business Operations SOR**

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## **1 APPENDICES**

1. Appendix 2 – Enquiry
2. Appendix 3 – Payments
3. Appendix 5 – Channels
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5. Appendix 7 – Customer Accounts
6. Appendix 8 – Discounts
7. Appendix 9 – Organisation Accounts

## 2 STATEMENT OF REQUIREMENTS

### Introduction

- 2.1.1 This document, along with its appendices, is part of schedule 2 (Statement of Requirements) of the London Road User Charging Agreement. Schedule 2 provides the requirements for the Business Operations, Enforcement Operations and Core IT Service Elements.
- 2.1.2 This document should be read in conjunction with other component documents of the Agreement.
- 2.1.3 Definitions of terms used in this document are contained in schedule 1 (Definitions).
- 2.1.4 The Common Statement of Requirements is a component document of schedule 2 which contains requirements common to the Business Operations, Enforcement Operations and the Core IT Service Element.
- 2.1.5 The structure and layout of this document is ordered into sections. Each section has a heading with an introductory statement. This is followed by sub-headings containing requirements. Each requirement has two rows above containing the following information (see example of layout of Statement of Requirements):
  - Requirement number;
  - Release 1, Release 2 or Additional Services;
  - Mandatory or For Your Information; and
  - MIS.

### Example of Layout of Statement of Requirements

E1.1.1	R1	Mandatory
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MIS		
Individual requirements are located from here onwards.		

- 2.1.6 The requirement number indicates the number of the individual requirement. The requirement number is made up of one (1) letter and three (3) numbers. The letter indicates the Statement of Requirements to which this requirement relates to (e.g. E = Enforcement Operations). The first number relates to the section number, the second number relates to the sub-section and the third number relates to the requirement number within that sub-section.
- 2.1.7 **R1** means Release 1 which is made up of those Services which are required to support the Schemes available to the public at the Operational Commencement Date.
- 2.1.8 **R2** means Release 2 which is made up of Services that are planned to be introduced subject to feasibility and public consultation once Release 1 has been operational for twelve (12) Months following Operational Commencement Date. The implementation of Release 2 is intended to be a “switching-on” of the services involved. Thus the functionality and processes involved in Release 2 must be designed, implemented and tested at the same time as Release 1.
- 2.1.9 **R1/R2** relates to those activities that must be performed to support both Release 1 and Release 2.
- 2.1.10 Additional Services are the services that may or may not be required during this contract.
- 2.1.11 Mandatory or FYI (For your Information) dictates the type of requirement. A mandatory requirement must be met by the Service Provider’s solution. FYI is information either provided by TfL or shall be provided by TfL in due course to the Service Provider.

2.1.12 The next field indicates whether the requirement generates Data that needs an interface into the MIS system for the purposes of reporting.

<b>3 GENERAL REQUIREMENTS</b>		
<b>3.1 Introduction</b>		
<p>This section describes in detail the general requirements on how the Service Provider shall operate. Also included in this section are the processes surrounding fraudulent activities and details of the migration of information between the Service Provider and the Core IT System.</p>		
B3.1.1	R1	Mandatory
<p>The Service Provider shall operate in accordance with the Scheme Order(s).</p>		
B3.1.2	R1	Mandatory
<p>The Service Provider shall participate in migration activities to the Core IT System as detailed in schedule 3: Milestones and Deliverables.</p>		
B3.1.3	R1	Mandatory
<p>The Service Provider shall agree with TfL an independent process for undertaking ‘mystery shopping’, monitoring of the Complaints and Enquiries process, and all Charge Payment channels provided by the Service Provider. The Service Provider shall ensure the results are presented back to the Service Provider and TfL.</p>		
B3.1.4	R1	Mandatory



<p>The Service Provider shall ensure that the following types of system settings are Parameter Driven to enable straightforward amendment by TfL. These include but are not limited to:</p> <ul style="list-style-type: none"> <li>• time periods;</li> <li>• currency unit;</li> <li>• dates;</li> <li>• monetary amounts;</li> <li>• quantities;</li> <li>• proportions &amp; ratios; and</li> <li>• Charging Days.</li> </ul>		
B3.1.5	R1	Mandatory
<p>The Service Provider shall ensure that the cancellation of PCNs issued incorrectly as the result of any failure or error by the Service Provider in respect of the Business Operations Service Element is noted as such in the Enforcement Operations and Core IT Systems.</p>		
B3.1.6	R1	Mandatory
<p>The Service Provider shall ensure that any failures or errors of the Business Operations Service Element that may lead to the issue of a PCN are notified to the Enforcement Operations and Core IT Service Elements.</p>		
B3.1.7	R1	Mandatory
<p>The Service Provider shall ensure that it performs random quality control checks on its processes at a frequency specified in schedule 5: Service Level Agreement.</p>		

B3.1.8	R1	Mandatory
<p>The Service Provider shall ensure that the Business Operations System is designed to enable the Service Provider to incorporate changes to the Scheme(s) with minimum cost and effort. Such changes include but are not limited to:</p> <ul style="list-style-type: none"> <li>• adding / removing Selected Partners;</li> <li>• adding / removing Discount categories;</li> <li>• types of exemptions;</li> <li>• channel additions / removals;</li> <li>• amending eligibility rules; and</li> <li>• Charge Payments.</li> </ul>		
B3.1.9	R1	Mandatory
<p>The Service Provider shall comply with TfL policies designed to prevent Customers using the Scheme(s) for any potential money laundering activities.</p>		
B3.1.10	R1	Mandatory

<p>The Service Provider shall operate a robust process for detecting, managing and minimising fraud including but not limited to misuse of:</p> <ul style="list-style-type: none"> <li>• Discount applications (appendix 8: Discounts – Table 12);</li> <li>• applications for Organisation status (e.g. Selected Partner, Reimbursement Partner, Fleet, Lease) (appendix 8: Discounts – Table 12);</li> <li>• Account operation (e.g. Blue Badge VRM nominations, Reimbursement claims) (appendix 8: Discounts – Table 12);</li> <li>• Returns; and</li> <li>• Charge Payments.</li> </ul>		
B3.1.11	R1	Mandatory
<p>The Service Provider shall notify TfL in cases of suspected fraud and will both record and retain all evidence required for TfL to proceed with action against fraudulent applicants for passing to TfL. Any such evidence shall be provided to TfL immediately upon request.</p>		
B3.1.12	R1	Mandatory
<p>The Service Provider shall provide and operate a Workflow and Document Management System that enables documents to be processed according to the document type and definition and managed through to resolution in a structured, auditable, controlled and resource-efficient manner in accordance with schedule 5: Service Level Agreement.</p>		
B3.1.13	R1	Mandatory

The Service Provider shall meet the requirements in respect of transaction processing during the times and via the channels, and to at least the expected volumes set out in appendix 5: Channels.		
B3.1.14	R1	Mandatory
The Service Provider shall define and agree a process with TfL by which the Service Provider shall liaise with Other Service Providers.		
B3.1.15	R1	Mandatory
The Service Provider shall update any Vehicle lists associated with an Account that are handled by the Enforcement Operations Service Provider.		
B3.1.16	R1	Mandatory
The Service Provider shall send all updated changes relating to a Customer Account and ensure that the updates are made to the Core IT System within the times specified in schedule 5: Service Level Agreement.		
B3.1.17	R1	Mandatory
The Service Provider shall ensure all Purchased Product and Charge Payment information is updated on the Core IT System as a real time entry with no delay.		
B3.1.18	R1	Mandatory

The Service Provider shall ensure that amendments to Charge Payments are updated on the Core IT System as a real time entry with no delay.		
B3.1.19	R1	Mandatory
The Service Provider shall ensure that all information relating to Returns is updated on the Core IT System within the time specified in schedule 5: Service Level Agreement.		
B3.1.20	R1	Mandatory
<p>The Service Provider shall send to the Core IT System the following:</p> <ul style="list-style-type: none"> <li>• all Customer correspondence in an electronic format;</li> <li>• all Information relating to Customers;</li> <li>• Payment Account details and associated transactions;</li> <li>• any notes recorded by the Service Provider about Customers; and</li> <li>• all recorded voice calls.</li> </ul>		
B3.1.21	R1	Mandatory
The Service Provider shall immediately update Customer Record information held by the Service Provider with updates received from the Core IT System to ensure that the Service Provider holds the most recent version of Customer Records. Prior to using its copy of Customer Record Information, the Service Provider shall check the version number of that information against the version number held by the Core IT System to ensure that the Service Provider does hold the latest version.		
B3.1.22	R1	Mandatory

<p>The Service Provider shall provide through the cclondon or Customer Account website a means for Customers to track the delivery progress of fulfilment items they have requested. The Service Provider shall record any fulfilment items that are returned to the Service Provider as such in the tracking progress.</p>		
B3.1.23	R1	Mandatory
<p>The Service Provider shall provide CSRs read-only access to monitor the fulfilment progress of items that have been requested by a Customer.</p>		

## 4 ACCOUNTS (SHARED REQUIREMENTS)

### Introduction

This section covers those requirements that are common across all Account types. Requirements specific to Customer Accounts are covered in section 5 and those specific to Organisation Accounts are covered in section 6. These three (3) sections all have the same subsection structure, in order to enable straightforward comparison.

Initial subsections specify the initiation, operation and closure of Accounts. Except where explicitly stated, these apply both to Payment Accounts (where a Charge Payment is automatically debited to the Payment Account on Vehicle detections) and to all other Account types.

The Detection Disputes, Statements and Payments subsections apply only to Payment Accounts.

The Detection Disputes subsection outlines the approach to be taken when the Service Provider applies a Charge Payment to a Payment Account and the Account holder disputes this action. Note that in the context of these requirements a “dispute” refers to the process by which a Customer can contest a Charge Payment applied to their Automatic Payment Account, whereas a “Representation” refers to contesting a Penalty Charge.

From Release 2 it is expected that Payment accounts for Individual Customers (as distinct from Organisations) should be linked to a DSRC Tag, but the solution should not preclude the ability to have Payment Accounts that are not linked to a Tag.

