



Enforcement Operations Agreement

Schedule 2

Enforcement Operations Statement of Requirements

Service Operations Directorate
Transport for London
4th Floor, Palestra
197 Blackfriars Road
Southwark London SE1 8NJ

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.

Table of Contents

APPENDICES	4
1. NOTICE PROCESSING LIFECYCLE	8
1.1 General Notice Processing	8
1.2 Warning Notices	14
2. RECEIPT OF CONTRAVENTION RECORDS AND ISSUING PCN(S)	15
2.1 On-Street PCN(s)	16
2.2 Central London Congestion Charging Scheme and Greater London Low Emission Zone Scheme	18
2.3 DTES Generated Contravention Types.....	20
2.4 DVLA Look up.....	22
2.5 Pre Debt-Registration DVLA Check	25
2.6 DVLA Superseded	25
3. FOREIGN AND DIPLOMATIC VEHICLES	28
3.1 Foreign Vehicles.....	28
3.2 Diplomatic Vehicles.....	30
4. DEBT ESCALATION AND MANAGEMENT	31
4.1 Representations	31
4.2 Representations - Additional Evidence Process	36
4.3 Late Representations	37
4.4 Third Party Representations.....	39
4.5 Appeals.....	40
4.6 Appeals – Additional Evidence	48
4.7 Appeals – Outcome Receipt	50
4.8 Appeals – Review	51
4.9 Appeals – Withdrawn	52
4.10 Appeals – Costs.....	52
4.11 Application For Debt Registration	53
4.12 Receipt of Statutory Declarations	56
4.13 Issue of Bailiff Warrants of Execution to Bailiffs	59
4.14 Out of Time Statutory Declarations	63
4.15 N244 Applications	67
4.16 Legal Claims	69
4.17 Escalations.....	71
5. CUSTOMER SERVICES	73

5.1	Customer Interactions.....	73
5.2	Telephone Services.....	74
5.3	Payments.....	80
5.4	Handling Payments via Post.....	82
5.5	Dispensation.....	83
5.6	Complaints.....	85
5.7	Refunds.....	87
6.	INBOUND AND OUTGOING CORRESPONDENCE.....	91
6.1	Inbound Mail and Scanning.....	91
6.2	Outbound Mail.....	93
7.	GENERAL PENALTY CHARGE HANDLING AND SEARCH FUNCTIONALITY.....	95
7.1	General Penalty Charge Search Functionality.....	95
7.2	Call Recording.....	96
7.3	Penalty Charge Cancellation.....	98
7.4	Penalty Charge Suspensions.....	99
7.5	Quality Monitoring.....	100
7.6	Batch Processing.....	101
7.7	Workflow.....	103
7.8	Word Processing.....	107
8.	REPORTING.....	109
8.1	MIS.....	109
9.	WEB.....	110
9.1	General Information.....	110
9.2	General Web.....	110
9.3	Contravention Viewing.....	111
9.4	Contravention Viewing (Videos).....	112
9.5	Contravention Viewing (Images).....	112
9.6	Representations for CC and TE.....	112
9.7	Dispensation.....	113
9.8	Enquiry / Complaint.....	113
9.9	Payment of Penalty Charge.....	114
10.	INTEROPERABILITY.....	115
10.1	General.....	115
	SECTION 11: MOBILE APPLICATION.....	115
11.1	Mobile Application.....	115

APPENDICES

Appendix 01 Notice Types and Progression

Appendix 02 Notice Templates and the Merge Field Guide

Appendix 03 PCN Insert

Appendix 04 Warning Notices

Appendix 05 Legislation Guidance

Appendix 06 MIS Data Requirements Overview

Appendix 07 Contravention Matrix

Appendix 08 TEC Code of Practice Template

Appendix 09 TfL Business Rules

Appendix 10 Evidential Record Template

Appendix 11 London Council Contravention Code List and Description

Appendix 12 Responses to DVLA Enquiries

Appendix 13 Finance Best Practice

Appendix 14 PCN Write Off Policy

Appendix 15 Appeal Pack

Appendix 16 PATAS Appeal Form Template

Appendix 17 Dispensation Pack

Appendix 18 Reason Codes

Appendix 19 Refunds Policy

Appendix 20 Outgoing Correspondence

Appendix 21 Returned Mail Handling Criteria

Appendix 22 Challenge Pack

Appendix 23 Interface Catalogue

Appendix 24 Data Retention

Appendix 25 Enforcement Volumes

Appendix 26 Enforcement Interface Failover Thresholds

Appendix 28 Information Compliance

Appendix 30 Manual DVLA Enquiries

Appendix 31 Handling Evidence

Appendix 32 ELISE CUG Code of Connections

Appendix 33 Secure Handling and Classification of Information

STATEMENT OF REQUIREMENTS

This document, along with its appendices, is part of schedule 2 (Statement of Requirements) of the Enforcement Operations Agreement. Schedule 2 provides the requirements for the Notice Processing, MIS, Finance, Interoperability and General Service Elements.

This document should be read in conjunction with other component documents of the Agreement as these play an integral part in understanding the requirements set out in this document.

Definitions of terms used in this document are contained in Schedule 1 (Definitions).

In meeting the Requirements set out in this Schedule 2: Statement of Requirements (Enforcement Operations) the Service Provider shall at all times ensure that the Requirements are delivered in accordance with Clause 4 (TfL Objectives) of this Agreement.

The structure and layout of this document is ordered into sections. Each section has a heading with an introductory statement. This is followed by sub-headings containing requirements. Each requirement has two rows containing the following information (see example of layout of Statement of Requirements):

- Requirement number;
- Mandatory; and
- Requirement detail.

Example of Layout of Statement of Requirements

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

The Requirement number indicates the number of the individual Requirement and is made up of one (1) letter and three (3) numbers. The letter indicates the Statement of Requirements to which this requirement relates to (e.g. E = Enforcement Operations). The first number relates to the section number, the second number relates to the sub-section and the third number relates to the Requirement number within that sub-section

The Service Provider shall ensure that a mandatory Requirement is met.

Where a new requirement has been created it may have a letter added at the end of the requirement number, for example E 4.1.1b. The letter has been added to the requirement to ensure correct sequencing, it does not indicate a sub-requirement.

1. NOTICE PROCESSING LIFECYCLE

1.1 General Notice Processing

This section sets out the general requirements relating to Notice Processing Service Systems for each Contravention Type. The Service Provider shall be required to produce and issue Statutory Notices and other relevant documents (for example, Warning Notices) to the Registered Keeper or Person Liable (as appropriate). Statutory Notices shall be progressed in accordance with the requirements for each Contravention Type and in accordance with appendix 1: Notice Types and Progression. The Enforcement Operations Service Provider shall ensure that the Notice Processing Services comply with relevant Laws.

Requirement expires on ULEZ Operational Commencement Date

E 1.1.1		Mandatory
---------	--	-----------

The Service Provider shall provide Notice Processing services for the following Contravention Types:

- Central London Congestion Charging Scheme;
- Greater London Low Emission Zone Charging Scheme;
- Bus Lanes Contraventions;
- Moving Traffic Contraventions;
- On-Street Contravention(s); and
- CCTV Parking Contravention(s).

Requirement applicable from ULEZ Operational Commencement Date

E 1.1.1	ULEZ Amend	Mandatory
---------	------------	-----------

The Service Provider shall provide Notice Processing services for the following Contravention Types:

- Central London Congestion Charging Scheme;
- Greater London Low Emission Zone Charging Scheme;
- Ultra Low Emission Zone
- Bus Lanes Contraventions;
- Moving Traffic Contraventions;

- On-Street Contravention(s); and
- CCTV Parking Contravention(s).

E 1.1.2		Mandatory
The Service Provider shall ensure that all Notice Processing services comply with all relevant parking and traffic enforcement legislation, including (without limitation) the legislation referred to in appendix 5: Legislation Guidance.		

E 1.1.3		Mandatory
The Service Provider shall ensure that all Notice Processing services comply with the relevant Central London Congestion Charging Scheme and Greater London Low Emission Zone Charging Scheme, Traffic Management Acts and all other applicable Law, including (without limitation) the legislation referred to in appendix 5: Legislation Guidance.		

E 1.1.4		Mandatory
The Service Provider shall comply with any future amendments and developments in relevant legislation and any other related policies and guidance(subject where relevant, to the Change Control Procedure).These include but are not limited to: • legislative changes in the traffic enforcement area; • recommendations, formal or informal, made by the Parking and Traffic Appeals Service (PATAS) or Adjudication Service(s); • Central London Congestion Charging Scheme changes; • Greater London Low Emission Zone Charging Scheme changes; • recommendations made by the London Council(s); • policy decisions made (for any other reason) by TfL; • Local Government Ombudsmen recommendation; and • court decisions.		

E 1.1.5		Mandatory
The Service Provider shall ensure that each Penalty Charge is progressed through every stage of the Notice Processing lifecycle in accordance with appendix 1: Notice Types and Progression.		

E 1.1.6		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to identify when a Vehicle Registration Mark has incurred more than one (1) Penalty Charge on the same Contravention date, for any Contravention Types.		

E 1.1.7		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to Suppress Penalty Charges for a VRM in accordance with directions that may be given by TfL requiring the number of PCNs issued to be limited within a Parameterised period and by Contravention Type.		
E 1.1.8		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to permit TfL to prioritise a Contravention Type when the total number of Penalty Charge Notices to be issued has been limited as may be directed by TfL.		
E 1.1.9		Mandatory
The Service Provider shall, on receipt of a Contravention Record, create a Penalty Charge Record and assign a unique number to the Penalty Charge Record using the numbering system and algorithm as set out in appendix 8: TEC Code of Practice Template.		
E 1.1.10		Mandatory
The Service Provider shall create an Automated Payment Reference in respect of each Penalty Charge Record irrespective of the Contravention Type and include this Automated Payment Reference on the Penalty Charge Notice.		
E 1.1.11		Mandatory
The Service Provider shall assign prefixes to each individual Penalty Charge for each relevant Contravention Type in accordance with appendix 8: TEC Code of Practice Template.		
E 1.1.12		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) automatically identifies the next progression of each Penalty Charge in the Notice Processing lifecycle in accordance with appendix 1: Notice Types and Progression.		
E 1.1.13		Mandatory
The Service Provider shall ensure that Statutory Notices for all Contravention Types as set out in appendix 1: Notice Types and Progression are updated on the relevant Penalty Charge Record event history of the Notice Processing Service System(s) to confirm the action taken in relation to the associated Penalty Charge.		
E 1.1.14		Mandatory

The Service Provider shall ensure that Statutory Notices for each Contravention Type as set out in appendix 1: Notice Types and Progression are populated in accordance with appendix 2: Notice Templates and The Merge Field Guide.		
--	--	--

E 1.1.15		Mandatory
The Service Provider shall ensure that Warning Notices for each Contravention Type as set out in appendix 1: Notice Types and Progression are populated in accordance with appendix 2: Notice Templates and The Merge Field Guide.		

E 1.1.16		Mandatory
The Service Provider shall ensure that the appropriate Statutory Declaration form is included with the Order for Recovery for all Contravention Types set out in appendix 1: Notice Types and Progression and appendix 2: Notice Templates and The Merge Field Guide.		

E 1.1.17		Mandatory
The Service Provider shall ensure that Statutory Notices for each Contravention as set out in appendix 1: Notice Types and Progression are printed and posted to the Registered Keeper/Person Liable of a Vehicle in accordance with schedule 5: Service Level Agreement.		

E 1.1.17b		Mandatory
The Service Provider shall ensure that, where possible, and at TfL's request , in addition to requirement E1.1.17, the Notice Processing Service System(s) has the capability to send, via email, Statutory and Non-Statutory Notice for each Contravention as set out in Appendix 1: Notice Types and Progression is emailed to the Registered Keeper/Person Liable of a Vehicle in accordance with Schedule 5: Service Level Agreement.		

E 1.1.18		Mandatory
The Service Provider shall ensure that the corresponding PCN insert (as specified by TfL from time to time, and at no additional cost to TfL) is included with each PCN sent to a Registered Keeper/Person Liable for all Contravention Types, as set out in appendix 3: PCN Insert.		

E 1.1.19		Mandatory
The Service Provider shall ensure that Warning Notices for each Contravention Type as set out in appendix 1: Notice Types and Progression are printed and posted to the Registered Keeper/Person Liable of a Vehicle in accordance with schedule 5: Service Level Agreement.		

E 1.1.20		Mandatory
----------	--	-----------

The Service Provider shall ensure that a copy of each Statutory Notice issued in relation to each specific Contravention Type (as set out in appendix 1: Notice Types and Progression) is retained on the relevant Penalty Charge Record on the Notice Processing Service System(s) within a Parameterised period after being sent to the Registered Keeper/Person Liable.

E 1.1.21		Mandatory
The Service Provider shall ensure that a copy of each Warning Notice issued in relation to each specific Contravention Type (as set out in appendix 1: Notice Types and Progression) is retained on the relevant Penalty Charge Record on the Notice Processing Service System(s) within a Parameterised period after being sent to the Registered Keeper.		

E 1.1.22		Mandatory
The Service Provider shall ensure that changes requested by TfL to Statutory Notices and Warning Letters as set out in appendix 2: Notice Templates and The Merge Field Guide are made at no additional cost to TfL.		

E 1.1.23		Mandatory
The Service Provider shall progress a Penalty Charge through each stage of the Notice Processing lifecycle by issuing statutory and non-statutory enforcement documentation within a Parameterised period (subject to postal delays) and Service Period in accordance with the appendix 1: Notice Types and Progression.		

E 1.1.24		Mandatory
The Service Provider shall ensure that a Penalty Charge(s) is discharged following any one of the following events (but not limited to): • Penalty Charge Payment; • Appeals allowed; or • Penalty Charge Cancelled.		

E 1.1.25		Mandatory
The Service Provider shall ensure the Notice Processing Service System(s)' values are Parameterised. This includes but is not limited to ensuring that the following are Parameterised: • dates and stages throughout the entire Penalty Charge processing lifecycle (including that dates and stages are configurable by Contravention Types); • Warning Notice period (and such period must be configurable);		

- A Suppression Period for subsequent Contraventions (and such period must be configurable);
- Penalty Charges and percentage increases in Penalty Charges;
- levels of Discount;
- Contravention Type;
- Data included on Statutory Notices and non-Statutory Notices; and
- Enforcement reference Data such as Contravention codes, cancellation codes, Write-Off codes and reason codes for accepting and/or rejecting Representations.

E 1.1.26		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) maps the Contravention Record received by Contravention Type and by Contravention Code and that it assigns the appropriate description to such Contravention in accordance with appendix 7: Contravention Matrix and in accordance to appendix 11: London Council Contravention Code List and Description.		

E 1.1.27		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) validates all Contravention Record(s) to be correct by Contravention Type and associated Contravention codes and descriptions and by Contravention location data held as Enforcement reference data within the Notice Processing Service System(s) in accordance with appendix 7: Contravention to Campaign Matrix and appendix 11: London Council Contravention Code List and Description.		

E 1.1.28		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to add the following: • new or changed Contravention Types; • new or changed Contravention codes; • new or changed Contravention locations; and • new or changed Contravention descriptions; at no additional cost to TfL.		

E 1.1.29		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) provides authorised staff access to the TfL DTES in order to view footage of the relevant Contravention.		

E 1.1.30		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) allows Operational Users access to a Knowledge Tool.		

E 1.1.31		Mandatory
The Service Provider shall ensure that all inbound correspondence is responded to in accordance with Schedule 5: Service Level Agreement.		

Requirement applicable from the DVS Enforcement Operational Commencement Date		
DVSE 1.1.32		Mandatory
TfL shall ensure that the Service Provider has access to the DVS Permit Application System in order to view information relevant to a DVS Contravention.		

1.2 Warning Notices

This section sets out the process for issuing Warning Notices to the Registered Keeper as an alternative to a PCN. This may occur when TfL requests the Service Provider to operate a Warning Notice Period to notify Customers of a new Contravention Type or a new location where a restriction covered by an existing Contravention Type is implemented. During a Warning Notice Period, any Vehicle which commits the relevant Contravention Type at the relevant location or is captured by the relevant camera shall be issued with one (1) Warning Notice and shall not be issued a PCN during the Suppression Period.

E 1.2.1		Mandatory
The Service Provider shall issue a Warning Notice instead of a PCN upon instruction from TfL. A Warning Notice may be issued in relation to any Contravention Type as set out in appendix 1: Notice Types and Progression where the Vehicle was captured at a specific location or by a specific camera.		

E 1.2.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) measures the Suppression Period from the date of the first relevant Contravention and issues no Warning Notices or PCNs for any Vehicle that has already received a Warning Notice during that period.		

E 1.2.3		Mandatory
The Service Provider shall ensure that once the Suppression Period has expired a PCN is issued for all subsequent Contraventions for VRMs that have received a Warning Notice, in accordance with appendix 1: Notice Types and Progression.		

E 1.2.4		Mandatory
The Service Provider shall ensure that the Suppression Period can be applied to each Vehicle that has received a Warning Notice using any of, or a combination of, the following criteria (as requested by TfL): • Location specific Warning Notice; • Contravention Type; • a specified duration. The duration specified by TfL, should be an amendable parameter that can be adjusted after the commencement of a Warning Notice period.		

E 1.2.5	CCR006 New	Mandatory
The Service Provider shall ensure that when considering whether to suppress further PCNs as part of the Warning Notice period or issue a PCN, the following unique identifiers are considered: * VRM *Registered Keeper name / business name and Postcode Example: If the same Vehicle is seen more than once but with new Registered Keeper details, a Warning Letter will be sent to each of the Registered Keepers and each will have independent grace periods.		

2. RECEIPT OF CONTRAVENTION RECORDS AND ISSUING PCN(S)

This section sets out the requirements for the receipt of Contravention Records from various sources as described below, and the subsequent issuing of PCN(s) to the Registered Keeper/Person Liable in accordance with the Notice Processing lifecycle as set out in appendix 1: Notice Types and Progression. Contravention Records will be received from the following sources:

- On Street Civil Enforcement Operation(Parking);

- DTES; and
- Business Operations Service Provider.

2.1 On-Street PCN(s)

This section sets out the requirements for the receipt of Contravention Records relating to On-Street PCN(s) by the Notice Processing Service System(s) in respect of parking contraventions.

The key features of On-Street PCN(s) include, but are not limited to:

- On-Street PCN(s) are recorded and served on a contravening VRM by a Civil Enforcement Officer;
- On-Street PCN(s) can either be issued from a handheld device or handwritten by a Civil Enforcement Officer for processing on the Notice Processing Service System(s); and/or
- if the Civil Enforcement Officer is unable to serve a PCN, the Penalty Charge shall still be progressed through the Notice Processing Service System(s) and the PCN served by post. A Civil Enforcement Officer will be unable to serve a PCN if, for example, the vehicle has driven away or the Civil Enforcement Officer is prevented from serving the PCN due to the conduct of some person.

The Service Provider shall progress all Penalty Charges in accordance with the requirements set out in appendix 1: Notice Types and Progression.

