SCHEDULE 2.1

STATEMENT OF REQUIREMENTS

LOT 2

VERSION CONTROL

VERSION NUMBER	DATE	COMMENT
1.0	July 2021	Execution Version

CONTENTS

1	PURPOSE	1
APPENDIX 1	LOT 2 STATEMENT OF REQUIREMENTS	2

SCHEDULE 2.1 – LOT 2 STATEMENT OF REQUIREMENTS

1. PURPOSE

1.1 This Schedule contains the Statement of Requirements and comprises the main Statement of Requirements document and the following documents:

1.1.1 TPH-Appendix 07- Policy-Vehicle Inspection Process

1.1.2 TPH-Appendix 12-Policy-Returns Refunds policy

1.1.3 TPH-Appendix 13-Policy-Vehicle Licensing Business Rules

APPENDIX 1– LOT 2 STATEMENT OF REQUIREMENTS

SCHEDULE 2.1 – STATEMENT OF REQUIREMENTS

LOT 2 SUPPLIER

Copyright © 2021 Transport for London. All rights reserved. This information is confidential. You may not reproduce, adapt or disclose this information, or any part of this information, for any purpose without TfL's written permission. TfL makes no warranties or representations, and expressly disclaims all liability, concerning this information.

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Contents

Contents 4

Introduction 5

1 Appendix 1 - System Requirements 5

1.1 IVR System 5

2 Appendix 2 - Operational Requirements 10

2.1 General 10

2.2 Contact Centre 13

2.3 Vehicle Inspections 18

2.3.1 Mobile Vehicle Inspections 26

2.4 Payments 27

2.4.1 Payment Processing - Illustrative Process and Infrastructure 30

2.5 Printing 34

2.6 Audit 34

2.7 Continuous Improvement 37

2.8 Documentation 37

2.9 Organisation and Personnel 38

2.10 Training 40

2.11 Incident Management 41

2.12 Data Security 42

2.13 Reporting 42

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Introduction

PURPOSE

This Schedule contains the TPH Requirements for the purpose of this Agreement as follows:

- the functional and non-functional Requirements are set out in Part 1 - System Requirements; and
- the operational Requirements are set out in Part 2 - Operational Requirements.

Capitalised terms used in this Schedule shall have the meaning set out in Schedule 1 (Definitions).

All Requirements set out in this schedule are "Must Have" and the Supplier shall therefore deliver each and every Requirement during the Transition Period and throughout the Term under and in accordance with the Agreement.

REQUIREMENTS STRUCTURE

The requirements have been structured logically to aid navigation, and the Supplier should consider the following when reviewing them:

- Certain requirements include a section of text, which provides some background about that portion of functionality or business area – where this is the case, this should be treated as text for information only.
- Each requirement has a rationale section within it – in a similar nature to the background text described above, this is to provide some additional context and is for information only.

1 Part 1 - System Requirements

1.1 IVR System

This section of requirements describes the functionality expected of the Lot 2 Supplier IVR System.

The Lot 2 Supplier IVR System is expected to be interoperable with the TfL IVR System, Service System, and Payment Gateway.

There are a number of key functionalities that are required of the Contact Centres, they include but are not limited to:

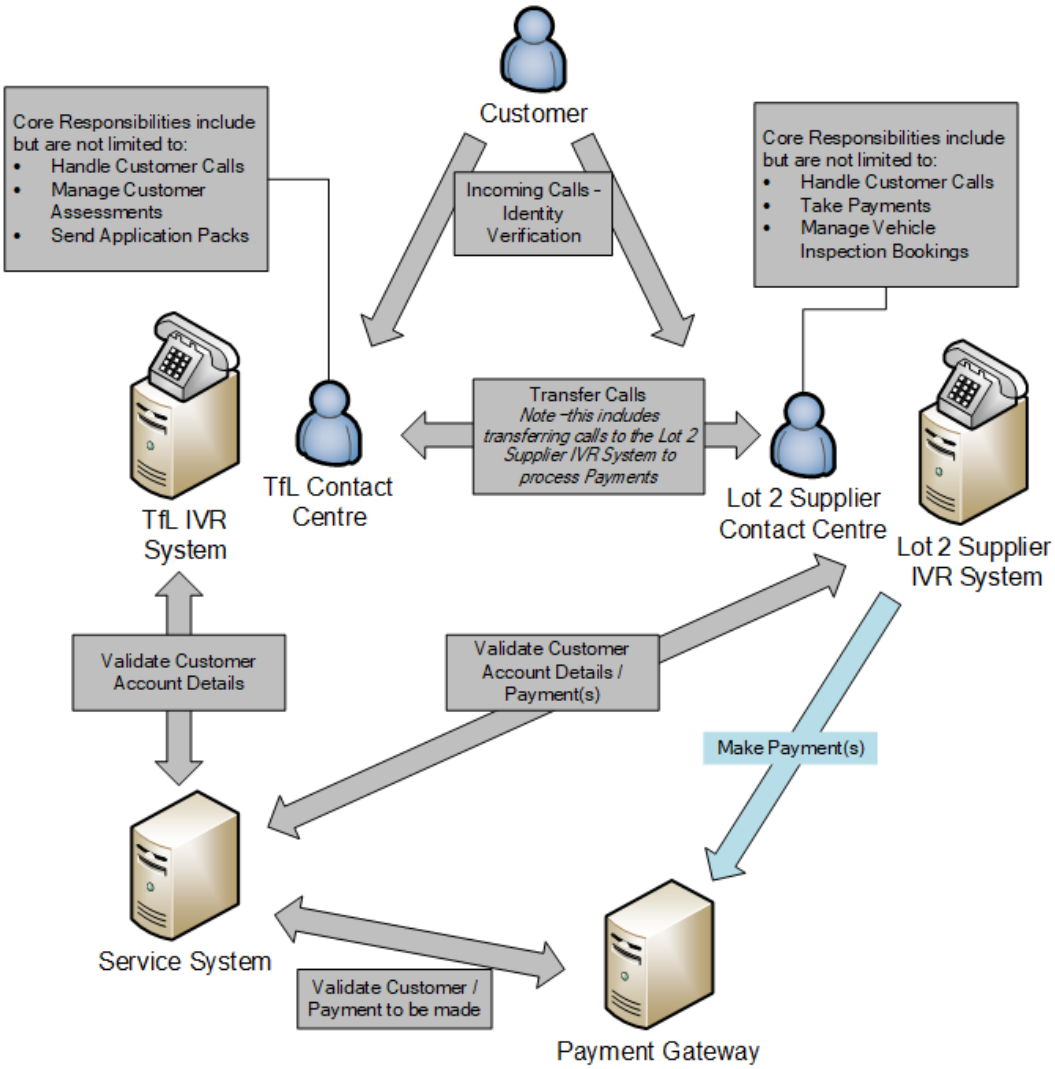
- Provide configurable interactive voice messages to inbound Customer calls
- Validate Customer identity against Customer Account / Licence Record details held in the Service System
- Record calls
- Convert calls to text
- Make Payment via the Payment Gateway, against a valid Licence Fee
- Transfer Calls between Contact Centres

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

The Lot 2 Supplier IVR System shall include an interface with the Service System and Payment Gateway in order to process Payments. Calls shall be transferable between the TfL IVR System and Lot 2 IVR System in order for Payments to be processed.

Note: The TfL Contact Centre shall continue to utilise its existing IVR System and equipment, the Lot 1 Supplier and Supplier shall be expected to integrate with this existing infrastructure.

A diagram of the interoperability between the Service System and the Lot 2 Supplier IVR System is below:



Operate IVR System	
Requirement ID: TPHRL-REQ-4259	**Priority**: Must have
Description:	The Supplier shall provide and operate an Interactive Voice Response (IVR) System, henceforth referred to as the Lot 2 Supplier IVR System, for incoming calls in such a way as to minimise Customer wait times, provide the best customer experience and maximise self-service. The Lot 2 Supplier IVR System needs to be Configurable to enable new messages to be recorded and made available within timescales as agreed with TfL, in accordance with TPH - Schedule 2.2A Performance Levels.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

IVR System Interface	
Requirement ID: TPHRL-REQ_CCR-45	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to send and receive Data with the Service System to manage and store Customer calls. Key functionality shall include but not be limited to: • Validate Customer identities against Customer Accounts / Licence Records details held in the Service System • Validate Payments made via the Payment Gateway against Customer Accounts / Licence Records • Upload call details into the Service System Refer to TPH - Schedule 6.5 - Systems Integration for more information.
Rationale:	N/A

Configure IVR Messages	
Requirement ID: TPHRL-REQ_CCA-23	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to Configure IVR messages to enhance inbound call experience, including but not limited to: • Queue messaging (as part of automatic queue distribution), • Call waiting times per Customer • Queue position • Emergency messages in case of evacuation • Recording ad-hoc messages in house at short notice IVR message Configuration shall be able to be performed on a continual basis to enable the Supplier to meet the Service Level Targets in accordance with Appendix 1, Schedule 2.2A - Performance Levels.
Rationale:	The purpose of the IVR is to provide clear guidance and information to the Customer so that they get routed to the relevant area regarding their query, or to receive information to be able to terminate their call.

Automatically Recognise Caller	
Requirement ID: TPHRL-REQ_CCR-44	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to automatically recognise a caller and present the linked Customer Account details to a Lot 2 Supplier Contact Centre agent.
Rationale:	This will help increase efficiency when the agent carries out the Customer verification process.

Validate Caller Identity (Automated)	
Requirement ID: TPHRL-REQ_CCR-46	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to validate caller Customer Account and/or Licence Record details via a fully automated telephone interface (e.g a Dual Tone Multi Frequency (DTMF) Telephone interface via Interactive Voice Response). The Lot 2 Supplier IVR System shall require an Interface to the Service System to enable this functionality, refer to TPH - Schedule 6.5 - Systems Integration for more information.

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Rationale:	N/A

Receive Inbound Calls	
Requirement ID: TPHRL-REQ_CCA-22	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to receive inbound telephone calls into the Lot 2 Supplier Contact Centre.
Rationale:	N/A

Allocate Inbound Calls	
Requirement ID: TPHRL-REQ_CCR-2	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to automatically allocate inbound calls to available Supplier Personnel engaged in the performance of Services at the Lot 2 Supplier Contact Centre, and/or use call queuing functionality to handle inbound calls.
Rationale:	N/A

Prioritise Calls	
Requirement ID: TPHRL-REQ_CCR-15	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to prioritise calls based on Configurable criteria. (e.g. call backs, transferred calls)
Rationale:	N/A

Configure Criteria	
Requirement ID: TPHRL-REQ_CCR-41	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall enable an Authorised User to Configure criteria for calls. (e.g. call backs, transferred calls)
Rationale:	N/A

Call Routing	
Requirement ID: TPHRL-REQ_CCR-16	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to automatically re-route inbound calls to an alternative number, as specified by TfL, in the event of a failure of the Lot 2 Supplier IVR System.
Rationale:	N/A

Record Calls	
Requirement ID: TPHRL-REQ_CCA-24	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to capture audio recordings (a certain percentage) of inbound and outbound calls involving the Lot 2 Supplier Contact Centre. Any financial or Payment Details shall not be recorded. Percentage of calls to be recorded to be agreed during the Design and Development Phase.
Rationale:	N/A

Request Call Back (Telephone)	
Requirement ID: TPHRL-REQ_CCR-19	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Lot 2 Supplier IVR System shall enable a Customer to request a call back from TfL, subject to Business Rules. A Customer shall be able to request a call back while in a call queue. The Customer shall be able to opt out of waiting in a queue while retaining their position/priority in the queue. Examples of applicable Business Rules include Customer has to have a Customer Account registered with TfL, or the Customer has provided call back details to TfL. Refer to TPH - Business Rules 01 - Supplier Contact Centre Refer to TPH - Business Rules 02 - TfL Contact Centre
Rationale:	N/A

Transfer Calls	
Requirement ID: TPHRL-REQ_CCR-3	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall enable an Authorised User to transfer any call to another Authorised User, via a Warm Transfer. The Lot 2 Supplier IVR System shall ensure that all existing correspondence and interaction information is passed over to the new recipient so that the Customer does not have to provide the same information again.
Rationale:	N/A

Make Telephone Payment (Automated)	
Requirement ID: TPHRL-REQ_CCR-34	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall enable a Customer to make a secure (in accordance with PCI DSS) Payment via a fully automated telephone interface (e.g a Dual Tone Multi Frequency (DTMF) telephone interface via Interactive Voice Response).
Rationale:	Customers should be directed by default to an automated Payment interface in order to reduce the amount of personal interaction required from Supplier Personnel engaged in the performance of Services at the Lot 2 Supplier Contact Centre.