### 4.1 Registration

B4.1.1	R1	Mandatory

<p>The Service Provider shall support the ability to search for existing accounts using but not limited to:</p> <ul style="list-style-type: none"> <li>• name;</li> <li>• VRM;</li> <li>• Account number;</li> <li>• Receipt number;</li> <li>• Organisation name;</li> <li>• mobile phone number;</li> <li>• address; and</li> <li>• postcode.</li> </ul>		
B4.1.2	R1	Mandatory
<p>The Service Provider shall seek to avoid setting up duplicate Accounts and wherever duplication is subsequently identified, consolidate the duplicated Accounts.</p>		
B4.1.3	R1	Mandatory
MIS		
<p>The Service Provider shall advise the applicant in response to each registration application in writing whether the application has been accepted or rejected with the reason for rejection where appropriate. Where the application is being submitted on-line, the Service Provider may send this response by email if the applicant has supplied an email address.</p>		
B4.1.4	R1	Mandatory



The Service Provider shall activate an Account on the Account's agreed start date.		
B4.1.5	R1	Mandatory
MIS		
The Service Provider shall send by first class post a welcome pack to the Account holder upon registration, the contents of which shall be agreed with TfL.		
B4.1.6	R1	Mandatory
<p>The Service Provider shall allow Account holders to enquire on or amend their Account details as specified in:</p> <ul style="list-style-type: none"> <li>• appendix 7: Customer Accounts – Table 3 for Individual Customers; and</li> <li>• appendix 9: Organisation Accounts – Table 6 for Organisations.</li> </ul> <p>The Service Provider shall allow Account holders to add, amend or delete details of Vehicles registered to the Account.</p>		
B4.1.7	R1	Mandatory
MIS		
Where the amendment carries an Administration Charge, as specified in appendix 3: Payments – Table 2, the Service Provider shall ensure that the Administration Charge has been paid before the amendment is confirmed.		
B4.1.8	R1	Mandatory
MIS		

<p>Where the amendment carries an Administration Charge and relates to a Payment Account, the Service Provider shall permit the Customer, if the Customer so wishes, to charge the Administration Charge to the Payment Account, provided that the Payment Account is sufficiently in credit. If the Customer does not wish to do so or if there is insufficient credit in the Payment Account, then the Service Provider shall take manual payment for the Administration Charge, as specified in section 7.</p>		
B4.1.9	R1	Mandatory
MIS		
<p>The Service Provider shall verify the new Vehicle's eligibility to register under the Discount Scheme when a Customer requests an amendment of the VRM of a Discounted Vehicle.</p>		
B4.1.10	R1	Mandatory
MIS		
<p>If a Customer attempts to add a Vehicle to the list of Vehicles registered to the Customer's Account, whether at the time of the Account first being registered or subsequently, the Service Provider shall check that the Vehicle is not already registered to another Account. Where the Vehicle is already registered to another Account, the Service Provider shall inform the Customer of this and obtain confirmation that the Customer wishes to proceed with the addition of that Vehicle.</p>		
B4.1.11	R1	Mandatory
MIS		
<p>The Service Provider shall ensure that it removes deleted Vehicles from an Account as soon as the instruction is received from the Customer. The Service Provider shall retain information about deleted Vehicles within the Customer's history for reference purposes.</p>		
B4.1.12	R1	Mandatory
MIS		

The Service Provider shall, when instructed by TfL, amend the Account and notify the Account holder of the amendment and its effective date.		
B4.1.13	R1	Mandatory
The Service Provider shall, when instructed by TfL, notify the Account holder of changes in the terms and conditions applicable to its Account type. When instructed by TfL, the Service Provider shall request acceptance of the notification from each affected Account holder.		
<b>4.2 Account Operation</b>		
B4.2.1	R1	Mandatory
The Service Provider shall ensure security measures approved by TfL are in place for Account holders to identify themselves securely.		
B4.2.2	R1	Mandatory
The Service Provider shall only give Account holders access to their Account details once they identify themselves securely.		
B4.2.3	R1	Mandatory
The Service Provider shall contact the Customer using the Customer’s preferred method of communication.		
B4.2.4	R1	Mandatory

<p>If the Customer has chosen telephone as his/her preferred method of communication and the Service Provider has tried and failed three (3) (Parameterised) times on separate dates to contact the Customer by this method, including at least two (2) attempts in evenings or weekends, then the Service Provider shall use the post as an alternative option.</p>		
B4.2.5	R1	Mandatory
MIS		
<p>The Service Provider shall send to the Core IT System every day, a list of Payment Accounts which are to be considered active. The Service Provider shall include in this list any accounts re-activated that day.</p>		
B4.2.6	R1	Mandatory
<p>The Service Provider shall action any issues that are raised on an Account by the Customer, or, in the event that they are not within the remit of the Business Operations Service Element, ensure that they are passed to the Enforcement Operations Service Element where appropriate, in an auditable manner.</p>		
B4.2.7	R1	Mandatory
<p>The Service Provider shall action any Issues within the remit of the Business Operations Service Element that are raised on an Account which are notified to it either in relation to the Enforcement Operations Service Element or by Other Service Providers and immediately notify the Enforcement Operations Service Element / Other Service Provider of the action taken, in an auditable manner.</p>		

<b>4.3 Account Closure</b>		
B4.3.1	R1	Mandatory
MIS		
<p>The Service Provider shall close an Account when one of the following occurs:</p> <ul style="list-style-type: none"> <li>• the Account holder gives notice to the Service Provider to close the Account;</li> <li>• Account expires and Customer cannot be contacted; or</li> <li>• TfL instructs the Service Provider to close the Account.</li> </ul> <p>The Service Provider shall close the Account on the date specified by the Account holder or TfL, as appropriate.</p>		
B4.3.2	R1	Mandatory
<p>The Service Provider shall implement the process outlined in appendix 7: Customer Accounts – Table 5b to close an Account. The process applies to both Individual Customer and Organisation Accounts. The Service Provider shall ensure that these Accounts can be re-activated on TfL request.</p>		
B4.3.3	R1	Mandatory
MIS		
<p>The Service Provider shall contact the Account holder if an Account remains unused for twenty four (24) Months (Parameterised) to ask if the Account holder wants to close the Account and have any outstanding credit (if any) refunded (in accordance with Account dormancy rules to be specified by TfL). The Service Provider shall also ensure that it keeps the Account open if a Customer requests non-closure, and close the Account if no response is received.</p>		

<b>4.4 Detection Disputes Payment Accounts Only</b>		
B4.4.1	R1	Mandatory
MIS		
<p>For every Charge Payment applied to a Payment Account the Service Provider shall request from the Core IT System the supporting Charging Evidence. The Service Provider shall store such Charging Evidence for a period of three (3) Months (Parameterised) after the date of the next statement generated for that Account to allow time for Account holders to dispute the Charge Payments. If the Charge Payment has not been queried or disputed within this period the Service Provider shall delete the supporting Charging Evidence and the relevant Charge Payments shall no longer be subject to dispute by the Account holder. If the Charge Payment is disputed, the Service Provider shall retain the supporting Charging Evidence until the dispute has been resolved or the original retention deadline has passed, whichever is the later.</p>		
B4.4.2	R2	Mandatory
<p>From Release 2, the Service Provider shall meet requirements specified in B4.4.1 for Tag transaction Data supporting a Vehicle Usage Record.</p>		
B4.4.3	R2	FYI
MIS		

<p>The terms and conditions applicable to a Tag contract will be written to permit a transaction to be charged to an Account based only on a Tag transaction without a supporting Image. This is subject to legal advice and it is possible, depending on that legal advice and any relevant future Legislation that TfL may choose to waive any Charge Payments which are challenged where there is no Image to support the Charge Payment. Charge Payments may also be applied that are supported only by an Image. Note that if this approach were to be adopted, it would only apply in those rare cases where there were no other Image supported detections which would support the Charge.</p>		
B4.4.4	Additional Services	Mandatory
<p>Should Distance Based Charging be introduced, the Service Provider shall meet the requirements specified in B4.4.1 for any transactional Data supporting a Distance Based Charge.</p>		
B4.4.5	R1	Mandatory
<p>The Service Provider shall process all Account transaction disputes according to the procedure defined by the Service Provider and approved by TfL.</p>		
B4.4.6	R1	Mandatory
MIS		
<p>In the event of the dispute being resolved in favour of the Account holder, the Service Provider shall credit the Account with the amount which was incorrectly debited from the Account.</p>		
B4.4.7	R1	Mandatory

<p>The Service Provider shall access the supporting Vehicle Usage Record(s) and supporting Image, transaction and other Data of detected Vehicles when required to resolve billing enquiries and disputes and, if appropriate, shall send the Vehicle Usage Record that supports the validity of the Charge Payment to the Account holder.</p>		
<p><b>4.5 Statements – Payment Accounts</b></p>		
B4.5.1	R1	Mandatory
<p>The Service Provider shall provide secure access to a web page for each Account, which shall list all transactions applied to the Account and the current balance of the Account. Transactions shall be listed on the Services Website within fifteen (15) minutes (Parameterised) of being applied to the Account.</p>		
B4.5.2	R1	Mandatory
<p>The Service Provider shall provide a facility where, on request by the Customer, the Service Provider will provide a statement of the current Account balance and of what that Account balance would be if all pending Charge Payments were to be applied to the Account immediately.</p>		
B4.5.3	R1	Mandatory
<p>Within twenty four (24) hours of a Charge Payment being deducted from an Account, the Service Provider shall make available the relevant Image and supporting information.</p>		
B4.5.4	R1	Mandatory



<p>The Service Provider shall provide a Monthly Account statement to Customers by the channel and date specified by the Customer (and additional statements upon request by the Customer), as specified in:</p> <ul style="list-style-type: none"> <li>• appendix 7: Customer Accounts – Table 4: Individual Customers; and</li> <li>• appendix 9: Organisation Accounts – Table 7: Organisations.</li> </ul>		
<p><b>4.6 Charges and Payments – Payment Account Holders Only</b></p>		
B4.6.1	R1	Mandatory
MIS		
<p>The Service Provider shall respond to a Payment request from the Core IT System for a VRM active on an Account by either:</p> <ul style="list-style-type: none"> <li>• debiting the Account by an amount specified by the Core IT System and notifying the Core IT System of this action; or</li> <li>• sending a message to the Core IT System to advise that the Payment has been declined.</li> </ul>		
B4.6.2	R1	Mandatory
MIS		
<p>If the Payment requested by the Service Provider from the primary payment channel specified by the Account holder is denied authorisation by the relevant Merchant Acquirer or other payment authorisation body, the Service Provider shall request Payment from other payment channels (if any) specified by the Account holder in the order specified by the Account holder until one (1) request succeeds or all channels are exhausted.</p>		
B4.6.3	R1	Mandatory

<p>If any Payment request by the Service Provider is denied authorisation by the relevant Merchant Acquirer or other payment authorisation body, the Service Provider shall notify the Account holder via the specified contact channel, irrespective of whether requests via other payment channels succeed.</p>		
B4.6.4	R1	Mandatory
<p>If any of the payment channels which the Service Provider attempts fails for technical reasons, the Service Provider shall attempt to take Payment via payment channels lower in the hierarchy, then manually. If these also fail or Payment is denied, the Service Provider shall ensure that the Account is treated as still operating normally until such time as access is restored to all failed channels and the Service Provider is able to attempt a Payment request(s) again. If at this point the Payment is denied, the Service Provider shall revert to its normal treatment of the Account.</p>		
B4.6.5	R1	RFI
<p><i>[This requirement has been removed because it was an RFI]</i></p>		

## 5 INDIVIDUAL CUSTOMER ACCOUNTS

### Introduction

This section covers those requirements that are specific to Individual Customer Accounts. These requirements are in addition to those that are common across all Account types, which are specified in section 4 – Accounts. Requirements specific to Organisation Accounts are covered in section 6 – Organisations.

The initial subsections specify the initiation, operation and closure of accounts and apply to all Individual Customer Accounts.

The final Detection Disputes, Statements, Payments and Suspensions subsections apply only to Payment Accounts.