E 2.1.1		Mandatory
The Service Provider shall upload to the Notice Processing Service System(s) files containing the Contravention Records associated with all On-Street PCN(s) received from: • the TfL On-Street Interface in accordance with appendix 23: Interface Catalogue and appendix 25: Enforcement Volumes. • the designated postal channel for receipt of handwritten PCN(s) the On-Street PCN Postal Channel in accordance with appendix 23: Interface Catalogue and appendix 25: Enforcement Volumes.		
E 2.1.2		Mandatory

The Service Provider shall ensure that files containing the Contravention Record associated to each on-street PCN are uploaded to the Notice Processing Service System(s) within (1) one Working Day of receipt of the same from the source.		
--	--	--

E 2.1.3		Mandatory
The Service Provider shall ensure the Notice Processing Service System(s) is updated with enforcement reference data received from TfL, within one (1) Working Day of receipt (and before processing Contravention Records). The enforcement reference data shall include: • Civil Enforcement Officer name; • Civil Enforcement Officer number; • location description; and • any other enforcement reference data provided by TfL from time to time.		

E 2.1.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to monitor the TfL On-Street Interface and On-Street PCN Postal Channel and issue alerts to TfL when any of the following occurs: • file loading has failed; • the file has loaded but cannot be processed by the Notice Processing Service System(s); or • handwritten PCN(s) are received but are not able to be loaded to the Notice Processing Service System(s).		

E 2.1.5		Mandatory
The Service Provider shall send an acknowledgement to the TfL On-Street Interface when a file has been successfully received from it and shall generate a Penalty Charge Record for the relevant Contravention Record.		

E 2.1.6		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) associates an On-Street PCN(s) to the system generated Penalty Charge Record.		

E 2.1.7		Mandatory
The Service Provider shall ensure that additional information received from the TfL On-Street Interface or via the On-Street PCN Postal Channel is associated with the relevant Penalty Charge Record.		

E 2.1.8		Mandatory
The Service Provider shall associate the On-Street PCN unique reference with the Penalty Charge Record generated by the Notice Processing Service System(s).		

E 2.1.9		Mandatory
The Service Provider shall progress the relevant On-Street Penalty Charge in accordance with the Notice Processing lifecycle as set out in appendix 1: Notice Types and Progression.		

E 2.1.10		Mandatory
The Service Provider shall use the unique On-Street PCN reference when issuing a Notice to Owner and all subsequent Statutory Notices.		

E 2.1.11		Mandatory
The Service Provider shall ensure that when a Civil Enforcement Officer is unable to serve an On-Street PCN, a DVLA check is undertaken to obtain the Registered Keeper details prior to progressing the Penalty Charge in accordance with appendix 1: Notice Types and Progression.		

2.2 Central London Congestion Charging Scheme and Greater London Low Emission Zone Scheme		
This section sets out the interactions between the Service Provider and the Business Operations Service Provider in relation to the import of Contravention Candidates in to the Notice Processing Service System whereupon; such Contravention Candidates become Contravention Records for the purposes of Enforcement Operations.		

E 2.2.1		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) imports file(s) from the Business Operations Service Provider files containing a copy of each Contravention Candidate in accordance with appendix 23: Interface Catalogue.		

E 2.2.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to ensure that each imported file from the Business Operations Service Provider can be associated with a Session Record as stated in section 6 of schedule 2: Statement of Requirements (Interoperability).		

E 2.2.3		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) confirms that each imported file from the Business Operations Service Provider contains the following information: • VRM; • date; • time; • Camera ID; • Mono Platepatch Image(s) and Mono Contextual, (up to a maximum of five (5)); • a copy of the Evidential Record including the associated Session Record; • Evidential Record ID – to allow viewing of Evidential Records held in the Permanent Evidence Store; • nationality (VRM country of origin); and • relevant Contravention Type.		

E 2.2.4		Mandatory
The Service Provider shall update the Notice Processing Service System(s) with each Contravention Candidate file received from the Business Operations Service Provider.		

E 2.2.5		Mandatory
The Service Provider shall send an acknowledgement when files containing Contravention Candidates are successfully received from the Business Operations Service Provider(s).		

E 2.2.6		Mandatory
The Service Provider shall alert TfL immediately if a Contravention Candidate file fails to import to the Notice Processing Service System(s) and shall resolve such failure in accordance with appendix 26: Enforcement Interface Failover Thresholds.		

E 2.2.7		Mandatory
The Service Provider shall diagnose the reason for the Contravention Candidate file import error and advise TfL of the reason in accordance with Schedule 2 General Statement of Requirements: Incident Management Process..		

E 2.2.8		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) populates the Contravention location from a reference table, provided by TfL, based on the Camera ID and date of the Contravention contained within the Contravention Candidate received.		

The Contravention location may change from time to time and the reference table must therefore include the following:

- Camera ID;
- start date;
- end date; and
- Contravention location.

E 2.2.9		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) maps the Contravention Candidate received by Contravention Type and by Contravention Code and that it assigns the appropriate code and description to such Contraventions in accordance with appendix 11: London Council Contravention Code List and Description.		

E 2.2.10		Mandatory
The Service Provider shall obtain Registered Keeper and Vehicle details from the DVLA or TfL Authorised Agents for all Contravention Record asset out in appendix 12: Responses to DVLA Enquiries.		

E 2.2.11		Mandatory
The Service Provider shall include the Mono Platepatch Image(s) and Mono Contextual image(s) of the related Contravention Types on the PCN. Such images may require sizing to fit the template in accordance with appendix 2: Notice Templates and The Merge Field Guide.		

2.3 DTES Generated Contravention Types

This section sets out the interactions between the Service Provider and the DTES Service Provider in relation to the import of Contravention Records into the Notice Processing Service System from the DTES.

E 2.3.1		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) receives a file from the DTES Service Provider containing a copy of each Contravention Record in accordance with appendix 23: Interface Catalogue.		

E 2.3.2		Mandatory
---------	--	-----------

The Service Provider shall update the Notice Processing Service System(s) with Contravention Record(s) received from the DTES Service Provider.		
---	--	--

E 2.3.3		Mandatory
The Service Provider shall send an acknowledgement to the DTES Service Provider when a file containing Contravention Record(s) has been successfully received from the DTES Service Provider, in accordance with appendix 23: Interface Catalogue.		

E 2.3.4		Mandatory
The Service Provider shall, in collaboration with the relevant TfL Third Party, develop and submit to TfL for Approval (prior to being implemented) its proposal for the functionality and process for managing the retention of DTES Evidential Record(s) in accordance with appendix 24: Enforcement Operations) and, when Approved, comply with the functionality and process of such proposal.		

E 2.3.5		Mandatory
The Service Provider shall transfer all Dispensations approved by TfL to the DTES Service Provider as set out in appendix 23: Interface Catalogue.		

E 2.3.6		Mandatory
The Service Provider shall ensure the Notice Processing Service System(s) is updated immediately with enforcement reference data received from TfL and the DTES Service Provider before processing the daily Contravention Records in accordance with appendix 23: Interface Catalogue.		

E 2.3.7		Mandatory
The Service Provider shall ensure a workaround is available to receive and process enforcement reference data. The Service Provider shall submit to TfL for Assurance (prior to being implemented) its proposal for such workaround.		

E 2.3.8		Mandatory
The Service Provider shall alert TfL immediately if a Contravention Record file fails to import to the Notice Processing Service System(s) and shall resolve such failure in accordance with appendix 26: Enforcement Interface Failover Thresholds.		

E 2.3.9		Mandatory
The Service Provider shall diagnose the reason for the Contravention Record file import error and advise TfL of the reason in accordance with Schedule 2: General Statement of Requirements, Incident Management Process.		

E 2.3.10		Mandatory
----------	--	-----------

Not used

2.4 DVLA Look up

This section sets out the process by which the Service Provider must obtain valid Vehicle and Registered Keeper details from the DVLA or TfL Authorised Agent in order to validate the Evidential Records. Such details must be obtained from the DVLA or TfL Authorised Agent prior to issuing Statutory or Non-Statutory Notices. Exceptions to the requirements to obtain Registered Keeper details from the DVLA are set out in this section (*DVLA Look up*).

E 2.4.1		Mandatory
---------	--	-----------

The Service Provider shall securely connect to the DVLA or TfL Authorised Agent to obtain DVLA data in accordance with appendix 23: Interface Catalogue.		
--	--	--

E 2.4.2		Mandatory
---------	--	-----------

The Service Provider shall request Registered Keeper details from the DVLA on receipt of the Contravention Candidate file from the Business Operations Service Provider.		
--	--	--

This requirement is applicable to the CC, LEZ (including ULEZ) and DVS		
---	--	--

E 2.4.3	On-Street	Mandatory
---------	-----------	-----------

The Service Provider shall request, for On-Street PCN(s), the Registered Keeper and Vehicle details from the DVLA for each Contravention Record and this shall happen after the PCN remains unpaid for a Parameterised period in accordance with appendix 1: Notice Types and Progression.		
--	--	--

E 2.4.4		Mandatory
---------	--	-----------

The Service Provider shall store all responses received from the DVLA against the Penalty Charge Record in respect of On-Street PCN(s) and against the Contravention Record for CC and LEZ Schemes, including failed responses, in accordance with appendix 12: Responses to DVLA Enquiries.		
--	--	--

E 2.4.5		Mandatory
---------	--	-----------

The Service Provider shall report to the DVLA the non-receipt of all or part of the Registered Keeper and Vehicle details requested by it within the expected timeframe in accordance with section 4, appendix 12: Responses to DVLA Enquiries.		
---	--	--

E 2.4.6		Mandatory
---------	--	-----------

The Service Provider shall re-request Registered Keeper details if specific DVLA Responses Code(s) are returned as set out in appendix 12: Responses to DVLA Enquiries.		
---	--	--

E 2.4.7		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) re-sends all or part of the Registered Keeper and Vehicle details request to the DVLA if the DVLA reports to the Service Provider that it has not received all or part of such request in accordance with appendix 12: Responses to DVLA Enquiries.		

E 2.4.8		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) does not request Registered Keeper and Vehicle details from the DVLA for Contravention Record(s) which have failed the import validation process as detailed in Requirement number E 2.2.2.		

E 2.4.9		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) does not request Registered Keeper and Vehicle details from the DVLA for Contravention Record marked as Nationality = Foreign VRM.		

E 2.4.10		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) does not request Registered Keeper and Vehicle details from the DVLA for Contravention Records where the VRM is listed as a Diplomatic Vehicle in accordance with the Requirements set out in section 3.2 (Diplomatic Vehicles).		

E 2.4.11		Mandatory
The Service Provider shall use the DVLA Response Codes to identify and classify the Contravention Record in accordance with appendix 12: Responses to DVLA Enquiries.		

Requirement expires on ULEZ Operational Commencement Date		
E 2.4.12		Mandatory
The Service Provider shall complete a check to ensure that the Vehicle details submitted to it as part of the original Contravention Candidate record, received from the Business Operations Service Provider for CC and LEZ Contravention Candidates or those recorded on the Penalty Charge Record for On-Street PCNs, matches those captured from the DVLA Response. The details to be checked shall include the following: • make of Vehicle; • model of Vehicle; and		

- colour of Vehicle.

Requirement applicable from ULEZ Operational Commencement Date		
E 2.4.12	ULEZ Amend	Mandatory
The Service Provider shall complete a check to ensure that the Vehicle details submitted to it as part of the original Contravention Candidate record, received from the Business Operations Service Provider for CC, LEZ, ULEZ and from the DVS Enforcement Operational Commencement Date, DVS ULEZ Contravention Candidates or those recorded on the Penalty Charge Record for On-Street PCNs, matches those captured from the DVLA Response. The details to be checked shall include the following: • make of Vehicle; • model of Vehicle; and • colour of Vehicle.		

E 2.4.13		Mandatory
For each Contravention Record which fails the checks as outlined in Requirement number E 2.4.12 above, the Service Provider shall extract the relevant Contravention Record to a separate file for further validation.		

Requirement expires on ULEZ Operational Commencement Date		
E 2.4.14		Mandatory
The Service Provider shall ensure that it sends to the Business Operations Service Provider the extracted file of Contravention Records which have failed the check as outlined in Requirement number E 2.4.12 above and that it requests additional information and evidence which shall determine if the Contravention Record can be progressed in line with appendix 1: Notice Types and Progression. This requirement is applicable to the CC and LEZ Schemes.		

Requirement applicable from ULEZ Operational Commencement Date		
E 2.4.14	ULEZ Amend	Mandatory
The Service Provider shall ensure that it sends to the Business Operations Service Provider the extracted file of Contravention Records which have failed the check as outlined in Requirement number E 2.4.12 above and that it requests additional information and evidence which shall determine if the Contravention Record can be progressed in line with appendix 1: Notice Types and Progression. This requirement is applicable to the CC and LEZ Schemes (including ULEZ).		

E 2.4.15		Mandatory
The Service Provider shall refer to the DVLA Response Codes to further determine whether a PCN should be issued in accordance with appendix 12: Responses to DVLA Enquiries.		

E 2.4.16	CCR006 New	Mandatory
The Service Provider shall ensure that subsequent to PCN Issue, DVLA Registered Keeper checks can be carried out for all Contravention Types via the DVLA look up function.		

E 2.4.17	CCR006 New	Mandatory
The Service Provider shall ensure that all DTES generated Contravention Types are subject to subsequent requests to the DVLA for Registered Keeper details as set out in appendix 12: Response to DVLA enquiries, when the Registered Keeper details are not provided as part of the DTES file export.		

2.5 Pre Debt-Registration DVLA Check

This section sets out the DVLA pre Debt Registration checks that the Service Provider must perform prior to registering a debt against a Customer in relation to an outstanding Penalty Charge.

E 2.5.1		Mandatory
The Service Provider shall request the Registered Keeper details from the DVLA prior to registering a debt by: - repeating the DVLA Registered Keeper details check within a parameterised period before the application for debt registration with TEC takes place; and - processing the data returned in accordance with appendix 30: Manual DVLA Enquiries.		

2.6 DVLA Superseded

This section sets out the process to be followed by the Service Provider upon receipt of Registered Keeper details from the DVLA or TfL Authorised Agent.

All Registered Keeper details returned to the Service Provider by the DVLA or TfL Authorised Agent must be verified against the Notice Processing Service System(s) for (a) any previous Penalty Charges incurred by the same VRM and, (b) the details that currently held for the relevant Registered Keeper/Person Liable.

E 2.6.1		Mandatory
The Service Provider shall ensure that all Registered Keeper details are sourced from the DVLA.		

E 2.6.2		Mandatory
The Service Provider shall ensure that when the DVLA Registered Keeper details are returned from the DVLA, the details are automatically checked against the details held within the Notice Processing Service System(s) for any previous Penalty Charges incurred by the same VRM.		

E 2.6.3		Mandatory
The Service Provider shall ensure that when a previous Penalty Charge is identified on the Notice Processing Service System(s) and the DVLA Data matches that recorded on the Notice Processing Service System(s), the PCN is issued to the Registered Keeper as per the current DVLA return.		

E 2.6.4		Mandatory
The Service Provider shall ensure that when a previous Penalty Charge is identified on the Notice Processing Service System(s), and the DVLA Data differs to that recorded on the Notice Processing Service System(s), and the Contravention falls within the 'From and To' period recorded, the PCN is issued to Registered Keeper/Person Liable whose details are held within the Notice Processing Service System(s).		

E 2.6.5		Mandatory
The Service Provider shall ensure that when a previous Penalty Charge is identified on the Notice Processing Service System(s), and the DVLA data differs to that recorded on the Notice Processing Service System(s), and the Contravention falls outside of the 'From and To' period recorded, the PCN is issued to the Registered Keeper as per the current DVLA return.		

E 2.6.6		Mandatory
The Service Provider shall ensure that Notice Processing Service System(s) identifies the source (i.e. DVLA or superseded data) of the Registered Keeper/Person Liable details and records these within the Penalty Charge Record.		

E 2.6.7		Mandatory
Irrespective of the source of the Registered Keeper/Person Liable details, the Service Provider shall ensure that the Penalty Charge is dealt with in accordance with appendix 1: Notice Types and Progression.		

3. FOREIGN AND DIPLOMATIC VEHICLES

This section sets out the requirements relevant to Foreign VRMs and Diplomatic Vehicles.

3.1 Foreign Vehicles

This section sets out the requirements relevant to the handling of Contravention Records which relate to Foreign VRMs.

E 3.1.1		Mandatory
The Service Provider shall ensure that verified Contravention Records identified as either a Vehicle registered to a driver residing outside the United Kingdom; or Vehicles with a verified non-GB VRM, shall be deemed to be a Foreign VRM.		

E 3.1.2		Mandatory
Where a Vehicle has been deemed a Foreign VRM, the Service Provider shall: • supply a copy of the Contravention Record and associated images to the European Debt Recovery Agency (EDRA) in accordance with appendix 23: Interface Catalogue; • record on the Notice Processing Service System(s) that the Contravention Record and associated images have been sent to the European Debt Recovery Agency (EDRA) including the date of the Contravention and the date of referral to the EDRA; • update the Notice Processing Service System(s) with details of payments and any other correspondence received via the EDRA and linked to Penalty Charge Record; and • update the Notice Processing Service System(s) of any direct payments received by the Service Provider in respect of a Penalty Charge and notifies the EDRA that payment has been discharged either in part or in full.		

E 3.1.3		Mandatory
The Service Provider shall provide the EDRA with all verified and accepted Foreign Contravention Records in a file. The file shall include for each Contravention Record, the following information (without limitation): • VRM; • the assigned Penalty Charge number; • date of Contravention;		

- time of Contravention;
- Penalty Charge;
- location of Contravention;
- images of the Contravention; and
- the Contravention Type.

E 3.1.4		Mandatory
The Service Provider shall write off any outstanding debts for Penalty Charges in respect of Foreign Vehicles which the EDRA have been unable to recover in accordance with appendix 14: PCN Write Off Policy.		
E 3.1.5		Mandatory
The Service Provider shall notify the EDRA no less than seven (7) Working Days before writing off any of the outstanding debts.		
E 3.1.6		Mandatory
The Service Provider shall ensure that Foreign Contravention Records are retained in accordance with appendix 24: Data Retention.		
E 3.1.7		Mandatory
The Service Provider shall update the relevant Penalty Charge Record following notification from the EDRA of changes in the status of the relevant Penalty Charge.		
E 3.1.8		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to receive translated correspondence from EDRA.		
E 3.1.9		Mandatory
The Service Provider shall process and respond to Appeals made to the Adjudication Service for all Foreign Penalty Charges.		
E 3.1.10		Mandatory
The Service Provider shall obtain from the EDRA case histories and copies of relevant documents for the purpose of compiling an Evidence Pack.		
E 3.1.11		Mandatory
The Service Provider shall ensure that all interactions between the Service Provider and the EDRA shall be recorded on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record.		

3.2 Diplomatic Vehicles

This section sets out the requirements relating to the handling of Diplomatic Vehicles, and the creation and maintenance of the Diplomatic List.

E 3.2.1		Mandatory
The Service Provider shall receive a Diplomatic List from TfL for the purposes of issuing a PCN against a Diplomatic Vehicle across all relevant Contravention Types.		