Take Telephone Payment (Transferred)	
Requirement ID: TPHRL-REQ_CCR-40	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall enable an Authorised User to transfer a Customer call to make a secure (in accordance with PCI DSS) Payment via an automated telephone interface (e.g a Dual Tone Multi Frequency (DTMF) Telephone interface via Interactive Voice Response).
Rationale:	N/A

Recording Financial Transactions	
Requirement ID: TPHRL-REQ_CCR-42	**Priority**: Must have
Description:	The Lot 2 Supplier IVR System shall provide the capability to not record any Financial Transactions from a Customer over the telephone.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

2 Part 2 - Operational Requirements

2.1 General

Perform Activity in the Service System	
Requirement ID: TPHRL-REQ-4598	**Priority**: Must have
Description:	The Supplier shall ensure that all Licensing activity performed in relation to the Services is recorded in the Service System.
Rationale:	N/A

Participate in Service System Design	
Requirement ID: TPHRL-REQ-4597	**Priority**: Must have
Description:	The Supplier shall participate with the Lot 1 Supplier in all phases of Service System design, build, test and deployment, in accordance with TPH - Schedule 6.1 - Transition.
Rationale:	N/A

Maintain Data Integrity	
Requirement ID: TPHRL-REQ-4305	**Priority**: Must have
Description:	The Supplier shall proactively ensure that Customer Details and related fields are complete, accurate and up to date; and ensure that all Data is captured in the Service System efficiently and accurately. This shall be done to minimise delays caused by errors, and ensure the ability to report on all Data and carry out analysis. All free text input should be kept to a minimum.
Rationale:	N/A

Perform Data Cleansing	
Requirement ID: TPHRL-REQ-4497	**Priority**: Must have
Description:	The Supplier shall ensure that all Data captured within the Service System is proactively cleansed so that all Data can be used for accurate and complete reporting and analysis.
Rationale:	N/A

Report Errors	
Requirement ID: TPHRL-REQ-4306	**Priority**: Must have
Description:	The Supplier shall report errors and problems in the Service System to the Lot 1 Supplier and TfL.
Rationale:	N/A

Monitor Supplier Personnel Activity	
Requirement ID: TPHRL-REQ-4307	**Priority**: Must have
Description:	The Supplier shall monitor the activity of Supplier Personnel to ensure that the Customer receives a quality experience, maximise productivity, and ensure that all decisions made by Supplier Personnel are made in accordance with Business Rules. Refer to TPH - Schedule 2.2A - Performance Levels
Rationale:	N/A

Maintain Capacity Plan	
Requirement ID: TPHRL-REQ-4308	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall provide and maintain capacity plans at intervals of 3 months, or at the request of TfL to reflect current and forecast volumes, technical or operational changes in accordance with the Service Levels specified in TPH - Schedule 2.2A - Performance Levels. It is expected that there will be no degradation in Service.
Rationale:	N/A

Support Investigations and Appeals

Requirement ID: TPHRL-REQ-4541	**Priority**: Must have
Description:	The Supplier shall provide support for investigations and Appeals, at no additional cost to TfL, including but not limited to: • Provision of witness statement • Personnel to appear as witnesses for Appeal hearings
Rationale:	N/A

Accessible Service

Requirement ID: TPHRL-REQ-4601	**Priority**: Must have
Description:	The Supplier shall ensure that people with disabilities and accessibility requirements can access the Service, in line with the Equalities Act 2010 and TPH - Schedule 2.3 - Standards.
Rationale:	N/A

Escalation Process

Requirement ID: TPHRL-REQ-4602	**Priority**: Must have
Description:	The Supplier shall ensure that they have an escalation process in place for reporting any Intelligence regarding suspicious behaviour or activity, or information of a sensitive nature to TfL.
Rationale:	N/A

Report Criminal Activity

Requirement ID: TPHRL-REQ-4603	**Priority**: Must have
Description:	The Supplier shall report any criminal activity affecting the Service, TfL or the Customers to TfL. The Supplier shall include any images relevant to the report being made, as well as relevant notes, damage reports and approximate costs of reparations, including labour.
Rationale:	N/A

Prevent Fraudulent Activity

Requirement ID: TPHRL-REQ-4604	**Priority**: Must have
Description:	The Supplier shall proactively identify and prevent fraudulent activity.
Rationale:	N/A

Review Fraudulent Activities

Requirement ID: TPHRL-REQ-4605	**Priority**: Must have
Description:	The Supplier shall review all fraudulent activities identified by the Service System, and, together with TfL, put in place mitigating actions and controls. The Supplier shall maintain a fraudulent activities log ensuring that all fraudulent activities are recorded as soon as the fraudulent activity is detected. This log will be shared with TfL on a periodic basis.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Hardware and Software Compatibility

Requirement ID: TPHRL-REQ-4606	**Priority**: Must have
Description:	The Supplier shall ensure that all IT hardware and software provided by the Supplier is compatible and able to operate with the Service System where necessary to meet the requirements of the Services.
Rationale:	N/A

Integrate Printing Hardware

Requirement ID: TPHRL-REQ-4607	**Priority**: Must have
Description:	The Supplier shall ensure the their printing hardware is compatible to integrate with the Service System.
Rationale:	N/A

Confidential Reporting Process

Requirement ID: TPHRL-REQ-4608	**Priority**: Must have
Description:	The Supplier shall ensure there is a process in place for anonymous and confidential reporting of suspected fraudulent or unsafe behaviour to TfL.
Rationale:	N/A

Supply Data to Relevant Authorities

Requirement ID: TPHRL-REQ-4609	**Priority**: Must have
Description:	The Supplier shall supply all Data to the Metropolitan police and/or courts where specifically required to do so by Law. Where any such request is made direct to the Supplier this shall be immediately notified to TfL.
Rationale:	N/A

Complete Testing Activities

Requirement ID: TPHRL-REQ-4610	**Priority**: Must have
Description:	The Supplier shall make Supplier Personnel available to complete all Testing activities involved in releasing new versions of the Service System, for both go-live and periodic releases, at no cost to TfL. This shall be in accordance with TPH - Schedule 6.2 - Testing.
Rationale:	N/A

Schedules and Appendices

Requirement ID: TPHRL-REQ-4611	**Priority**: Must have
Description:	The Supplier shall deliver the Service in line with all Schedules contained within this Agreement, and according to the Business Rules and guidance set out in the Appendices, and any other relevant documents.
Rationale:	N/A

Standards

Requirement ID: TPHRL-REQ-4612	**Priority**: Must have
Description:	The Supplier shall adhere to the standards and working practices of internationally recognised organisations as referenced in this Agreement (specifically in accordance with TPH - Schedule 2.3 - Standards) or, where such standards and working practices have been amended and/or superseded, by the latest revisions or superseding standards and working practices, or any standard which is generally recognised as being equivalent to it.
Rationale:	N/A

Health and Safety

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Requirement ID: TPHRL-REQ-4613	**Priority**: Must have
Description:	The Supplier shall adhere to Health and Safety Legislation of all aspects of the operations and delivery of contractual obligations, and in accordance with TPH - Schedule 2.3 - Standards, and TPH - Schedule 12 - Contract Quality, Environmental and Safety Considerations. The Supplier shall allow TfL or a representative to access any premises used by the Supplier to perform the Services in order to conduct health & safety monitoring.
Rationale:	N/A

Ad-Hoc Working at Supplier Premises	
Requirement ID: TPHRL-REQ-4614	**Priority**: Must have
Description:	The Supplier shall provide access for TfL Personnel on an ad-hoc basis to the Lot 2 Supplier Contact Centre and/or Vehicle Inspection Sites. The Supplier shall ensure that TfL Personnel have access to desks, wifi, general facilities e.g. kitchen, toilets.
Rationale:	N/A

Review Preventative Maintenance Plan	
Requirement ID: TPHRL-REQ-4841	**Priority**: Must have
Description:	The Supplier shall review preventative maintenance plans provided by the Lot 1 Supplier, and raise any queries or concerns with the Lot 1 Supplier in the first instance, and escalate to TfL by exception. Plans shall be provided by the Lot 1 Supplier every six (6) months.
Rationale:	

Extraordinary Maintenance Activities	
Requirement ID: TPHRL-REQ-4842	**Priority**: Must have
Description:	The Supplier shall participate in any discussions with TfL and the Lot 1 Supplier concerning any extraordinary maintenance activities to the Service System that are additional to the assured plan of regular preventative maintenance. Note: these discussions shall occur at least two (2) days prior to carrying out the maintenance activities, subject to the impact of the activity and agreement between the Supplier, the Lot 1 Supplier, and TfL.
Rationale:	

2.2 Contact Centre

Contact Centre Operations	
Requirement ID: TPHRL-REQ-4248	**Priority**: Must have
Description:	The main function of the Lot 2 Supplier Contact Centre is to facilitate the Vehicle Licensing and Inspection operations, including but not limited to managing Inspection Bookings, taking Payments, processing Refunds, and performing administrative activities. They will also need to answer queries regarding Customer's Online Portals. Administrative activities may include but are not limited to changes to: Licence name, Licence address, name and/or address, ownership, VRM, processing Exemption requests (e.g. from carrying guide/assistance dogs, carrying wheelchair users) etc. The Lot 2 Supplier Contact Centre shall be expected to handle, as a minimum, the Customer volumes in line with TPH - Appendix 08 - Information - Volumes 2016 - 2017 to 2018 - 2019.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Contact Centre Functionality	
Requirement ID: TPHRL-REQ-4475	**Priority**: Must have
Description:	The Supplier shall ensure that the Lot 2 Supplier IVR System enables the Supplier and TfL to fulfil their operational obligations, including but not limited to: • Aiding Customer self-service • Enhancing and maximising Customer experience • Adaptable/Configurable by Authorised Users • Easily integrates with defined Workflow • Compatible with all hardware
Rationale:	N/A

Opening Hours for Contact Centre	
Requirement ID: TPHRL-REQ-4249	**Priority**: Must have
Description:	The Supplier shall ensure that the Lot 2 Supplier Contact Centre is open and ready for service, as a minimum during Contact Centre Operational Hours, and all Vehicle Inspection Operational Hours.
Rationale:	N/A

Contact Centre Demand	
Requirement ID: TPHRL-REQ-4250	**Priority**: Must have
Description:	The Supplier shall ensure that they have appropriate Lot 2 Supplier Contact Centre resource levels available to cope with Customer demand including in accordance with TPH - Schedule 2.2 - Performance Levels. This may include but not be limited to extending opening hours to meet capacity for peak periods (i.e. earlier, later, weekends, overnight etc.), as agreed with TfL.
Rationale:	N/A

Receive Calls for Vehicle Inspections	
Requirement ID: TPHRL-REQ-4251	**Priority**: Must have
Description:	The Supplier shall receive and process (using the Service System) all calls related to Vehicle Inspections, including but not limited to Booking, rescheduling and cancelling individual and/or Block Bookings, according to Business Rules. Refer to TPH - Business Rules 01 - Supplier Contact Centre
Rationale:	N/A

Handle Customer Calls	
Requirement ID: TPHRL-REQ-4555	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall handle all Customer calls relating to Vehicle Licence management. All Customer queries relating to Drivers and Operators shall be transferred to the TfL Contact Centre. Calls may be escalated to TfL by the Supplier upon exception only, specific circumstances to be agreed with TfL. The Supplier shall handle calls relating to the following, which shall include but not be limited to: • Making Vehicle Inspection Bookings or cancellations • Payments and financial queries • Refunds, with a reason code • Chargebacks • Online Portal queries • Vehicle details and administration • Exemptions • Enquiries and/or Complaints, with reason codes and free text to capture the detail • Processing of Payments on behalf of TfL when the ability to make automated Payments via the Lot 2 Supplier IVR System is unavailable
Rationale:	N/A

Create Customer Call Scripts	
Requirement ID: TPHRL-REQ-4252	**Priority**: Must have
Description:	The Supplier shall create and update call scripts to deal with Customer calls, to be agreed by TfL.
Rationale:	N/A

Capture Call Details	
Requirement ID: TPHRL-REQ-4253	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall ensure that all Lot 2 Supplier Contact Centre activity is captured in the Service System according to Business Rules, including but not limited to: • Customer contact details • Categorisation from a pre-defined list (i.e. reason for call) • Free text comments • Associated Customer Account(s) and/or Licence Record(s) Note: Details should be captured in a reportable format to ensure trends can be monitored and analysed Call categories may include the following: • Bookings or cancellations of Vehicle Inspections, including the reason • Payments and financial queries • Refunds, with a reason code • Chargebacks • Online account queries • Vehicle details and administration • Changes to Records • Exemptions • Enquiries and/or Complaints, with reason codes and free text to capture the detail Refer to TPH - Business Rules 01 - Supplier Contact Centre
Rationale:	N/A

Capture Email Address and Marketing Preferences	
Requirement ID: TPHRL-REQ-4501	**Priority**: Must have
Description:	The Supplier shall ensure that Customer email addresses are captured in the Service System. This shall allow bulk communications to be sent, as well as to issue receipts and Vehicle Inspection Booking confirmations. The Supplier should also capture marketing preferences that can be used to filter out certain bulk emails.
Rationale:	N/A

Make Administrative Changes	
Requirement ID: TPHRL-REQ-4254	**Priority**: Must have
Description:	The Supplier shall make administrative changes to Records on the Service System as appropriate, including but not limited to: change of Vehicle registration details, updating Customer Preferred Method of Communications, recording Surrender of Licence, processing Exemptions and Applications in accordance with appropriate Business Rules.
Rationale:	N/A

Log Customer Complaint	
Requirement ID: TPHRL-REQ-4255	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall log a Customer Complaint in the Service System, along with all supporting Documentation, and investigate. In certain circumstances, Complaints will be passed on to TfL to investigate, where applicable and according to Business Rules. TPH - Business Rules 01 - Supplier Contact Centre
Rationale:	N/A

Escalate Customer Complaint

Requirement ID: TPHRL-REQ-4256	**Priority**: Must have
Description:	The Supplier shall escalate a Customer Complaint where necessary to the appropriate TfL team, according to Business Rules. TPH - Business Rules 01 - Supplier Contact Centre.
Rationale:	N/A

Investigate Complaints

Requirement ID: TPHRL-REQ-4257	**Priority**: Must have
Description:	The Supplier shall investigate all Complaints (from Licensees, the general public, or TfL). The Supplier shall ensure that these are logged and reportable, as well as ensuring this is incorporated into any Quality Assurance process.
Rationale:	N/A

Resolve Complaints

Requirement ID: TPHRL-REQ-4258	**Priority**: Must have
Description:	The Supplier shall ensure that upon receiving a Complaint, a review is initiated and actions are taken to resolve them, this may include but not be limited to passing the complaint onto the relevant TfL team to resolve. All activity undertaken by the Supplier shall be recorded within the Service System.
Rationale:	N/A

Quality Monitoring Exercises

Requirement ID: TPHRL-REQ-4260	**Priority**: Must have
Description:	The Supplier shall carry out quality monitoring exercises which should be recorded in the Service System.
Rationale:	N/A

Monitor Contact Centre

Requirement ID: TPHRL-REQ-4499	**Priority**: Must have
Description:	The Supplier shall ensure that the Lot 2 Supplier Contact Centre is measured and monitored during all Operational Hours, for the following characteristics: - Availability - Performance - Security The Supplier shall aim to deliver optimum service levels. The Supplier shall report to TfL on adherence against Service Levels on a frequency to be agreed with TfL. Refer to Schedule TPH - Schedule 2.2A - Performance Levels.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Provide Call Monitoring Access	
Requirement ID: TPHRL-REQ-4554	**Priority**: Must have
Description:	The Supplier shall provide TfL with access to monitor calls in real time, upon request from TfL. This may include listening to live calls remotely.
Rationale:	N/A

Provide Hearing Loop	
Requirement ID: TPHRL-REQ-4553	**Priority**: Must have
Description:	The Supplier shall provide features to ensure that the Lot 2 Supplier Contact Centre is accessible to Customers with hearing impairments, this may include the use of a hearing loop.
Rationale:	N/A

Provide Access to Contact Centre Performance Dashboards	
Requirement ID: TPHRL-REQ-4826	**Priority**: Must have
Description:	The Supplier shall provide nominated TfL Personnel with access to their Contact Centre performance dashboards. This shall enable TfL Personnel to see real-time or near-real-time telephony monitoring information concerning the Lot 2 Supplier Contact Centre Operations.
Rationale:	

2.3 Vehicle Inspections

The Supplier shall carry out Vehicle Inspection services at the Vehicle Inspection Sites specified by TfL. The Supplier will decide whether to License a Vehicle based on the outcome of an Inspection in line with legislation and policy provided to them by TfL. All Vehicle Inspections and other relevant activity shall be captured within the Service System and any escalations shall be passed to TfL.