### 5.1 Customer Registration

B5.1.1	R1	Mandatory
MIS		

The Service Provider shall register Individual Customers for one (1) of the Account types in appendix 7: Customer Accounts – Table 1 by recording the Data required as specified in appendix 7: Customer Accounts – Table 2, ensuring that the information is validated according to the criteria given in Table 2 (or as otherwise specified by TfL from time to time).

B5.1.2	R1	Mandatory

The Service Provider shall allow an Individual Customer to register a maximum of nine (9) Vehicles against a single Account.

B5.1.3	R1	Mandatory
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<p>The Service Provider shall ensure that the Business Operations solution includes the functionality to offer Convenience Cards to Individual Customers upon Registration (for example, to enable automatic entry of Vehicle details at retail outlets).</p>		
<p><b>5.2 Account Operation</b></p>		
B5.2.1	R1	Mandatory
<p>The Service Provider shall provide access to Individual Customer Account information to TfL, Other Service Providers and the Individual Customer as specified in appendix 7: Customer Accounts – Table 3.</p>		
B5.2.6	R1	Mandatory
<p>The Service Provider shall provide the functionality to confirm and/or acknowledge amendments to the details on a Customer’s Account, such as a change of address or VRM, and shall do so upon Customer request or as directed by TfL.</p>		

## 6 ORGANISATION ACCOUNTS

### Introduction

This section covers those requirements that are specific to Organisation Accounts. These requirements are in addition to those that are common across all Account types, which are specified in section 4. Requirements specific to Individual Customer Accounts are covered in section 5. These sections have the same subsection structure in order to enable straightforward comparison.

The initial subsections specify the initiation, operation and closure of Accounts and apply to all Organisation Account types. The final Detection Disputes, Statements and Payments subsections apply only to Payment Accounts. The Fleet Account terms and conditions (to be provided by TfL) provide a brief outline of the process for resolving billing disputes.

The Service Provider is required to operate the Extranet (see also section 13). This includes the automated registration, payment, amendment and notification functions which allow Fleet Operators, Selected Partners or Reimbursement Partners to:

- change, add or reduce the number of Vehicles on each Account (N/A for Reimbursement Partners);
- upload/download Refund lists (Reimbursement Partners); and
- validate Receipts (Reimbursement Partners).

### 6.1 Registration

B6.1.1	R1	Mandatory

The Service Provider shall operate Account facilities for the types of Organisation listed in appendix 9: Organisation Accounts – Table 1.

B6.1.2	R1	Mandatory
<p>The Service Provider shall check the eligibility of all Vehicles that an Organisation requests to add to its Account according to appendix 9: Organisation Accounts – Table 3.</p>		
B6.1.3	R1	Mandatory
MIS		
<p>The Service Provider shall contact the Organisation, via its preferred channel, to inform it if a Vehicle fails the eligibility criteria set out in appendix 9: Organisation Accounts – Table 3.</p>		
B6.1.4	R1	Mandatory
MIS		

The Service Provider shall provide a registration pack specific to each Account type that includes as a minimum:

- Account type registration form;
- terms and conditions applicable to the Account type;
- direct debit mandate for Fleet Accounts;
- continuous credit card authority mandate for Fleet Accounts; and
- signature template.

For Fleet accounts, the Service Provider shall include an instruction to provide direct debit/credit card payments for the first Month of the Account and the initial Registration Charges for the Vehicles specified, as well as instructions on how to calculate the total amount due on the application form. For online Extranet application forms, the Extranet shall have a mechanism in the application form to calculate the amount due; and in respect of Organisations registering via the Internet Service or the Extranet, the Service Provider shall provide this registration pack by email or link to the appropriate web pages, unless the Organisation specifically requests a hard-copy pack via post.

B6.1.5	R1	Mandatory

The Service Provider shall operate a registration process for Organisations in accordance with appendix 9: Organisation Accounts – Table 2a, in order to capture the registration information detailed in appendix 9: Organisation Accounts – Table 5a & 5b.

B6.1.6	R1	Mandatory

The Service Provider shall provide nominated persons within each Organisation with Account access as detailed in appendix 9: Organisation Accounts – Table 4.

B6.1.7	R1	Mandatory
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MIS		
<p>The Service Provider shall register Organisations (as defined within appendix 9: Organisation Accounts – Table 2) as Selected Partners or one hundred per cent (100%) Discounted Fleet Operators if they fulfil the eligibility criteria defined in column three (3) of appendix 9: Organisation Accounts – Table 3.</p>		
B6.1.8	R1	Mandatory
MIS		
<p>The Service Provider shall provide confirmation of the status of applications to Organisations regarding their application.</p>		
B6.1.9	R1	Mandatory
<p>The Service Provider shall provide the facility for Organisations to link Accounts together in a parent-child (one to many) relationship.</p>		
<p><b>6.2 Amendments</b></p>		
B6.2.1	R1	Mandatory



<p>When an Organisation requests an amendment to its Account details, the Service Provider shall acknowledge the request and then process and respond to the amendment. Such amendments shall include but are not limited to:</p> <ul style="list-style-type: none"> <li>• removing/adding a permanently registered Vehicle;</li> <li>• specifying an ad-hoc Vehicle (note that the Organisation will be able to use the Vehicle immediately);</li> <li>• adding the Registered Keeper/Person Liable name (which may be the Organisation or leasing/hire company name) for a Vehicle, as indicated on the Vehicle registration document; and</li> <li>• amending Organisation registration details.</li> </ul>		
B6.2.2	R1	Mandatory
MIS		
<p>The Service Provider shall accept one-day ad-hoc Vehicle registrations on an Organisation Account up to midnight (Parameterised) on the day of travel.</p>		
B6.2.3	R1	Mandatory
<p>The Service Provider shall have a limit (Parameterised) – initially set at no limit to the number of ad-hoc registrations for each Account in one (1) Month.</p>		
B6.2.4	R1	Mandatory
<p>The Service Provider shall immediately reject any ad-hoc registrations beyond the Monthly limit and immediately notify the Customer that this is the case.</p>		
B6.2.5	R1	Mandatory
MIS		

The Service Provider shall log the identity of the Organisation’s user who initiates a change against the Account.		
<b>6.3 Account Operation</b>		
B6.3.1	R1	Mandatory
The Service Provider shall provide access for each Organisation to read and amend its list of registered Vehicles.		
B6.3.2	R1	Mandatory
The Service Provider shall provide a daily list of an Organisation’s registered Vehicles in an electronic format (as agreed with TfL) via either web or email, with the ability to view subsets of Vehicles according to the filters listed in appendix 9: Organisation Accounts – Table 8.		
B6.3.3	R1	Mandatory
The Service Provider shall carry out Vehicle eligibility verification checks on VRMs registered by Selected Partners and one hundred per cent (100%) Discounted Fleet Operators as described in appendix 9: Organisation Accounts – Table 3.		
B6.3.4	R1	Mandatory
The Service Provider shall operate a Reimbursement process, as outlined in appendix 8: Discounts – section 4 for Reimbursement Partners as listed in appendix 8: Discounts – Table 1.		

B6.3.5	R1	Mandatory
MIS		
<p>The Service Provider shall reimburse Charge Payments within the current Month (Parameterised) (subject to the successful validation of each Claim) by a Monthly (Parameterised) transfer to the nominated bank account of each Reimbursement Partner.</p>		
B6.3.6	R1	Mandatory
<p>The Service Provider shall send a Monthly (Parameterised) remittance advice to each Reimbursement Partner’s Administrator.</p>		
B6.3.7	R1	Mandatory
<p>The Service Provider shall have an industry standard method for receiving files containing consolidated Reimbursement claims or bulk Vehicle uploads and for returning files containing updated Reimbursement claims.</p>		
B6.3.8	R1	Mandatory
<p>The Service Provider shall have the functionality to run all registered Vehicles on Organisation Accounts through a DVLA validation check.</p>		
B6.3.9	R1	Mandatory
<p>The Service Provider shall appropriately manage a Fleet VRM database to ensure all illegitimately registered Vehicles can be immediately removed from the Fleet VRM database, if stipulated by business rules.</p>		

B6.3.10	R1	Mandatory
<p>The Service Provider shall monitor and report to TfL on request the levels of privately registered Vehicles on Organisation Accounts.</p>		
<p><b>6.4 Closure</b></p>		
B6.4.1	R1	Mandatory
<p>The Service Provider shall use a debt recovery mechanism as agreed with TfL to recover any debts owed by Organisations.</p>		
<p><b>6.5 Statements</b></p>		
B6.5.1	R1	Mandatory
MIS		
<p>The Service Provider shall notify each Organisation of any Vehicles whose Account membership is about to expire in the following Month by clearly highlighting their VRMs and their expiry dates as a separate notification list with the Monthly Account statement.</p>		
B6.5.2	R1	Mandatory
<p>The Service Provider shall allow Organisations to specify their Monthly billing dates and shall calculate Monthly statements on the basis of the these dates (e.g. a Fleet Operator that specifies billing on the 14th of June receives statements for the period of 15 May - 14 June and then 15 June - 14 July etc).</p>		

<b>6.6 Charges and Payments – Payment Account Holders Only</b>		
B6.6.1	R1	Mandatory
MIS		
<p>The Service Provider shall charge Organisations if necessary by direct debit or credit/debit card, according to Organisation preference.</p>		
B6.6.2	R1	Mandatory
<p>The Service Provider shall ensure that the amount charged each Month includes Charge Payments and Registration Charges from the preceding Month and a pre-payment estimated by a formula provided by TfL for the following Month. The Service Provider shall allow TfL to set the pre-payment to zero (0), making the Account a pure post-payment Account.</p>		
B6.6.3	R1	Mandatory
<p>The Service Provider shall debit the annual Administration Charge (if any) as indicated in appendix 3: Payments – Table 2 from the Organisation Account and ensure that this is reflected in billing (including for one hundred per cent (100%) Discounted Fleet Operators, but excluding Selected Partners) for each registered Vehicle on each of the following dates:</p> <ul style="list-style-type: none"> <li>• initial date of registration of the Vehicle (even if the Vehicle has been deleted and then re-registered); and</li> <li>• the day after the annual expiry date, if the Vehicle is still registered.</li> </ul>		
B6.6.4	R1	Mandatory
MIS		

<p>The Service Provider shall, where a direct debit or credit card payment is not received by the Service Provider from an Organisation within five (5) Working Days (Parameterised) of the agreed payment date, contact the Organisation to arrange a repeat instruction or an alternative payment mechanism.</p>		
B6.6.5	R1	Mandatory
MIS		
<p>The Service Provider shall issue a warning clearly identified on billing and debit an Administration Charge (Parameterised) (see appendix 3: Payments – Table 2) from the Organisation Account when a direct debit or credit card payment fails twice (Parameterised) or more within one (1) Month.</p>		
B6.6.6	R1	Mandatory
MIS		
<p>The Service Provider shall issue a warning notification to the Organisation, outlining the consequences of the Account being not operational and Penalty Charge Notices being issued when an Organisation’s direct debit payments routinely fail.</p>		
B6.6.7	R1	Mandatory
MIS		
<p>The Service Provider shall freeze the Organisation’s Account, notify the Organisation and add the Organisation to the bad debtor list, where an Organisation’s direct debit payments routinely fail (as defined according to criteria supplied by TfL).</p>		
B6.6.8	R1	Mandatory
MIS		
<p>The Service Provider shall debit Fleet Accounts with the appropriate Charge Payment against the day of travel for any ad-hoc Vehicle registrations.</p>		

B6.6.9	R1	Mandatory
The Service Provider shall make alternative payment arrangements for Organisations that are unable to set up a direct debit instruction or continuous credit card authority mandate.		