E 3.2.2		Mandatory
The Service Provider shall maintain the Diplomatic List by: • providing a facility to receive and process the data electronically; • providing a facility to receive and process the data when received in hard copy; • ensuring changes to data are effectively recorded and managed; • ensuring that the data is transferred in a secure manner between all parties, in accordance with appendix 23: Interface Catalogue; and • ensuring security measures are in place to restrict and control access levels to the sensitive data in accordance with schedule 14: Security.		

E 3.2.3		Mandatory
The Service Provider shall determine whether a Contravention Record is a Diplomatic Vehicle using the information provided on the Diplomatic List by comparing the syntax of the Contravention Record VRM with that which is listed against each Diplomatic Entities or Organisations.		

E 3.2.4		Mandatory
The Service Provider shall ensure all Contravention Records marked as “diplomatic” are extracted prior to the DVLA Registered Keeper and Vehicle check.		

E 3.2.5		Mandatory
The Service Provider shall ensure that all Diplomatic Vehicles, including those with diplomatic Cherished number plates, still incur Penalty Charges but are removed from the Notice Processing lifecycle as set out in appendix 1: Notice Types and Progression when:		

- issuing Charge Certificates; and
- registering outstanding debts.

4. DEBT ESCALATION AND MANAGEMENT

4.1 Representations

This section sets out the requirements for receiving, investigating and responding to Representations and the processes to be followed when making a decision to either accept or reject a Representation.

A Customer can challenge a Penalty Charge by making a Representation within a parameterised time after receiving a PCN.

The Service Provider shall consider all Representations in accordance with the latest TfL Business Rules and Policy Advice.

E 4.1.1		Mandatory
The Service Provider shall ensure that all Representations are investigated. The investigations shall include but are not limited to: • applying the latest TfL Business Rules as set out in appendix 9: TfL Business Rules; • using TfL Policy Advice; • reviewing camera enforced Contraventions (full length Contravention video footage and photographs, Evidential Records, Permanent Evidence Store); • reviewing evidence for On-Street PCNs; • Metros – The TfL Graphical Information System ‘Signs and Lines’ database (bespoke TfL System); • DVLA Registered Keeper/Person Liable and Vehicle details; • Business Operations Service Provider’s database; • other third party databases; and • Registered Keeper/Person Liable address validation.		

E 4.1.2		Mandatory
---------	--	-----------

The Service Provider shall ensure that for all Representations received via all channels are processed in accordance with appendix 9: TfL Business Rules for the relevant Contravention Type.		
---	--	--

E 4.1.3		Mandatory
The Service Provider shall ensure that Additional Evidence is requested from the Registered Keeper/Person Liable where insufficient evidence exists to reach a conclusion regarding a Representation. The Additional Evidence process is detailed further in section 4.2 (<i>Representations – Additional Evidence Process</i>).		

E 4.1.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) records the date of receipt of the relevant Representation and links it to the relevant Penalty Charge Record. This may differ from the date scanned on the Notice Processing Service System(s).		

E 4.1.5		Mandatory
The Service Provider shall ensure that upon receipt of a Representation and other correspondence relating to the Representation, the following action is taken: • record receipt of the Representation on the Notice Processing Service System(s) and link to the relevant Penalty Charge Record; • immediately suspend the Penalty Charge ; • verify if it is a Representation against more than one (1) Penalty Charge; • verify if there are other Penalty Charge(s) outstanding for the relevant Customer to which the Representation may apply; • take the appropriate action in accordance with appendix 9: TfL Business Rules for each relevant Penalty Charge; • verify if it is a Third Party Representation and if so ensure the relevant process is applied as described in section 4.4 (<i>Third Party Representation</i>); • verify if it is a Late Representation and if so ensure the relevant process is applied as described in section 4.3 (<i>Late Representations</i>); and • record the ground of the Representation as outlined in the Representation on the Notice Processing Service System(s) and link to the relevant Penalty Charge Record.		

E 4.1.6		Mandatory
The Service Provider shall ensure that when a Service Provider response to a Representation takes longer than a Parameterised period (as specified by TfL from time to		

time), a holding letter is sent to the Customer as set out in appendix 20: Outgoing Correspondence.

E 4.1.7		Mandatory
The Service Provider shall ensure that upon acceptance of a Representation the following actions are taken: • the decision is recorded on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s); • an appropriate reason code (as set out in Appendix 18: Reason Codes) is recorded, linked and visible on the relevant Penalty Charge Record(s) on the Notice Processing Service System(s); • relevant notes are added to the Penalty Charge Record(s) on the Notice Processing Service Systems(s) to support the decision made; • an event is recorded on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s); • the Notice of Acceptance is associated on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s); • a Notice of Acceptance is issued and sent to the Registered Keeper/Person Liable (and where applicable an authorised Third Party) in accordance with Schedule 5: Service Level Agreement; • the date and time of posting of the Notice of Acceptance is recorded on Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s); • the Penalty Charge is cancelled; • the Penalty Charge is written off; or • the PCN is reissued.		

E 4.1.7b		Mandatory
The Service Provider shall ensure that Notice of Acceptance can only be sent when the following action is taken: • relevant Penalty Charge(s) have been cancelled; • the Notice Processing Service System(s) have been updated to ensure the reissue of the PCN(s).		

E 4.1.8		Mandatory
---------	--	-----------

The Service Provider shall ensure that upon rejection of a Representation the following action is taken:

- the decision is recorded on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s);
- an appropriate reason code (as set out in Appendix 18: Reason Codes) is recorded and linked to the relevant Penalty Charge Record(s) on the Notice Processing Service System(s);
- relevant notes are added to the Penalty Charge Record(s) on the Notice Processing Service Systems(s) to support the decision made
- an event is recorded within the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s);
- a Notice of Rejection is issued and sent to the Registered Keeper/Person Liable (and where applicable an authorised Third Party) in accordance with Schedule 5: Service Level Agreement;
- the date and time of posting of the Notice of Rejection is recorded on Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s);
- the Notice of Rejection is associated on the Notice Processing Service System(s) and linked and visible to the relevant Penalty Charge Record(s);
- an appeal form is sent with the Notice of Rejection to the Registered Keeper/Person Liable;
- Penalty Charge suspension is removed; and
- reset the Penalty Charge to a previous stage of its lifecycle within the Notice Processing Service System(s).

E 4.1.9		Mandatory
The Service Provider shall ensure the Notice Processing Service System(s) is able to produce a Notice of Rejection which details more than one (1) Penalty Charge outstanding at different stages and at different amounts for each Customer. For example: A Customer can have more than one (1) Penalty Charge at different stages of the Penalty Charge lifecycle as follows: • one (1) Penalty Charge paid in full • one (1) Penalty Charge outstanding at 50% discounted amount • one (1) Penalty Charge outstanding at full amount		

- one (1) Penalty Charge partial payment received

E 4.1.10		Mandatory
The Service Provider shall ensure that if the Representation was received within the discounted payment period and is subsequently rejected, the Penalty Charge value is reset to the discounted amount and the timeline is reset to 0 (zero) on the Penalty Charge Record(s) lifecycle in accordance with Appendix 1: Notice Types and Progression.		

E 4.1.11		Mandatory
The Service Provider shall ensure that if the Representation was received outside the discounted payment period and is subsequently rejected, the Penalty Charge value is reset to the full amount and the timeline is reset to 0 (zero) on the Penalty Charge Record(s) lifecycle in accordance with Appendix 1: Notice Types and Progression.		

E 4.1.12		Mandatory
Not used.		

E 4.1.13		Mandatory
The Service Provider shall ensure that when processing a Representation, the Notice Processing Service System(s) has the functionality to allow the following searches: • specific Penalty Charge Record history; • all Penalty Charge Record(s) and history of events for the same VRM; • Penalty Charge Records(s) for the same Registered Keeper/Person Liable at the same address; and • Penalty Charge Record(s) for the same Registered Keeper/Person Liable at a different address.		

E 4.1.14		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to enable searches across all Contravention Types.		

E 4.1.15		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to: • through one (1) action associate one (1) Representation against more than one (1) Penalty Charge for the same VRM;		

- through one (1) action cancel or progress more than one (1) Penalty Charge for the same VRM;
- produce one (1) Notice of Rejection and one (1) Notice of Acceptance in relation to more than one (1) Penalty Charge for the same VRM; and
- retrieve, view and print all relevant incoming and outgoing documents in relation to any of the Penalty Charges.

E 4.1.16		Mandatory
The Service Provider shall ensure that if all necessary evidence as set out in Appendix 9: TfL Business Rules is provided to enable a transfer of liability for a Penalty Charge to another person, then the following action is taken: • original Registered Keeper/Person Liable sent a NOA; • Registered Keeper/Person Liable details are updated on the Notice Processing Service System(s) in accordance with the details provided; • a start and end date and time of the liability period is recorded; • the PCN is reissued to the updated Registered Keeper/Person Liable; and • reset the Penalty Charge Record(s) to a previous stage of its lifecycle within the Notice Processing Service System(s).		

E 4.1.17		Mandatory
The Service Provider shall ensure that the PATAS appeals form is attached only to the Registered Keeper/Person Liable Notice of Rejection.		

E 4.1.18		Mandatory
The Service Provider shall ensure that the details required on the PATAS appeal form for the 'Official Use Box' are automatically populated from the Notice Processing Service System(s) in accordance with appendix 2: Notice Template and Merge Field Guide.		

4.2 Representations – Additional Evidence Process

This section sets out the process for requesting and processing Additional Evidence which relates to a Representation.

The Service Provider may request Additional Evidence from the Registered Keeper/Person Liable where the evidence initially provided in support of a Representation is insufficient.

The additional information shall be deemed either sufficient or insufficient in accordance with the TfL Business Rules & Policy Advice.

E 4.2.1		Mandatory
The Service Provider shall request additional information where insufficient evidence for a Representation is provided by the Registered Keeper/Person Liable in accordance with appendix 9: TfL Business Rules.		

E 4.2.2		Mandatory
The Service Provider shall ensure that additional evidence is requested via any Communication Channel, including but not limited to: • Telephone; • Email; and • Post.		

E 4.2.3		Mandatory
The Service Provider shall set a parameterised period of time for the Registered Keeper/Person Liable to provide additional evidence.		

E 4.2.4		Mandatory
The Service Provider shall ensure that if sufficient additional evidence is provided by Registered Keeper/Person Liable (such sufficient additional evidence as set out in appendix 9: TfL Business Rules), the Representation is accepted.		

E 4.2.5		Mandatory
The Service Provider shall ensure that where the evidence is not provided, or deemed insufficient in accordance with appendix 9: TfL Business Rules, the Representation is rejected.		

4.3 Late Representations

This section sets out the process for handling a Representation that is received after the Parameterised period for making a Representation.

The Service Provider shall progress all Late Representations in accordance with TfL Business Rules and Policy Advice.

E 4.3.1		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) identifies Representations which are made after a Parameterised date or event for making Representations as defined in appendix 1: Notice Types and Progression and in accordance with appendix 9: TfL Business Rules.		
E 4.3.2		Mandatory
The Service Provider shall ensure that on receipt of a Late Representation the following actions are taken: • receipt of the Late Representation is recorded on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record; and • the Penalty Charge is automatically suspended.		
E 4.3.3		Mandatory
The Service Provider shall ensure that if a Late Representation is received a letter is sent to the Registered Keeper/Person Liable to request an explanation of the late submission of that Representation within a Parameterised period.		
E 4.3.4		Mandatory
The Service Provider shall ensure that, after the Parameterised period referred to in E 4.3.3 has elapsed, if the Registered Keeper/Person Liable has failed to provide an explanation for a Late Representation or has provided an unacceptable explanation (as deemed unacceptable in accordance with appendix 9: TfL Business Rules), the following actions are taken: • the Penalty Charge suspension is removed; • the Penalty Charge lifecycle recommences; • the Notice Processing Service System(s) is updated to reflect the action taken; • the Registered Keeper/Person Liable is notified using the Late Representation notice template that enforcement of the Penalty Charge will continue, in accordance with appendix 20: Outgoing Correspondence; and • a copy of the letter sent to the Registered Keeper/Person Liable shall be retained on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record.		
E 4.3.5		Mandatory
The Service Provider shall ensure that when the Registered Keeper/Person Liable provides an explanation for Late Representation and it is deemed acceptable in accordance with appendix 9: TfL Business Rules, the Notice Processing Service		

System(s) is updated to reflect the action taken. The Representation shall be considered by the Service Provider in accordance with appendix 9: TfL Business Rules.

4.4 Third Party Representations

This section sets out the process by which the Service Provider shall deal with a Representation received from somebody other than the Registered Keeper/Person Liable or another authorised person.

A Third Party cannot make a Representation without authorisation from the Registered Keeper/Person Liable.

E 4.4.1		Mandatory
The Service Provider shall ensure that when the Representation is not from the Registered Keeper/Person Liable or another authorised person as set out in appendix 9: TfL Business Rules, a letter in the form as set out in appendix 20: Outgoing Correspondence, is sent to both the Registered Keeper/Person Liable and to the Third Party requiring a response within a Parameterised period.		

E 4.4.2		Mandatory
The Service Provider shall ensure that after the Parameterised period referred to in E 4.4.1 has elapsed, if the Registered Keeper/Person Liable fails to provide third party authorisation or what is provided is deemed unacceptable in accordance with appendix 9: TfL Business Rules, the following action is taken: • the Penalty Charge suspension is removed; • the Penalty Charge lifecycle recommences; • the Notice Processing Service System(s) is updated to reflect the action taken; • the Registered Keeper/Person Liable is notified that enforcement of the Penalty Charge will continue; and • a copy of the letter sent to the registered Keeper/person liable shall be sent to the third party.		

E 4.4.3		Mandatory
The Service Provider shall ensure that where third party authorisation is provided by the Registered Keeper/Person Liable after the allowed time parameterised period action is taken: • the appendix 9: TfL Business Rules are consulted to advise on next action;		

- failing this, the case is escalated to TfL; and
- the Notice Processing Service System(s) is updated to reflect the action taken.

E 4.4.4		Mandatory
The Service Provider shall ensure that where late third party authorisation is deemed acceptable in accordance with appendix 9: TfL Business Rules, the following action is taken: • the Penalty Charge remains on suspension; • the Notice Processing Service System(s) is updated to reflect the action taken; and • the authorisation is then considered and processed in accordance with appendix 9: TfL Business Rules.		

E 4.4.5		Mandatory
The Service Provider shall ensure that where in-time third party authorisation of the Representation is received within the Parameterised period referred to in E 4.4.1, the following action is taken: • the Notice Processing Service System(s) is updated reflect the action taken; and • the Representation shall be considered by the Service Provider in accordance with appendix 9: TfL Business Rules.		

E 4.4.6		Mandatory
The Service Provider shall ensure that the response to the Representation is sent to the authorised third party along with a covering letter explain the purpose of the response.		

E 4.4.7		Mandatory
The Service Provider shall ensure that the PATAS appeals form is attached only to the Registered Keeper/Person Liable Notice of Rejection.		

4.5 Appeals

This section sets out the requirements for processing Appeals.

The Appeals process enables the Registered Keeper of a vehicle or the Person Liable to exercise their legal right to seek a review of the decision of the Service Provider to reject a Representation. An Appeal can only be made following the rejection of a Representation or

after an Order for Recovery has been issued, enabling the Customer to make a Statutory Declaration. If this is Contested it becomes an Appeal.

TfL currently interacts with the PATAS.

The Service Provider shall process all Appeals in accordance with the TfL Business Rules.

E 4.5.1		Mandatory
The Service Provider shall ensure that the process for receiving and processing Appeals is the same for all Contravention Types.		

E 4.5.2		Mandatory
The Service Provider shall ensure that that the Notice Processing Service System(s) has the ability to access different types of evidence for consideration of the Appeal and inclusion in the Appeal Packs if a decision to contest the Appeal is taken.		

E 4.5.3		Mandatory
The Service Provider shall ensure that the Notice Processing Service System has the functionality to produce outgoing correspondence in response to an Appeal which encompasses more than one (1) Penalty Charge. This includes the ability to: • associate an Appeal (using a single action) against more than one (1) Penalty Charge Record for the same VRM; • disassociate Penalty Charge Records, associated at Representation or Appeal stage but confirmed by the Adjudication Service as not being part of the Appeal; • cancel, progress, or re-issue more than one (1) Penalty Charge against a single VRM; • make reference to different payment amounts if applicable; and • retrieve, view and print all relevant inbound and outbound correspondence from any of the Penalty Charge Records.		

E 4.5.4		Mandatory
The Service Provider shall ensure that, on receipt of the Notification of an Appeal from the Adjudication Service, the following actions are taken: • the Notice of Appeal from the Adjudication Service is recorded on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s); • the case number against each of the Penalty Charge Records is recorded;		

- the automatic progression of the case is suspended until the Appeal decision has been made;
- the correct Penalty Charge Records have been associated with the Appeal;
- the validity of the Appeal, in accordance with appendix 9: TfL Business Rules; and
- the Appeal is considered in accordance with appendix 9: TfL Business Rules.

E 4.5.5		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) functionality allows for varying decisions to be taken within the processing of an Appeal when there is more than one (1) Penalty Charge involved. For example one (1) Appeal with four (4) Penalty Charge(s) , one (1) Penalty Charge Contested, one (1) Penalty Charge Non Contested and Cancelled, and two (2) Non Contested and Reissued.		
E 4.5.6		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to allow the Operational User to refer to previous related Penalty Charge Records and the history of such records to ensure processing consistency.		
E 4.5.7		Mandatory
The Service Provider shall ensure that all inbound correspondence and notifications received from the Adjudication Service are responded to within the timescales set out in schedule 5: Service Level Agreement.		
E 4.5.8		Mandatory
The Service Provider shall ensure that an Electronic Data Interchange (EDI) is in place between the Adjudication Service and the Notice Processing Service System(s).		
E 4.5.9		Mandatory
The Service Provider shall ensure that the Electronic Data Interchange (EDI) solution allows all documentation, reports and other files to be received and sent electronically, subject to the London Tribunals specified file size limit of 10 Megabytes per document.		
E 4.5.10		Mandatory
The Service Provider shall build and maintain the Electronic Data Interchange (EDI) in accordance with appendix 23: Interface Catalogue, and any changes and updates to the EDI shall be implemented at no cost to TfL.		
E 4.5.11		Mandatory

The Service Provider shall ensure that the Notice Processing Service System(s) will be updated when sending and receiving documentation through Electronic Data Interchange (EDI) in accordance with appendix 23: Interface Catalogue.
--

E 4.5.12		Mandatory
The Service Provider shall ensure a workaround is available to receive, send, record and process Adjudication Service data when the Electronic Data Interchange (EDI) is not available. The Service Provider shall submit its proposal for such workaround to TfL for Assurance prior to being implemented.		

E 4.5.13		Mandatory
The Service Provider shall ensure that all documentation in relation to the Appeal, both received and sent via Electronic Data Interchange (EDI) is retained and linked to the relevant Penalty Charge Record(s).		

E 4.5.14		Mandatory
The Service Provider shall ensure that where it identifies Penalty Charge(s) included in an Appeal that are not ‘valid Penalty Charges for the Appeal (not included in the original Notice of Rejection’), the following action is taken: • Penalty Charges are disassociated from the Appeal; • the Adjudication Service is notified immediately; • the Penalty Charges are suspended until the Adjudication Service provide clarification; • the Notice Processing Service System(s) are updated to reflect the action taken; and • a copy of the updated Appeal documentation is received and retained on the Notice Processing Service System(s).		