Expected Volumes
a) Standard Licensing Inspection split by Taxi and PHV; b) Vehicle Re-test; c) Vehicle Exemption Check; d) Vehicle Modification Check; and e) Non-Mechanical Inspection; as a minimum it is expected that the Supplier shall be able to accommodate the volumes detailed in TPH - Appendix 08 - Information - Volumes 2016-17 to 2018-19.

The Supplier shall continuously improve operational processes, costs, quality and interfaces between the itself, TfL, Other Suppliers, and any other relevant Third Parties.

Refer to TPH - Appendix 17 - Policy - Vehicle Licensing Inspection Manual

Full details of the Vehicle Inspection types can be found in TPH - Appendix 23 - Vehicle Inspection Types and Definitions.

Perform Vehicle Inspections to TfL Standards	
Requirement ID: TPHRL-REQ-4444	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall carry out Vehicle Inspections and other related activities of Taxis and Private Hire Vehicles in accordance with the standards and codes in TPH - Appendix 17 - Policy - Vehicle Licensing Inspection Manual.
Rationale:	N/A

Perform Vehicle Inspection Types

Requirement ID: TPHRL-REQ-4446	**Priority**: Must have
Description:	The Supplier shall perform the following types of Vehicle Inspections including but not limited to: • Standard Licensing Inspection; • Vehicle Re-test; • Vehicle Exemption Check; • Vehicle Modification Check; • Non-Mechanical Inspection; • Unfits (typically where a TfL On-Street Inspector has identified a Vehicle failure on-street) • Accident Reviews • Lost/replacing Licence discs and plates. Full details of the Vehicle Inspection types can be found in TPH - Appendix 23 - Vehicle Inspection Types and Definitions.
Rationale:	N/A

Perform Vehicle Inspections

Requirement ID: TPHRL-REQ-4592	**Priority**: Must have
Description:	The Supplier shall ensure that all Booked Vehicle Inspections are performed in accordance with the Service Levels detailed in TPH – Schedule 2.2A – Performance Levels.
Rationale:	N/A

Provide Block Vehicle Inspection Booking Service

Requirement ID: TPHRL-REQ-4534	**Priority**: Must have
Description:	The Supplier shall provide a Vehicle Inspection Block Booking service to pre-approved Customers. Customers must be approved by TfL in writing before they can use the Block Booking service.
Rationale:	The provides a service to pre-approved Customers where they have pre-allocated slots each week that they can utilise. The details shall be submitted to the Supplier to prevent the need to book each Vehicle individually. This service shall only be offered to Customers who operate large volumes of Vehicles and therefore require regular inspections e.g. large Operators and fleet owners.

Check Inspection Defects at Re-Test

Requirement ID: TPHRL-REQ-4447	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall, at a Re-Test, only check the failures identified at the first Inspection detailed on the Vehicle Inspection Report, moreover anything new that affects safety of the Vehicle should also be taken into consideration as part of the Re-Test. The Supplier will agree with TfL the number of times a Vehicle Re-Test may be booked following a failed Vehicle Inspection. Note: current TfL policy states that only one Re-Test is permitted and any subsequent Re-Tests will have a cost implication to the Customer.
Rationale:	N/A

Verify Original Documentation	
Requirement ID: TPHRL-REQ-4450	**Priority**: Must have
Description:	The Supplier shall verify all electronically submitted Documentation against original versions prior to an Inspection taking place.
Rationale:	N/A

Scan Original Documentation	
Requirement ID: TPHRL-REQ-4451	**Priority**: Must have
Description:	The Supplier shall scan and upload to the Service System all original Documentation provided at the point of Vehicle Inspection, if not already uploaded, including but not limited to MOT, Vehicle insurance certificate, log book (V5), Modification documents. The Supplier shall link all scanned Documentation to the relevant Customer Account and/or Licence Record, with each document individually stored and categorised.
Rationale:	N/A

Capture Inspection Activity	
Requirement ID: TPHRL-REQ-4452	**Priority**: Must have
Description:	The Supplier shall ensure that all Vehicle Inspection activity is captured in the Service System according to Business Rules, including but not limited to: - Customer arrival confirmation and time - Non-attendance of a Vehicle Inspection - Document validation outcomes, and whether Documentation check was passed or failed, and if failed reason for failure (this will be in a report for TfL and the Customer) - The outcome (pass, fail and advisories) of all Vehicle Inspections and, if failed, reason for failure - Evidence such as videos and photos of failures - The start and end time of the Inspection as defined by TfL - When an Unfit notice has been rescinded - Evidence that the disc/plate is on the Vehicle - Vehicle Modification and Exemption requests, and the outcome of the request - Licence Material replacement requests, and the outcome - Record the Documents provided by the Customer, - Record the Documents NOT provided by the Customer - Record mileage from the MOT and the current mileage as presented - Flag any advisories issued on the documents e.g. MOT - Odometer details of any outstanding DVSA recalls - Licence Materials issued - Vehicle Inspection Report
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Perform Inspection Quality Assurance

Requirement ID: TPHRL-REQ-4558	**Priority**: Must have
Description:	The Supplier shall perform Quality Assurance checks on Vehicle Inspections. This shall include the Re-Test of Vehicles prior to the making a Licence decision. All Re-Tests shall be performed by a senior officer and all details shall be recorded. Sample sizes for Quality Assurance checks shall be agreed with TfL.
Rationale:	N/A

Capture Failure Evidence

Requirement ID: TPHRL-REQ-4503	**Priority**: Must have
Description:	The Supplier shall capture all evidence relating to the failure of a Vehicle Inspection for use as reference in Re-Tests and Customer Complaints. This shall include but not be limited to: description of failures, scanned Documentation, videos, photographs etc.
Rationale:	N/A

Supply Hand Held Devices

Requirement ID: TPHRL-REQ-4453	**Priority**: Must have
Description:	The Supplier shall supply Hand Held Devices (HHDs) that allow access to and are compatible with the Service System for the purposes of recording the results of Vehicle Inspections. As a minimum this should have web browsing functionality and support mobile applications. The Supplier shall work with the Lot 1 Supplier throughout the design, build and test of the Service System to ensure that the HHDs are compatible with the Service System.
Rationale:	The intention is that the HHD should be an enabler to efficient inspections and not in any way impede the day-to-day operations of the Vehicle Inspection centres. Whilst the HHD is intended to be the most efficient method of recording inspection activity, Authorised Users shall also be able to record inspection activity and complete the inspection process using other suitable device in the event that the HHD is unavailable.

Issue Licence Materials

Requirement ID: TPHRL-REQ-4454	**Priority**: Must have
Description:	The Supplier shall print all Licence Materials in accordance with TfL security specifications immediately following a successful Vehicle Inspection, and affix them securely to the Vehicle. A Vehicle Inspection Report shall also be issued by the Supplier to the Applicant after each Vehicle Inspection (this shall include any failure reasons and advisories).
Rationale:	N/A

Issue Replacement Vehicle Licence Materials

Requirement ID: TPHRL-REQ-4455	**Priority**: Must have
Description:	The Supplier shall issue replacement Vehicle Licences and/or plates/discs to Customers in accordance with TPH - Business Rules 10 - Vehicles. This includes the Customer coming to the Vehicle Inspection Site and the replacement Licence Materials being affixed to the Vehicle by the Supplier.
Rationale:	N/A

Inspection Centre Opening Hours

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Requirement ID: TPHRL-REQ-4456	**Priority**: Must have
Description:	The Supplier shall ensure that Vehicle Inspections can be carried out from 7.30am onwards, covering the Vehicle Inspection Operational Hours, Monday to Friday, excluding public holidays in England. Extended hours may be required to deliver capacity (at the discretion of the Supplier to meet the contractual requirements). The Supplier shall ensure that a sufficient number of Vehicle Inspections can be carried out on these days to meet, as a minimum, the expected volume of Vehicle Inspections based on the volumes specified in TPH - Appendix 08 - Information - Volumes 2016-17 to 2018-19 whilst meeting the Performance Indicators specified in TPH - Schedule 2.2A - Performance Levels.
Rationale:	N/A

Extend Opening Hours

Requirement ID: TPHRL-REQ-4457	**Priority**: Must have
Description:	The Supplier shall extend opening hours from the Vehicle Inspection Operational Hours as agreed with TfL in order to meet capacity for Service Levels and peak demand periods (earlier, later, weekends) at no additional cost to TfL, and in accordance with Schedule 2.2 - Performance Levels.
Rationale:	N/A

Provide Inspection Equipment

Requirement ID: TPHRL-REQ-4458	**Priority**: Must have
Description:	The Supplier shall provide and maintain the necessary Vehicle Inspection Equipment (lifts and other Vehicle Inspection Equipment including IT hardware and software outside of the Service System) to be able to carry out Vehicle Inspections.
Rationale:	N/A

Use Specified Inspection Locations

Requirement ID: TPHRL-REQ-4459	**Priority**: Must have
Description:	The Supplier shall use the Vehicle Inspection Sites specified by TfL to perform Vehicle Inspections.
Rationale:	N/A

Prepare Inspection Centres

Requirement ID: TPHRL-REQ-4460	**Priority**: Must have
Description:	The Supplier shall ensure that the Vehicle Inspection Centres are prepared prior to the start of each business day (from 7am) to ensure Vehicle Inspections can be undertaken safely and provide the best level of customer service.
Rationale:	N/A

Maintain Inspection Centres

Requirement ID: TPHRL-REQ-4504	**Priority**: Must have
Description:	The Supplier shall be responsible for the ongoing maintenance of the Vehicle Inspection Centres, including but not limited to: cleaning, replacing broken fixtures and fittings, annual routines, regular maintenance of safety critical equipment such as lifts etc.
Rationale:	N/A

Prepare and Manage Equipment

Requirement ID: TPHRL-REQ-2088	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall ensure that all the necessary Inspection Equipment required to support a Vehicle Inspection is available and operational at the capacity and standard required by TfL. This includes equipment required to support Mobile Inspections. The checks to be performed on the Documents and Vehicles are described in the Vehicle Inspection Manual (which is subject to updates by TfL from time to time). The Supplier shall be responsible for the day to day management of the equipment during the lifetime of the Agreement. Refer to TPH - Appendix 17 - Policy - Vehicle Licensing Inspection Manual.
Rationale:	N/A

Staffed Reception Area

Requirement ID: TPHRL-REQ-4463	**Priority**: Must have
Description:	The Supplier shall ensure that a staffed reception area is available for arriving and waiting Customers and those with queries and promote self-service wherever possible.
Rationale:	N/A

Waiting Room Facilities

Requirement ID: TPHRL-REQ-4464	**Priority**: Must have
Description:	The Supplier shall fit out and provide waiting room facilities for Customers (e.g. chairs, water, magazines) and also work with TfL to generate revenue for additional facilities. When trade magazines are delivered by or on behalf of TfL to Vehicle Inspection Sites on a periodic basis, the Supplier shall ensure that these are made available in the waiting room to Customers.
Rationale:	N/A

Contact Facilities

Requirement ID: TPHRL-REQ-4465	**Priority**: Must have
Description:	The Supplier shall provide facilities for Customers to contact TfL within the reception area, including but not limited to: • telephone facilities capable of calling the Lot 2 Supplier Contact Centre to resolve any Vehicle Inspection Booking queries • computer facilities capable of allowing the Customer to login to their Online Portal and scan documentation
Rationale:	N/A

Self-Check-In

Requirement ID: TPHRL-REQ-4466	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall provide the ability for a Customer to self-check-in on arrival. Check-in facilities provided by the Supplier shall include but not be limited to: • self-service terminal for checking in (e.g. a tablet with access to the Service System) Checking in of Vehicles shall be performed by the Supplier in support of the Service Levels detailed in TPH - Schedule 2.2 - Performance Levels.
Rationale:	N/A

Prioritise Health and Safety

Requirement ID: TPHRL-REQ-4467	**Priority**: Must have
Description:	The Supplier shall ensure that the health and safety of staff and Customers is prioritised at all times in relation to Vehicle Inspections.
Rationale:	N/A

Stock Licence Materials

Requirement ID: TPHRL-REQ-4468	**Priority**: Must have
Description:	The Supplier shall order Licence Materials from the Print Supplier as and when required to maintain minimum Licence Material stock and also maintain an auditable list of all Licence Materials issued and held.
Rationale:	N/A

Storage of Licence Materials

Requirement ID: TPHRL-REQ-4469	**Priority**: Must have
Description:	The Supplier shall securely store and make arrangements for the secure destruction of Licence Materials when returned, retrieved or expired in a manner to be agreed with TfL. Please note that all such activity shall be recorded in the Service System by the Supplier.
Rationale:	N/A

Record MOT Outcome and Recalls

Requirement ID: TPHRL-REQ-4471	**Priority**: Must have
Description:	The Supplier shall ensure that all consideration is given to any MOT advisories and Driver Vehicle Standards Agency recalls that would impact the Licensing of a Taxi or Private Hire Vehicle and record this appropriately against the Vehicle Inspection Record as an Advisory Notice or Failure. The Supplier shall ensure that they are able to access the relevant websites in order to access this information.
Rationale:	N/A

Interruption to Vehicle Inspection or Service

Requirement ID: TPHRL-REQ-4472	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall ensure that, if there is an interruption to an Inspection or any other the contracted Services whereby they are not able to be carried out (for example, due to resource issues) that the Customer(s) is informed as soon as possible and provide alternative arrangements. The Supplier shall have business continuity in place to ensure that minimal disruption is experienced in the event that the Service System is unavailable, including the ability to inspect Vehicles and issue Licences. Relevant details shall be entered into the Service System when it is available. All interruptions shall be managed in accordance with TPH - Schedule 8.8 - Business Continuity and Disaster Recovery.
Rationale:	N/A

Promote Self Service

Requirement ID: TPHRL-REQ-4473	**Priority**: Must have
Description:	The Supplier shall operate in such a way that it maximises the opportunity for the Customers to manage their Licence activity via the Online Portal. e.g. the promotion of self-service via the Online Portal, and capture of Preferred Method of Communication via email.
Rationale:	N/A