<b>7 PAYMENTS</b>		
<b>Introduction</b>		
<p>This section covers the requirements for the provision of manual and automatic payment channels, including the accepted methods of payment and the processing of failed payments, amendments and Receipts.</p> <p>For specific payment information relating to Accounts refer to sections 4-6.</p>		
<b>7.1 Purchase</b>		
B7.1.1	R1	Mandatory
MIS		
<p>The Service Provider shall operate a process for allowing Individual Customers (whether registered or unregistered) to make a manual payment starting on any day, for a range of Products (listed in appendix 3: Payments – Table 1).</p>		
B7.1.2	R1	Mandatory
MIS		
<p>The Service Provider shall operate a process for allowing Individual Customers (whether registered or unregistered) to make an automated payment starting on any day, for a range of Products (listed in appendix 3: Payments – Table 1).</p>		
B7.1.3	R1	Mandatory
MIS		
<p>The Service Provider shall allow Customers to purchase a Charge Payment from one (1) date to another date, as a whole period, without it being treated as separate individual Charge Payments.</p>		
B7.1.4	R1	Mandatory



MIS		
<p>The Service Provider shall enable Customers to pay the manual single Charge Payment up to midnight (Parameterised) on the day of travel (at a cost defined in appendix 3: Payments – Table 1) or in advance up to sixty five (65) (Parameterised) Charging Days before travel.</p>		
B7.1.5	R1	Mandatory
MIS		
<p>The Service Provider shall enable Customers to pay the late single Charge Payment up to midnight on the next Charging Day after travel. The current channels in use for this Charge are Internet Service, IVR, and telephone.</p>		
B7.1.6	R1	Mandatory
<p>The Service Provider shall ensure that where a manual payment is made for a Vehicle on a Payment Account, no automated payment is taken for the same Vehicle for the same date as that for which the manual payment was made.</p>		
B7.1.7	R1	Mandatory
MIS		
<p>The Service Provider shall reject duplicate manual Customer payments for the same product, date and VRM, for the same Scheme, including when the newly requested Charge Payment overlaps with an existing purchased Charge Payment.</p>		
B7.1.8	R1	Mandatory
<p>The Service Provider shall supply any information about duplicate payments in a way that does not infringe upon the DPA.</p>		

B7.1.9	R1	Mandatory
MIS		
The Service Provider shall accept multiple Customer purchases in the same transaction.		
B7.1.10	R1	Mandatory
MIS		
The Service Provider shall calculate as part of the payment any Discounts that apply to the Account according to the Individual Customer’s Account settings.		
B7.1.11	R1	Mandatory
MIS		
The Service Provider shall allow the Customer to amend the VRM or start date free of charge (Parameterised) if an incorrect Charge Payment is made in advance or within the period allowed for the Charge Payment for a given day of travel.		
B7.1.12	R1	Mandatory
MIS		
The Service Provider shall assign the amount of monies received from a Customer using prioritisation criteria provided by TfL, where an amount received from a Customer is less than the total required to complete the transaction.		
B7.1.13	R1	Mandatory
MIS		

<p>If an incorrect Charge Payment has been made in advance or within the period allowed for payment for a given day of travel and the Customer does not wish to amend the VRM or date of travel, the Service Provider shall permit the Customer to retain a credit of that Charge Payment against the VRM or Customer Account, or, if the Customer wishes, shall refund that payment, less a (Parameterised) Administration Charge, as further discussed in section 9 – Returns.</p>		
B7.1.14	R1	FYI
MIS		
<p>For the avoidance of doubt, the term “incorrect payment” shall include the case where a Customer has correctly made a Charge Payment but has changed his mind and not travelled, provided that the VRM in question has not been detected on the day in question under the Scheme in question.</p>		
B7.1.15	R1	Mandatory
MIS		
<p>The Service provider shall accept the following methods of payment from a Customer:</p> <ul style="list-style-type: none"> <li>• credit card;</li> <li>• debit card;</li> <li>• postal order (post only);</li> <li>• cheque (post only); and</li> <li>• cash (post only) although this is not encouraged.</li> </ul>		
B7.1.16	R1	Mandatory
<p>The Service Provider shall ensure that all transactions involving debit or credit card payments are subject to receipt of financial authorisation.</p>		

<b>7.2 Failed Payments</b>		
B7.2.1	R1	Mandatory
MIS		
<p>Where failure to take a payment in an automated Payment Account is combined with Charges being incurred such that the Customer’s Account is less than £0 (nil) (Parameterised) the Service Provider shall issue a warning to the Customer that the terms and conditions of the Account are not being complied with, and suspension of the Account will occur in 5 (five) (Parameterised) days unless the Account is placed in credit.</p>		
B7.2.2	R1	Mandatory
MIS		
<p>Where failure of the Customer to make the required payments in a manual Payment Account is combined with Charges being incurred such that the Customer's Account is less than £0 (nil) [Parameterised] the Service Provider shall issue a warning to the Customer that the terms and conditions of the Account are not being complied with, and suspension of the Account will occur in 5 (five) (Parameterised) days unless the Account is placed in credit.</p>		
B7.2.3	R1	Mandatory
MIS		
<p>Where a Customer has been given a warning that the terms and conditions of their Account are not being complied with and no further action has been taken by the Customer after 5 (five) (Parameterised) days, the Service Provider shall close the Account.</p>		
B7.2.4	R1	Mandatory
MIS		

<p>Where a Customer has been given a warning that the terms and conditions of his/her Account are not being complied with and the Customer contacts the Service Provider to make a Complaint, the Service Provider shall suspend the Account closure pending the outcome of an investigation of the Complaint.</p>		
B7.2.5	R1	Mandatory
MIS		
<p>Where a Customer's Account has been closed and the Customer owes outstanding monies, the Service Provider shall seek to recover the debt from the Customer in accordance with a debt recovery process to be agreed with TfL.</p>		
B7.2.6	R1	Mandatory
MIS		
<p>The Service Provider shall inform the Customer of any failed payments, and shall obtain alternative payment details except on occasions as defined in appendix 7: Customer Accounts – Table 5a &amp; 5b.</p>		
B7.2.7	R1	Mandatory
<p>The Service Provider shall ensure that if the Business Operations System is unavailable, payment details can be recorded manually in a way which ensures the integrity of the Data. On resumption of service of the Business Operations System, the Service Provider shall update the payment information retrospectively.</p>		
<p><b>7.3 Amendments to Charge Payments</b></p>		
B7.3.1	R1	Mandatory

<p>The Service Provider shall allow Customers to make amendments to Charge Payments already made ensuring that where appropriate the Customer pays the correct amount for the amendments specified in appendix 3: Payments –Table 2.</p>		
B7.3.2	R1	Mandatory
<p>The Service Provider shall ensure that when a Customer makes an amendment he/she provides sufficient evidence to identify himself/herself as the person authorised to make such a change, such evidence is to be agreed with TfL.</p>		
B7.3.3	R1	Mandatory
<p>The Service Provider shall ensure that where a Resident (registered for a Discount) moves within the Residents Discount Area less than twelve (12) Months after the award of the Discount, no further Registration Charge as specified in appendix 3: Payments – Table 2 is made to “re-register” the Resident at his/her new address.</p>		
<p><b>7.4 Receipts</b></p>		
B7.4.1	R1	Mandatory
<p>The Service Provider shall offer Receipts for payments in accordance with appendix 3: Payments – Table 3.</p>		
B7.4.2	R1	Mandatory
<p>The Service Provider shall offer duplicate Receipts for previous payments sent via the Customer is specified channel at a charge (Parameterised) specified in appendix 3: Payments – Table 2.</p>		

B7.4.3	R1	Mandatory
The Service Provider shall issue identifiable separate Receipts for the different Contravention Types.		
B7.4.4	R1	Mandatory
The Service Provider shall post the Receipt for a completed transaction to the Customer in accordance with the time period specified in schedule 5: Service Level Agreement.		
B7.4.5	R1	Mandatory
The Service Provider shall ensure a discounted Customer may not pay for a Charge at the discounted rate, which runs beyond the expiry date of their discount Account.		

## 8 TAG

### Introduction

This section covers the requirements for the provision, registration, and ongoing operation (including faulty/lost/stolen units) of DSRC Tags. Most requirements in this section are for Release 2 of the Services, some however are Additional Services.

A non-refundable registration charge (Parameterised) or a refundable deposit (Parameterised) may be payable when applying for a Tag. TfL has yet to decide whether there will be any such charge, but if there is, it is more likely to be a refundable deposit than a non-refundable registration fee.

It is possible that some Tag users could decide that they wish the convenience of paying a period Charge Payment, that is, either Monthly or annually. In these circumstances it should be possible to associate the Tag with a longer period Charge Payment. Statements could be generated if required.

The Tag and Beacon Scheme will be capable of supporting multiple Schemes.

### 8.1 Tag Provision & Registration

B8.1.1	R2	Mandatory



<p>When a Customer registers a VRM to a Tag-based Payment Account, the Service Provider shall operate the following process for issuing and registering a Tag:</p> <ul style="list-style-type: none"> <li>• check whether the Customer already has one (1) or more Tags which are not associated with a VRM;</li> <li>• if so, associate the VRM with one of those Tags;</li> <li>• if not, associate the VRM with a single Tag, not already associated with a VRM;</li> <li>• take any required Tag deposit or registration fee for the Account as specified in appendix 3: Payments – Table 1; and</li> <li>• if a new Tag is being issued, send the Tag with a welcome pack to the Customer according to the detailed requirements set out in section 8.2.</li> </ul>		
B8.1.2	R2	Mandatory
<p>The Service Provider shall associate Tags with accounts as required by:</p> <ul style="list-style-type: none"> <li>• appendix 7: Customer Accounts – Table 1 for Individual Customer Accounts; and</li> <li>• appendix 9: Organisation Accounts – Table 1 for Organisation Accounts.</li> </ul>		
B8.1.3	R2	Mandatory
<p>The Service Provider shall operate a mechanism to temporarily map a Tag associated with a Payment Account with a VRM not associated with that Payment Account.</p>		
B8.1.4	R2	Mandatory