E 4.5.15		Mandatory
The Service Provider shall ensure that, on receipt of all queries, enquiries and adjournments received from the Adjudication Service, it takes appropriate action including, but not limited to: • suspending all linked Penalty Charge(s) • retaining queries and enquiries within the Notice Processing Service System(s); • adding notes and actions to the Notice Processing Service System(s);		

- sending a Response to the Adjudication Service within a period of time specified by TfL as set out in schedule 5: Service Level Agreement, or by the date requested by the Adjudication Service (whichever is the earliest);
- copying the Response retained within the Notice Processing Service System(s) and linking to all relevant Penalty Charge Record(s); and
- keeping Penalty Charge(s) on suspension until a response is received from the Adjudication Service.

E 4.5.16		Mandatory
The Service Provider shall ensure that, if the Adjudication Service requests an Out of Time Appeal be considered, the following actions are taken: • the Penalty Charges are placed on suspension for a Parameterised period; • the Notice Processing Service System(s) is updated to record receipt, appropriate notes and the outcome; • review and consider the appropriate action to take in accordance with appendix 9: TfL Business Rules; • a response to the Out of Time Appeal is sent to the Adjudication Service; and • the response is retained and linked to all associated Penalty Charge Records on the Notice Processing Service System(s).		

E 4.5.17		Mandatory
The Service Provider shall ensure that, after the Parameterised period referred to in E 4.5.16 of the Out of Time Appeal, if a response has not been received from the Adjudication Service, such as notification of a scheduled hearing, the suspension is removed, appropriate notes added to the Notice Processing Service System(s) and the Penalty Charge lifecycle continues in accordance with appendix 1: Notice Types and Progression.		

E 4.5.18		Mandatory
The Service Provider shall ensure that when the Adjudication Service allows the Out of Time Appeal, the Service Provider cancels the Charge Certificate and the Penalty Charge is reset to the full amount.		

E 4.5.19		Mandatory
The Service Provider shall ensure that when a decision is made in accordance with Appendix 9: TfL Business Rules to Do Not Contest (DNC) the Appeal, the following action is taken:		

- the Notice Processing Service System(s) is updated to reflect the action and decision taken;
- relevant notes are added to the Penalty Charge Record(s) on the Notice Processing Service Systems(s) to support the decision made;
- an appropriate reason code is recorded in accordance with Appendix 18: Reason Codes within the Notice Processing Service System(s);
- the Penalty Charge(s) are cancelled, reissued or written off in accordance with Appendix 9: TfL Business Rules;
- the Adjudicator Service is notified of the decision to Non Contest;
- the Registered Keeper/Person Liable is notified of the decision to Non Contest; and
- a copy of the Registered Keeper/Person Liable notification is retained within the Notice Processing Service System(s) linked to the Penalty Charge Record(s).

E 4.5.20		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) contains appropriate Non Contest reason codes in accordance with appendix 18: Reason Codes, and that any changes to such reason codes are implemented at no additional cost to TfL.		

E 4.5.21		Mandatory
The Service Provider shall ensure that, when a decision is made to 'Contest' the Appeal in accordance with Appendix 9: TfL Business Rules, the following action is taken: • the Notice Processing Service System(s) is updated to reflect the action and decision taken for all relevant Penalty Charge(s); • relevant notes are added to the Penalty Charge Record(s) on the Notice Processing Service Systems(s) to support the decision made • an Appeal Pack for the hearing is collated in accordance with Appendix 15: Appeal Pack; • an Appeal Pack is sent via EDI to the Adjudication Service; • an Appeal Pack is sent to the Registered Keeper/Person Liable; • an Appeal Pack is retained on the Notice Processing Service System(s); and • the Penalty Charge remains on suspension until the Appeal Adjudicator's decision is received.		

E 4.5.22		Mandatory
----------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) automatically obtains and collates all the appropriate evidence held within the Penalty Charge Record history for the collation of the Appeal Pack in accordance with appendix 15: Appeal Pack.

E 4.5.23		Mandatory
----------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to add other items of evidence held outside the Notice Processing Service System(s) from TfL, TfL Third Party and Other Service Provider Systems.

E 4.5.24		Mandatory
----------	--	-----------

The Service Provider shall ensure that the Appeal Pack is collated for the Adjudication Service in accordance with appendix 15: Appeal Pack contains and includes but is not limited to:

- | |
|---|
| <ul style="list-style-type: none"> • a case summary; • a copy of the relevant PCN(s); • a copy of the original Representation and associated documents; • a copy of the Notice of Rejection (NoR); • a copy of any additional correspondence received regarding the Penalty Charge(s); • a copy of any additional correspondence sent regarding the Penalty Charge(s); • a copy of the contemporaneous notes provided by the Civil Enforcement Officer; • any relevant call recordings in relation to the Penalty Charge(s), to be provided in a format that is easily accessed by both the Adjudication Service and the Registered Keeper/Person Liable; • a copy of the Penalty Charge Record(s) events history from the Notice Processing Service System(s); • a full audit trail of the Registered Keeper/Person Liable details and where these were obtained from (DVLA, relevant hire agreement, previous Registered Keeper/Person Liable); |
|---|

- an evidence checklist/tick sheet;
- Authorised Officers Witness Statement
- Certificate of Service
- a copy of the Evidential Record;
- Metros – The TfL Graphical Information System ‘Signs and Lines’ database (a bespoke TfL System);
- video stream (MPEG4 format) from the appropriate providers;
- copies of any other appropriate documents from other parties, such as the Business Operations Service Provider;
- relevant Scheme information and traffic orders;
- photographs;
- maps; and
- screen prints (these may also be from TfL, TfL Third Parties and Other Service Provider systems).

Please note the Evidence required for the Appeals Packs will be based on the Contravention Type. The Service Provider shall implement changes to the Appeal Pack at no cost to TfL.

E 4.5.25		Mandatory
The Service Provider shall have the ability to prepare and create one (1) Appeal Pack for each Appeal that has been made against more than one (1) Penalty Charge(s).		

E 4.5.26		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) is capable of making changes to the format of an Appeal Pack (and the format will be defined by the Adjudication Service).		

E 4.5.27		Mandatory
The Service Provider shall provide transcriptions of any call recording at the request of the Adjudication Service and/or Registered Keeper/Person Liable.		

E 4.5.28		Mandatory
----------	--	-----------

The Service Provider shall ensure that the Appeal Pack is collated and provided to the Adjudication Service and the Registered Keeper/Person Liable in accordance with schedule 5: Service Level Agreement and in advance of the evidence due date.

E 4.5.29

Mandatory

The Service Provider shall ensure that when an Appeal for more than one (1) Penalty Charge is received and varying decisions are made, the Non Contest notification sent to the Registered Keeper/Person Liable details those cases that are to be Contested and notes that an Appeal Pack will follow.

E 4.5.30

Mandatory

The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to reissue a PCN during the Appeal process.

E 4.5.31

Mandatory

The Service Provider shall ensure that at any point during the Appeal process, any Penalty Charge subject to an Appeal (whether individually or jointly with other Penalty Charges) may be progressed independently.

E 4.5.32

Mandatory

The Service Provider shall ensure that when a decision to reissue PCN(s) is made, notification is sent to the current Registered Keeper/Person Liable.

E 4.5.33

Mandatory

The Service Provider shall ensure that any data which forms part of the Appeal Pack is not deleted or purged from the Notice Processing Service System(s) for as long as the Appeal is under consideration, and in accordance to appendix 24: Data Retention.

E 4.5.34

Mandatory

The Service Provider shall interact with the Adjudication Service online appeals process.

4.6 Appeals – Additional Evidence

This section sets out the process to be followed upon receipt of any Additional Evidence relating to an Appeal. Additional Evidence may be received from either the Adjudication Service or the Registered Keeper/Person Liable.

This will be considered in accordance with the TfL Business Rules and Policy Advice.

E 4.6.1		Mandatory
The Service Provider shall ensure that, when Additional Evidence is received from the Registered Keeper/Person Liable or the Adjudication Service, the following action is taken: • the Notice Processing Service System(s) is updated to record the receipt of evidence and such evidence is linked to the Penalty Charge Record(s); • the evidence is considered in accordance with Appendix 9: TfL Business Rules; • an appropriate response to the evidence is provided, in accordance with Schedule 5: Service Level Agreement, and in advance of the evidence due date; • if Appeal decision (Contest/Non Contest) is yet to be made, the additional evidence is included in the Appeal Pack for full consideration; • record details of the actions on the Notice Processing Service System(s); • relevant notes are added to the Penalty Charge Record on the Notice Processing Service Systems(s) to support the decision made; • send the response to the Adjudication Service via the EDI; • send a copy of the response to the Registered Keeper/Person Liable; and • retain a Copy of the response on the Notice Processing Service System(s).		

E 4.6.2		Mandatory
The Service Provider shall ensure that if Additional Evidence is provided directly to the Service Provider, then it is forwarded to the Adjudication Service.		

E 4.6.3		Mandatory
The Service Provider shall ensure that, when Additional Evidence is received and the decision to Contest has yet to be taken, reference to the Additional Evidence is made in the case summary and the evidence included in the Appeal Pack, in accordance with appendix 15: Appeal Pack.		

E 4.6.4		Mandatory
The Service Provider shall ensure that all other requests received from the Adjudication Service, (such as (but not limited to) further information, suspension of action) are responded to in accordance with schedule 5: Service Level Agreement, and in advance of the required evidence due date.		

4.7 Appeals – Outcome Receipt

This section sets out the requirements for receiving the Appeal Outcomes from PATAS and subsequent actions to be taken, which will differ, depending on the decision of the Appeal Adjudicator.

E 4.7.1		Mandatory
The Service Provider shall ensure that all Appeal decisions are read in full to determine how the decision is to be recorded on the Notice Processing Service System(s).		

E 4.7.2		Mandatory
The Service Provider shall ensure that the following details from the Appeal outcome are recorded in the Notice Processing Service System(s): • receipt of the decision; and • Appeal Decision Type.		

E 4.7.3		Mandatory
The Service Provider shall ensure that the Appeal Decision Type is recorded on the Notice Processing Service System(s) and linked to the Penalty Charge Record.		

E 4.7.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) directs the Operational User on what action to be taken after the recording of a decision, i.e. allowed – this may be a cancellation of the Penalty Charge or a reissue of the PCN.		

E 4.7.5		Mandatory
The Service Provider shall then ensure that any further action to be taken, as outlined in the Appeal Decision Type by the Adjudication Service is followed, these actions may be, but are not limited to: • a PCN reissued; • monies to be refunded to the Appellant; • a lower amount to be accepted; • the decision should be reviewed; or • Penalty Charge lifecycle to continue.		

4.8 Appeals – Review

This section sets out the process to be followed when an Appeal Outcome Decision is subject to a review application, from either TfL or the Customer.

This section sets out the process to be followed once an Appeal Adjudicator has made a decision and the Appellant or TfL may request a review of the decision in the light of, for example, new evidence becoming available. The response to any review request must be processed within a Parameterised period.

E 4.8.1		Mandatory
The Service Provider shall make recommendations to TfL in accordance with appendix 9: TfL Business Rules on any decision that is considered to require a review application.		
E 4.8.2		Mandatory
The Service Provider shall ensure that any such request is received by the Adjudication Service and the Appellant within (14) fourteen days of the Appeal Adjudicator's decision.		
E 4.8.3		Mandatory
The Service Provider shall ensure that when the Service Provider receives notification from the Adjudication Service that a Review has been accepted and a hearing scheduled, the Service Provider shall give full consideration to the review and provide a full response to the Appellant and Adjudication Service.		
E 4.8.4		Mandatory
The Service Provider shall ensure that if a Review Application should be made against the Adjudication Service's decision, then TfL are consulted prior to a response being sent to the Adjudication Service.		
E 4.8.5		Mandatory
The Service Provider shall suspend the Penalty Charge lifecycle upon notification of receipt or submission of a Review Application.		
E 4.8.6		Mandatory
The Service Provider shall send to the Appellant an exact copy of all documentation submitted to the Adjudication Service.		

4.9 Appeals – Withdrawn

This section sets out the requirements in relation to an Appeal being withdrawn.

E 4.9.1		Mandatory
The Service Provider ensure that upon notification of an Appeal being withdrawn, the Penalty Charge Record is updated within the Notice Processing Service System(s) to allow the recovery of the Penalty Charge in accordance with the Penalty Charge Processing lifecycle as detailed in appendix 1: Notice Types and Progression.		
E 4.9.2		Mandatory
The Service Provider shall ensure that, within a Parameterised period the Appellant is contacted in writing to confirm the Penalty Charge amount outstanding.		

4.10 Appeals – Costs

This section sets out the process to be followed if a claim is made for costs. The Service Provider shall process all such claims in accordance with the TfL Business Rules.

E 4.10.1		Mandatory
The Service Provider shall ensure that when an application is made for a claim for costs, full consideration is given in accordance with appendix 9: TfL Business Rules.		
E 4.10.2		Mandatory
The Service Provider shall ensure that the claim for costs application is recorded on the Notice Processing Service System(s) and linked to the Penalty Charge Record(s).		
E 4.10.3		Mandatory
The Service Provider shall ensure that a response for a claim for costs is: • provided to the Adjudication Service by the required date; • copied to the Appellant; and • a copy is retained on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Records(s).		
E 4.10.4		Mandatory

The Service Provider shall ensure that the amount claimed and amount paid is recorded within the Notice Processing Service System(s) and linked to the Penalty Charge Record(s).
--

E 4.10.4a	CCR006 New	Mandatory
The Service Provider shall submit to TfL for approval a process for enabling appellants to pay PATAS awarded costs and once approved it shall implement and adhere to this process.		

E 4.10.5		Mandatory
The Service Provider shall ensure that if the Appellant fails to make the payment within the timeframe specified by the Adjudication Service, TfL are notified via an automated process.		

E 4.10.6		Mandatory
The Service Provider shall pay all costs that are awarded to the Appellant from their funds. A reasonable request for reimbursement can be proposed to TfL where the Service Provider deems costs unreasonable (but TfL shall be under no obligation to make such reimbursement).		

E 4.10.7		Mandatory
The Service Provider shall ensure that where costs are awarded to the Appellant, this is paid within the timeframe specified by the Adjudication Service.		

4.11 Application For Debt Registration
This section sets out the process to be followed when registering a debt and the interactions between the Service Provider and the Traffic Enforcement Centre (TEC). All Penalty Charge(s) due for Debt Registration where the Registered Keeper/Person Liable lives in England or Wales shall be sent to the TEC for processing. Penalty Charge(s) due for Debt Registration where the Registered Keeper/Person Liable does not live in England or Wales are known as Non Standard Debts.

E 4.11.1		Mandatory
The Notice Processing Service System(s) shall automatically select all Penalty Charges that are due for Debt Registration (where the Registered Keeper/Person Liable lives in England or Wales) in accordance with appendix 1: Notice Types and Progression.		

E 4.11.2		Mandatory
The Service Provider shall ensure that at all times there is an account (funded by TfL) dedicated to the payment of Debt Registration application costs in respect of registering debts with TEC.		
E 4.11.3		Mandatory
The Service Provider shall manage the account specified in 6.11.2 and shall ensure that at all times there are sufficient funds in the account in order to service the registration of debts with the TEC.		
E 4.11.4		Mandatory
The Service Provider shall submit to TfL for Approval (prior to being implemented) its proposal for management of a Debt Registration application costs account and, when Approved, comply with the proposal.		
E 4.11.5		Mandatory
The Service Provider shall request Registered Keeper details from the DVLA prior to registering a debt (see additional option section 2.5 (<i>Pre Debt-Registration DVLA Check</i>)).		
E 4.11.6		Mandatory
The Service Provider shall notify TfL of any Penalty Charges that become due for Debt Registration as non-standard debts where the Registered Keeper/Person Liable does not live in England or Wales.		
E 4.11.7		Mandatory
The Service Provider shall reproduce non-standard debts in a file for transfer to a Third Party for processing. The file shall contain, at a minimum, the following information: • VRM; • date and time of Contravention; • location of Contravention; • details of all events; • Registered Keeper/Person Liable details; and • Vehicle details.		
E 4.11.8		Mandatory
The Service Provider shall send all Penalty Charges due for Debt Registration in England or Wales to the TEC on the day they become due as detailed in appendix 23: Interface Catalogue.		
E 4.11.9		Mandatory

The Service Provider shall ensure that for certain Contravention Types notified to the Service Provider by TfL from time to time, the Penalty Charge information sent to the TEC contains the offence code and description of the restriction/prohibition/infringement breached.
--

E 4.11.10		Mandatory
The Service Provider shall submit Debt Registration requests in accordance with appendix 8: TEC Code of Practice Template.		

E 4.11.11		Mandatory
The Service Provider shall ensure that each batch of Debt Registration requests is accompanied with a Global Certificate of Registration in accordance with appendix 8: TEC Code of Practice Template.		

E 4.11.12		Mandatory
The Service Provider's authorised Personnel shall sign the Global Certificates of Registration.		

E 4.11.13		Mandatory
The Service Provider shall receive notification from the TEC either accepting or rejecting the batch. This shall contain details of all Debt Registration applications accepted and list cases by exceptions that have not been accepted.		

E 4.11.14		Mandatory
The Service Provider shall update the Notice Processing Service System(s) on the day of receipt of the notification with the relevant details relating to the Debt Registration.		

E 4.11.15		Mandatory
The Service Provider shall remove any exceptions from the accepted batch. An exception error occurs when one of the following is found not to be true: • all the necessary information has been provided; • all the validation rules have been obeyed; • the number used for each Penalty Charge is unique; and • suffixes are used strictly in ascending order. Where validation or procedural errors exceed ten (10) per batch, the TEC will reject the batch.		

E 4.11.16		Mandatory
-----------	--	-----------

The Service Provider shall, upon receipt of the accepted batch, update the Notice Processing Service System(s).

E 4.11.17		Mandatory
The Service Provider shall correct the rejected cases in accordance with appendix 8: TEC Code of Practice Template, and re-submit with the next Working Day's batch.		

E 4.11.18		Mandatory
The Service Provider shall follow the Business Continuity/failover guidelines as detailed in appendix 26: Enforcement Interface Failover Thresholds in the event of the failure of the link to the TEC.		

E 4.11.19		Mandatory
The Service Provider shall have the ability to manually batch transfer to a nominated Third Party commissioned by TfL the relevant Penalty Charge information and Registered Keepers/Person Liable's details where the Registered Keeper/Person Liable resides in the United Kingdom but outside of England and Wales or in another Member State. Upon TfL's request, the Service Provider shall send some or all of the Registered Keeper/Person Liable (where they reside in the UK but outside England and Wales) details to TfL and to its nominated recovery agents.		

E 4.11.20		Mandatory
The Service Provider shall provide a dedicated email address and fax machine solely for Communications with the TEC.		

E 4.11.21		Mandatory
The Service Provider shall ensure that all Communications with the TEC are made in accordance with appendix 8: TEC Code of Practice Template.		