Monitor Quality of Inspections

Requirement ID: TPHRL-REQ-4561	**Priority**: Must have
Description:	The Supplier shall ensure that all Vehicle Inspection Sites and Mobile Inspection Units are measured and monitored during all Operational Hours, for the following characteristics: - Availability - Performance - Security The Supplier shall report to TfL on adherence against Service Levels on a frequency to be agreed with TfL. Refer to Schedule TPH - Schedule 2.2A - Performance Levels.
Rationale:	N/A

Quality Monitoring and Quality Benchmarking

Requirement ID: TPHRL-REQ-4584	**Priority**: Must have
Description:	The Supplier shall perform all Quality Monitoring and Quality Benchmarking activity as required by TfL and in accordance with TPH - Schedule 2.2A - Performance Levels. This shall include but not be limited to: checking of Inspections performed, checking of Vehicle Inspection Equipment e.g. rolling roads, emissions detection equipment.
Rationale:	N/A

Log Vehicle Inspection Incidents, Problems and Changes

Requirement ID: TPHRL-REQ-4593	**Priority**: Must have
Description:	The Supplier shall ensure that all Incidents, Problems and Operational Changes logged with or by the Supplier are recorded in the Lot 1 Supplier IT Service Management System and a detailed record of all actions taken in relation to each is captured in the appropriate Ticket.
Rationale:	N/A

Perform Criminal Checks

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Requirement ID: TPHRL-REQ-4819	**Priority**: Must have
Description:	The Supplier shall ensure that all Applicants undertake criminal records checks (DBS checks) as part of the Application process for a Vehicle Licence. The Supplier shall ensure that Vehicle Inspections cannot be performed if Applicants have not passed the criminal checks (either as a new Applicant or upon renewing an existing Licence). This may include escalation to TfL for further consideration and licensing action to be taken.
Rationale:	

2.3.1 Mobile Vehicle Inspections

Provide Mobile Vehicle Inspections	
Requirement ID: TPHRL-REQ-4470	**Priority**: Must have
Description:	The Supplier shall provide Mobile Vehicle Inspections to Customers. Mobile Inspections may only be provided to Customers which have been approved by TfL, this is performed on a case by case basis.
Rationale:	N/A

Mobile Inspection Vehicles	
Requirement ID: TPHRL-REQ-4480	**Priority**: Must have
Description:	The Supplier shall provide Mobile Inspection Vehicle(s) that are capable of performing Vehicle Inspections to the same standards as a Vehicle Inspection Centre. The Mobile Inspection Vehicles shall perform Inspections in accordance with TPH - Appendix 17 - Policy - Vehicle Licensing Inspection Manual. Mobile Inspection Vehicles shall conform to Fleet Operator Recognition Scheme accreditation.
Rationale:	N/A

Vehicle Security	
Requirement ID: TPHRL-REQ-4506	**Priority**: Must have
Description:	The Supplier shall ensure that Vehicles used for Mobile Vehicle Inspections are kept secure at all times, including but not limited to securely storing all Licence Materials.
Rationale:	N/A

Inspection Handheld Devices	
Requirement ID: TPHRL-REQ-4481	**Priority**: Must have
Description:	The Supplier shall provide devices to Supplier Personnel who perform Mobile Vehicle Inspections that are capable of accessing the Service System in order to carry out a Mobile Vehicle Inspection. This shall include but not be limited to: a web enabled laptop/tablet/device capable of accessing the Service System, scanner, printer.
Rationale:	N/A

Mobile Inspection Bookings	
Requirement ID: TPHRL-REQ-4482	**Priority**: Must have
Description:	The Supplier shall make all bookings for Mobile Vehicle Inspections via the Service System. Mobile Vehicle Inspections should only be offered to Licensees that have been approved by TfL and also at locations approved by TfL.
Rationale:	N/A

Mobile Inspection Range	
Requirement ID: TPHRL-REQ-4483	**Priority**: Must have
Description:	The Supplier shall perform Mobile Vehicle Inspections within a geographical area or locations to be agreed with TfL. Any Mobile Vehicle Inspections performed outside of this area shall be done so with the permission of TfL.

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Rationale:	N/A

Health and Safety Assessment	
Requirement ID: TPHRL-REQ-4505	**Priority**: Must have
Description:	The Supplier shall be expected to carry out a Health and Safety and risk assessments of proposed Mobile Inspection Sites and Mobile Inspection Vehicles as part of the Supplier's approval process. Health and Safety risk assessments shall be performed in accordance with TPH - Schedule 12 - Contract Quality Environmental and Safety Considerations.
Rationale:	N/A

2.4 Payments

Core Responsibilities:
The Supplier shall be operationally responsible for initiating the process to make Payments using the Service System and investigating Chargebacks, in accordance with the diagram below. The Supplier must use the Service System and Payment Gateway provided by the Lot 1 Supplier in order to perform these activities. The Supplier shall investigate issues when they identify an error where they are at fault, or when notified to do so by the Lot 1 Supplier or TfL. The Supplier shall therefore not be responsible for providing the Service System or Payment Gateway.

There are a number of roles and responsibilities involved with Payments and Financial Reconciliation activities for the Taxi and Private Hire operations. The tables below show the high level groupings of activity that each function or supplier is expected to perform. These responsibilities are reflected in more detail in the respective operational requirements for the Supplier.

Technology Provision	TfL – Taxi Private Hire	Lot 1 Supplier	Lot 2 Supplier	Print Supplier	Scan Supplier	Post Office	TfL – Finance	TfL – CPOS
Finance Engine – to hold GL structure and to record and reconcile all payments and payment transactions made in the Service System. Capability to generate finance reports. And capabilities to carryout operational activities listed in slide 2(e.g. Configurable Payments, take payments, direct debit functionality, Process Goodwill / Compensatory Payments)	C	A/R						
Provide TfL with access to Finance Engine	C	A/R						

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Ability to Extract GL journals in the format specified by TfL to interface with TfL SAP system(Interface requirement)	C	A/R						
Payment Gateway – for processing all Payments made in the Service System	I	A/R						
Merchant Acquirer – for interfacing with the banks and Payment Gateway	R	A/R						
Merchant Acquirer Relationship	A/R	I						

Operational Activity - Payments	**TfL – Taxi Private Hire**	**Lot 1 Supplier**	**Lot 2 Supplier**	**Print Supplier**	**Scan Supplier**	**Post Office**	**TfL – Finance**	**TfL – CPOS**
Configure Payment Fees	A/R	I	I		I	I		
Take Fee Payments (online/phone/IVR/post)	I	A/R	A/R		A/R	A/R		
Issue Receipts		R		I		R		
Set Up Direct Debits	I		A/R					
Process Refunds	A/R		A/R					
Issue Cheques	I	R	A/R	A/R				
Return Cheques					A/R			
Process Goodwill / Compensatory Payments	A/R	A/R	A/R		A/R			
Process Overpayments/Transfers/Reversals	R/C		A/R					
Investigate and Challenge Chargebacks	R	R	A/R		C	C		
Reconcile Check and Send Payments to Applications	I				A/R	A/R		
Manage Appeals Cost Recovery	I							A/R

Operational Activity – Financial Reconciliation	**TfL – Taxi Private Hire**	**Lot 1 Supplier**	**Lot 2 Supplier**	**Print Supplier**	**Scan Supplier**	**Post Office**	**TfL – Finance**	**TfL – CPOS**
Monitor Financial Activity	R	A/R	C		C	C	A/I	
Download Bank		A/R						

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Transaction Data								
Perform Financial Reconciliation Transaction vs Bank Rec) and Investigate and resolve system issues w.r.t. reconciliation.	I	A/R					I	
Reconciliation against payment transaction/ payment gateway reports/acquirer reports	I	A/R					I	
Perform Financial Reconciliation (Lot 2 / Scan Supplier Payment Activity vs Transactions recorded) and investigate and resolve any discrepancy with the financial reconciliation	C/I		A/R		A/R		C/I	
Produce Financial Reconciliation Reports	I	A/R	R		R		I	
Validate Finance Report	C/I	A/R	A/R		A/R		C/I	
Resolve Financial Reconciliation Issues, data and transactions	C/I	A/R	A/R		A/R	C/I	C/I	

Key	
R	Responsible
A	Accountable
C	Consulted
I	Informed

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

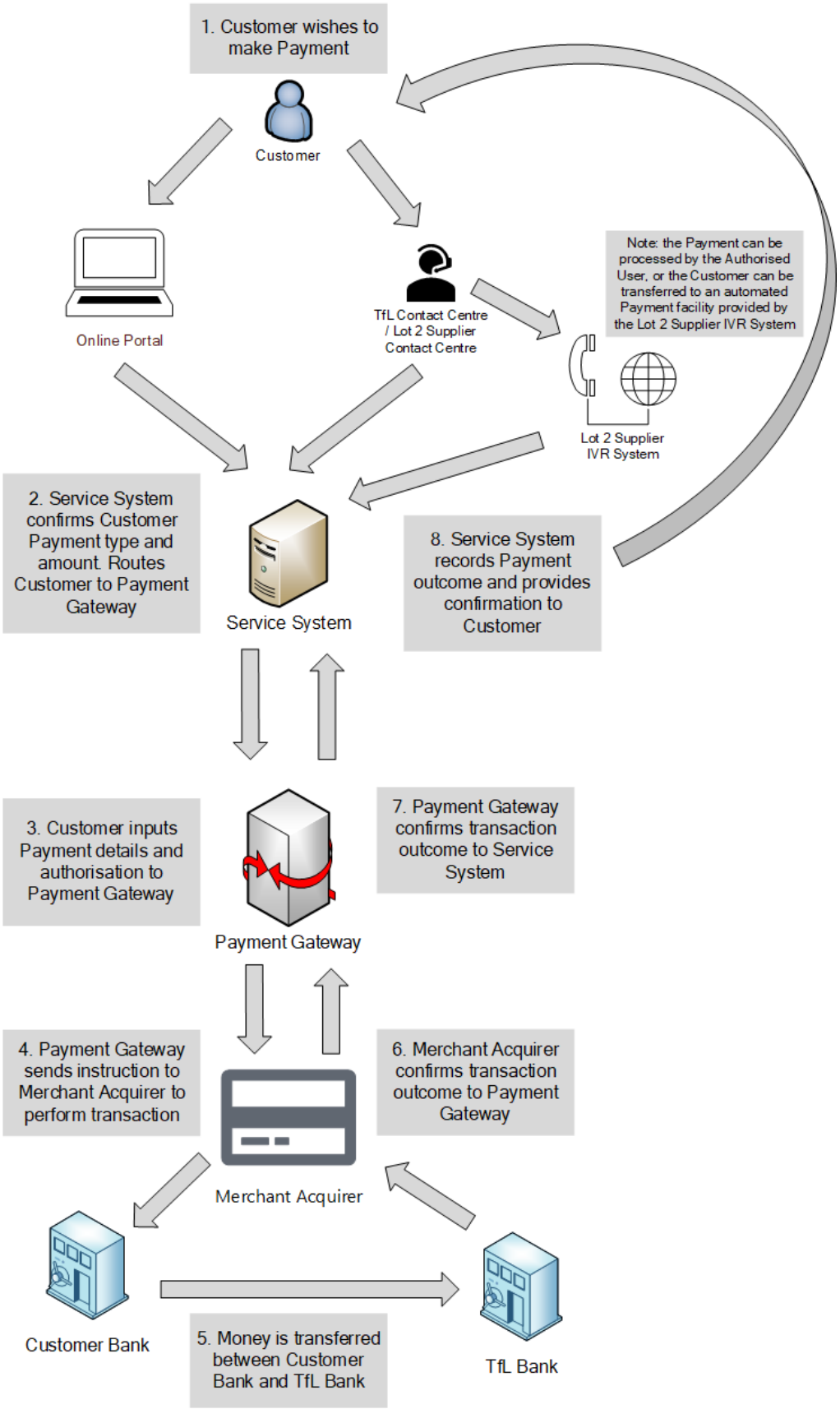
2.4.1 Payment Processing - Illustrative Process and Infrastructure

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Payment Processing – Illustrative Process and Infrastructure

The illustrative diagram below shows an overview of the key steps and technology involved in processing Payments for Taxi and Private Hire Licenses.

Note: this does not include Fee Payments that are taken by the Post Office Check and Send Service.



Secure Payments and Refunds

Requirement ID: TPHRL-REQ-4491	**Priority**: Must have
Description:	The Supplier shall ensure that all Payments, Refunds and handling of Payments Data are carried out in a secure manner and environment (in accordance with PCI DSS).
Rationale:	N/A

Process Payments

Requirement ID: TPHRL-REQ-4549	**Priority**: Must have
Description:	The Supplier shall initiate the process to take Fee Payment requests received on the same day that they are received. The Supplier shall operate in accordance with TPH - Schedule 2.2 - Performance Levels.
Rationale:	N/A

Process Transactions Using Lot 1 Provided Infrastructure

Requirement ID: TPHRL-REQ-4595	**Priority**: Must have
Description:	The Supplier shall utilise the Service System and Payment Gateway provided by the Lot 1 Supplier to initiate the process to enable all transactions including Payments, Refunds, Chargebacks, Compensatory/Goodwill Payments in relation to Taxi and Private Hire activity.
Rationale:	N/A

Process Transferred Customer Payments

Requirement ID: TPHRL-REQ-4523	**Priority**: Must have
Description:	The Supplier shall initiate the process to enable secure Fee Payments on behalf of Customers when instructed by TfL, in instances when TfL are unable to transfer the Customer to the automated Payments facility.
Rationale:	This is intended to be performed in exceptional circumstances only, when the automated payments facility is unavailable.

Process Block Booking Payments

Requirement ID: TPHRL-REQ-4573	**Priority**: Must have
Description:	The Supplier shall initiate the process to trigger Payments made by a Customer when making Vehicle Inspection Block Bookings.
Rationale:	N/A

Issue Receipts

Requirement ID: TPHRL-REQ-4265	**Priority**: Must have
Description:	The Supplier shall issue physical receipts to Customers for Payments and Refunds upon request, and in accordance with TPH - Business Rules - 12 - Payments and Refunds. Note: Receipts shall be automatically issued to Customers via email when an email address is held against the Customer Account and/or Licence Record.
Rationale:	N/A

Process Refunds

Requirement ID: TPHRL-REQ-4261	**Priority**: Must have
Description:	The Supplier shall initiate the process to make Refunds for Vehicle Licence Payments in line with TPH - Business Rules 12 - Payments and Refunds. The Supplier shall also initiate the process to make Refunds for Customers with Driver and Operator Licences upon request from TfL.