<p>The Service Provider shall activate the Tag on dispatch to the Customer and shall notify the Customer on the first occasion that the Tag is detected.</p>		
B8.1.5	R2	Mandatory
<p>The Service Provider shall request the Customer to contact the Service Provider if the Tag has not been detected within a Parameterised period from the date of issue of the Tag.</p>		
B8.1.6	R2	Mandatory
<p>In order to allow time for the Customer to receive the Tag, the Service Provider shall notify the Core IT System that for two (2) weeks (Parameterised) from the date of issue of a Tag or until the Tag is first detected, whichever is the sooner, detection of the Vehicle whose VRM is associated with the Tag shall not be treated as an Anomaly.</p>		
B8.1.7	R2	Mandatory
<p>The Service Provider shall contact the Customer via telephone or post if the Tag has not been detected within a Parameterised period of time from the date of issue and the Customer has not notified the Service Provider within a Parameterised time period that the Tag has not been received.</p>		
B8.1.8	R2	Mandatory
<p>The Service Provider shall implement a mechanism for the Tag manufacturer to provide information to the Service Provider as to what Data (such as manufacturer’s ID) has been pre-programmed into the Tags by the Tag manufacturer.</p>		
B8.1.9	R2	Mandatory

<p>The Service Provider shall implement a mechanism by which the Tag manufacturer can be informed by the Service Provider as to what other Data should be pre-programmed into the Tags by the Tag manufacturer. Such Data may include information such as the EFC context mark.</p>		
B8.1.10	R2	Mandatory
<p>The Service Provider shall ensure that it passes information to the Core IT System about Data pre-programmed into Tags to allow the Core IT System to update the relevant Data tables.</p>		
B8.1.11	R2	Mandatory
<p>The Service Provider shall operate a mechanism for ordering Tags from the Tag manufacturer and receiving those Tags.</p>		
B8.1.12	R2	Mandatory
<p>The Service Provider shall operate an Asset Control system for Tags.</p>		
B8.1.13	R2	Mandatory
<p>The Service Provider shall operate a mechanism for returning to the Tag manufacturer Tags which are broken, require battery replacement or require return for any other reason.</p>		
B8.1.14	R2	Mandatory

<p>The Service Provider shall operate a fulfilment mechanism for dispatching Tags to Customers. The fulfilment mechanism may be used either for newly requested Tags, for Tags which have been returned for replacement or for Tags which are replacements for lost/stolen Tags.</p>		
B8.1.15	R2	Mandatory
<p>The Service Provider shall operate a mechanism for personalising the Tag with any Customer/Account specific Data. Such Data may include the personal Account number, the EFC context mark, Data specifying which other Schemes the Tag is interoperable with or other Data required to operate a Tag-based charging scheme as agreed with TfL and relevant Other Service Providers.</p>		
B8.1.17	R2	Mandatory
<p>The Service Provider shall operate a mechanism for linking the specific Tag being dispatched to the Customer and/or Account and/or VRM(s) for which it is to be used.</p>		
B8.1.18	R2	FYI
<p>It is envisaged that the process of a Customer ordering a Tag(s) will be separate from the fulfilment process. Therefore at the point of ordering, neither the ID programmed into the Tag being dispatched will be available, nor will the physical Tag be available for personalising.</p>		
B8.1.19	R2	Mandatory

<p>The Service Provider and TfL shall agree with the Tag manufacturer how the Tags will be dispatched whether directly from manufacturer to the Customer or an alternative mechanism.</p>		
B8.1.20	R2	Mandatory
<p>The Service Provider shall provide a mechanism for Customers to return, free of charge, Tags which are broken, have a low battery, require re-programming or are no longer required. The mechanism provided by the Service Provider shall operate whether or not the Customer has informed the Service Provider beforehand of the return. Such a mechanism shall include at minimum a postal service.</p>		
<p><b>8.2 Tag Operation</b></p>		
B8.2.1	R2	Mandatory
<p>The Service Provider shall take from the Customer the relevant deposit or registration fee for the Tag as specified in appendix 3: Payments – Table 1 when issuing a new Tag. Such a deposit will not apply to Tags issued as replacements for broken Tags or Tags with low batteries. If a Tag is lost or stolen, the deposit for the lost/stolen Tag may be forfeited and a new deposit may be required for the replacement Tag. The business rules applicable to such deposits shall be agreed with TfL.</p>		
B8.2.2	R2	Mandatory

<p>The Service Provider shall provide a website mechanism to allow Organisations to manage their Tags and VRMs. This mechanism shall allow at minimum the following facilities:</p> <ul style="list-style-type: none"> <li>• the ordering of Tags in bulk without specifying VRMs;</li> <li>• the association of any Tag on an Account, with any VRM on an Account;</li> <li>• the holding of Tags which have no VRM associated with them; and</li> <li>• VRMs on the Account not being associated with a Tag.</li> </ul>		
B8.2.3	R2	Mandatory
<p>The Service Provider shall implement a similar process for that of replacing lost/stolen Tag if it learns of a need to replace a Tag.</p>		
B8.2.4	R2	Mandatory
<p>The Service Provider shall, upon notification by a Customer of a lost or stolen Tag, immediately deactivate the Tag from the Customer’s Account by notifying the Core IT System and advisings the Customer that the Tag will need to be reactivated if found. The Service Provider shall arrange for a replacement Tag to be sent to the Customer. To allow time for receipt of the Tag by the Customer, the Service Provider shall also notify the Core IT System that the VRM corresponding to the lost/stolen Tag can be operated without a Tag for a period of two (2) weeks (Parameterised) or until the new Tag is detected by the Detection and Enforcement Infrastructure Service Provider, whichever is the sooner, to allow time for the receipt of the Tag by the Customer.</p>		
B8.2.5	R2	Mandatory

<p>If a Customer returns a Tag as no longer required, whether because the number of Vehicles on the Account is being reduced, because the Account is being closed or for any other reason, the Service Provider shall credit the Customer Account with the Tag deposit (if any, see appendix 3: Payments – Table 1).</p>		
B8.2.6	R2	FYI
<p>Anomalies in detection of Tags will occur. Such anomalies include:</p> <ul style="list-style-type: none"> <li>• a VRM being detected which should have a Tag associated with it but where no Tag is detected;</li> <li>• a Tag being detected and the VRM associated with that detection being different from the one that the Tag is linked to on the Account;</li> <li>• multiple Tags detected in the same Vehicle; and</li> <li>• the sequence of transaction numbers in Tag Transaction Records having a transaction number missing or duplicated.</li> </ul>		
B8.2.7	R2	Mandatory
<p>The Service Provider shall receive Tag Anomaly notifications from the Core IT System.</p>		
B8.2.8	R2	Mandatory

The Service Provider shall operate a process to handle logged Anomaly messages according to business rules to be defined by TfL. The process may differ by Customer type, by type of Anomaly and by frequency of occurrence for that Customer. The Anomaly handling process may include, but not be limited to any or all of the following:

- tracking the number and frequency of Anomalies for a particular Tag/VRM/Account;
- contacting the Customer via the Customer’s preferred channel to resolve the Anomaly e.g. determining if the Customer has changed Vehicle and not informed the Service Provider and updating Account details as appropriate. Such initial contact may occur on the first occasion or after multiple Parameterised occurrences within a Parameterised time period, as agreed with TfL;
- a Parameterised grace period after initial contact has been made to allow the Customer to make any appropriate changes;
- recontacting the Customer if the same Anomaly occurs more than a Parameterised number of times within a Parameterised period after the grace period has expired; and
- an escalation process if Anomalous usage continues, defined as a Parameterised number of Anomalies over a Parameterised period of time, including written warnings to the Customer that the terms and conditions applicable are not being complied with.

**8.3 Interoperability**

B8.3.1	R2	Mandatory



<p>TfL anticipates that at a future date Tags issued for TfL Scheme(s) may be interoperable with other road user charging schemes in the UK and abroad. Such schemes are referred to in this document as Interoperable Schemes. Customers may choose to have their Tag be valid in none, one, some or all of these Interoperable Schemes. If a Tag valid in an Interoperable Scheme is used in that Interoperable Scheme, the Service Provider will be charged by that Interoperable Scheme and the Service Provider shall apply this Charge to the Account linked to the Tag. Similarly, Customers with Accounts in Interoperable Schemes may choose to have their Tags validated for the TfL Schemes. If such a Tag is detected in a Charging Zone during Charging Hours, the Service Provider shall charge the operator of the Interoperable Scheme as appropriate and the operator will then apply the Charge to their Customer’s Account.</p>		
B8.3.2	R2	Mandatory
<p>The Service Provider shall provide the functionality to allow Customers to specify which Tags on their accounts shall be interoperable with which Interoperable Schemes.</p>		
B8.3.3	R2	Mandatory
<p>If a Customer does not specify the required interoperability of a Tag, the Service Provider shall set the Tag to be invalid in all Interoperable Schemes.</p>		
B8.3.4	R2	Mandatory
<p>The Service Provider shall ensure that Tags are appropriately programmed and/or personalised to indicate to the operators of Interoperable Schemes whether the Tag is valid in their Interoperable Scheme or not. This may be through the “contract type” field of the EFC context mark or by means of other programmable fields on the Tag to be agreed with TfL and the operators of Interoperable Schemes.</p>		
B8.3.5	R2	Mandatory

<p>The Service Provider shall ensure that the programming and / or personalisation of Tags for interoperability purposes comply with the requirements of IAP and the EU’s specifications.</p>		
B8.3.6	R2	Mandatory
<p>The Service Provider shall provide the functionality to allow Customers to change the specified interoperability of Tags associated with their Accounts, either individually or in groups.</p>		
B8.3.7	R2	Mandatory
<p>The Service Provider shall at a minimum pass to the Core IT System the information listed below for forwarding to the operators of Interoperable Schemes:</p> <ul style="list-style-type: none"> <li>• valid pairings of Tag IDs and VRMs; and</li> <li>• details of the Vehicles and Tags that are valid in one or more Interoperable Schemes.</li> </ul>		
<p><b>8.4 Tag in a Box</b></p>		
B8.4.1	R2	FYI

As well as the distribution of Tags via the Business Operations Service Element, TfL may choose to distribute pre-packaged Tags via retail channels, a product commonly known as “Tag in a box”. This product could work in a number of ways. One possible method of operation is described below. No decision has yet been taken on whether “Tag in a box” will be introduced or on the detailed method of operation.

A Customer would purchase a pre-packaged Tag from a retail store. The Tag/Account would be activated by the Customer phoning the Contact Centre or accessing the appropriate website and specifying the VRM to be associated with the Tag. Possibly the Tag could be activated at the point of purchase by a dedicated link from the retailer to TfL, such as the existing retail links. The Customer would be encouraged to provide personal information at this point but would not be forced to do so.

## 9 RETURNS

### Introduction

This section details any occasion when money/credit is returned to a Customer. This section should be read in conjunction with appendix 6: Returns Policy.

The following definitions apply:

- Refund – amount returned to the Customer after early termination of any period Charge Payment and will include Return of monies in an Account upon closure of Account;
- Repayment – amount that is returned to the Customer that is not defined as a Refund;
- Transaction Reversal – Return of excess money that has been taken in error;
- Recredit – Return of excess money/credit to an Account that has been taken in error; and
- Redress – any discretionary ex-gratia payments that the Customer receive due to loss or inconvenience.

N.B. A Reimbursement is not considered a form of Return. For further details refer to section 11: Discounts & Surcharges.