4.12 Receipt of Statutory Declarations		
This section sets out the requirements for receiving and processing Statutory Declarations. A Statutory Declaration shall be received from the Traffic Enforcement Centre and the requirements for processing the Statutory Declaration shall differ depending on the ground(s) on which the Statutory Declaration has been made.		

E 4.12.1		Mandatory
The Service Provider shall have the ability to receive a Revoking Order and a Statutory Declaration made against individual Penalty Charges from the TEC via email, post and EDI.		

E 4.12.2		Mandatory
The Service Provider shall record the ground(s) on which the Statutory Declaration has been made on the Notice Processing Service System(s).Such ground(s) are: • PCN not received; • Representation made to TfL, but a Notice of Rejection has not been received; • Appeal lodged with the Adjudication Service, but a response has not been received; and • paid the Penalty Charge to which the Charge Certificate relates (TE only).		

E 4.12.3		Mandatory
The Service Provider shall contact the TEC where any relevant details are missing on the Revoking Order on the same day of receipt to obtain the missing details.		

E 4.12.4		Mandatory
The Service Provider shall process Statutory Declarations made on the ground the PCN was not received by taking the following actions: • record the receipt of the Statutory Declaration on the Notice Processing Service System(s) and link to the Penalty Charge Record; • cancel the Order for Recovery; • cancel the Charge Certificate; • cancel the Enforcement Notice/Notice to Owner according to Contravention Type ; • update the Registered Keeper/Person Liable details on the Notice Processing Service System(s)where appropriate; and • issue a new PCN (with the same unique Penalty Charge number) via recorded delivery, with the same Contravention details printed as the original PCN. PCNs issued in such circumstances shall be reset to the start of the Notice Processing lifecycle in accordance with appendix 1: Notice Types and Progression.		

E 4.12.5		Mandatory
The Service Provider shall process Statutory Declarations made on the ground 'Representation made to TfL, but a Notice of Rejection has not been received' by taking the following actions: • record the receipt of the Statutory Declaration on the Notice Processing Service System(s) and link to the relevant Penalty Charge Record; • cancel the Order for Recovery; • cancel the Charge Certificate;		

- collate a Statutory Declaration Appeal Pack in accordance with appendix 15: Appeal Pack and appendix 9: TfL Business Rules;
- send the Statutory Declaration Appeal Pack via EDI to Adjudication Service;
- send the Statutory Declaration Appeal Pack to Registered Keeper/Person Liable;
- retain the Statutory Declaration Appeal Pack against the relevant Penalty Charge Record on the Notice Processing Service System(s); and
- ensure the Penalty Charge remains on suspension until the Appeal Adjudicator's decision is received.

E 4.12.6		Mandatory
The Service Provider shall process Statutory Declarations made on the ground 'Appeal lodged with the Adjudication Service, but a response has not been received', by taking the following actions: • record the receipt of the Statutory Declaration on the Notice Processing Service System(s) and link to the relevant Penalty Charge Record; • cancel the Order for Recovery; • cancel the Charge Certificate; • collate a Statutory Declaration Appeal Pack in accordance with appendix 15: Appeal Pack and appendix 9: TfL Business Rules; • send the Statutory Declaration Appeal Pack via EDI to Adjudication Service; • send the Statutory Declaration Appeal Pack to the Registered Keeper/Person Liable; • retain the Statutory Declaration Appeal Pack against the Penalty Charge Record on the Notice Processing Service System(s); • ensure the Penalty Charge remains on suspension until the Appeal Adjudicator's decision received; and • retain the Statutory Declaration Appeal Pack against the relevant Penalty Charge Record number within the Notice Processing Service System(s).		

E 4.12.7		Mandatory
The Service Provider shall process Statutory Declarations made on the ground 'Paid the penalty to which the Charge Certificate relates (certain Contravention Types only)' by taking the following actions: • record the receipt of the Statutory Declaration on the Notice Processing Service System(s) and link to the relevant Penalty Charge Record;		

- cancel the Order for Recovery;
- cancel the Charge Certificate;
- collate a Statutory Declaration Appeal Pack in accordance with appendix 15: Appeal Pack and appendix 9: TfL Business Rules;
- send the Statutory Declaration Appeal Pack via EDI to Adjudication Service;
- send the Statutory Declaration Appeal Pack to the Registered Keeper/Person Liable;
- retain the Statutory Declaration Appeal Pack against the relevant Penalty Charge Record on the Notice Processing Service System(s); and
- ensure the Penalty Charge remains on suspension until the Appeal Adjudicator's decision is received.

E 4.12.8		Mandatory
The Service Provider shall send the Statutory Declaration Appeal Pack via the EDI to the Adjudication Service and in accordance with schedule 5: Service Level Agreement.		

E 4.12.9		Mandatory
The Service Provider shall process all subsequent correspondence relating to the Statutory Declaration in accordance with section 4.5 (<i>Appeals</i>).		

E 4.12.10		Mandatory
The Service Provider shall ensure that, when there is evidence to demonstrate that a potentially false Statutory Declaration has been made or that the Registered Keeper/Person Liable is using the Statutory Declaration process for the purpose of evading Penalty Charge payment and debt recovery, TfL is notified.		

4.13 Issue of Bailiff Warrants of Execution to Bailiffs		
The Service Provider shall apply to the Traffic Enforcement Centre for a Warrant of Execution to recover the debt and these Warrants of Execution are passed onto the relevant Bailiff.		

E 4.13.1		Mandatory
The Service Provider shall apply to the TEC for a Warrant of Execution to recover the debt if all of the following conditions are met:		

- full payment of the Penalty Charge is not received within the required time period (as at the date of this Agreement, within the Parameterised period plus any days during suspension);
- the Penalty Charge is not suspended; and
- no Statutory Declaration has been made, extension applied for or payment received.

E 4.13.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) automatically selects all cases that are due for Warrant of Execution requests in accordance with the Notice Processing lifecycle as set out in appendix 1: Notice Types and Progression, where the Registered Keeper/Person Liable lives in England or Wales.		
E 4.13.3	CCR006 Amend	Mandatory
The Service Provider shall send all cases identified in accordance with E 4.13.2 daily to the TEC in accordance with appendix 8: TEC Code of Practice Template.		
E 4.13.4		Mandatory
In the event of a file transfer failure to the TEC, the Service Provider shall follow the business continuity guidelines in accordance with appendix 26: Enforcement Interface Failover Thresholds.		
E 4.13.5		Mandatory
The Service Provider shall submit Warrants of Execution requests in accordance with appendix 8: TEC Code of Practice Template.		
E 4.13.6		Mandatory
The Service Provider shall ensure that each batch of Warrants of Execution requests is accompanied with a Global Certificate of Registration in accordance with appendix 8 TEC Code of Practice Template, and that each batch satisfies all of the following criteria: • twenty one (21) days have elapsed since the service of the Order for Recovery; • full payment has not been made; • no Statutory Declaration has been filed; • no time extension has been approved; and • Registered Keeper/Person Liable lives in England or Wales.		
E 4.13.7		Mandatory

The Service Provider's authorised Personnel shall sign the Global Certificates of Registration.		
---	--	--

E 4.13.8		Mandatory
The Service Provider shall receive notification from the TEC either accepting or rejecting the batch. This shall contain details of all Warrant of Execution applications accepted and list cases by exceptions that have not been accepted.		

E 4.13.9		Mandatory
The Service Provider shall update the Notice Processing Service System(s) on the day of receipt of the notification with the relevant details relating to the Warrants of Execution.		

E 4.13.10		Mandatory
The Service Provider shall remove any exceptions from the accepted batch. An exception error occurs when one of the following is found not to be true: • all the necessary information has been provided; • all the validation rules have been obeyed; • the number used for each Penalty Charge is unique; and • suffixes are used strictly in ascending order. Where validation or procedural errors exceed ten (10) per batch, the TEC will reject the batch.		

E 4.13.11		Mandatory
The Service Provider shall, upon receipt of the accepted batch, update the Notice Processing Service System(s).		

E 4.13.12		Mandatory
The Service Provider shall correct the rejected cases in accordance with appendix 8: TEC Code of Practice Template, and re-submit with the next Working Day's batch.		

E 4.13.13		Mandatory
The Service Provider shall produce a batch of Warrant of Execution data for each Bailiff to be transferred electronically in accordance with appendix 23: Interface Catalogue.		

E 4.13.14		Mandatory
The Service Provider shall, in the event of the relevant Interface failing, provide the batch of Warrant of Execution data in accordance with appendix 26: Enforcement Interface Failover Thresholds.		

E 4.13.15		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) automatically update the Penalty Charge Record to show the file number, batch number and creation date of the Warrant of Execution request.		
E 4.13.16		Mandatory
The Service Provider shall ensure that the Warrant of Execution data is transferred to the Bailiff and includes all items in accordance with appendix 23: Interface Catalogue.		
E 4.13.17		Mandatory
The Service Provider shall allocate the Warrants of Execution to Bailiffs, in accordance with the guidelines provided by TfL from time to time.		
E 4.13.18		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) allocates work according to the postcode of the Registered Keeper/Person Liable and the VRM. Therefore a Vehicle with more than one (1) Warrant of Execution associated to it should not have more than one (1) Bailiff company assigned to collect the debt.		
E 4.13.19		Mandatory
The Service Provider shall be required to interact with up to five (5) Bailiff(s) (as required by TfL from time to time).		
E 4.13.20		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) records the name of the Bailiff responsible for each Warrant of Execution to the relevant Penalty Charge Record.		
E 4.13.21		Mandatory
The Service Provider shall, at the direction of TfL: • increase the Warrant of Execution allocation to one(1) or more Bailiff(s); • decrease the Warrant of Execution allocation to one (1) or more Bailiff(s); • cease issuing Warrants of Execution altogether to a Bailiff; or • issue Warrants of Execution to additional or replacement Bailiffs. Such changes shall not constitute a Change, and shall be implemented at no cost to TfL.		
E 4.13.22		Mandatory
Where daily messages are received from the Bailiffs in accordance with appendix 23: Interface Catalogue, the Service Provider shall ensure that the Notice Processing Service		

System(s) is automatically updated. This shall include but shall not be limited to the following actions:

- suspension code;
- returned reason codes; and
- paid code (pending official receipt of money from Bailiff).

E 4.13.23		Mandatory
The Service Provider shall receive Penalty Charge cancellation requests and Bailiff retractions originating from TfL in accordance with appendix 23: Interface Catalogue, and shall update the relevant Penalty Charge Record within the Notice Processing Service System(s) accordingly.		

E 4.13.24		Mandatory
The Service Provider shall undertake the following actions daily: • a transfer of all relevant information to each Bailiff; • provide relevant Warrant of Execution information to the Bailiffs; • receive data regarding the progression of all Warrants of Executions issued to each Bailiff; and • receive new Registered Keeper/Person Liable details obtained by the Bailiffs, in accordance with appendix 23: Interface Catalogue.		

E 4.13.25		Mandatory
The Service Provider shall provide a dedicated staffing resource for all correspondence with Bailiffs, including Bailiff queries and escalations as well as the logging, reporting and real time resolution of such correspondence.		

4.14 Out of Time Statutory Declarations

This section sets out the requirements for receiving and processing Out of Time Statutory Declarations. Out of Time Statutory Declarations are received from the Traffic Enforcement Centre and the Service Provider shall make a decision within a Parameterised period about whether to challenge or accept the Out of Time Statutory Declaration in accordance with TfL Business Rules and Policy Advice. The Service Provider shall then process the TEC's decision according to whether or not it is accepted.

E 4.14.1		Mandatory
The Service Provider shall receive and process applications of Out of Time Statutory Declarations from the TEC in accordance with appendix 9: TfL Business Rules.		
E 4.14.2		Mandatory
The Service Provider shall receive from the TEC either via post, email or EDI for each Penalty Charge(s): • the reason for the application being late form; • the grounds for Statutory Declaration form; and • a summary sheet of all Out of Time Statutory Declarations sent in the relevant batch.		
E 4.14.3		Mandatory
The Service Provider shall ensure that on receipt of the Out of Time Statutory Declaration from the TEC the following actions are taken: • receipt of the Out of Time Statutory Declaration is recorded on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record; • record the ground of the Statutory Declaration; • immediately suspend the Penalty Charge; • record the TEC response due date; • verify the Customer details on the Notice Processing Service System(s); and • immediately notify the Bailiff if a Warrant of Execution has been issued in respect of a Penalty Charge which has been suspended, via Telephone or Email where applicable.		
E 4.14.4		Mandatory
The Service Provider shall oppose all applications to make Out of Time Statutory Declarations with the exception of those detailed in appendix 9: TfL Business Rules.		
E 4.14.5		Mandatory
The Service Provider shall send a response to the TEC within the timeframe specified by TEC from time to time and in accordance with schedule 5: Service Level Agreement, outlining the decision to either 'oppose' or 'accept' the Out of Time Statutory Declaration, as directed in accordance with Appendix 9: TfL Business Rules.		
E 4.14.6		Mandatory

The Service Provider shall ensure that where the decision to oppose the Out of Time Statutory Declaration is made, the following action is taken:

- the Notice Processing Service System(s) is updated to show the decision made;
- a Witness Statement is produced, which includes the Penalty Charge history and reasons why the application should be refused in accordance with appendix 22: Challenge Pack;
- a 'Challenge Pack' is produced, which consists of the Witness Statement and any documents sent from the Service Provider to the Customer and details of the Penalty Charge history;
- ensure the Penalty Charge remains on suspension;
- send the Challenge Pack via email, post and EDI to TEC;
- ensure a copy of the Challenge Pack is retained on the Notice Processing Service System(s) and is linked to the Penalty Charge Record; and
- update the Notice Processing Service System(s) with the details of the date and time the Challenge Pack was posted to the TEC.

E 4.14.7		Mandatory
The Service Provider shall receive the district judge decision from the TEC on whether to accept or reject the Challenge Pack via post, email and EDI.		

E 4.14.8		Mandatory
The Service Provider shall ensure that where the district judge accepts the reasons for the Out of Time Statutory Declaration application, the following action is taken:		
• the Notice Processing Service System(s) is updated to show the decision received; • ensure the Penalty Charge remains on suspension; and • await the Revoking Order from the TEC.		

E 4.14.9		Mandatory
The Service Provider shall, on receipt of the Revoking Order, ensure the following action is taken:		
• the Notice Processing Service System(s) is updated to show the decision received; • cancel the Warrant of Execution; • cancel Order of Recovery; • cancel Charge Certificate; • ensure the Penalty Charge remains on suspension;		

- notify the Bailiff to cease all action in relation to the Warrant of Execution issued in respect of a Penalty Charge; and
- process the Statutory Declaration in accordance with section 4.12 (*Receipt of Statutory Declaration*).

E 4.14.10		Mandatory
The Service Provider shall ensure that a refund is a single payment made by cheque for the total amount collected (being (a) the Penalty Charge payment, and (b) the Bailiff fees incurred by the Registered Keeper / Person Liable) and shall send the refund to the applicant with a covering letter.		

E 4.14.11		Mandatory
The Service Provider shall ensure that where the district judge Refuses the reasons for the Out of Time Statutory Declaration application the following action is taken: • the Notice Processing Service System(s) is updated to show the decision received; • once a Parameterised period has passed after receipt of the decision, remove the Penalty Charge suspension; • the Penalty Charge continues to progress through the remaining lifecycle; and • contact the Bailiff to instruct them to proceed with Enforcement.		

E 4.14.12		Mandatory
The Service Provider shall ensure that where the decision to Accept the Out of Time Statutory Declaration is made, the following action is taken: • the Notice Processing Service System(s) is updated to show the decision made; • a Witness Statement is produced, which includes the Penalty Charge history and reasons why the application should be accepted, in accordance with appendix 22: Challenge Pack; • ensure the Penalty Charge remains on suspension; • send the Witness Statement to the TEC via email, post and EDI; • ensure a copy of the Witness Statement is retained on the Notice Processing Service System(s) against the relevant Penalty Charge Record; and • update the Notice Processing Service System(s) with the details of the date and time the Witness Statement was posted to the TEC.		

E 4.14.13		Mandatory
-----------	--	-----------

The Service Provider shall keep the Penalty Charge(s) suspended, until the revoking order is received.
--

E 4.14.14		Mandatory
The Service Provider, on receipt of the Revoking Order shall ensure the following action is taken; • the Notice Processing Service System(s) is updated to show the decision received; • cancel the Warrant of Execution; • cancel the Order of Recovery; • cancel the Charge Certificate; • ensure the Penalty Charge remains on suspension; • notify the Bailiff to cease enforcement ; and • process the Statutory Declaration in accordance with section 4.12 (<i>Receipt of Statutory Declaration</i>).		

4.15 N244 Applications

This section sets out the requirements in relation to N244 Applications. These are applications made directly to the County Court, to have the TEC Out of Time decision set aside. Once the District Judge's decision has been made a decision will be from the relevant County Court in respect of each and every Application.

E 4.15.1		Mandatory
Once the district judge's decision has been communicated, both TfL and the applicant have the right to Appeal against this decision using a N244 Application.		

E 4.15.2		Mandatory
The Service Provider shall receive from the TEC N244 Applications via post, email and EDI and process these in accordance with appendix 9: TfL Business Rules.		

E 4.15.3		Mandatory
The Service Provider shall, on receipt of the notification of the N244 Application from the TEC, take the following actions: • record receipt of the N244 Application on the Notice Processing Service System(s) and link to the relevant Penalty Charge Record;		

- immediately suspend further Debt Recovery action(s) on the Penalty Charge;
- verify the Customer Details on the Notice Processing Service System(s); and
- immediately notify the Bailiff of the Penalty Charge suspension, via telephone and email where applicable.

E 4.15.4		Mandatory
The Service Provider shall receive via post or email, details from the County Court of a scheduled hearing date for the N244 Application and shall ensure that the Notice Processing Service System(s) are updated to include the following: • name of the County Court; and • date and time of the scheduled hearing for the N244 Application.		

E 4.15.5		Mandatory
The Service Provider shall forward a copy of the Challenge Pack to the County Court for consideration by the judge, and record this action on the Notice Processing Service System(s) before the scheduled hearing date and in accordance with schedule 5: Service Level Agreement.		

E 4.15.6		Mandatory
The Service Provider shall ensure that where the judge accepts the N244 Application the following action is taken: • the Notice Processing Service System(s) is updated to show the decision received; • ensure the Penalty Charge remains on suspension; • await the Revoking Order from the TEC; and • on receipt of the Revoking Order, process as per section 4.12 (<i>Receipt of Statutory Declarations</i>).		

E 4.15.7		Mandatory
The Service Provider shall ensure that where the judge refuses the N244 Application the following action is taken: • the Notice Processing Service System(s) is updated to show the decision received; • the suspension removed; • the Penalty Charge continues to progress through the Notice Processing lifecycle; and • the Bailiff is instructed to proceed with Enforcement.		

4.16 Legal Claims

This section sets out the requirements relating to the receipt and processing of legal claims.

E 4.16.1		Mandatory
The Service Provider shall ensure that TfL receives legal claims relating to the operation and enforcement of all Contravention Types. These include but are not limited to: • County Court Claims; • Judgments in Default; • High Court Claims; • Injunction Applications; and • Judicial Review Applications. N244 Applications are exempted from this requirement.		