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Rationale:	N/A

Issue Cheque Refund

Requirement ID: TPHRL-REQ-4262	**Priority**: Must have
Description:	The Supplier shall issue a Refund through a cheque from the TfL bank account (printed and issued by the Print Supplier), if original Payment Details are not available or invalid.
Rationale:	N/A

Resolve Payment Dispute

Requirement ID: TPHRL-REQ-4268	**Priority**: Must have
Description:	The Supplier shall resolve a Payment dispute made by a Customer and manage the dispute to resolution in accordance with TPH - Appendix 12 - Policy - Returns/Refunds Policy.
Rationale:	N/A

Investigate Chargebacks

Requirement ID: TPHRL-REQ-4263	**Priority**: Must have
Description:	The Supplier shall investigate Chargebacks and requests for information regarding Chargebacks within timescales and agreed processes specified by TfL.
Rationale:	N/A

Challenge Chargebacks

Requirement ID: TPHRL-REQ-4264	**Priority**: Must have
Description:	The Supplier shall be responsible for challenging Chargebacks for Drivers, Operators and Vehicles, according to Business Rules.
Rationale:	N/A

Debt Recovery Process

Requirement ID: TPHRL-REQ-4269	**Priority**: Must have
Description:	The Supplier shall ensure it has a comprehensive process approved and agreed by TfL for debt recovery.
Rationale:	N/A

Process Compensatory/Goodwill Payments

Requirement ID: TPHRL-REQ-4266	**Priority**: Must have
Description:	The Supplier shall be responsible for processing Compensatory/Goodwill Payments where the Supplier is liable for the Payment. Compensatory/Goodwill Payments made on behalf of Other Suppliers or TfL shall be processed by TfL. This will be taken from the Supplier's own bank account and not be charged to TfL. Note: These are usually rare. Refer to TPH - Appendix 12 - Returns/Refunds Policy.
Rationale:	N/A

Payments Processes and Controls

Requirement ID: TPHRL-REQ-4496	**Priority**: Must have
Description:	The Supplier shall provide processes to ensure that the policies and controls relating to the accounts payable and Payments shall include all transactions, in line with TPH - Schedule 2.3 - Standards.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Investigate Payment Issues	
Requirement ID: TPHRL-REQ-4353	**Priority**: Must have
Description:	The Supplier shall investigate all Payment issues (including, but not limited to underpayments and overpayments) arising from Authorised User or Customer error via any channel, and resolve them within (3) Working Days.
Rationale:	N/A

Resolve Financial Reconciliation Issues	
Requirement ID: TPHRL-REQ-4575	**Priority**: Must have
Description:	The Supplier shall investigate and resolve all financial reconciliation issues identified by the Supplier, or when notified by TfL or Other Suppliers, within timescales to be agreed with TfL. The Supplier shall operate in accordance with TPH - Schedule 2.2A - Performance Levels.
Rationale:	N/A

Provide Financial Reports	
Requirement ID: TPHRL-REQ-4574	**Priority**: Must have
Description:	The Supplier shall provide Financial Reports to TfL in accordance with TPH - Schedule 2.7 - Revenue Collection and Payment.
Rationale:	N/A

Process Overpayments	
Requirement ID: TPHRL-REQ-4576	**Priority**: Must have
Description:	The Supplier shall investigate and resolve any overpayments made by Customers. This shall be performed when instructed and approved by TfL, and may result in the Supplier processing full or partial Refunds to Customers.
Rationale:	N/A

Perform Due Diligence	
Requirement ID: TPHRL-REQ-4654	**Priority**: Must have
Description:	The Supplier shall perform due diligence to monitor Payment transactions on a frequency to be agreed with TfL. Any errors are to be reported/rectified immediately.
Rationale:	N/A

2.5 Printing

Reconcile Cheques	
Requirement ID: TPHRL-REQ-4478	**Priority**: Must have
Description:	The Supplier shall reconcile the number of cheques logged in the Service System with the number printed and issued, and report and rectify any discrepancies. Any spoilt cheques shall be logged to aid reconciliation.
Rationale:	N/A

2.6 Audit

Audit Co-Operation	
Requirement ID: TPHRL-REQ-4615	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall, at no cost to TfL, co-operate fully with any TfL audit, including but not limited to providing access to all relevant Service Documentation, Personnel, and Vehicle Inspection Sites and Inspection Equipment. Audit methods are to be agreed with TfL before the Operational Commencement Date. TfL reserves the right to appoint or request the appointment of an external independent audit team if circumstances reasonably permit, with costs to be borne by the Supplier.
Rationale:	N/A

Audit Types

Requirement ID: TPHRL-REQ-4616	**Priority**: Must have
Description:	The Supplier shall upon request from TfL, allow TfL and/or Third Parties authorised by TfL full access to conduct an audit. Areas to be audited may include, but are not limited to: • Privacy (in accordance with BS10012, and guidance from the Information Commissioner's Office - ICO Guide to Data Protection Audits) • Procedures • Security (including but not limited to physical and cyber security) • Quality management systems • Health and safety • Payments / Finance (including but not limited to adherence to PCI DSS) • Data The Supplier shall carry out audits of their Service(s) in accordance with schedules as agreed with TfL.
Rationale:	N/A

Risk-based Audit Approach

Requirement ID: TPHRL-REQ-4617	**Priority**: Must have
Description:	The Supplier shall use a risk-based approach to routinely carry out internal audits to provide assurance that effective controls are in place across all types of audit listed in requirement 'Audit Types'.
Rationale:	N/A

Access to Systems and Documents

Requirement ID: TPHRL-REQ-4618	**Priority**: Must have
Description:	The Supplier shall provide access to any systems provided by the Supplier, including any Service Documentation, to TfL's internal and external auditors when requested by TfL and such access shall be provided at the Supplier's cost.
Rationale:	N/A

Allow Compliance Monitoring

Requirement ID: TPHRL-REQ-4619	**Priority**: Must have
Description:	The Supplier shall allow TfL Personnel and/or Third Parties authorised by TfL to monitor the Supplier's compliance and obligations under this Agreement without hindrance. This shall include allowing TfL Personnel and/or Third Parties authorised by TfL to enter the Supplier Site(s) at any time in order to inspect the operation, equipment used, maintenance performed, and any supporting Service Documentation available in the provision of the Services. TfL expects complete transparency of Supplier activity.

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Rationale:	N/A

Data Management Procedures

Requirement ID: TPHRL-REQ-4620	**Priority**: Must have
Description:	The Supplier shall put in place Data management procedures to ensure that Data is periodically assessed for deletion in accordance with, including but not limited to, GDPRs and TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy.
Rationale:	N/A

Submit Data Management Procedures

Requirement ID: TPHRL-REQ-4621	**Priority**: Must have
Description:	The Supplier shall submit the Data Management Procedures to TfL for assurance prior to the Operational Commencement Date. Data Management Procedures shall be updated periodically in a frequency to be agreed with TfL.
Rationale:	N/A

Develop Audit Methodology

Requirement ID: TPHRL-REQ-4622	**Priority**: Must have
Description:	The Supplier shall provide and comply with an audit methodology for monitoring and controlling all business processes and hand-offs to each business function and other Suppliers, and shall submit their audit methodology to TfL.
Rationale:	N/A

Allow Audit Process Review

Requirement ID: TPHRL-REQ-4623	**Priority**: Must have
Description:	The Supplier shall allow the process used for monitoring and controlling audit(s) to be subject to review as requested by TfL throughout the Term. The Supplier shall comply with all review advice provided by TfL throughout the Term.
Rationale:	N/A

Comply with Audit Schedule

Requirement ID: TPHRL-REQ-4624	**Priority**: Must have
Description:	The Supplier shall develop and comply with an audit schedule covering all audits, together with the scope of each audit, and shall submit such an audit schedule to TfL for assurance prior to the planned Operational Commencement Date.
Rationale:	N/A

Provide Audit Results

Requirement ID: TPHRL-REQ-4625	**Priority**: Must have
Description:	The Supplier shall provide the results of all audits carried out to TfL, within a timeframe to be agreed with TfL prior to the Operational Commencement Date.
Rationale:	N/A

Implement Audit Recommendations

Requirement ID: TPHRL-REQ-4626	**Priority**: Must have
Description:	The Supplier shall implement the recommendations from any audits within the timescales agreed with TfL.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

2.7 Continuous Improvement

VfM Initiatives	
Requirement ID: TPHRL-REQ-4627	**Priority**: Must have
Description:	The Supplier shall proactively look for and implement VfM Initiatives. The Supplier shall engage in continuous improvement, including but not limited to: • make improvements which create efficiencies within TfL's internal operations; • reducing average handling time; • increasing efficiency; • standardising process and wording; • use of lean six sigma methods to improve performance; • streamlining workflows and processes; • minimising human error; • allowing for automated escalation and monitoring; • interfaces with TfL and Other Suppliers; • enhanced security features; • updated technologies When efficiencies are identified by the Supplier, they shall submit VfM Initiative Proposals to TfL in accordance with TPH - Schedule 7.2 - Value for Money.
Rationale:	N/A

2.8 Documentation

Documentation	
Requirement ID: TPHRL-REQ-4633	**Priority**: Must have
Description:	The Supplier shall provide and keep updated operational processes, procedures, technical and training Service Documentation for all tasks to be undertaken by the Supplier or its Sub-contractors or agents from the Operational Commencement Date. All documentation shall be made accessible to TfL at all times, and updated as a minimum every 12 months, or upon any significant operational or technical change. Documentation shall include but not be limited to: • High level and detailed IVR System design • Network architecture • IVR System Interfaces • IVR System support documentation • Service support and management • Training and support user guides/manuals • Business processes and procedures • Security plan and design
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

2.9 Organisation and Personnel

Attend TfL Meetings

Requirement ID: TPHRL-REQ-4634	**Priority**: Must have
Description:	The Supplier shall attend regular and/or ad-hoc meetings with TfL, Other Suppliers and/or any related Third Parties upon request from TfL, in TfL offices or other as determined by TfL and at no cost in accordance with TPH - Schedule 8.1 - Governance. This applies to all project phases, pre and post the Operational Commencement Date.
Rationale:	N/A

Invite Sub-contractors to TfL Meetings

Requirement ID: TPHRL-REQ-4635	**Priority**: Must have
Description:	The Supplier shall, upon request from TfL, invite Sub-contractors to attend regular and/or ad-hoc meetings with TfL, any TfL related Third Parties and/or Other Suppliers. This applies to all project phases, pre and post the Operational Commencement Date.
Rationale:	N/A

Personnel Contact Details

Requirement ID: TPHRL-REQ-4636	**Priority**: Must have
Description:	The Supplier shall ensure that TfL is advised of all name(s) and contact details of the appointed person(s) responsible for the operation of the Services and shall ensure that they are available for contact by TfL during TfL Operational Hours.
Rationale:	N/A

Organisation Chart

Requirement ID: TPHRL-REQ-4637	**Priority**: Must have
Description:	The Supplier shall provide to TfL, on a monthly basis, an organisational chart showing full time equivalent roles and Key Personnel, including the organisational chart of any relevant Sub-contractors.
Rationale:	N/A

Trained Personnel

Requirement ID: TPHRL-REQ-4638	**Priority**: Must have
Description:	The Supplier shall be responsible for providing suitably qualified and trained Supplier Personnel to deliver, maintain and support the Services. Personnel must hold all formal qualifications required in order to perform their roles, including, but not limited to: Vehicle Inspection Centres and the Lot 2 Supplier Contact Centre. TfL reserves the right to request the removal of any of the Supplier's Personnel from the provision of the Services. TfL would expect the Supplier to declare if someone is a holder of a Driver, Vehicle or Operator Licence. Refer to TPH - Schedule 6.3 - Training.
Rationale:	N/A

Job Descriptions

Requirement ID: TPHRL-REQ-4639	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall provide job descriptions for those roles identified by the Supplier to be necessary for the delivery of Services to TfL for approval as part of the Design and Development Phase. As a minimum, this shall include job descriptions for those Key Personnel outlined in TPH - Schedule 9.2 - Key Personnel. Job descriptions must include as a minimum, details of: • Key accountabilities; • Key competencies; • Scope of each role; • Clear relationships with other roles (i.e. workflow/hand-off points); and • Minimum qualifications and experience necessary for the individual to fulfil the role.
Rationale:	N/A

Notifications of Personnel Activity	
Requirement ID: TPHRL-REQ-4640	**Priority**: Must have
Description:	The Supplier shall ensure that TfL is notified immediately of the occurrence of any of the following, regarding the Supplier's Personnel: • Suspensions, • Disciplinary proceedings; • Dismissals; • Any criminal activity; and • Being found to be under the influence of alcohol or drugs whilst on duty.
Rationale:	N/A

Background Checks	
Requirement ID: TPHRL-REQ-4641	**Priority**: Must have
Description:	The Supplier shall ensure that background checks are performed for new Supplier Personnel prior to the commencement of their employment including, but not limited to: • Reference checks; • Related person(s) checks; • Credit checks; • Media checks; • Disclosure Barring Service checks; and • Right to work checks.
Rationale:	N/A

Proposed Background Checks	
Requirement ID: TPHRL-REQ-4642	**Priority**: Must have
Description:	The Supplier shall submit to TfL for approval its proposed list of background checks for new Supplier Personnel and, when approved, implement such background checks.
Rationale:	N/A

Alert Reputational Risks	
Requirement ID: TPHRL-REQ-4643	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall in the event of the Supplier's Personnel taking any action that might compromise the reputation of TfL, alert TfL immediately or within four (4) hours of becoming aware of the action and provide details of its planned resolution including appropriate timescales and regular updates.
Rationale:	N/A

Revoke Leaver Access	
Requirement ID: TPHRL-REQ-4644	**Priority**: Must have
Description:	The Supplier shall ensure that when a member of the Supplier's Personnel is dismissed or leaves, all property belonging to the Supplier is returned; accesses are revoked, and the individual exits the premises on their last day.
Rationale:	N/A

Personnel Records	
Requirement ID: TPHRL-REQ-4645	**Priority**: Must have
Description:	The Supplier shall upon request from TfL shall make available any relevant records or qualification certificates of any Supplier Personnel.
Rationale:	N/A

Investors in People	
Requirement ID: TPHRL-REQ-4646	**Priority**: Must have
Description:	The Supplier shall ensure that their working practices conform to TfL's commitments to the Investors in People Scheme and London Living Wage.
Rationale:	N/A