### 9.1 Refunds & Repayments

B9.1.1	R1	Mandatory
MIS		

The Service Provider shall allow the Customer to request a Refund/Repayment via the telephone, post or Internet Service channels.

B9.1.2	R1	Mandatory
<p>The Service Provider shall ensure that Refunds/Repayments are linked to the details of the original Payment (date, Account, Product, VRM etc.) to allow for full reconciliation and that the appropriate details are passed to the Core IT System.</p>		
B9.1.3	R1	Mandatory
<p>The Service Provider shall ensure that the Business Operations System allows an optional Administration Charge (Parameterised) for processing Refunds/Repayments to be charged as a separate item, not to be reconciled against individual Charges, as specified in appendix 3: Payments – Table 2.</p>		
B9.1.4	R1	Mandatory
MIS		
<p>The Service Provider shall process and accept or reject Refunds/Repayments in accordance with appendix 6: Returns Policy – section 1 within seven (7) days of receipt.</p>		
B9.1.5	R1	Mandatory
MIS		
<p>The Service Provider shall make Refunds/Repayments only to the person who made the original payments whether or not they are the Registered Keeper/Person Liable of the Vehicle for which the Charge Payment was made. In the case of anonymous cash payments through the Retail Channel, the Service Provider shall assume the person making the payment is the Registered Keeper/Person Liable.</p>		
B9.1.6	R1	Mandatory

<p>The Service Provider shall deliver Refunds/Repayments by the means in which the Charge Payment was made except in the circumstances set out in appendix 6: Returns Policy – Paragraph 1.7.</p>		
B9.1.7	R1	Mandatory
MIS		
<p>The Service Provider shall aggregate Refunds/Repayments of multiple Receipts against the same VRM and Customer number, where they may be made to the same payee into one (1) transaction, so that for example only one (1) cheque is issued.</p>		
B9.1.8	R1	Mandatory
MIS		
<p>The Service Provider shall include a statement at the bottom of the front page of each Refund letter to ensure the Customer fully understands the implications of the Refund if entry into the Charging Zone is made without further Payment. The current statement states:</p> <p>'This refund does not affect the validity of any PCNs incurred for contraventions within this refund period. This is because the full charge was not purchased as required by the Scheme Order for the relevant registration mark and for those contravention dates. Any PCNs should therefore be paid. Your statutory rights are outlined on the PCN.'</p>		
B9.1.9	R1	Mandatory
<p>The Service Provider shall ensure the Business Operations System is capable of providing automatic Refunds for Payments where a Customer Discount is applied retrospectively. The functionality shall exist to exclude certain Payments from the Refund (e.g. Pay Next Day) in accordance with the business rules. The Service Provider shall ensure that Refunds are provided once the Discount has been successfully processed.</p>		

B9.1.10	R1	Mandatory
<p>The Service Provider shall ensure that all Refunds are processed in accordance with the Business Operations business rules.</p>		
<p><b>9.2 Transaction Reversal and Re-Credits</b></p>		
B9.2.1	R1	Mandatory
<p>The Service Provider shall process and issue Transaction Reversals in accordance with appendix 6: Returns Policy – section 2.</p>		
<p><b>9.3 Redress Policy</b></p>		
B9.3.1	R1	Mandatory
<p>The Service Provider shall process and issue Redress in accordance with appendix 6: Returns Policy – section 3.</p>		

<b>10 ENQUIRY</b>		
<b>Introduction</b>		
<p>This section details the requirements related to Enquiries and Complaints made by Customers through a variety of channels, except for the following:</p> <ul style="list-style-type: none"> <li>• all Data Protection / FOI enquiries (refer to appendix 13: Information Compliance Processes); and</li> <li>• Detection dispute enquiries (refer to sections 4-6).</li> </ul>		
<b>10.1 Procedure</b>		
B10.1.1	R1	Mandatory
<p>The Service Provider shall allow Customers to submit Enquiries/Complaints about the Schemes and/or services relating to the Schemes to it and shall issue a unique reference number in respect of each Enquiry or Complaint it receives.</p>		
B10.1.2	R1	Mandatory
<p>The Service Provider shall develop a set of procedures, to be agreed with TfL, for the escalation of Enquiries and Complaints which shall include any amendments required by TfL based on appendix 2: Enquiry – Table 1.</p>		
B10.1.3	R1	Mandatory
MIS		



<p>The Service Provider shall respond to Enquiries/Complaints through the Customer's preferred channel or via the channel in which the relevant Enquiry or Complaint was received within the time specified in schedule 5: Service Level Agreement.</p>		
B10.1.4	R1	Mandatory
MIS		
<p>The Service Provider shall record the nature, purpose, outcome and dialogue of all Enquiries/Complaints. If the nature of the Enquiry/Complaint cannot be resolved immediately then the Service Provider shall make a log of the Customer details and escalate the Enquiry/Complaint in accordance with the escalation procedure to be agreed with TfL.</p>		
B10.1.5	R1	Mandatory
MIS		
<p>The Service Provider shall have the ability to link Enquiries/Complaints to Customer Accounts and search and report on the nature and purpose of Enquiries/Complaints.</p>		
B10.1.6	R1	Mandatory
<p>The Service Provider shall create and maintain a knowledge management system containing Frequently Asked Questions as agreed by TfL including any amendments, which is accessible by Personnel and the public.</p>		
B10.1.7	R1	Mandatory
<p>The Service Provider shall maintain the FAQ pages in a structured format and with a keyword search facility.</p>		
B10.1.8	R1	Mandatory

MIS		
<p>The Service Provider shall record the details of the Enquiry/Complaint against the relevant existing Customer Record where an Enquiry/Complaint is received from a registered Customer or a Customer previously in contact with a Scheme(s).</p>		
B10.1.9	R1	Mandatory
<p>The Service Provider shall ensure that where an Enquiry/Complaint is received from an unregistered or unknown Customer any information determined about the person is stored and created as a new Customer Record.</p>		
B10.1.10	R1	Mandatory
<p>The Service Provider shall provide a facility to allow Customers to search the location, opening times, telephone number and disabled access of retail and self-service machines by using the Service Website or telephone.</p>		
B10.1.11	R1	Mandatory
<p>The Service Provider shall provide a facility to allow Customers using the web or telephone to check whether a location is inside, outside of or straddles the Charging Zone boundary by entering any of the following information:</p> <ul style="list-style-type: none"> <li>• address; or</li> <li>• main line stations; or</li> <li>• postcode; or</li> <li>• places of interest.</li> </ul>		
B10.1.12	R1	Mandatory

<p>The Service Provider shall provide their Personnel with access to all information necessary to respond to Enquiries including but not limited to:</p> <ul style="list-style-type: none"><li>• Discount status;</li><li>• various DVLA records / information if required;</li><li>• Image records;</li><li>• Tag operation;</li><li>• Tag fitting;</li><li>• Tag Account operation;</li><li>• Enforcement information;</li><li>• Customer Records;</li><li>• Scheme details;</li><li>• Interoperable Scheme information;</li><li>• TfL policies; and</li><li>• escalation procedures.</li></ul>		

## 11 DISCOUNTS & SURCHARGES

### Introduction

This section covers the requirements related to the processing and cancellation of Discounts. This section should be read in conjunction with appendix 8: Discounts which defines the related business rules in more detail.

Note that registration of Organisation Accounts themselves that allow nominated Vehicles to qualify for Discounts are covered in section 7 – Organisation Accounts. Providing Discounts involves:

- processing Discount registrations and renewals;
- detecting and reducing fraud in relation to Customers receiving Discounts; and
- monitoring the on-going eligibility of a Customer for a Discount.

### 11.1 Registration & Processing

B11.1.1	R1	Mandatory
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MIS		
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The Service Provider shall process registrations for the Discount categories defined in appendix 8: Discounts – Table 1 or as otherwise directed by TfL.

B11.1.2	R1	Mandatory
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The Service Provider shall review evidence provided with each registration application using business rules provided by TfL.

B11.1.3	R1	Mandatory
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When the Service Provider receives a new evidence type, it shall pass this evidence type to TfL for approval prior to processing the application.

B11.1.4	R1	Mandatory
<p>The Service Provider shall enable a Customer to register a Vehicle for a Discount in accordance with the Vehicle categories defined in appendix 8: Discounts – Table 6, via the telephone channel and shall have the facility to enquire whether the VRM submitted for registration is eligible for the Discount.</p>		
B11.1.5	R1	Mandatory
<p>The Service Provider shall provide the Customer for each of the categories defined in appendix 8: Discounts – Table 7 or as directed by TfL, with the ability to register a Discount via post, telephone and online channels.</p>		
B11.1.6	R1	Mandatory
MIS		
<p>The Service Provider shall check the evidence provided using the eligibility lists in appendix 8: Discounts – Tables 7-11 to validate the Discount for each Customer that has applied, or as otherwise directed by TfL.</p>		
B11.1.7	R1	Mandatory

The Service Provider shall update the Customer and Discount records and notify the Customer according to one of the following outcomes:

- once a Customer is successfully registered for the Discount, a Discount Eligibility Certificate shall be sent to the Customer; or
- if the application requires further information or clarification or the relevant payment is missing then the Service Provider shall request that information/payment that is unclear or missing; or
- if the Discount application is refused then the Service Provider shall return the application along with the evidence to the Customer.

The Service Provider shall then log the action taken against the Customer's application details.

B11.1.8	R1	Mandatory

TfL is currently examining the feasibility of Emissions Related charging. This may comprise an Emission Based Discount based on a combination of VED bands, CO<sub>2</sub> levels and/or Euro Standards and surcharges for higher polluting Vehicles that would form part of Release 1. A discount for the cleanest HGVs (based on Euro Standards) may be applied as part of Emissions Related Charging.

If TfL implements the discounts and surcharges, the Service Provider shall apply as defined in appendix 8: Discounts – Table 1.

B11.1.9	R1	Mandatory

The Service Provider shall use a variety of Data sources (for examples, see appendix 8: Discounts – Tables 9, 10) to check the validity of Discount holders upon Discount registration or renewal.

B11.1.10	R1	Mandatory
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<p>The Service Provider shall allow a Customer who is a Blue Badge Holder, applying for a Blue Badge Discount (as outlined in appendix 8: Discounts – Table 7) to name up to three (3) (Parameterised) Third Parties to provide Customer Communication on behalf of the Customer.</p>		
<p><b>11.2 Renewals &amp; Cancellations</b></p>		
B11.2.1	R1	Mandatory
MIS		
<p>The Service Provider shall operate a Discount renewal process in accordance with appendix 8: Discounts – Table 13a and take registration payments when required according to appendix 8: Discounts – Table 1.</p>		
B11.2.2	R1	Mandatory
<p>The Service Provider shall cancel the following Discount types when instructed to do so by the Discount Account holder. Such Discounts include but are not limited to:</p> <ul style="list-style-type: none"> <li>• personal Discount registered to an Individual Customer;</li> <li>• Discounts on a Vehicle for which a Customer is the Registered Keeper/Person Liable;</li> <li>• Discount registered to an Organisation (e.g. Selected Partner), when requested by the relevant Relationship Manager.</li> </ul>		
B11.2.3	R1	Mandatory
<p>The Service Provider shall automatically cancel and return to the Customer any future products that were previously sold under the Discount when a Discount is cancelled, with all monies returned to the Customer.</p>		
<p><b>11.3 Discount Operation</b></p>		
B11.3.1	R1	Mandatory

The Service Provider shall operate the Blue Badge Holder Discount in accordance with the business rules defined in appendix 8: Discounts – Table 14.		
B11.3.2	R1	Mandatory
The Service Provider shall use the WEE Interface to check specific Vehicle details provided by Customers during Discount registration and other processes where payments are made.		