E 4.16.2		Mandatory
The Service Provider shall identify and record all legal claims received that name TfL as either a defendant or an interested party on the Notice Processing Service System(s).		

E 4.16.3		Mandatory
The Service Provider shall escalate all legal claims to TfL immediately after identification.		

E 4.16.4		Mandatory
The Service Provider shall ensure that immediately after identification of the legal claim: • all Penalty Charge(s) related to the legal claim are suspended immediately; and • an event shall be recorded within the Notice Processing Service System(s) against each relevant Penalty Charge Record, detailing that a legal claim has been received.		

E 4.16.5		Mandatory
The Service Provider shall comply with all instructions given by TfL regarding gathering the necessary evidence to defend the legal claim. Such evidence includes, but is not limited to:		

- copies of Statutory and Non Statutory notices;
- copies of inbound and outbound correspondence;
- copies of Appeal Packs;
- copies of financial transactions;
- Call Recordings; and
- any other data held that is relevant to the legal claim.

E 4.16.6		Mandatory
The Service Provider shall comply with all instructions given by TfL regarding interim decisions or orders made by the Court in respect of the legal claim. This includes but is not limited to: • issuing a refund; • raising a cheque to pay into court; and • Penalty Charge cancellation.		

E 4.16.7		Mandatory
The Service Provider shall ensure that a suitable member of its staff is available to provide a witness statement as evidence to assist with TfL's defence of the legal claim, if instructed to do so by TfL.		

E 4.16.8		Mandatory
The Service Provider shall pay to the customer or TfL (as specified by TfL), any financial award or judgment for which it is liable in respect of a legal claim within two (2) Working Days of notification by TfL of the amount, and shall notify TfL in writing once such payment has been made.		

E 4.16.9		Mandatory
The Service Provider shall update the Notice Processing Service System(s) with the outcome of all legal claims to reflect: • outcome; • decision; • settlement agreement; • financial award; and • follow on action, such as Penalty Charge cancellation or acceptance of partial payment of the Penalty Charge.		

E 4.16.10		Mandatory
The Service Provider shall ensure that when TfL provides any documentation related to the legal claim, this is uploaded and linked to the relevant Penalty Charge Record(s) within twenty four (24) hours of receipt.		

4.17 Escalations		
This section sets out the requirements in relation to cases requiring escalation to TfL. The Service Provider shall escalate cases to TfL in accordance with TfL Business Rules and Policy Advice.		

E 4.17.1		Mandatory
The Service Provider shall operate a workflow for escalating relevant cases to TfL for consideration in accordance with appendix 9: TfL Business Rules.		

E 4.17.2		Mandatory
The Service Provider shall ensure that its workflow allows visibility of the advice given and reporting tools to enable monitoring and auditing of all escalations. Reporting shall include but not be limited to: • age of escalated item; • items with an expired response required by date; • escalation category, volume and date; and • reconciliation.		

E 4.17.3		Mandatory
The Service Provider shall ensure that each escalation record within the Notice Processing Service System(s) shows: • the date escalated; • the date a response is required by; • the relevant Penalty Charge(s) number; • VRM(s); • Escalation Category; • person escalating the case;		

- confirmation of escalation validation;
- reason for escalation in an unlimited text field, with the ability to format, including bold, italic, bullet points and other standard word processing functions; and
- what action is required from TfL.

E 4.17.4		Mandatory
The Service Provider shall allow TfL to return the required advice/evidence to the Service Provider via the Workflow, which will include: • name of TfL Personnel responding to the escalation; • Timestamp of the return; • category of response (to be provided by TfL); • full details of response in an unlimited text field, with the ability to format, including bold, italic, bullet points and other standard word processing functions; and • ability to upload and attach documentation, including but not limited to PDFs, schematics, photographs, MS documents, process maps and screen prints from TfL, TfL Third Parties and Other Service Providers.		

E 4.17.5		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to produce management information reports for all escalation data.		

E 4.17.6		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) allows the escalation, the response from TfL and any other associated documents to be visible in the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record.		

5. CUSTOMER SERVICES

This section sets out the general requirements on how to deal with all types of Customer interaction through any Communication channel as specified in this Statement of Requirements relating to any aspect of the Services provided.

5.1 Customer Interactions

This section sets out the general requirements on how Customer interactions with the Service Provider are recorded. The Service Provider shall process and record any type of Customer interaction.

E 5.1.1		Mandatory
The Service Provider shall develop, implement and operate the following customer channels as a minimum: • Web; • telephone; • IVR (Interactive Voice Recognition); • post; and • email.		

E 5.1.2		Mandatory
The primary language of the Notice Processing Service System(s) will be English. The Service Provider shall provide access to Notice Processing Service System(s) in various languages, including but not limited to: • the languages specified in the Greater London Authority regulations which are Arabic, Bengali, Chinese (Cantonese and Mandarin), Gujarati, Hindi, Punjabi, Turkish, Urdu, Japanese and Vietnamese: and • common visitor languages including German, Dutch, French, Flemish, Polish, Danish, Italian, Spanish, Czech, Finnish, Swedish, Portuguese and Greek The Notice Processing Service Provider will enable access to its customer services in any additional languages that are requested by TfL from time to time. Such requests for language support are expected to be rare.		

E 5.1.3		Mandatory
---------	--	-----------

The Service Provider shall ensure that all written documentation and correspondence and Statutory Documentation relating to the Notice Processing lifecycle is available upon reasonable request to Customers in the following alternative formats:

- Plain English;
- Braille;
- large print;
- accessible format designed for people with learning disabilities, otherwise known as “Easy Read”; and
- audio format on CD/memory stick or any other movable media.

Such requests for alternative format information support are expected to be rare.

E 5.1.4		Mandatory
The Service Provider shall ensure that all relevant information relating to any type of Customer interaction is automatically recorded on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record and details the customer contact channels.		

E 5.1.5		Mandatory
The Service Provider shall deal with the Customer interactions in accordance with schedule 5: Service Level Agreement.		

5.2 Telephone Services

This section sets out the general requirements and overarching guidance on how the Service Provider shall handle inbound and outbound telephone calls.

E 5.2.1		Mandatory
The Service Provider shall ensure that the Contact Centre is staffed by Operational Users during the following hours (“Contact Centre Operational Hours”):		
• Monday to Friday, between 08:00 and 20:00; • Saturday closed; • Sunday closed; and • Bank and Public Holidays will operate on reduced hours specified by TfL.		

The Service Provider shall comply with any request from TfL to change the Contact Centre Operational Hours, such request to be considered and implemented in accordance with the Change Control Request Procedure.		
--	--	--

E 5.2.2		Mandatory
The Service Provider shall staff the Contact Centre with highly trained and skilled Personnel with a detailed knowledge of the Enforcement processes for all Contravention Types.		

E 5.2.3		Mandatory
The Service Provider shall receive calls to the Contact Centre using an IVR system from a dedicated telephone number to be provided by TfL.		

E 5.2.4		Mandatory
The Service Provider shall provide, operate and maintain the facilities for Penalty Charge payment via the automated IVR Contact Centre twenty four (24) hours, seven (7) days a week, 365 days a year (including Bank and Public Holidays).		

E 5.2.5		Mandatory
The Service Provider shall ensure that the IVR includes Automatic Speech Recognition (ASR).		

E 5.2.6		Mandatory
The Service Provider shall ensure that there is a flexible IVR system which is available twenty four (24) hours seven (7) days a week and that it presents Customers with various options that shall enable but not be limited to: • automated processing of Penalty Charge payments; • the ability for Customers to listen to automated updates of the status of their Penalty Charge(s) through the provision of the unique Penalty Charge reference number; • the ability for Customers to transfer to an Operational User at any stage throughout the Communication process during the Contact Centre Operational Hours; • the ability for Customers to listen to a recorded Data Protection statement to be provided by TfL; and • the ability for Customers to select an option to transfer to the Business Operations Service Provider's Contact Centre, or to other TfL Third Parties.		

E 5.2.7		Mandatory
---------	--	-----------

The Service Provider shall submit to TfL for approval its proposal for, and when approved, implement IVR menus and call flows.
--

E 5.2.8		Mandatory
The Service Provider shall ensure that all IVR changes can be implemented within Parameterised periods as specified by TfL from time to time (and at no additional cost to TfL).		

E 5.2.9		Mandatory
The Service Provider shall ensure that IVR can be accessed and controlled remotely and from the Service Providers Premises, including the uploading of new messages in the event of an emergency.		

E 5.2.10		Mandatory
The Service Providers hall ensure that IVR administration can be done both remotely and on the Service Providers Premises,		

E 5.2.11		Mandatory
The Service Provider shall ensure that emergency and urgent broadcast messages are uploaded and deployed to the IVR system within thirty (30) minutes of a request from TfL and do so at no cost to TfL.		

E 5.2.12		Mandatory
The Service Provider shall provide access to the Contact Centre for hearing impaired Customers, such as a text phone service.		

E 5.2.13		Mandatory
The Service Provider shall ensure that a translation and interpreting service is available to all Customers.		

E 5.2.14		Mandatory
The Service Provider shall ensure that the IVR has the functionality to route calls, based on Customer IVR selection, to an Operational User with the relevant skill set. The Service Provider shall submit to TfL for Approval its proposals for and, when Approved, comply with the features and functionality of such mechanism.		

E 5.2.15		Mandatory
The Service Provider shall ensure that where the IVR has not been able to recognise a Customer's request, the call is routed directly to an Operational User.		

E 5.2.16		Mandatory
----------	--	-----------

The Service Provider shall ensure that a consistent voice is used for the recording of IVR messages.		
E 5.2.17		Mandatory
Not used.		
E 5.2.18		Mandatory
The Service Provider shall ensure that recorded messages can easily be placed on all branch options of the IVR.		
E 5.2.19		Mandatory
The Service Provider shall ensure that the IVR automatically plays a pre-recorded message to Customers in the event that the call waiting time exceeds a parameterised number of minutes.		
E 5.2.20		Mandatory
The Service Provider shall ensure that the IVR system automatically advises a Customer of the expected call wait time whilst they are queued in the IVR system.		
E 5.2.21		Mandatory
The Service Provider shall submit to TfL for Assurance its proposal for and when, Assured, implement the music that the IVR shall play where a Customer is queued.		
E 5.2.22		Mandatory
The Service Provider shall ensure that all necessary music licences are purchased for the IVR system at no cost to TfL.		
E 5.2.23		Mandatory
The Service Provider shall submit to TfL for Approval prior to be activated on the IVR, all IVR messages and, when Approved, activate such messages.		
E 5.2.24		Mandatory
The Service Provider shall ensure that any changes to the IVR have been authorised in advance by TfL – the Service Provider cannot make any changes, however minor, without prior TfL consent.		
E 5.2.25		Mandatory
The Service Provider shall ensure that system wrap up codes are used in order to speed up the average handling time of calls and to provide categorisation.		

E 5.2.26		Mandatory
The Service Provider shall ensure that the system wrap up codes agreed by TfL prior to being implemented, and that they are changed (at no cost to TfL) when requested by TfL.		
E 5.2.27		Mandatory
The Service Provider shall ensure that the Contact Centre can escalate items to TfL for guidance.		
E 5.2.28		Mandatory
The Service Provider shall ensure that Contact Centre can escalate items to TfL, TfL Third Parties, and Other Service Providers for advice and guidance.		
E 5.2.29		Mandatory
The Service Provider shall ensure that the Notice Processing Service System is integrated with a CTI solution.		
E 5.2.30		Mandatory
The Service Provider shall ensure that any transferred calls take precedence over incoming calls, this shall include both internal and external (Other TfL Service Providers).		
E 5.2.31		Mandatory
The Service Provider shall ensure that, if an invalid PCN payment reference number is entered by the Customer more than twice, its IVR system does not accept payment from the Customer and the caller is directed to the Operational User. If the payment attempt is outside of the Contact Centre Operational Hours a suitable message shall be played.		
E 5.2.32		Mandatory
The Service Provider shall ensure that the IVR offers the option to repeat a question and that, if the question remains unanswered: - the call drops out to an Operational User - if outside the Contact Centre(s), Operational Hours, the out of hours message).		
E 5.2.33		Mandatory
The Service Provider shall ensure that the Customer only accesses Penalty Charge details relevant to them once they have identified themselves securely in accordance with appendix 9: TfL Business Rules.		
E 5.2.34		Mandatory
The Service Provider shall ensure that all interactions via the IVR system are capable of being reported for the purpose of Management Information.		

E 5.2.35		Mandatory
The Service Provider shall ensure that a display (as Approved by TfL in advance) is provided which is visible to Operational Users and specified TfL Personnel that shows the number of calls waiting and the number of calls in the queues. This display shall provide Data on grade of service and connected abandonment rates for that day and for the last sixty (60) minutes.		
E 5.2.36		Mandatory
The Service Provider shall ensure that the IVR system is secure and the Customer shall only be able to access the functionality of the IVR system once the Customer has been authenticated (such authentication being complete upon correct entry of a (i) Penalty Charge number or , , an Automated Payment Reference; and (ii) associated VRM.		
E 5.2.37		Mandatory
The Service Provider shall ensure that its IVR system's menu permits automated information about the Contravention Types enforced by the Service Provider to be played to the Customer.		
E 5.2.38		Mandatory
The Service Provider shall ensure that where a Failed Payment is unsuccessful outside of the Contact Centre Operational Hours a suitable recorded message shall be played directing them to the Web payment channel or to phoning the Contact Centre during Contact Centre Operational Hours.		
E 5.2.39		Mandatory
The Service Provider shall ensure that Customers are able to pay for Penalty Charge(s) using the IVR on entry of a correct Penalty Charge payment reference number.		
E 5.2.40		Mandatory
The Service Provider shall ensure that the Service Provider Personnel can make outbound calls. The Service Provider shall submit to TfL for Assurance the circumstances under which Service Provider Personnel may make outbound calls and, once Assured, ensure that the Service Provider Personnel only makes outbound calls in these circumstances		
E 5.2.41		Mandatory
The Service Provider shall ensure that the phonetic alphabet is used by the Service Provider Personnel within the Contact Centre when dealing with Customers.		
E 5.2.42		Mandatory

The Service Provider shall provide a solution to allow automated Customer Satisfaction Surveys at the end of telephone calls and emails to Customers and any other Customer interactions as Approved by TfL.

5.3 Payments

This section sets out the requirements for dealing with Penalty Charge payments. The Service Provider shall ensure that payments can be processed via payment cards, cheque, cash, postal order or money order, and via all payment channels. Penalty Charge payment confirmation receipts, (using a unique reference number) must be sent in accordance with the Customer requirements. The processing of Penalty Charge payments shall be in accordance with the TfL Business Rules and Policy Advice.

E 5.3.1	ULEZ Amend	Mandatory
The Service Provider shall ensure that Customers can make payment for Penalty Charge(s) via the following channels: • post; • Contact Centre (via an Operational User); • IVR; • Web; and • mobile Web; • Mobile Application		

E 5.3.2		Mandatory
The Service Provider shall ensure that IVR interactions and transactions are recorded and linked to the relevant Penalty Charge Record in the Notice Processing Service System(s).		

E 5.3.3		Mandatory
The Service Provider shall record the method of payment on the Notice Processing Service System(s) and link it to the relevant Penalty Charge Record event history.		

E 5.3.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) prevents more than one (1) full payment of any given Penalty Charge.		

E 5.3.5		Mandatory
The Service Provider shall ensure the Notice Processing Service System(s) accepts a payment for less than the amount owing in respect of the Penalty Charge and processes such payment accordingly.		
E 5.3.6		Mandatory
The Service Provider shall ensure that a unique payment reference number is allocated to all payments, and that this is linked to the Penalty Charge Record on the Notice Processing Service System.		
E 5.3.7		Mandatory
The Service Provider shall ensure that upon a Customer request a payment receipt is provided by the channel requested. The Customer shall be offered email as a first option.		
E 5.3.8		Mandatory
The Service Provider shall ensure that a copy of the payment receipt is linked to the relevant Penalty Charge Record(s) and retained on the Notice Processing Service System(s).		
E 5.3.9		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) have the functionality to enable a Customer to pay multiple Penalty Charges in a single transaction via the Contact Centres' Operational User.		
E 5.3.10		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to reconcile payments made in respect of more than one (1) Penalty Charge(s).		
E 5.3.11		Mandatory
The Service Provider shall ensure that payments are not processed for Penalty Charge(s) which have progressed to Warrant of Execution and are with Bailiff(s) for collection.		
E 5.3.12		Mandatory
The Service Provider shall ensure that all financial data is displayed on the Notice Processing Service System(s) and is user friendly and understood by the Customer and the Operational User(s).		
E 5.3.13		Mandatory
The Service Provider shall ensure that there is an operational separation of duties and security permissions levels for all financial processing.		

E 5.3.14		Mandatory
The Service Provider shall ensure that financial data is available at all times to all Personnel with appropriate security permissions.		

E 5.3.15		Mandatory
The Service Provider shall develop and comply with processes for managing unidentified and/or unallocated payments and shall submit such processes to TfL for Approval prior to the Operational Commencement Date.		

E 5.3.16		Mandatory
The Service Provider shall accept payment methods in accordance with schedule 32: Revenue Collection and Payment. For the avoidance of doubt, Schedule 32 includes further detail in respect of the Change Request Number (CBSL 092) for BACS and CHAPS payments.		

E 5.3.17		Mandatory
The Service Provider shall ensure that all payment transactions operate in accordance with the requirements set out in schedule 32: Revenue Collection and Payment. For the avoidance of doubt, Schedule 32 includes further detail in respect of the Change Request Number (CBSL 092) for BACS and CHAPS payments.		

5.4 Handling Payments via Post		
This section sets out the requirements for handling payments received via the post. The Service Provider shall ensure that payments can be processed regardless of the method of payment. This can include card payments, cheques, cash, postal orders or money orders. Penalty Charge payment confirmation receipts, (using a unique reference number) shall be sent to the Customer in accordance with the Customer requirements. The Service Provider shall perform the following requirements in accordance with the TfL Business Rules and Policy Advice.		

E 5.4.1		Mandatory
The Service Provider shall retain and store a scanned image of the front and reverse of any cheque, payment slip, and the front and reverse of any envelopes in which the cheque was received in and link this to the relevant Penalty Charge Record(s) in the Notice Processing Service System(s).		

E 5.4.2		Mandatory
The Service Provider shall ensure that where a cash payment is received, this payment shall be handled in a secure environment. The Service Provider shall submit to TfL for Assurance the process to be used for handling Cash Payments, and once Assured, implement such process.		

E 5.4.3		Mandatory
The Service Provider shall ensure that each payment which cannot be processed and which has been received via the postal channel(s) is returned to the Customer together with a letter communicating the reason why payment has not been taken. A copy of the letter shall be stored on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record.		

5.5 Dispensation		
This section sets out the requirements for processing Dispensation applications The Service Provider shall ensure that in meeting these requirements it complies with the Business Rules.		

E 5.5.1		Mandatory
The Service Provider shall receive and process Dispensation applications in accordance with appendix 17: Dispensation Pack via the following incoming channels: • postal; • email; and • Web.		

E 5.5.2		Mandatory
The Service Provider shall record the details of the Dispensation application on the Notice Processing Service System(s).		