User Access Management	
Requirement ID: TPHRL-REQ-4647	**Priority**: Must have
Description:	The Supplier shall nominate an individual who shall be responsible for configuring all User Access to the Service System for all Supplier Personnel. This individual shall be given Super User permissions to configure User Access.
Rationale:	N/A

2.10 Training

Training Content	
Requirement ID: TPHRL-REQ-4648	**Priority**: Must have

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Description:	The Supplier shall ensure the content of Supplier Personnel training includes, but is not limited to, coverage of the following areas, where applicable: • Data Protection Laws; • FOI Legislation; • Health and Safety Legislation; • Security requirements; • Obligations, codes and procedures for its Supplier Personnel; • Environmental Information Regulations; • Computer Misuse Act 1990; • Security processes and procedure; • PCI DSS; • Fraud; • Continuous improvement; • Premises rules and regulations; • Methods to ensure Supplier Personnel have a clear understanding of their duties and hours; • Methods to ensure Supplier Personnel are competent to use all necessary equipment, Service System, and Other Systems in a safe and efficient manner; and • Equality and Inclusion Policies; • Any other requirements set out in TPH - Schedule 6.3 - Training and TPH - Schedule 2.3 - Standards.
Rationale:	N/A

Supply Training Materials	
Requirement ID: TPHRL-REQ-4649	**Priority**: Must have
Description:	The Supplier shall supply a copy of training materials to TfL upon request.
Rationale:	N/A

Maintain Training Matrix	
Requirement ID: TPHRL-REQ-4650	**Priority**: Must have
Description:	The Supplier shall supply and maintain a current matrix of training, certification, competencies and communication for all Supplier Personnel. This shall be provided to TfL annually and by request.
Rationale:	N/A

2.11 Incident Management

Incident Management Process	
Requirement ID: TPHRL-REQ-4651	**Priority**: Must have
Description:	The Supplier shall ensure there is a process in place, agreed with TfL, to report workplace accidents and incidents, including but not limited to physical accidents, near misses, environmental incidents. The Supplier shall ensure that mitigation steps are put in place to avoid recurrence of such accidents and incidents.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Incident Management	
Requirement ID: TPHRL-REQ-4652	**Priority**: Must have
Description:	The Supplier shall immediately notify TfL of any actual or threatened breach in connection with the security of the Service System and the Services. The Supplier shall comply with any Information Commissioner's Office (ICO) investigations, and report related activity and outcomes to TfL without delay.
Rationale:	N/A

2.12 Data Security

Data Security Measures	
Requirement ID: TPHRL-REQ-4655	**Priority**: Must have
Description:	The Supplier shall take all reasonable measures to ensure the security of Customer and the Data in accordance with TPH - Schedule 2.3 - Standards, including, but not limited to: • Ensuring that all devices have up-to-date anti-virus software • Not leaving devices unattended while logged into the Service System • Ensuring that Supplier Personnel have the correct level of User Permissions in the Service System limited to only the Data required for their role. • Immediately disabling Authorised User accounts of Supplier Personnel that have ceased to be employed by the Supplier, or at TfL's request • Use of Biometrics where possible • Tracking all activity of Authorised User activity in the Service System • Disabling USB ports to prevent Data (including Customer Data) being extracted to external devices • Security arrangements need to be agreed with TfL and must be kept up to date.
Rationale:	N/A

Data Transfers	
Requirement ID: TPHRL-REQ-4656	**Priority**: Must have
Description:	The Supplier shall ensure that all transfers of Data (including Customer Data) are secure, including those using removable media, and shall explicitly prevent the unauthorised use of removable media by its agents, employees, contractors and other persons with access to equipment. All large and uncharacteristic data transfers shall be flagged to a senior manager for further investigation.
Rationale:	N/A

2.13 Reporting

Export Data to MIS	
Requirement ID: TPHRL-REQ-4657	**Priority**: Must have
Description:	The Supplier shall ensure that all additional data from any system other than the Service System (e.g. Lot 2 Supplier IVR System) is exported to the MIS in sufficient time for the MIS to be fully updated by 06:00 each calendar day.
Rationale:	N/A

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Provide Agreed Reports	
Requirement ID: TPHRL-REQ-4658	**Priority**: Must have
Description:	The Supplier shall provide agreed Reports at the frequency/format specified by TfL.
Rationale:	N/A

Provide Complete and Accurate Reports	
Requirement ID: TPHRL-REQ-4659	**Priority**: Must have
Description:	The Supplier shall ensure that all Reports provided to TfL are a complete and accurate reflection of the Supplier activity in the Service System. The Supplier shall be responsible for cleansing the Data held within the Service System where any issues are found.
Rationale:	N/A

Provide Functional Specifications	
Requirement ID: TPHRL-REQ-4660	**Priority**: Must have
Description:	The Supplier shall provide functional specification Service Documentation for all Performance Indicators and Reports Configured by the Supplier in the Service System or MIS, upon request from TfL and at no additional cost. The functional specifications shall include but not be limited to: the purpose of all Performance Indicators, the Data used (referencing the Data Dictionary), and any calculations performed to produce the Performance Indicators.
Rationale:	N/A

Provide Financial Report Functional Specifications	
Requirement ID: TPHRL-REQ-4661	**Priority**: Must have
Description:	The Supplier shall provide functional specification Service Documentation for all Financial Reports provided to TfL and/or Other Supplier, upon request from TfL and at no additional cost. All Financial Reports shall be produced in accordance with TPH - Schedule 7.3 - Financial Reports and Audit Rights.
Rationale:	N/A

Set Up Standard Reports and Dashboards	
Requirement ID: TPHRL-REQ-4843	**Priority**: Must have
Description:	The Supplier shall set up standard Reports and Dashboards as agreed with TfL through the Design and Development Phase and post go-live. All Reports and Dashboards should be available prior to the Operational Commencement Date. Report contents required by TfL shall include, but are not limited to: • Service Levels (in accordance with Schedule 2.2A - Performance Levels) • Key Performance Indicators (in accordance with Annex A, Schedule 2.2A - Performance Levels) • Financial Reports (in accordance with Schedule 7.3 - Financial Reports and Audit Rights)
Rationale:	

COPYRIGHT © 2021 TRANSPORT FOR LONDON.

Appendix 07 – Vehicle Inspection Process

Copyright on the whole and every part of this document is owned by Transport for London. No reproduction of the whole or any part of this document is to be made without the authority of Transport for London. This document is confidential to Transport for London. No part of this document or information contained in this document may be disclosed to any party without the prior consent of Transport for London.

Vehicle Inspection Processes	
Taxi and PHV licensing inspections	Regulatory requirements/measurements for assessing whether a taxi or PHV can be licensed are described in the respective inspection manuals – current inspection manuals will need to be revised as a result of the MAQ requirements
Special inspections – PHV - Unfit vehicle - Replacement licences/identifiers - Accidents - Changes of VRM - Lost/stolen licence /identifiers - Modifications - Exemptions - Complaints - Change of ownership/address/name	Unfit vehicle. Make provision for allocating unfit vehicle inspections – if unfit relates to a mechanical defect make provision for checking/validating new MoT – update vehicle records – inform customer that unfit is now rescinded. If unfit relates to suitability requirements as well as MoT – make provision for allocating an inspection – validate MoT – inspect vehicle against list of items recorded on the unfit notice – decision whether defects have been rectified – if OK update vehicle records – inform customer – if not OK update vehicle records – inform customer – advise compliance If unfit relates to suitability requirements only - make provision for allocating an inspection –inspect vehicle against list of items recorded on the unfit notice – decision whether defects have been rectified – if OK update vehicle records – inform customer – if not OK update vehicle records – inform customer – advise LTPH (possibility of the vehicle licence being suspended – additional inspection by the SP may be required) Replacement licences/identifiers. Make provision for allocating an appointment for the issue of replacement licence and or identifiers – validate vehicle documents – issue and affix replacement identifiers, as necessary – recover, where possible, redundant identifiers Accidents. Make provision for allocating appointments for inspecting vehicles that have been involved in accidents and where it has been identified that an inspection to assess the damage is necessary – inspect the vehicle against criteria in inspection manual – decision whether vehicle is fit for service – if OK update vehicle records and inform customer – if not OK – update vehicle records – inform customer – advise compliance Changes of VRM. Make provision for allocation appointments for issuing replacement licences/identifiers in those circumstances where a vehicle owner has decided to replace his/her vehicle registration mark (VRM) – validate all documents/confirm details have been registered with DVLA, validate changes to insurance details, changes to MoT certificate and vehicle excise licence – issue replacement licence and identifiers –affix identifiers, as necessary– recover redundant licence and identifiers Lost/stolen licences/identifiers Make provision for allocating appointments for issuing replacement licences/discs in those circumstances where a

	vehicle owner has lost his/her licence or identifiers or where a licence or identifiers have been stolen – validate all documentation including ensuring the theft/ loss has been reported to police – issue replacement licence/identifiers as required – affix identifiers Modifications Make provision for allocating inspections for carrying out assessments of modifications to a vehicle to ensure compliance with licensing requirements – inspect modification – assess compliance – if OK pass inspection, update vehicle records, issue a replacement licence, inform customer – if not OK fail inspection, update records, inform customer, advise LTPH Exemptions Make provision for allocating inspections for assessing applications for exemption from part or parts of the PHV licensing requirements – assess application – if OK update system, inform customer, issue replacement licence – if not OK inform customer – advise LTPH Complaints Make provision for allocating inspections for assessing the condition of a vehicle that is the subject of a complaint. Complaint could relate to the roadworthiness or question the condition of a vehicle – if complaint relates to the roadworthiness of a vehicle it may be necessary to subject the vehicle to a MOT test – if this is the case there will be a need to validate the MoT and update the vehicle records –if complaint relates to the condition of the vehicle, inspect the vehicle to ensure compliance with licensing requirements – if OK update records and inform customer – if not OK, update records, inform customer, advise LTPH
Special Inspections –MHC - Unfit vehicle - Replacement licences/plates - Changes of VRM - Lost/stolen licence /plates - Modifications - Dual Licence - Complaints - Change of ownership/name/address	Unfit vehicle. Make provision for allocating unfit vehicle inspections – if unfit relates to a mechanical defect make provision for checking/validating new MoT – update vehicle records – inform customer that unfit is now rescinded. If unfit relates to suitability requirements as well as MoT – make provision for allocating an inspection – validate MoT – inspect vehicle against list of items recorded on the unfit notice – decision whether defects have been rectified – if OK update vehicle records – inform customer – if not OK update vehicle records – inform customer – advise compliance If unfit relates to suitability requirements only - make provision for allocating an inspection –inspect vehicle against list of items recorded on the unfit notice – decision whether defects have been rectified – if OK update vehicle records – inform customer – if not OK update vehicle records – inform customer – advise LTPH (possibility of the vehicle licence being suspended – additional inspection by the SP may be required) Replacement licence/plates. Make provision for allocating an appointment for the issue of replacement licence/ plates – validate vehicle documents – issue replacement plates – recover, where possible, redundant plates Changes of VRM.

	Make provision for allocation appointments for issuing replacement licences/plates in those circumstances where a vehicle owner has decided to replace his/her vehicle registration mark (VRM) – validate all documents/confirm details have been registered with DVLA – validate changes to insurance details – changes to MoT certificate – vehicles excise licence – issue replacement licence and plates – recover redundant licence and plates Lost/stolen licences/plates Make provision for allocating appointments for issuing replacement licences/plates in those circumstances where a vehicle owner has lost his/her licence or plates or where a licence or plates have been stolen – validate all documentation including ensuring the theft/ loss has been reported to police – issue replacement licence/plates as required Modifications Make provision for allocating inspections for carrying out assessments of modifications to a vehicle to ensure compliance with licensing requirements – inspect modification – assess compliance – if OK pass inspection, update vehicle records, issue a replacement licence, inform customer – if not OK fail inspection, update records, inform customer, advise LTPH Dual Licence Make provision for allocating an inspection to issue a replacement licence where the application for a dual (Epsom and Ewell) licence has been approved – validate approval for issue of dual licence – issue replacement plates that include Epsom and Ewell crest – update records – recover redundant plates Complaints Make provision for allocating inspections for assessing the condition of a vehicle that is the subject of a complaint. Complaint could relate to the roadworthiness or question the condition of a vehicle – if complaint relates to the roadworthiness of a vehicle it may be necessary to subject the vehicle to a MOT test – if this is the case there will be a need to validate the MoT and update the vehicle records –if complaint relates to the condition of the vehicle, inspect the vehicle to ensure compliance with licensing requirements – if OK update records and inform customer – if not OK, update records, inform customer, advise LTPH
Specialist Equipment MHC and PHV	The service provider will need to have specialist equipment for validating the accuracy of taximeters (calibrated rolling road capable of taking a vehicle that will require all 4 road wheels to rotate together) and, where necessary, have the ability to carry out mechanical inspections to assess modifications/carry out special inspections (Inspection hoists) – equipment to measure the taxi turning circle.

Process once a vehicle has passed/failed an inspection (PHV and Taxi) Process for issuing vehicle licence and identifiers/plates	Inspection result is pass Record inspection result and update vehicle records – produce vehicle inspection report, licence and taxi plates or PHV identifiers – update vehicle licensing records to include new licence details – affix PHV identifiers (if necessary)/ MHC plates – inform owner/owner's representative of the result – hand over new licence, vehicle inspection report and – return any documents that have been presented by the vehicle owner as part of the inspection process. Inspection result is fail Record inspection result and update vehicle records – produce vehicle inspection report listing all reasons why a licence could not be issued – inform vehicle owner or owner's representative of the result and explain the reasons why a licence could not be issued– hand over the vehicle inspection report – return any documents that have been presented by the vehicle owner as part of the inspection process - inform owner of right of appeal and pass on appeal information
Rescinding unfit notices	Make provision for allocating unfit vehicle inspections – if unfit relates to a mechanical defect make provision for checking/validating new MoT – update vehicle records – inform customer that unfit is now rescinded. If unfit relates to suitability requirements as well as MoT – make provision for allocating an inspection – validate MoT – inspect vehicle against list of items recorded on the unfit notice – decision whether defects have been rectified – if OK update vehicle records – inform customer – if not OK update vehicle records – inform customer – advise compliance If unfit relates to suitability requirements only - make provision for allocating an inspection –inspect vehicle against list of items recorded on the unfit notice – decision whether defects have been rectified – if OK update vehicle records – inform customer – if not OK update vehicle records – inform customer – advise LTPH
Issuing Advisory Notices (MHC only)	The service provider will need to have in place a process whereby an advisory notice could be issued when a minor, non-safety related defect has been identified during a taxi licensing inspection. The advisory notice will identify the defect for the purpose of informing the vehicle owner. The details of the advisory item (s) should be included within the vehicle inspection report as an advisory item. The list of inspection items that can be considered as advisories will be published by LTPH as part of the inspection criteria within the taxi inspection manual.