<b>12 CONTACT CHANNELS</b>		
<b>Introduction</b>		
<p>This section details the requirements that are specific to each contact channel (email, IVR, telephone, post, retail, self service, SMS, web), including language and accessibility requirements.</p> <p>Refer to schedule 5: Service Level Agreement for a list of the tasks that are possible within each contact channel.</p>		
<b>12.1 General</b>		
B12.1.1	R1	Mandatory
<p>The Service Provider shall in the event of a problem with a particular channel:</p> <ul style="list-style-type: none"> <li>• immediately inform relevant Service Providers of the problem; and</li> <li>• provide Customers with details to direct them to other channels for assistance.</li> </ul>		
B12.1.2	R1	Mandatory

<p>The Service Provider shall store each item of Customer correspondence (incoming, outgoing, electronic, non-electronic; including failed Discount applications with the reason for rejection as well as date-stamped envelopes, cheques and payment slips) in the electronic Document Management System, for a period as specified in appendix 14: Data Retention, as follows:</p> <ul style="list-style-type: none"> <li>• time and date of each document’s receipt and then scanning shall be recorded by the Service Provider and linked to the correspondence record;</li> <li>• each item shall be linked to the relevant Customer/VRM record(s); and</li> <li>• each item shall be stored in line with the Service Provider’s obligations under the Agreement in relation to Data Protection.</li> </ul>		
B12.1.3	R1	Mandatory
<p>The Service Provider shall ensure that replies to Customer correspondence are sent from the named individual who wrote the letter rather than a single generic name used on all correspondence.</p>		
B12.1.4	R1	Mandatory
MIS		
<p>The Service Provider shall manage Customer queries using a process agreed with TfL whereby a Customer contacts the Business Operations Services Element regarding an issue of a PCN due to a failure within the remit of the Business Operations Service Element.</p>		
B12.1.5	R1	Mandatory

<p>The Service Provider shall ensure that, where the Customer contacts the Business Operations Services Elements regarding an issue of a PCN, it refers the Customer to the Enforcement Operations Service Element.</p>		
B12.1.6	R1	Mandatory
<p>The Service Provider shall, where the Customer expresses a contact channel preference, initially contact the Customer via the preferred contact channel and record all interaction details/notes/correspondence sent or received and attempts.</p>		
B12.1.7	R1	Mandatory
<p>The Service Provider shall make modifications to the contact channels following the approval of each change with TfL.</p>		
B12.1.8	R1	Mandatory
<p>The Service Provider shall have the capacity to process the Transaction Volumes for each channel detailed in appendix 5: Channels Table 3.</p>		
B12.1.9	R1	Mandatory

<p>The Service Provider shall use the Customer-facing information prescribed by TfL. This shall include but shall not be limited to:</p> <ul style="list-style-type: none"> <li>• call guidelines (including greetings, closings etc);</li> <li>• Discount application forms; and</li> <li>• Receipts.</li> </ul>		
B12.1.10	R1	Mandatory
<p>The Service Provider shall record a request for information if it needs to contact Customers when further information is required and will contact the Customer again if a timely response is not received as specified in schedule 5: Service Level Agreement.</p>		
<p><b>12.2 Email</b></p>		
B12.2.1	R1	Mandatory
<p>The Service Provider shall provide to the Customer an immediate automated receipt email message containing an acknowledgement of the Customer email and also the expected service response time.</p>		
B12.2.2	R1	Mandatory
<p>The Service Provider shall act upon a request received from Customers by email (unstructured or from a web-form) or other channel and record the outcome within a timeframe specified in schedule 5: Service Level Agreement.</p>		
B12.2.3	R1	Mandatory

<p>The Service Provider shall ensure that electronic copies of Customer correspondence are retained and associated to the appropriate file.</p>		
<p><b>12.3 IVR</b></p>		
B12.3.1	R1	Mandatory
<p>The Business Operations Service Element’s IVR system shall allow calls that have been re-routed from the other relevant IVR systems (as TfL may from time to time specify) to be received and processed within the Business Operations IVR system.</p>		
B12.3.2	R1	Mandatory
<p>The Business Operations Service Element’s IVR system shall allow calls to be re-routed to such other relevant IVR systems for processing (as TfL may specify from time to time).</p>		
B12.3.3	R1	Mandatory
<p>The Service Provider shall ensure that the IVR system operates using keypad based responses from the Customer.</p>		
B12.3.4	R1	Mandatory
<p>The Service Provider shall ensure that where a Customer does not have a touch-tone telephone allowing keypad based responses, the Customer’s call is routed directly to a CSR.</p>		
B12.3.5	R1	Mandatory

<p>The Service Provider shall ensure that any changes to automated messages on the Service Provider's telephone system requiring rewording, re-recording or simple changes to IVR scripting can be updated or changed at any time with no extra cost to TfL. The Service Provider shall also ensure that it utilises a consistent recording artist as the voice of IVR should remain the same.</p>		
B12.3.6	R1	Mandatory
<p>The Service Provider shall provide a network call routing service that allocates each Customer to:</p> <ul style="list-style-type: none"> <li>• a CSR with skills appropriate to the Customer need; or</li> <li>• the Enforcement Operations Contact Centre where appropriate; or</li> <li>• an automated telephone payment system; or</li> <li>• a recorded message (outside of Contact Centre working hours or during periods of unavailability).</li> </ul>		
B12.3.7	R1	Mandatory
<p>The Service Provider's automated telephone payment system shall offer the Customer the option (at any point) to:</p> <ul style="list-style-type: none"> <li>• have the ability to repeat the question; and</li> <li>• if Customer does not select an option to proceed, pass the call to a CSR.</li> </ul>		
B12.3.8	R1	Mandatory
<p>The Service Provider shall not make any changes to the structures or related messages after approval by TfL without express prior consent from TfL in writing.</p>		
B12.3.9	R1	Mandatory

<p>The Service Provider shall provide voice recognition functionality to support the IVR system.</p>		
<p><b>12.4 Telephone</b></p>		
B12.4.1	R1	Mandatory
<p>When a Customer is transferred to the telephone channel from another channel, the Service Provider shall pass over existing transactional information, to avoid the Customer needing to repeat information, and shall give precedence over incoming calls.</p>		
B12.4.2	R1	Mandatory
<p>The Service Provider shall ensure that all inbound, outbound and transferred calls are voice recorded, and that each call recording is linked to an Account or VRM (if the Customer is known) to facilitate subsequent retrieval.</p>		
B12.4.3	R1	Mandatory
<p>The Service Provider shall have the facility to direct calls to specially trained Personnel, both via call transfers and by providing dedicated telephone numbers (as specified by TfL).</p>		
B12.4.4	R1	Mandatory
<p>The Service Provider shall operate an outbound call-scripting system.</p>		
B12.4.5	R1	Mandatory

The Service Provider shall provide CTI functionality to support the Contact Centre operations.		
<b>12.5 Post</b>		
B12.5.1	R1	Mandatory
<p>The Service Provider shall provide a secure facility for the receipt and processing of post and fax correspondence from Customers, including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• payments (including cash and cheques);</li> <li>• emails;</li> <li>• Enquiries/Complaints; and</li> <li>• Registration and Discount application forms.</li> </ul>		
B12.5.2	R1	Mandatory
<p>The Service Provider shall have the ability to deal with ad-hoc requirements to print and fulfil all materials requested by TfL to be sent to Customers, either itself or via a Third Party and have the ability to suspend Fulfilment if required.</p>		
B12.5.3	R1	Mandatory
<p>The Service Provider shall direct all Scheme related mail to the specific Post Office boxes provided by TfL.</p>		
B12.5.4	R1	Mandatory



<p>The Service Provider shall design, maintain and provide forms to be approved by TfL ensuring that Customers can perform the following on electronic versions:</p> <ul style="list-style-type: none"> <li>• only edit the appropriate parts of the forms; and</li> <li>• locally print the forms.</li> </ul>		
B12.5.5	R1	Mandatory
<p>The Service Provider shall ensure that document images are archived along with the relevant records to which they relate in accordance with the Data Protection requirements provided for in the Agreement and in accordance with schedule 5: Service Level Agreement.</p>		
B12.5.6	R1	Mandatory
<p>The Service Provider shall record receipt of any correspondence received in respect of the Enforcement Operations Service Element before forwarding it on.</p>		
B12.5.7	R1	Mandatory
<p>The Service Provider shall allow electronic forms to be submitted electronically along with the evidence required to support the application.</p>		
B12.5.8	R1	Mandatory
<p>The Service Provider shall store all Incoming and outgoing correspondence in the format in which it was received.</p>		
B12.5.9	R1	Mandatory

<p>The Service Provider shall log and scan all incoming correspondence received in paper format before storing them. For the avoidance of doubt, this shall include cash, cheques, and payment slips. Cash shall be logged in the post room onto a receipt which shall be scanned (cash is not scanned, it is banked).</p>		
B12.5.10	R1	Mandatory
<p>The Service Provider shall store communications and documents received by or sent to the Service Provider via email or electronic fax electronically in the Document Management System.</p>		
B12.5.11	R1	Mandatory
<p>The Service Provider shall ensure that the time and date on which documents are first received and then scanned are recorded in the Document Management System and associated with each document record.</p>		
B12.5.12	R1	Mandatory
<p>The Service Provider shall ensure that all incoming correspondence stored in the Document Management System is associated with the Workflow queue for processing (with the ability to reallocate if in incorrect queue).</p>		
B12.5.13	R1	Mandatory
<p>The Service Provider shall ensure that all items held in the Document Management System are linked to the related Customer Records and VRM record(s) held on the Business Operations System.</p>		

B12.5.14	R1	Mandatory
<p>The Service Provider shall ensure that the Document Management System can scan, save and retrieve documents such that the associated transactions are processed in accordance with schedule 5: Service Level Agreement.</p>		
<p><b>12.6 SMS</b></p>		
B12.6.1	R1	Mandatory
<p>The Service Provider shall ensure that all registered mobile numbers for SMS payment are:</p> <ul style="list-style-type: none"> <li>• unique to one (1) Account;</li> <li>• validated; and</li> <li>• linked to a primary VRM.</li> </ul>		
B12.6.2	R1	Mandatory
<p>The Service Provider shall ensure that the SMS service has a contingency plan approved by TfL in the event that this channel fails.</p>		
B12.6.3	R1	Mandatory
<p>The Service Provider shall ensure that the SMS service is managed for full functionality at all times.</p>		
B12.6.4	R1	Mandatory