E 5.5.3		Mandatory
The Service Provider shall ensure that a unique record is created for each Dispensation application.		

E 5.5.4		Mandatory
---------	--	-----------

The Service Provider shall process the Dispensation application in accordance with appendix 9: TfL Business Rules.		
--	--	--

E 5.5.5		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) enables financial transactions to be undertaken in relation to a Dispensation for the following: • payment(s); and • refund(s).		

E 5.5.6		Mandatory
The Service Provider shall ensure that any related financial transactions are recorded against the relevant unique Dispensation record within the Notice Processing Service System(s).		

E 5.5.7		Mandatory
The Service Provider shall update the Notice Processing Service System(s) with one (1) of the following Dispensation application decisions: • accept; • reject; or • request further information from the Customer.		

E 5.5.8	CCR006 Amend	Mandatory
The Service Provider shall accept payment for a Dispensation via the following payment channels: • Contact Centre; • Web.		

E 5.5.9		Mandatory
The Service Provider shall charge applicants for Dispensations based on a dispensation fee criteria as described in appendix 17: Dispensation Pack.		

E 5.5.10		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) shall update to include changes to the dispensation fees.		

E 5.5.11		Mandatory
----------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) enables Operational User(s) to search for Dispensations using the following criteria:

- location of dispensation;
- applicant details (name, address and contact details);
- status of dispensation; and
- payment status.

E 5.5.12		Mandatory
The Service Provider shall ensure that when a Dispensation application is accepted, the Dispensation details are transmitted electronically to the DTES management system(s).		

E 5.5.13		Mandatory
The Service Provider shall ensure that when a Dispensation application is accepted, the applicant is notified and sent any documentation relating to the relevant Dispensation.		

E 5.5.14		Mandatory
The Service Provider shall ensure that when a Dispensation application is rejected, the Dispensation fee is refunded to the payee.		

5.6 Complaints

This section sets out the requirements for handling all Complaints. The Service Provider shall respond to all Complaints within a Parameterised period. Certain categories of Complaint shall (in every instance) be escalated to TfL. These include letters from Members of Parliament, Bailiff-related Complaints or where an individual member of staff is named.

E 5.6.1		Mandatory
The Service Provider shall handle Complaints via the following channels: • telephone; • Web; • postal; • email; • TfL; and		

- other sources.

E 5.6.2		Mandatory
The Service Provider shall ensure that when a Complaint is received the following action is taken on the Notice Processing Service System(s): • suspend Penalty Charge(s) and any other relevant cases; • record receipt of the Complaint; • add any appropriate notes; • ensure the Complaint is linked to the relevant Penalty Charge Record on the Notice Processing Service System(s);and • refer the Complaint to the relevant business area.		

E 5.6.3		Mandatory
The Service Provider shall submit to TfL for Approval (prior to being implemented) its proposals for and, when Approved, implement a process for dealing with Customer Complaints in accordance with TfL's complaints process and procedure.		

E 5.6.4		Mandatory
The Service Provider shall ensure that Complaints and Enquiries from the following list are escalated to TfL as soon as they are received: • from MPs, LGO (Local Government Ombudsman), and other figures of authority, such as royalty, senior military personnel; • all media Enquiries and Complaints; • breaches or alleged breaches of the DPA; • reports from the public of incorrect signs and lines; and • any Customer interaction that TfL (as notified to the Service Provider by TfL from time to time) or the Service Provider considers to be sufficiently high profile and sensitive at the time.		

E 5.6.5		Mandatory
The Service Provider shall submit to TfL for Approval (prior to being implemented) its proposals for and, when Approved, implement a process for managing FOI and SAR correspondence as follows: • a process and method for escalating FOI and SAR correspondence, where required;		

- a process and method for responding to FOI and SAR correspondence in instances where escalation to TfL is not required; and

in each case so as to ensure that all statutory obligations and timelines are met in accordance with the current FOI and SAR legislation.

E 5.6.6		Mandatory
The Service Provider shall ensure that FOI and SAR correspondence are identified and processed in accordance with both the statutory timelines as set out in the current legislation and in accordance with schedule 5: Service Level Agreement.		

E 5.6.7		Mandatory
The Service Provider shall ensure that where TfL responds to a Complaint directly, and forwards a copy of the response to the Service Provider, the following actions are taken on the Notice Processing Service System(s):		
• response is scanned in and linked to the relevant Penalty Charge Record; • appropriate notes are added to the Penalty Charge Record; and • actions carried out in line with the response provided.		

5.7 Refunds

This section sets out the requirements for processing refunds, which can arise as a result of a Penalty Charge Cancellation. The Service Provider shall ensure that refunds can be made payment card or cheque, and that all financial transactions are visible on the relevant Penalty Charge Record.

E 5.7.1		Mandatory
The Service Provider shall ensure that it complies with the TfL's refund policy set out in appendix 19: Refunds Policy (as amended by TfL from time to time).		

E 5.7.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) generates a unique refund identifier for each refund provided to a Customer.		

E 5.7.3		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to automatically identify each case requiring a refund when the following criteria are met:		

- an overpayment is made by a Customer; or
- there is an outstanding credit balance on an account when the Penalty Charge has been cancelled.

E 5.7.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to refund the amount paid against a Penalty Charge or Warning Notice at any stage within the Penalty Charge lifecycle.		

E 5.7.5		Mandatory
The Service Provider shall record on the Notice Processing Service System(s) all required information relating to the refund, including Goodwill Payments and such information shall be linked to the relevant Penalty Charge Record. This information should include, but not be limited to:		
• date the refund was identified; • date the refund was paid; • amount of refund; • reason for refund; • status of Penalty Charge; • payment method; • full payee details; and • unique refund identification number.		

E 5.7.6		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) is capable of producing more than one (1) refund per Penalty Charge throughout the lifecycle, where a PCN is re-issued to either (a) the same Registered Keeper or Person Liable, or (b) to a new Registered Keeper or Person Liable.		

E 5.7.7		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) is capable of producing a refund in relation to one (1) payment instance with one (1) or more payees, where such refund relates to the same Penalty Charge, and such refund shall be equal to the amount paid by each payee.		

E 5.7.8		Mandatory
---------	--	-----------

The Service Provider shall ensure that a refund of the Penalty payment is generated by the Notice Processing Service System(s) when (and only when) applicable including in (but not limited to) the following circumstances:

- cancellation of a Penalty Charge(s);
- acceptance of a Representation;
- a Non Contest of an Appeal and/or a Statutory Declaration Appeal;
- an allowed Decision Type of an Appeal and/or a Statutory Declaration Appeal;
- request from TfL or the Local Government Ombudsmen as a result of a Complaint;
- Customer makes an overpayment of the Penalty Charge, and this can be verified; and
- Customer payment has been incorrectly allocated to a Penalty Charge.

E 5.7.9		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to enable a single refund in relation to multiple Penalty Charges.		
E 5.7.10		Mandatory
The Service Provider shall ensure that the refund is paid to the person who made the original payment, irrespective of the Registered Keeper/Person Liable of the Vehicle.		
E 5.7.11		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) issues refunds by the means used to make the original payment of the Penalty Charge.		
E 5.7.12		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the ability to override the refund generation process in certain circumstances, as confirmed in writing by TfL from time to time.		
E 5.7.13		Mandatory
The Service Provider shall make the necessary refund and adjustments in the Notice Processing Service System(s) in the event of a Customer having made an overpayment after the amount having been transferred to TfL.		
E 5.7.14		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has refund controls in accordance with appendix 19: Refunds Policy.		

E 5.7.15		Mandatory
The Service provider shall ensure that the Notice Processing Service System(s) has the functionality to link the refund identifier to each Penalty payment being refunded.		

6. INBOUND AND OUTGOING CORRESPONDENCE

6.1 Inbound Mail and Scanning

This section sets out the requirements in relation to the processing of inbound mail.

E 6.1.1		Mandatory
The Service Provider shall provide dedicated PO box number(s) for the exclusive use of all Customer correspondence relevant to this Agreement.		

E 6.1.2		Mandatory
The Service Provider shall receive the following types of correspondence via the postal channel: • general enquires; • Penalty Charge payments; • specific enquiries; • Representations; • Complaints; • FOI requests; • Data Protection/SAR requests; • Mayoral and VIP letters; and • correspondence from TfL, TfL Third Parties, and Other Service Providers.		

E 6.1.3		Mandatory
The Service Provider shall ensure that all correspondence is Timestamped on the day of receipt.		

E 6.1.4		Mandatory
The Service Provider shall ensure that all incoming correspondence including envelopes (front and back) is scanned.		

E 6.1.5		Mandatory
The Service Provider must ensure that all scanned images are clearly visible, legible and should be: • Timestamped;		

- capable of being printed; and
- in colour.

E 6.1.6		Mandatory
The Service Provider shall ensure that all incoming mail is given a unique electronic identifier on the Notice Processing Service System(s).		

E 6.1.7		Mandatory
The Service Provider shall ensure that the scanned images of all incoming correspondence are placed on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record(s).		

E 6.1.8		Mandatory
The Service Provider shall have the ability to identify and categorise all incoming correspondence. The Service Provider shall submit to TfL for Assurance (prior to being implemented) its proposal for such categories.		

E 6.1.9		Mandatory
The Service Provider shall retain all incoming correspondence in accordance with appendix 24: Data Retention.		

E 6.1.10		Mandatory
The Service Provider shall ensure that any Customer correspondence that cannot be allocated to a Penalty Charge Record on the Notice Processing Service System(s) is retained and can be retrieved.		

E 6.1.11		Mandatory
The Service Provider shall process all Returned Mail in accordance with appendix 21: Returned Mail Handling Criteria.		

E 6.1.12		Mandatory
The Service Provider shall ensure that all post is handled in a secure area.		

E 6.1.13		Mandatory
The Service Provider shall comply with all applicable Law on opening and scanning of mail.		

6.2 Outbound Mail

This section sets out the requirements in relation to the processing of outbound mail.

E 6.2.1		Mandatory
The Service Provider shall ensure that outbound correspondence can be sent via varying postal services such as but not limited to: • first class; • second class; • recorded delivery; • courier delivery; and • track delivery.		
E 6.2.2		Mandatory
The Service Provider shall ensure that all Statutory Notices and Warning Notices are sent via first class post.		
E 6.2.3		Mandatory
The Service Provider shall ensure that the date of issue recorded on any Statutory Notices and Warning Notices corresponds to the date of posting.		
E 6.2.4		Mandatory
The Service Provider shall ensure that the date of issue recorded on all outbound correspondence corresponds to the date of posting.		
E 6.2.5		Mandatory
The Service Provider shall provide all stationary required for all outbound correspondence.		
E 6.2.6		Mandatory
The Service Provider shall process outgoing correspondence, this shall include but shall not be limited to: • Warning Notices; • Statutory Notices; • responses to general and specific Penalty Charge-related enquiries;		

- responses to Complaints;
- responses to Representations, including attachments;
- Appeal Packs;
- Challenge Packs;
- ad hoc Customer responses;
- cheques; and
- any relevant public information.

E 6.2.7		Mandatory
The Service Provider shall ensure that a copy of the mail item posted is retained on the Notice Processing Service System(s) and linked to the relevant Penalty Charge Record within a Parameterised period of being posted.		

E 6.2.8		Mandatory
The Service Provider shall ensure that an event is populated automatically on the Notice Processing Service System(s) and linked to confirm the item has been posted.		

E 6.2.9		Mandatory
The Service Provider shall ensure that all outbound correspondence is printed and sent in varying priority orders, as specified by TfL from time to time (and any changes to such priority orders shall be implemented at no cost to TfL).		

7. GENERAL PENALTY CHARGE HANDLING AND SEARCH FUNCTIONALITY

7.1 General Penalty Charge Search Functionality

This section sets out the general requirements of the Notice Processing Service System(s) in relation to different types of searches that may be carried out, and the way in which the results are displayed.

E 7.1.1

Mandatory

The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to enable the Operational User to search using the following criteria but not limited to:

- Penalty Charge number;
- VRM;
- Contravention Type and location;
- Contravention date (range of dates);
- Status;
- last progression point;
- Registered Keeper/Person Liable contact details; and
- wildcard search.

E 7.1.2

Mandatory

The Service Provider shall ensure the Notice Processing Service System(s) has the functionality to index and search all unallocated correspondence.

E 7.1.3

Mandatory

The Service Provider shall ensure that the Notice Processing Service System(s) provides the functionality to display search results for Penalty Charge Records. The Service Provider shall submit to TfL for Assurance (prior to being implemented) its proposal for such categories of search results displayed for searches against Penalty Charge Records.

E 7.1.4

Mandatory

The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to:

- search for all events relating to an individual Penalty Charge Record or group of related Penalty Charge Record(s);

- search for all actions relating to an individual Penalty Charge Record; or group of related Penalty Charge Record(s).

E 7.1.5		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to search for all financial transactions relating to an individual Penalty Charge Record or group of related Penalty Charge Record(s).		

E 7.1.6		Mandatory
The Service Provider shall ensure that as the result of the search, the Notice Processing Service System(s) displays all the Penalty Charge Records for the same VRM or Registered Keeper/Person Liable.		

E 7.1.7		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to display a summary of all Penalty Charge Record(s) related to the search criteria.		

E 7.1.8		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to enable the Operational User to select any of the Penalty Charge Record(s) displayed as a result of the search and access the full event history for that Penalty Charge Record.		

7.2 Call Recording		
This section sets out the requirements in relation to the all telephone calls. Call recordings must be linked to the relevant Penalty Charge Record and recording and storage must comply with PCI compliance requirements.		

E 7.2.1		Mandatory
The Service Provider shall ensure that (one hundred per cent) 100% of all inbound, outbound and transferred calls are recorded and stored.		

E 7.2.2		Mandatory
The Service Provider shall ensure that all recorded calls are available with real-time playback.		

E 7.2.3		Mandatory
The Service Provider shall ensure that all recorded calls are time stamped.		
E 7.2.4		Mandatory
The Service Provider shall ensure that TfL has the ability to access and listen to all call recordings.		
E 7.2.5		Mandatory
The Service Provider shall ensure that all recorded and stored calls adhere to the latest PCI compliance requirements.		
E 7.2.6		Mandatory
The Service Provider shall advise all Customers transferring to an Operational User that their call shall be recorded for the purpose of staff training, monitoring and dispute resolution.		
E 7.2.7		Mandatory
The Service Provider shall retain all recorded calls in a common format.		
E 7.2.8		Mandatory
The Service Provider shall ensure that all telephone calls are assigned a Wrap Up Code by the Operational User upon call termination.		
E 7.2.9		Mandatory
The Service Provider shall ensure that all call recording(s) are stored and linked to the relevant Penalty Charge Record on the Notice Processing Service System(s).		
E 7.2.10		Mandatory
The Service Provider shall ensure that stored call recording are recorded as a single recording even where the call is transferred		
E 7.2.11		Mandatory
The Service Provider shall ensure that all stored call recording as record as a single recording even when the call is place on hold.		
E 7.2.12		Mandatory
The Service Provider shall retain all call recordings not relating to a Penalty Charge in an appropriate secure location accessible by TfL.		
E 7.2.13		Mandatory

The Service Provider shall ensure that it is possible for call recordings to be transferred to removable media.

E 7.2.14		Mandatory
The Service Provider shall have the ability to search for and retrieve call recordings based on, but not limited to: • relevant Operational User; • telephone number the caller used to make the call on (where possible); • range of times and dates; • Penalty Charge number; • Penalty Charge payment reference number; • VRM • Contravention Type; • Wrap Up Codes; and • wildcard.		

7.3 Penalty Charge Cancellation

This section sets out the requirements in relation to the cancellation of a Penalty Charge. There may be occasions when a Penalty Charge needs to be cancelled by an Operational User and the Notice Processing Service System(s) shall have the ability to stop the progression of a Penalty Charge in these instances.

E 7.3.1		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) enables the Operational Users to cancel Penalty Charge(s).		

E 7.3.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the ability to stop the progression of a Penalty Charge, when a Penalty Change has been cancelled.		

E 7.3.3		Mandatory
---------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) has the ability to cancel multiple Penalty Charges in one (1) action.
--

E 7.3.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) records a reason for the cancellation of the Penalty Charge and the relevant cancellation code as set out in appendix 18: Reason Codes.		

E 7.3.5		Mandatory
The Service Provider shall ensure that the ability to cancel Penalty Charge(s) on the Notice Processing Service System(s) and can be restricted to certain Operational Users or groups of Operational Users.		

E 7.3.6		Mandatory
The Service Provider shall administer use of a library of cancellation codes. This includes but is not limited to • new codes; • removal of codes; • changes to users' rights; and • changes to summary code descriptions. The Service Provider shall implement any changes to these codes requested by TfL (at no cost to TfL).		

E 7.3.7		Mandatory
The Service Provider shall maintain a list of cancellation codes and a description for use of each code which must be available to all Operational Users.		

7.4 Penalty Charge Suspensions		
This section sets out the requirements in relation to the suspension of a Penalty Charge. There may be occasions when a Penalty Charge needs to be suspended and the Notice Processing Service System(s) shall have the ability to suspend the progression of a Penalty Charge in these instances.		

E 7.4.1		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to suspend the progression of a Penalty Charge.		

E 7.4.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to suspend Penalty Charge progression at Charge Certificate stage for cases identified by TfL and confirmed by TfL to the Service Provider in writing.		
E 7.4.3		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the ability to suspend multiple Penalty Charges in one (1) action.		
E 7.4.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) records a reason for the suspension of any Penalty Charge.		
E 7.4.5		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) is updated with the suspension reason codes as set out in appendix 18: Reason Codes and as amended by TfL from time to time (at no additional cost to TfL).		
E 7.4.6		Mandatory
The Service Provider shall ensure that each suspension reason code as set out in appendix 18: Reason Codes is set with a Parameterised period.		
E 7.4.7		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to automatically remove a suspension.		

7.5 Quality Monitoring

This sections sets out the overarching requirements relating to Quality Monitoring. The Service Provider shall implement a Quality Monitoring Tool. A Quality Monitoring regime shall also be put in place in order to meet the requirements in schedule 5: Service Level Agreement.

E 7.5.1		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has embedded within it a Quality Monitoring Tool that is utilised in accordance with schedule 5: Service Level Agreement, and such Quality Monitoring Tool shall monitor all aspects of the Penalty Charge lifecycle and processing.		

E 7.5.2		Mandatory
The Service Provider shall ensure that a Quality Monitoring Tool is embedded within the call recording system that monitors all aspects of the Penalty Charge lifecycle and processing.		

E 7.5.3		Mandatory
The Service Provider shall ensure that the Quality Monitoring Tool enables score cards to be loaded into the Notice Processing Service System(s) to ensure that quality is effectively monitored and retained.		

E 7.5.4		Mandatory
The Service Provider shall ensure that the Quality Monitoring Tool allows for a Parameterised percentage of all telephone calls and outbound written correspondence to be selected at random for monitoring purposes.		

E 7.5.5		Mandatory
The Service Provider shall submit to TfL for Assurance its proposals for a quality monitoring regime to meet the requirements set out in schedule 5: Service Level Agreement.		

E 7.5.6		Mandatory
The Service Provider shall ensure that all items selected for real time quality monitoring, shall be suspended the lifecycle of the Penalty Charge and not released until the quality monitoring check has been fully completed.		