Appendix 12 - Refunds Policy

Table of Contents

1	General Principles - Refunds/Repayments	51
2	Transaction Reversals and Recredits	51
3	Redress policy	52

1 General Principles - Refunds/Repayments

1.1 To enable a Refund/Repayment, there must be a record of a valid payment made by the customer which could be an applicant, or a licenced Driver, Vehicle Owner or Operator.

1.2 Before a Refund/Repayment takes place, the Licence purchased relating to that Return/Repayment is withdrawn and then the Refund/Repayment is authorised. Transport for London (TfL) will request return of all the licence counterparts.

1.3 All refunds are authorised by TfL. The Lot 2 Supplier will issue a refund once authorised by TfL. However, in certain circumstances, the Lot 2 provider may authorise a refund relating to vehicle inspection bookings. (See Business Rules -Supplier Contact Centre for further information).

1.4 When issuing a Return, Lot 2 Supplier must ensure that these are labelled with the correct transaction (e.g. Repayment, Refund, Redress etc.)

1.5 Where a Refund/Repayment request is made by the executor of the estate of a Customer who is now deceased, and the Refund/Repayment is required to be made payable to other than the deceased (or their estate) then the applicant should also supply a copy of the death certificate.

1.6 Refunds/Repayments will be made by the means by which the Payment was paid. For example, if the Payment was paid by bank card the Refund/Repayment will be made to the same bank card. The only exceptions are as follows:

a. In the case of Refunds/Repayments applied for by executors of the estates of the deceased in which case all Refunds/Repayments will be made by cheque.

b. In the case of multiple payment Refund/Repayments where the original Payments were paid by more than one payment method (bank card/ /cheque etc), the Refund/Repayment will be made by cheque.

c. If the refund back to card has failed a refund will be made via cheque.

1.7 TfL will calculate the refund amount in accordance with various regulations as set out in https://tfl.gov.uk/corporate/publications-and-reports/taxi-and-private-hire?intcmp=3162. The regulations around refunds and calculations vary between drivers, operators and vehicles, with different authorisation approval levels applicable to each.

1.8 When authorised, the Lot 2 Supplier will repay to Customers any money which the Customer has paid in good faith because of:

a. Any error made by TfL or its Suppliers; including the Lot 1 and Lot 2 Suppliers or their Sub-Contractors.

b. The failure or perceived failure of systems provided as part of the Services.

1.9 Where a Customer has suffered financial loss because of the erroneous actions of TfL, either Lot provider or their Sub-Contractors a repayment will be made to compensate that loss. This does not include the payment of ex-gratia expenses – see section 3: Redress Policy. For example, a complaint made to the Ombudsman by a Customer, where the Ombudsman finds against TfL, its Suppliers or their Sub-Contractors.

2 Transaction Reversals and Re-credits

2.1 If either Lot 1 or Lot 2 Supplier receives notification that an incorrect payment amount has been taken they will escalate a refund process to TfL for approval. The Lot 2 Supplier has no authorisation to make refunds in this scenario without approval from TfL.

2.2 The Lot 2 Supplier will not consider Transaction Reversals to be Refunds/Repayments, specifically where charges have been added multiple times erroneously and where **no payment** has been taken from the account. In these circumstances they are not subject to the Refund/Repayments rules in section 1 above i.e. Authorisation required from TfL. However,

where payment **has been taken**, these would form part of the Refund/Repayments rules in section 1 above and require Authorisation.

2.3 The Lot 2 Supplier will record and report on the details of all instances where Transaction Reversals and Re-credits have been required on their system, but no refunds/re-credits will be made without the approval of TfL.

3 Redress policy

3.1 Under normal operating conditions it should not be necessary to make any ex-gratia payments.

3.2 Ex-gratia payments made under this Redress policy will come from Lot 1 or Lot 2 Supplier funds or their sub-contractors and not from TfL accounts.

3.3 Where a Customer has made a complaint and the Customer has had to spend more money than required, due to errors made either by Lot 1 or Lot 2 Suppliers or their sub-contractors, the Supplier or their sub-contractors responsible for the loss will fund the compensation.

3.4 Redress payments should be made in fixed amounts, with payment authorised by agreed grades of Lot 2 Supplier staff as defined by TfL.

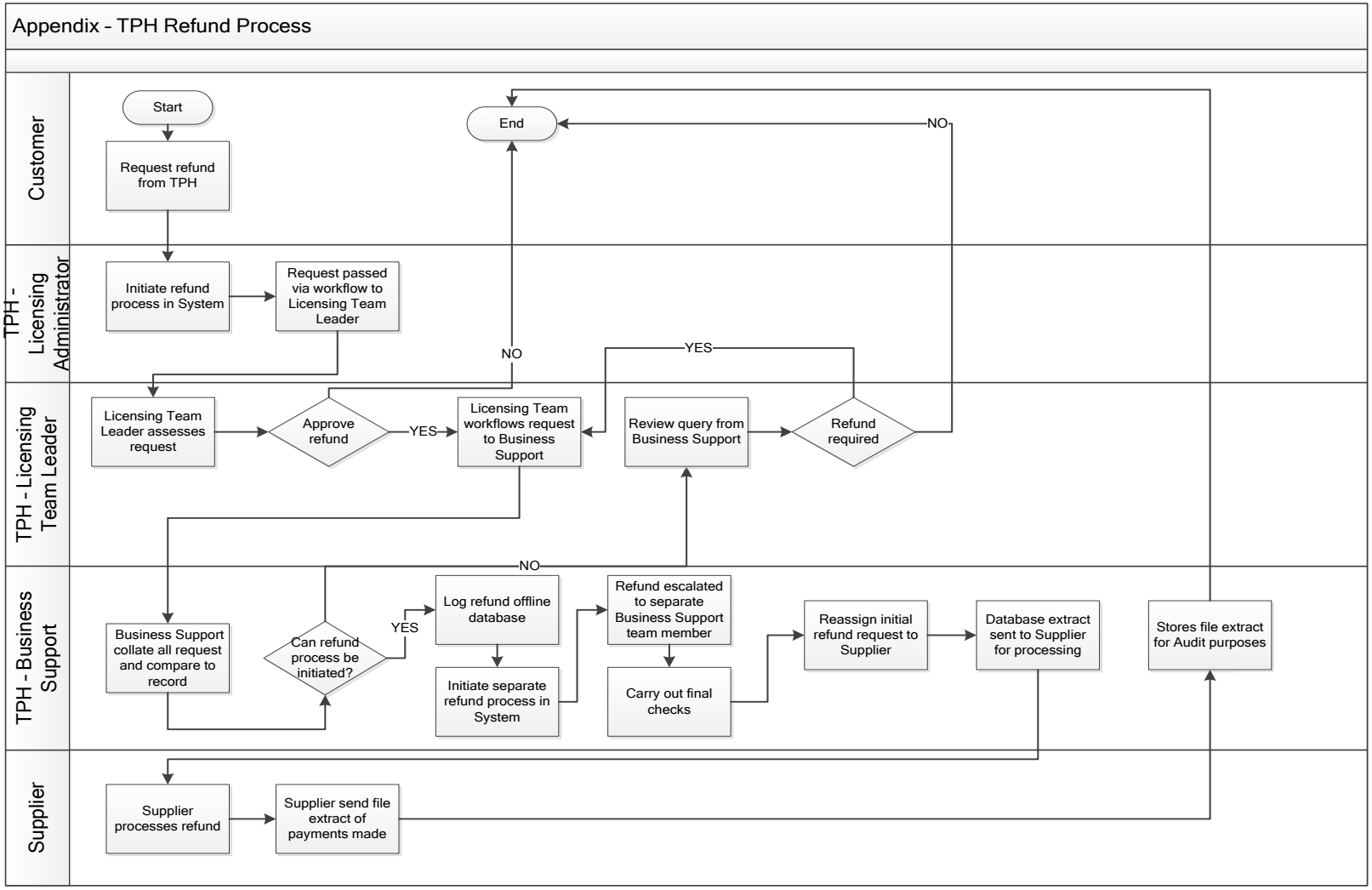
3.5 Payments should reflect the level of monetary loss and/or inconvenience to the Customer. This compensation should cover all reasonable expenses required to make the complaint.

3.6 When TfL has dealt with a complaint and wish Lot 2 Supplier to make a payment for Redress, the recommended payment will be agreed between TfL and either Lot 1 or Lot 2 Supplier's management (or their authorised delegates). For the avoidance of doubt, in instances where either Lot 1 or Lot 2 Suppliers and TfL disagree on the amount of the payment, TfL's decision will be final, where the disputed amount remains within the bounds described in 3.4.

3.7 When TfL has dealt with a Complaint & wish to make payment for Redress from TfL's Funds, on instruction by TfL the Lot 2 Supplier shall raise the required payment. In certain circumstances, TfL may request the Refund cheque to be sent to it for onward delivery to the Customer.

ANNEXURE A – CURRENT TFL REFUND PROCESS

The diagram below is an example of the current refund process for Drivers. TfL seeks improvements by way of innovation, automation and simplification for future Refund/Redress processes relating to Drivers, Vehicles and Operators.



TPH - LICENSING

Vehicle Licensing - Business Rules

Transport for London
London Taxi and Private Hire

Document History

Version Number	Revision Date	Summary of Changes	Changes Marked
1	15/09/2019		

Transport for London
London Taxi and Private Hire

Summary

The purpose of this document is to highlight the business rules relating to the main vehicle Licensing processes, principally the licensing application processes. Please note the following points when working with this document:-

This document should be read in conjunction with the relevant inspection manuals. See TPH-Appendix17-Policy-Vehicle Licensing Inspection Manual
(Please note that these inspection manuals are for the current processes and are subject to change)

Each business rule should not be read in isolation. It is the Administrator's duty to ensure that all issues with an application are highlighted when communicating to the customer.

escalate to TfL and request advice. This also covers any business rule where the Administrator requires further clarification from TfL.

It is not possible to provide detailed rules regarding every type of scenario. The rules written here are at a high level. TfL will provide clarification as required.

The business rules may only provide a high level summary regarding the action to take. For instance where communication is required with the Applicant it could be that a series of reminders are required at pre determined intervals. The time periods for

There is an expectation that when a decision to reject an application, the reason to reject will be recorded on the system along with a relevant reason code. This is for reporting purposes. This document will need to be updated to confirm which reason code to use in each given scenario.

There is an expectation that when a decision to reject an application or fail an inspection is made, the reason for the refusal will be communicated to the customer in a clear and concise way, along with any mandatory information regarding the right to appeal etc. This will require the use of specific template letters. This document will need to be updated to confirm which template letter and mandatory paragraphs to use in each given scenario.

Transport for London
London Taxi and Private Hire

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	New Vehicle to be licensed	Owner wishes to have a vehicle licensed as a Taxi or PHV.	Create vehicle record, Process application take payment, allocate inspection appointment (For Future Reference - Upon introduction of Age Limits to vehicles it will be necessary to determine whether the vehicle meets criteria for an inspection appointment to be allocated (Further business rules and policy)	Inspect in accordance to relevant Inspection Manual.
					Validate vehicle documents at inspection sites and through interfaces	Following Inspection - Issue(status active)/refuse licence
TBC	TBC	Vehicle Licensing	Vehicle to be re-licensed	Application to have a vehicle licensed again as either a PHV or Taxi subject to licensing regulations.	Validate vehicle details (ensuring it meets our licencing criteria, such as age, emissions and time between licences), process application, take payment, allocate inspection appointment (For Future Reference - Upon introduction of Age Limits to vehicles it will be necessary to determine whether the vehicle meets criteria for an inspection appointment to be allocated (Further business rules to follow)	Inspect in accordance to relevant Inspection Manual.
					Validate vehicle documents	Following Inspection - Issue(status active)/refuse licence
TBC	TBC	Vehicle Licensing	Vehicle fails a licensing inspection (PHV)	Application to have a vehicle re-inspected.	Validate vehicle details,	Inspect in accordance to relevant Inspection Manual.
					take payment if necessary, allocate inspection re-test appointment	Following Inspection - Issue(status active)/refuse licence
						Failure would require new application

TBC	TBC	Vehicle Licensing	Vehicle fails a licensing inspection (Taxi)	Application to have a vehicle re-inspected.	Validate vehicle details,	Inspect in accordance to relevant Inspection Manual.
					take payment if necessary, allocate inspection re-test appointment	Issue(status active) /refuse licence.
						Failure would require new application
TBC	TBC	Vehicle Licensing	Owner of licensed vehicle notified that vehicle is unfit for service	Vehicle subject to post-licensing compliance activity and is found to be unfit for service. Compliance notice issued. Owner contacts Supplier for inspection.	Validate vehicle details, allocate unfit vehicle inspection appointment. Licence status remains active	Inspect in accordance to relevant Inspection Manual. Pass = Back in service Fail = Requirement for further unfit inspection
TBC	TBC	Vehicle Licensing	Owner of a licensed vehicle is notified that the licence has been suspended by the compliance team	Vehicle subject to post-licensing compliance activity and is found to have serious defect(s) and suspended. Suspension notice issued. Owner contacts Supplier for inspection.	Validate vehicle details, allocate unfit vehicle inspection appointment Licence status is changed to suspended by TfL	Inspect in accordance to relevant Inspection Manual. Pass = Back in service suspension lifted Fail = Requirement for further unfit inspection
TBC	TBC	Vehicle Licensing	Owner requires replacement of damaged PHV licence discs or other licence materials	Licence discs damaged as a result of a broken screen glass, attempt to remove discs once affixed or removal by police	Validate vehicle details, database updated if applicable, allocate replacement disc appointment	Check vehicle documents, issue and affix replacement discs/licence materials
TBC	TBC	Vehicle Licensing	Owner requires replacement damaged Taxi plate	Taxi plate damaged as a result of a road traffic accident or the vehicle being stolen	Validate vehicle details, allocate replacement plate appointment	Check vehicle documents, issue replacement plates
TBC	TBC	Vehicle Licensing	Owner wishes to affix a personalised number plate	Owner has confirmation from DVLA for change. Owner contacts Supplier for replacement VRM appointment	Update vehicle records. Allocate replacement VRM appointment Validate all documents.	Issue replacement licence and replacement discs or plates. Affix PHV discs

TBC	TBC	Vehicle Licensing	Owner wishes to obtain a dual Epsom and Ewell licence	Owner is already licensed and has duality authorisation from Epsom and Ewell or owner has received duality authorisation before obtaining LTPH licence	Validate vehicle records and documentation. Allocate licensing or special (Epsom and Ewell) inspection.	Carry out licensing inspection in accordance to relevant inspection manual - Issue dual licence (status active)/refuse
TBC	TBC	Vehicle Licensing	Cancellation	Owner wishes to cancel an appointment	Confirm identity of caller and check vehicle details	Cancel appointment - In line with the Authorities business rules Refer caller to TfL for advice on refund if authorised by TfL
TBC	TBC	Vehicle Licensing	Reschedule/Reallocate	Owner wishes to reschedule an appointment and is referred to the call centre	Confirm identity of caller and check vehicle details Reschedule appointment - In line with the Authorities business rules	Within agreed notice period (24hrs MHC) – NFA/Outside of agreed notice period – process payment, refer customer to TfL for refund if authorised by TfL
TBC	TBC	Vehicle Licensing	Multiple vehicle bookings	Fleet manager/Owner wishes to book/reschedule/reallocate multiple vehicles for inspections and has been referred to outbound agent	Validate vehicle details, process applications, take payment, allocate inspection appointments	Inspect in accordance to relevant Inspection Manual. Issue (status active) /refuse licences
TBC	TBC	Vehicle Licensing	Timing of MHC reminder letters	Owner's vehicle licence is due to expire in 42 days	Send expiry reminder letter/email to owner	Owner contacts call centre – appointment booked/Owner fails to contact call centre - NFA
TBC	TBC	Vehicle Licensing	Timing of PHV reminder letters	Owner's vehicle licence is due to expire in 42 days	Send provisional appointment to owner for a date up to 42 days before expiry	Owner contacts call centre – appointment confirmed or alternative booked / Owner fails to contact call centre- NFA
TBC	TBC	Vehicle Licensing	Owner has a complaint	Owner would like to complain about service	Complaint investigated	Appropriate response sent to customer with reason for decision recorded on system. Any errors identified should be highlighted to TfL.