<p>The Service Provider shall maintain a white list of mobile telephone numbers from which it accepts messages.</p>		
<p><b>12.7 Web</b></p>		
B12.7.4	R1	Mandatory
<p>The Service Provider shall process Services Website payment transactions for all Schemes.</p>		
B12.7.5	R1	Mandatory
<p>The Service Provider shall provide all Scheme specific forms and guidelines for download from the Services Websites.</p>		
B12.7.7	R1	Mandatory
<p>The Service Provider shall provide a Scheme specific FAQ database, the content of which shall be approved by TfL for upload to the Scheme specific Service Website as required by TfL within thirty six (36) hours of TfL's approval.</p>		
B12.7.8	R1	Mandatory
<p>The Service Provider shall be responsible for providing the initial content for the Scheme specific FAQ database.</p>		
B12.7.9	R1	Mandatory

<p>The Service Provider shall update or make changes, including any changes that TfL requests, to Scheme specific FAQ database content at no extra cost to TfL.</p>		
B12.7.10	R1	Mandatory
<p>The Service Provider shall own, provide and maintain the transactional Extranet pages that allow Organisations to manage their Accounts.</p>		
B12.7.11	R1	Mandatory
<p>The Service Provider shall communicate to Customers at the point of registration that TfL operate secure validation for online payments and that they will need to register their card with their card issuer in order to make online payments via the Services Websites.</p>		
<p><b>12.8 Accessibility</b></p>		
B12.8.1	R1	Mandatory

<p>The Service Provider shall have the ability at all times and across all communication channels to respond in multiple languages to Customers and to understand Incoming correspondence in multiple languages, including at least the following:</p> <ul style="list-style-type: none"> <li>• English;</li> <li>• those specified in Greater London Authority regulations; and</li> <li>• common visitor languages (e.g. main EU languages).</li> </ul> <p>The GLA languages are as follows: Arabic, Bengali, Chinese (Cantonese spoken &amp; Mandarin written), Greek (modern), Gujarati, Hindi, Punjabi, Turkish, Urdu and Vietnamese.</p>		
B12.8.2	R1	Mandatory
<p>The Service Provider shall ensure the Services Website has the functionality to accept non-standard character types including but not limited to:</p> <ul style="list-style-type: none"> <li>• Arabic;</li> <li>• Chinese;</li> <li>• Hebrew; and</li> <li>• Cyrillic alphabets.</li> </ul>		
B12.8.3	R1	Mandatory
<p>The Service Provider shall provide access to the Contact Centre for hearing-impaired Customers.</p>		
B12.8.4	R1	Mandatory

All Service Provider Personnel directly communicating with Customers, either by spoken or written communication, shall have a standard of English equivalent to at least GCSE grade C.		
B12.8.5	R1	Mandatory
The Service Provider shall ensure that that the following outward Customer Communications are provided upon request at no charge in: <ul style="list-style-type: none"><li>• large print (as specified by the Royal National Institute for the Blind);</li><li>• plain English;</li><li>• braille; and</li><li>• audio format.</li></ul>		

<b>13 TECHNICAL</b>		
<b>Introduction</b>		
<p>This section covers generic technical requirements for Business Operations, including Testing, Workflow, Service Levels, Security, and Data Integrity, System maintenance, support services and LEZ business rules.</p> <p>The Core IT Services Statement of Requirements covers the high-level technical requirements.</p>		
<b>13.1 Testing</b>		
B13.1.1	R1	Mandatory
<p>The Service Provider shall ensure that Testing and Proving of the Business Operations System is carried out in accordance with schedule 4: Testing Regime.</p>		
B13.1.2	R1	Mandatory
<p>The Service Provider shall provide Test Specifications and Documentation for the Approval of TfL in accordance with schedule 3: Milestones and Deliverables and schedule 4: Testing Regime.</p>		
<b>13.2 Workflow</b>		
B13.2.1	R1	Mandatory
MIS		



<p>The Service Provider shall use a Workflow system (integrated with the Business Operations System). This System shall allow but not be limited to:</p> <ul style="list-style-type: none"> <li>• tasks to be assigned to specific Users or to groups of Users;</li> <li>• management of Workflow queues and User access to the queues;</li> <li>• additional queues to be provided at no extra cost with unlimited note space and spell checking;</li> <li>• those with the authority to view and action tasks in any Workflow queue, and to re-allocate tasks from one member of Personnel to another; and</li> <li>• monitoring and reporting on the progress of Workflow tasks and queues.</li> </ul>		
B13.2.2	R1	Mandatory
<p>The Service Provider’s Workflow system shall be integrated with the Document Management System in order to facilitate the processing of stored documents.</p>		
B13.2.3	R1	Mandatory
<p>The Service Provider’s MIS shall allow the reports defined in the Common Statement of Requirements, section 17: Reporting, Performance Management and Audit to be automatically generated from the MIS repository.</p>		
B13.2.4	R1	Mandatory

<p>The Service Provider shall ensure that the Contact Centre provides sufficient Capacity to support the numbers of CSRs and transactions required to meet the Service Levels specified in schedule 5: Service Level Agreement.</p>		
B13.2.5	R1	Mandatory
MIS		
<p>The Service Provider shall operate a Workflow system for escalating relevant cases to TfL for consideration.</p>		
B13.2.6	R1	Mandatory
MIS		
<p>The Service Provider shall ensure that its Workflow system allows full visibility of the advice given and reporting tools to allow for monitoring of all escalation.</p>		
B13.2.7	R1	Mandatory
MIS		
<p>The Service Provider shall ensure that all escalations are sent through the Business Operations System directly to TfL and items are assigned to a named TfL Workflow group.</p>		
B13.2.8	R1	Mandatory
MIS		

The Service Provider shall allow TfL to return the required advice/evidence to the Service Provider via the Workflow system, which will include:

- name of TfL staff member providing the guidance;
- date and time stamp of return;
- category of response (list to be determined by TfL); and
- full details of response in an unlimited text field that can be checked for spelling and grammar, formatted to include bold text, bullet points and other standard word processing functions.

All of the above fields shall be Parameterised Data fields. The Service Provider shall ensure that these fields can be amended and changed within twenty four (24) hours' notice following written authorisation from TfL without recourse to schedule 9: Change Control Request Procedure, and at no additional cost to TfL. For the avoidance of doubt, the Service Provider is not authorised to make any changes to the Data fields without formal approval from TfL.

B13.2.9	R1	Mandatory
MIS		
The Service Provider shall allow TfL to attach any documents and additional notes TfL creates to a Customer's Account.		
B13.2.10	R1	Mandatory
MIS		
The Service Provider shall ensure that the Business Operations System has the ability to insert and upload documents to the response including but not limited to PDF files, photographs, schematics, process maps, Visio diagrams etc.		

B13.2.11	R1	Mandatory
MIS		
<p>The Service Provider shall store each escalation event and details against the relevant Payment or Customer Record on the Business Operations System and the Service Provider shall ensure that the Business Operations System allows the ability to view the Payments, the response from TfL and any other associated documents.</p>		
B13.2.12	R1	Mandatory
MIS		
<p>The Service Provider shall ensure that all Payment Data are capable of being stored and reported on to enable trend analysis and Personnel (both TfL and Service Provider's) management reporting and monitoring.</p>		
<p><b>13.3 Service Levels</b></p>		
B13.3.1	R1	Mandatory
<p>The Service Provider shall ensure that it uses tools to monitor and manage the Business Operations System performance, including, but not limited to, system availability, Interface performance, server load and network load.</p>		
B13.3.2	R1	Mandatory
<p>The Service Provider shall ensure that the distribution of screen response times is measured for each screen function over each Working Day, and these are reported retrospectively.</p>		
B13.3.3	R1	Mandatory

The Service Provider shall comply with Service Levels for the Interfaces between any Third Parties interfacing with the Core IT System and/or Business Operations System. as specified in schedule 5: Service Level Agreement.		
B13.3.4	R1	Mandatory
The Service Provider shall ensure that the credit and debit card authorisation process does not adversely affect overall transaction performance.		
<b>13.4 Security and System Access</b>		
B13.4.1	R1	Mandatory
The Service Provider shall provide full, unlimited and unrestricted access to all Documentation, Data and Systems pertaining to the Service System to TfL Personnel.		
B13.4.2	R1	Mandatory
The Service Provider shall provide and maintain at the Service Provider's cost a read-only interface for up to twenty (20) (Parameterised) TfL Personnel at TfL's Premises to access all Data held on the Business Operations System.		
B13.4.3	R1	Mandatory
The Service Provider shall provide an Interface that provides TfL with online access into Workflow including, but not limited to, full case histories and all associated Incoming and outgoing correspondence.		
B13.4.4	R1	Mandatory
The Service Provider shall provide permanent access to twenty five (25) dedicated MS Office workstations at the Service Provider's Premises for TfL's Business Operations staff.		

B13.4.5	R1	Mandatory
<p>The Service Provider shall provide all Hardware and Software required to support the Policy and Monitoring Advisors' responsibilities, including but not limited to high quality printers, telephones with the ability to make external calls and scanning facilities.</p>		
<p><b>13.5 Data Integrity</b></p>		
B13.5.1	R1	Mandatory
<p>The Service Provider shall ensure that whenever an address is manually entered onto the Business Operations System, it is validated against a current PAF on entry of the Data and the validation itself can be overwritten.</p>		
B13.5.2	R1	Mandatory
<p>The Service Provider shall ensure that the Business Operations System provides the facility to carry out searches on Customer, Charge Payment and VRM records to enable CSRs to match incoming Data with Data pre-existing on the Business Operations System where there are mismatches between the Data due to Data entry errors. The scope of the 'fuzzy search' facility shall be agreed with TfL.</p>		
<p><b>13.6 System Support &amp; Maintenance</b></p>		
B13.6.1	R1	Mandatory
<p>The Service Provider shall document and operate processes for configuration management, asset management, Incident and Problem management, release management and Change Management during the Term and in accordance with schedule 5: Service Level Agreement.</p>		
<p><b>13.7 Support Services</b></p>		
B13.7.1	R1	Mandatory

MIS		
The Service Provider shall define and implement escalation procedures for Incidents where these are, or are suspected to be, related to the Core IT System or to Third Parties' systems or the Interfaces to them.		
B13.7.2	R1	Mandatory
MIS		
The Service Provider shall maintain an Incident Log in respect of all Incidents raised against the Business Operations System or Services.		
B13.7.3	R1	Mandatory
MIS		
The Service Provider shall maintain Incident Logs to facilitate visibility and management of the Incidents.		
B13.7.4	R1	Mandatory
The Service Provider shall provide TfL access to Incident Logs.		
B13.7.5	R1	Mandatory
The Service Provider shall provide and document the processes, mechanisms and tools to be used to manage all Incidents, including the role of TfL in Incident resolution as set out in schedule 10: Contract Management and Reporting.		
B13.7.6	R1	Mandatory
MIS		
The Service Provider shall resolve Incidents within the time period specified against each Severity Level unless otherwise agreed with TfL.		
B13.7.7	R1	Mandatory
MIS		

The Service Provider shall provide Incident status reports to TfL on a weekly basis.