E 7.5.7		Mandatory
The Service Provider shall ensure that outgoing correspondence that fails to meet the required quality standard is redrafted and rechecked prior to being sent to the Registered Keeper/Person Liable.		

7.6 Batch Processing		
This section sets out the requirements for the batching together of Penalty Charge Records by using a number of different criteria. The Notice Processing Service System(s) shall have the ability to allow users to carry out a number of different functions for each batch file. A full audit trail must be created and available for all batch function processing.		

E 7.6.1		Mandatory
---------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) identifies Penalty Charge Records(s) to batch together to facilitate specific actions to be undertaken as set out below.

E 7.6.2		Mandatory
---------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) identifies Penalty Charge Records(s) by VRM for batching into groups.
--

E 7.6.3		Mandatory
---------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) identifies Penalty Charge Records(s) by VRM for batching into groups.
--

E 7.6.4		Mandatory
---------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) identifies Penalty Charge Records(s) by using the following criteria or a combination of the criteria for batching into groups:
--

- | |
|--|
| <ul style="list-style-type: none"> • Contravention date or range of dates (from – to); • Contravention Type; • Contravention code; • Contravention location; • Penalty Charge Record progression point (for example Charge Certificate or Warrant of Execution); a • current status (open, suspended, paid); • any other common identifier which can be derived from a Penalty Charge Records data fields; or • a wildcard search. |
|--|

E 7.6.5		Mandatory
---------	--	-----------

The Service Provider shall ensure that the Notice Processing Service System(s) has the ability to enable the Operational User to:

- | |
|--|
| <ul style="list-style-type: none"> • suspend the identified Penalty Charge(s) contained in the batch file; • delete the identified Penalty Charge(s) contained in the batch file; • cancel the identified Penalty Charge(s) contained in the batch file; • Write-Off the identified Penalty Charge(s) contained in the batch file; • re-set the identified Penalty Charge(s) contained in the batch file; |
|--|

- transfer the identified Penalty Charge(s) contained in the batch file to a Third Party;
- cease progression of the identified Penalty Charge(s) contained in the batch file; and
- move the identified Penalty Charge(s) contained in the batch file within the workflow.

E 7.6.6		Mandatory
The Service Provider shall ensure that the use of the batch function is restricted to defined security roles as described in schedule 2: General Statement of Requirements.		

E 7.6.7		Mandatory
The Service Provider shall ensure that a full audit trail is created and available for all batch function processing.		

7.7 Workflow

This section sets out the requirements in relation to workflow and the management of inbound correspondence in relation to the Notice Processing Service.

E 7.7.1		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to create workflow items.		

E 7.7.1b		Mandatory
The Service Provider shall ensure that TfL has the same access and user rights to the workflow solution as the Service Provider's Operational Users.		

E 7.7.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to manage workflow items.		

E 7.7.3		Mandatory
The Service Provider shall ensure that workflow items are fully auditable.		

E 7.7.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) shall have the functionality to associate workflow items to Penalty Charge Records.		

E 7.7.5		Mandatory
The Service Provider shall ensure that the Notice Processing Service System has the following functionality for all workflow items: • enable all Operational Users to view an entire Interaction History, including workflow item notes; • record the timestamp of changes made to workflow items , this includes workflow item status changes • enable all Operational Users, and TfL, to create workflow items; • enable the progression of workflow items to be viewable and traceable; • ability to copy and paste details on to workflow notes; • spell check functionality; • ability to add attachments from various sources to workflow items.		
E 7.7.6		Mandatory
The Service Provider shall ensure that the Notice Processing Service System has the functionality to allow workflow items to be searchable by defined fields. The Service Provider shall submit to TfL for Assurance the fields it proposes to be searchable and, when Assured, comply with such fields.		
E 7.7.7		Mandatory
The Service Provider shall ensure that the Notice Processing Service System has the functionality to report on workflow items.		
E 7.7.8		Mandatory
The Service Provider shall ensure that the Notice Processing Service System has the functionality to ensure that workflow item notes are viewable by Operational Users and TfL but not by Customers (save to the extent required in relation to Subject Access Requests).		
E 7.7.9		Mandatory
The Service Provider shall ensure that the workflow system within the Notice Processing Service System(s) has the ability to: • automatically assign workflow items to appropriate queues and categories; • identify workflow items available for action to appropriate groups of Operational Users;		

- identify workflow items late or overdue for action;
- reassign workflow Items to different queues during the process;
- escalate to team leaders and TfL;
- generate automated Timestamps for all workflow items and the associated actions;
- display the status of workflow item and activities to appropriate groups and Operational Users.

E 7.7.10		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to identify when a workflow item remains incomplete and take the appropriate action including but not limited to automatically escalating the item to the next level.		

E 7.7.11		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to assign a single workflow item relating to an inbound correspondence.		

E 7.7.12		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to report on the status of all workflow items and activities as they are progressed through the Notice Processing Service System(s).		

E 7.7.13		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to track the progression and execution of workflow items through the Notice Processing Service System(s).		

E 7.7.14		Mandatory
The Service Provider shall ensure that the workflow system allows for the following to be included when an workflow item is being escalated to other areas of the Service Provider's operation and or TfL: • name of Operational User sending the escalation • Timestamp of escalation; • category of escalation (list to be determined by TfL); • full details of escalation in an unlimited text field that can be checked for spelling and grammar, formatted to include bold text, bullet points and other standard word processing functions; and		

- ability to upload and attach documentation, including but not limited to PDFs, schematics, photographs, MS documents, process maps, screen prints from TfL Third Parties.

E 7.7.15		Mandatory
The Service Provider shall ensure that all escalations are sent through the Notice Processing Service System(s) directly to TfL and workflow items shall be assigned to a named TfL workflow group.		

E 7.7.16		Mandatory
The Service Provider shall allow TfL to return the required advice and evidence to the Service Provider via the workflow system, which will include: • name of TfL staff member providing the guidance; • Timestamp at point of return; • category of response (list to be determined by TfL); • full details of response in an unlimited text field that can be checked for spelling and grammar, formatted to include bold text, bullet points and other standard word processing functions; and • ability to upload and attach documentation, including but not limited to PDFs, schematics, photographs, MS documents, process maps, screen prints from TfL Third Parties. All of the above fields shall be Parameterised data fields. Provider is not authorised to make any such changes without Approval from TfL.		

E 7.7.17		Mandatory
The Service Provider shall ensure that the workflow system maintains an audit history of workflow items' progression, to include but not limited to: • dates of activity; • contributors; • recipients of the workflow item; • escalation route; • notes added.		

E 7.7.18		Mandatory
----------	--	-----------

The Service Provider shall use the workflow system for passing any items to another team member or function within the Service Provider's operations. This requirement is applicable to all tasks within the Notice Processing Service System(s).

7.8 Word Processing

This section sets out the requirements in relation to word processing, outgoing correspondence and standard letter templates.

E 7.8.1		Mandatory
The Service Provider shall ensure that the word processing functions provided include, as a minimum, the ability to: • create documents; • edit documents; • save documents; • compare documents; • share documents; • upload documents; • cut and paste from and to different documents; and • any other functions which are provided as standard on current and future word processing packages.		

E 7.8.2		Mandatory
The Service Provider shall ensure that any outbound correspondence is sent only to the Registered Keeper/Person Liable or an authorised Third Party, and where this is a company or if the individual name is not known, the outbound Correspondence addresses the Registered Keeper/Person Liable as 'Sir or Madam'.		

E 7.8.3		Mandatory
The Service Provider shall ensure that for all letters generated by the Notice Processing Service System(s), the Operational Users shall have the ability to: • re-order the sequence of paragraphs; • enter any length of free text into any part of the letter, i.e. no limit;		

- automatically spell and grammar check the letters using the mandatory and effective integral UK English spell checker unless otherwise stated;
- view the letter in a 'perfect' print preview format (for the avoidance of doubt, the System shall display the letter on the Operational User's screen exactly as it shall appear in print including page layout when over multiple pages);
- print the letter locally and produce multiple copies where required (regardless of whether a bulk printer is employed or not); and
- use various fonts, font sizes, colours; and use bold, italic, bullet points, underlining and numbering anywhere in the body of the letter.

E 7.8.4		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) automatically runs a UK English spell and grammar check on all outbound Correspondence upon print request.		

E 7.8.5		Mandatory
The Service Provider shall provide and maintain a document library that contains standard letter templates and paragraphs for insertion into letters. The standard letters and paragraphs will be provided by TfL, or produced by the Service Provider and Approved by TfL prior to being implemented.		

E 7.8.6		Mandatory
The Service Provider shall receive all standard letter templates and paragraphs from TfL and these will be subject to review and change by TfL from time to time. All such changes shall not constitute a Change and shall not incur any additional cost to TfL. The Service Provider shall ensure that all proposed features and changes are Approved by TfL prior to being implemented and shall be impacted and ready for use by the Service Provider within twenty four (24) hours of receipt of the relevant instructions from TfL. Any changes impacted will not affect any previous outbound Correspondence. The Service Provider shall store all previous standard letter templates and paragraphs on the Notice Processing Service System(s) with a clear audit trail detailing when changes were made.		

8. REPORTING

This section sets out the overarching requirements in relation to MIS. The Service Provider shall ensure compliance with the schedule 2: Statement of Requirements (MIS).

8.1 MIS

E 8.1.1		Mandatory
The Service Provider shall ensure that individual data elements and data fields within its Notice Processing Service System(s) are used for the purposes of reporting from the Management Information System (MIS).		
E 8.1.2		Mandatory
The Service Provider shall comply with schedule 2: Statement of Requirements (MIS) in relation to the fulfilment of Management Information requirements.		
E 8.1.3		Mandatory
The Service Provider shall collect, store and make available to TfL for the purposes of reporting, all information received from Third Parties.		

9. WEB

This section sets out the basic requirements the Service Provider shall adhere to in order to support the TfL Online in relation to the provision of Web Services.

The screens and web functionality shall be produced in house by TfL.

There are a large number of operational process that are completed online so when the TfL Website is being developed the Service Provider shall work closely with TfL Online to ensure that the Notice Processing Service System(s) work together to produce a seamless flow from a Customer perspective.

9.1 General Information

E 9.1.1		Mandatory
The front end web pages servicing the Customer shall be hosted and designed by TfL. The Service Provider shall implement and operate the Web Services in accordance with schedule 2: Statement of Requirements (General).		

E 9.1.2		Mandatory
The Service Provider shall provide support for the API during the Term.		

E 9.1.3		Mandatory
The Service Provider shall construct and maintain the business logic to enable “flags” to be used on the Service Provider API to inform TfL Online which actions are available to an Operational User for any given PCN. The flags shall be used to determine: • If a PCN is payable. • If a Representation can be raised on a PCN. • If additional Evidence can be submitted to a previously submitted Representation. • If a Representation is deemed late • If a Representation is deemed informal.		

9.2 General Web

E 9.2.1		Mandatory
The Service Provider shall verify the VRM and Penalty Charge number correspond to the same individual Penalty Charge prior to providing access to the relevant record(s).		

E 9.2.2		Mandatory
The Service Provider shall ensure that when the VRM and Penalty Charge number are invalid an error handling response is sent to the TfL Website.		

E 9.2.3		Mandatory
The Service Provider shall ensure that when a payment cannot be processed then the error handling response is sent to the TfL Website.		

E 9.2.4		Mandatory
The Service Provider shall ensure that Customers can carry out the following actions via the TfL Website: • General enquires (non-PCN related); • Pay a Penalty Charge • Specific enquiries (PCN related); • Make Representations; • Make Late Representation; • Provide additional representation evidence; • View Evidence; • View PCN Details and status ; • View PCN event history ; • Make a complaint and track its progress; • FOI requests; • SAR requests and Pay; • Apply and Pay for Dispensation; • Check Dispensation Status.		

9.3 Contravention Viewing

E 9.3.1		Mandatory
The Service Provider shall ensure that Contravention images captured by the TfL DTES can be provided to the TfL Website.		

9.4 Contravention Viewing (Videos)

E 9.4.1		Mandatory
The Service Provider shall ensure that Contravention evidence videos (MP4 format) captured by the TfL DTES system can be downloaded and viewed via the TfL Website.		

9.5 Contravention Viewing (Images)

Requirement expires on ULEZ Operational Commencement Date		
E 9.5.1		Mandatory
The Service Provider shall enable the Evidential Images (in relation to the CC and LEZ only) to be provided to the TfL Website.		

Requirement applicable from ULEZ Operational Commencement Date		
E 9.5.1	ULEZ Amend	Mandatory
The Service Provider shall enable the Evidential Images (in relation to CC, LEZ, ULEZ and from the DVS Enforcement Operational Commencement Date, DVS and ULEZ only) to be provided to the TfL Website.		

9.6 Representations for CC and TE

E 9.6.1		Mandatory
The Service Provider shall ensure that when the Registered Keeper/Person Liable makes a Representation request via the TfL Website the Notice Processing Service System(s) responds to the TfL Website with all relevant Penalty Charges and case status.		

E 9.6.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) shall receive any uploaded file(s) from the TfL Website that accompany the Customers' online Representation and that such file(s) are linked to the relevant Penalty Charge Record(s).		

E 9.6.3		Mandatory
The Service Provider shall ensure that the Notice Processing System(s) can receive any associated Customer information submitted via the TfL Website to accompany the Customer's online Representation and that such details are linked to the relevant Representation and Penalty Charge Record(s).		

E 9.6.4		Mandatory
The Service Provider shall generate a reference number for each Customer Representation and this will be provided to the TfL Website.		

9.7 Dispensation

E 9.7.1		Mandatory
The Service Provider shall submit to TfL for Approval (prior to being implemented) its proposal for a process to enable Customers to apply and make payment for Dispensation via the TfL Website and, when Approved, the Service Provider shall comply with such proposal.		

9.8 Enquiry / Complaint

E 9.8.1		Mandatory
For each Complaint or Enquiry, the Service Provider shall receive the relevant Customer's contact details from the TfL Website and create a unique record in the Notice Processing Service System(s).		

E 9.8.2		Mandatory
The Service Provider shall accept a Penalty Charge reference number from the TfL Website to associate a Complaint or Enquiry with the relevant Penalty Charge Record.		

E 9.8.3		Mandatory
The Service Provider shall accept a VRM reference number from the TfL Website to associate a Complaint or Enquiry with the relevant Penalty Charge Record(s).		

E 9.8.4		Mandatory
The Service Provider shall accept 'free text' and all files accompanying a Complaint and or Enquiry submitted by a Customer via the TfL Website and create a unique record in the Notice Processing Service System(s).		

E 9.8.5		Mandatory
The Service Provider shall generate a reference number for each Complaint and or Enquiry and this will be provided to the TfL Website.		

9.9 Payment of Penalty Charge

E 9.9.1		Mandatory
The Service Provider shall ensure that when the Customer makes a payment request the Notice Processing Service System(s) will respond to the TfL Website with all relevant Penalty Charges and case status.		
E 9.9.2		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) have the functionality to enable a Customer to pay multiple Penalty Charges in a single transaction and provide confirmation of successful payment back to the TfL Website.		
E 9.9.3		Mandatory
The Service Provider shall receive and verify a Customer's Penalty Charge payment in accordance with schedule 2: Statements of Requirements (Finance) from the TfL Website before accepting the payment, and provide confirmation to the Customer via the TfL Website.		
E 9.9.4		Mandatory
The Service Provider shall ensure that payments made by a Customer against multiple Penalty Charges on the TfL Website, are summarised, totalled and submitted by the Customer via the Service Provider's payment web pages in a single payment submission.		
E 9.9.5		Mandatory
The Service Provider shall ensure that individual Penalty Charges are independently itemised, traceable and can be automatically presented to TfL upon request.		
E 9.9.6		Mandatory
The Service Provider shall ensure that the payment web pages provide a display of the summary of individual Penalty Charges and the grand total to the Customer before payment submission.		

10. INTEROPERABILITY

This section sets out the high level requirements which the Service Provider shall comply with to ensure that the Services operate successfully together.

10.1 General

E 10.1.1		Mandatory
The Service Provider shall ensure that the Notice Processing Service System(s) provides a failover mechanism to ensure continuity of Service in the event of a Service Systems Interface Failure with the Business Operations Service Provider.		
E 10.1.2		Mandatory
The Service Provider shall refer to schedule 2: Statement of Requirements (Interoperability) for the detailed set of requirements in order to provide this aspect of the Services.		

SECTION 11: MOBILE APPLICATION

TfL require a Mobile Application for Customers to perform basic functions in order to aid with the reduction of calls into the Contact Centre and drive Customers to self service.

11.1 Mobile Application

E.11.1.1	ULEZ Amend	Mandatory
The Service Provider shall ensure that the Operational IT System(s) has the functionality to ensure that PCN Payments can be made via the Mobile Application for all contravention types;		
E.11.1.2		Mandatory
The Service Provider shall ensure that the use of Mobile Application functions will be reported on by the Service Provider at regular intervals, to be agreed between the parties, to enable TfL to track which functions Customers are regularly using;		

E.11.1.3		Mandatory
The Service Provider shall ensure that the Mobile Application functionality must be locked so no other app developers can access the functionality and build their own Mobile Application (locked source);		
E.11.1.4		Mandatory
The Service Provider shall ensure that the Mobile Application functionality is developed in line with ICO App Guidance provided by TfL;		
E.11.1.5		Mandatory
The Service Provider shall ensure that for the purposes of MIS and PI reporting, the Mobile Application activity will be as agreed with TfL and in accordance with Schedule 5, specifically against the following PI's: • PI 2 Critical Service Systems and Interface Availability; • PI 3 Web Interface Response Times; • PI 17 Timely Application of Payments;		
E11.1.6		Mandatory
The Service Provider shall ensure that the Mobile Application functionality is reportable for the purpose of recording PCN payment transactions;		
E.11.1.7		Mandatory
The Service Provider shall ensure that Network traffic between the Mobile Application and the Service Systems shall be encrypted in accordance with Schedule 14 (Security);		
E.11.1.8		Mandatory
The Service Provider shall ensure that the design of the mobile application shall be Assured by TfL;		
E.11.1.9		Mandatory
The Service Provider shall ensure that the branding of the mobile application shall be Assured by TfL;		

E.11.1.10		Mandatory
The Service Provider shall ensure that the service management of the mobile application shall be Assured by TfL;		

E.11.1.11		Mandatory
The Service Provider shall ensure that the Operational IT System(s) has the functionality to ensure that community wide Customer notifications can be published within the Mobile Application. Such notifications to include but not be limited to: • Free Charging days between Christmas and New Year • Snow Days • Other promotional message deemed necessary by TfL;		

E.11.1.12		Mandatory
The Service Provider shall ensure the Mobile Application has the functionality to automatically adapt to the device it is being accessed from (e.g. screen size and resolution);		

E.11.1.13		Mandatory
The Service Provider shall ensure that up to a maximum of 3 software upgrades per annum are provided in order to ensure that the Mobile Application remains fully functional relative to the Android or iOS operating systems with which it has been designed to be compatible;		

E.11.1.14		Mandatory
The Service Provider shall ensure that the Mobile Application is available for download via the following Application stores • iTunes • Google Play		