TBC	TBC	Vehicle Licensing	Owner has a complaint	Owner would like to complain about TfL	Complaint escalated to TfL investigated	N/A
TBC	TBC	Vehicle Licensing	Identification of licence status	Clear definition of vehicle licence statuses maintained on database following relevant activity	Active Abandoned Expired Suspended Revoked Renewal Surrendered	N/A
TBC	TBC	Vehicle Licensing	Production of vehicle licences and vehicle identifiers/vehicle signage	Referred to in appendices	Referred to in appendices	Referred to in appendices
TBC	TBC	Vehicle Licensing	Owner changes name/address	Owner submits a completed vehicle licence (on the reverse) requesting a change of name/address	Licence validated and database updated Details passed to Other Licensing Teams (Driver/Operator)	Licence re-issued (status active)/more validation required (status active)
TBC	TBC	Vehicle Licensing	Owner surrenders licence	Request submitted by owner to surrender licence	Licence details validated and database updated	Licence abandoned/more validation required (status active)
TBC	TBC	Vehicle Licensing	Owner loses vehicle licence	Owner loses vehicle licence and requests duplicate by completing 'Police lost in streets' form	Police lost in streets form/ref number received, validate vehicle documents and update database.	Re-issue (status active)/ refuse new vehicle licence (status active)
TBC	TBC	Vehicle Licensing	Subsequent Payment Failure	Where notification is received that a payment taken has subsequently failed (e.g. Bounced cheque, chargeback etC)	Supplier should make contact with customer to request contact payment is made by alternative means. (First contact should be via phone where ever possible)	Where contact not successful Letter should be issued requesting payment and confirming consequences of non payment (rejection of application if new application and revocation of licence if licence) Where payment is not received in 28 days, letter should be issued confirming appropriate action has been taken (Rejection or revocation as appropriate). TfL to be informed of all debt to be written off.

TBC	TBC	Vehicle Licensing	Customer unknowingly buys a licensed vehicle	Customer wishes to licence a vehicle that is already licensed	Vehicle and ownership details validated with DVLA and V5 Current licence abandoned Owner directed to call centre to book licensing inspection	Vehicle licence issued /(status active)licence not issued Inspection may be required
TBC	TBC	Vehicle Licensing	Congestion charge/ULEZ enquiries	Enquiry received from vehicle owner who has received a congestion charge penalty notice.	Enquiries made to find out whether vehicle was licensed on relevant date.	Status of licence on relevant date confirmed.
TBC	TBC	Vehicle Licensing	Correspondence	Correspondence received via letter, fax or e-mail.	Correspondence reviewed and passed to relevant member of team to respond.	Appropriate response sent to customer with reason for decision recorded on system. Any errors identified should be highlighted to TfL.
TBC	TBC	Vehicle Licensing	Telephone queries	Customer calls LTPH with a vehicle query	Person identified by asking security questions. Details validated Query referred to relevant person or dealt with immediately	Appropriate response provided to customer with reason for enquiry and response recorded on system. Any errors identified should be highlighted to TfL
TBC	TBC	Vehicle Licensing	Customer fails retest inspection and requires a refund	Customer's vehicle fails retest appointment and is entitled to Grant of Licence refund (Has to be Authorised by TfL)	Payee details confirmed. Details logged	Money returned to payee via channel payment made. Where this is not possible the payment should be made via cheque.
TBC	TBC	Vehicle Licensing	Customer fails to attend licensing inspection appointment and requires refund	Customer fails to attend licensing inspection due to circumstances within or beyond their control	Payee details confirmed. Details logged	Where failure to attend was within the owner's control – Refund the Grant of Licence (GOL) fee only at The Authorities instruction This should be determined on a case by cases basis. Money returned to payee via channel payment made. Where this is not possible the payment should be made via cheque.

TBC	TBC	Vehicle Licensing	Customer fails to attend licensing inspection appointment and requires refund	Customer fails to attend licensing inspection due to circumstances within or beyond their control	Payee details confirmed. Details logged	Where the circumstances were beyond the owner's control - Grant full refund - only at The Authorities instruction This should be determined on a case by cases basis. Money returned to payee via channel payment made. Where this is not possible the payment should be made via cheque.
TBC	TBC	Vehicle Licensing	Customer cancels licensing appointment and requires a refund	Customer calls the SGS (?) call centre to cancel licensing appointment and requires a refund.	Payee details confirmed. Details logged	Less than 24 hour notice given period and within owner's control – GOL only - only at The Authorities instruction Money returned to payee via channel payment made. Where this is not possible the payment should be made via cheque. More than 24 hours notice given – full refund Less than 24 hours notice period, but beyond owner's control – Full refund at The Authorities instruction
TBC	TBC	Vehicle Licensing	Freedom of Information (FOI) and Environmental Information Regulations (EIR) requests	Customer requests information under either the FOI or EIR legislation.	Supplier to provide relevant information within agreed timescales. Complex cases are to be escalated to TfL within agreed timescales	TfL to sign off any FOI disclosures
TBC	TBC	Vehicle Licensing	Subject Access Request (SAR)	Customer requests personal information under SAR legislation	Supplier to provide relevant information within agreed timescales. Where TfL hold some or part of the information it is to be escalated to TfL within agreed timescales	

TBC	TBC	Vehicle Licensing	3rd Party Requests for Access to Personal Data	a) Police and statutory law enforcement agencies: request information re an applicant/licensee	Escalate to TfL	Follow TfL decision
TBC	TBC	Vehicle Licensing	3rd Party Requests for Access to Personal Data	b) Other third parties, primarily solicitors and insurance companies: request information re an applicant/licensee	Supplier to provide relevant information within agreed timescales. Where TfL hold some or part of the information it is to be escalated to TfL within agreed timescales	
TBC	TBC	Vehicle Licensing	Reporting of stolen vehicle	Owner reports that the vehicle has been stolen and has been reported to the police.	Information recorded on database. Owner advised to keep TfL updated - Crime reference number supplied If vehicle licence is active should be suspended until further information is supplied.	If vehicle is recovered vehicle to be inspected. If police discharge case as unresolved, owner returns paper licence and status abandoned
TBC	TBC	Vehicle Licensing	Suspension or revocation of vehicle licence	Owner notified that they have failed to comply with the conditions of the PHV or Taxi legislation, and their vehicle licence is to be suspended or revoked	Case prepared and sent to TfL regarding non compliance with recommended action	Follow TfL decision
TBC	TBC	Vehicle Licensing	Modifications	Vehicle has been altered or modified since manufacturer and the owner requests approval	Modification appointment booked Vehicle details validated in accordance with relevant inspection manual	Modification approved – system and licence updated Modification declined – customer advised of outcome
TBC	TBC	Vehicle Licensing	Appeals	Vehicle fails a licensing inspection and would like to appeal against the decision	Owner instructed to make informal appeal with inspection team leader. Owner informed of formal appeal procedure as part of failure process	Team leader/TfL agrees with decision and accepted by owner – NFA Team leader agrees with decision and not accepted by owner – owner lodges formal appeal (must be within 28 days of licensing inspection (MHC), 21 days of inspection (PHV)
TBC	TBC	Vehicle Licensing (Taxi Only)	Change of ownership	Completed vehicle licence received for a change of ownership to a licensed Driver or approved proprietor	Licence validated (declarations and V5 provided), database updated.	Licence re-issued via the print partner or inspection centre more validation required
TBC	TBC	Vehicle Licensing (Taxi Only)	Unapproved proprietor wishes to own, or already owns a licensed vehicle	Owner has been sent an email of what is required and returned completed CRB form	CRB results checked Trace results considered and recommendation escalated to TfL	Follow TfL decision

TBC	TBC	Vehicle Licensing (Taxi Only)	TfL agree to tariff change	TfL agrees the tariff increase for implementation	Distance-drop calculation carried out Seals and charts distributed to Taxi installers Info circulated to all relevant parties	Possible TfL presence at Tariff change sites
TBC	TBC	Vehicle Licensing (Taxi Only)	Vehicle licence plate is stolen	Customer confirms vehicle licence plate being stolen.	Customer advised to provide crime ref details Database updated Where required inspection booked	New plate number issued
TBC	TBC	Vehicle Licensing (Taxi Only)	Installer requires meter seals	Taximeter installer requests meter seals	Count amount of seals requested, verify, weigh seals and post to customer. Include receipt for signature.	Seals issued and receipt signed.
TBC	TBC	Vehicle Licensing (Taxi Only)	advertisement on vehicle	Owner/Company requires advice re vehicle advertising	Owner/Company referred to advertising guidelines	Adverts not covered by guidelines referred to TfL
TBC	TBC	Vehicle Licensing (Taxi Only)	A complaint has been received in relation to owner's vehicle	A complaint is received from the public regarding a licensed vehicle and referred to TfL for investigation	Suitable complaint inspection arranged with Supplier in liaison with Compliance Team	Inspection passed – NFA/ Inspection failed – Unfit issued
TBC	TBC	Vehicle Licensing (Taxi Only)	Owner has not presented vehicle for retest within 28 days	Owner fails to present vehicle for retest within the 28 days of licensing inspection	Owner contacted and advised of options available to prevent the renewal of the application	Extend period/renew application at The Authorities discretion
TBC	TBC	Vehicle Licensing (PHV Only)	Road User charging admin compliance	Possible monitoring of PHV fleet to ensure vehicles are not licensed in order to avoid paying the congestion charge.	List of licensed vehicles reviewed each week to identify suspect vehicles. The owners of vehicles identified are contacted for proof vehicle is being used as a PHV.	Details of vehicles identified where it is suspected they have been licensed to avoid paying the congestion charge are sent to TfL.
TBC	TBC	Vehicle Licensing (PHV Only)	Change of ownership	Vehicle licence returned for change of ownership to be carried out.	Information on returned licence reviewed and if completed correctly change of ownership carried out on system and new licence issued.	Updated licence issued showing new owner details. If incomplete the vehicle licence is returned requesting the missing information.
TBC	TBC	Vehicle Licensing (PHV Only)	Complaints handling	Complaint received about a licensed PHV.	Complaint is logged and investigated to establish whether any further action is required.	Vehicle owner is sent letter or email informing them about the complaint received and what action is to be taken. Alternatively vehicle owner is not sent letter if it is decided no further action is required.
TBC	TBC	Vehicle Licensing	Exemptions	Request received for vehicle to be exempt from one of the licensing requirements	Exemption request reviewed and forwarded to TfL for a decision to be made.	Exemption request is either approved or rejected. Letter /email is then sent out to vehicle owner informing them of the decision.

TBC	TBC	Vehicle Licensing	Reporting of vehicle accident	Owner reports that the vehicle has been involved in an accident and provides details of the damage sustained and when the accident occurred.	Information recorded on database. If the damage is significant owner advised wether an accident appointment is required Make accident inspection appointment	If vehicle pass inspection NFA. If vehicle fails inspection the disks/plates should be returned and the vehicle suspended.
TBC	TBC	Vehicle Licensing	Reporting of stolen licence or discs	Owner reports that the licence and /or discs have been stolen and have been reported to the police.	Information recorded on database. Owner advised to keep office updated.	If licence only is stolen, Issue replacement licence. If discs are stolen, reissue discs
TBC	TBC	Vehicle Licensing	Owner requires red route signage	Licensed operator sends completed red route signage application form	Operator and vehicle details validated Database updated	Sticker pack(s) issued / not issued.
TBC	TBC	Vehicle Licensing	Validation of MOTs using DVSA interface	MOT detail to be verified on the DVSA website	Validate date of MOT in accordance to the inspection manual and licensing criteria	If MOT is valid and within date, proceed with the inspection as per the licensing manual If MOT is not valid or out of date Vehicle to be failed
TBC	TBC	Vehicle Licensing	Rules for being able to amend Customer Account and record data using the customer account management functionality.	Not currently carried out	TBC	Business rules to be developed
TBC	TBC	Vehicle Licensing	Business rule for validating whether a customer address matched DVLA data.	Validation at point of inspection is through presented documentation. Post licensing validation assumed through declaration. Both scenarios are represented above. A business rule for an electronic link would need to be developed.	TBC	Business rules to be developed
TBC	TBC	Vehicle Licensing	Validation of new vehicle owner.	Validation at point of inspection is through presented documentation. Post licensing validation assumed through declaration. Both scenarios are represented above. A business rule for an electronic link would need to be developed.	TBC	Business rules to be developed