



Agreement Reference Number: TfL 90865

**Customer Research and Insight Services – Lot 4 Customer Satisfaction (CSS) and Perception Monitoring Surveys (PMS)**

Date: January 2015

**Framework Agreement**  
**for the Provision of Services**  
**between**  
**Transport for London**  
**and**  
**Chime Insight and Engagement**

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THIS AGREEMENT is made the 29<sup>th</sup> day of January 2015

**BETWEEN:**

- (1) Transport for London, whose principal office is at Windsor House, 42-50 Victoria Street, London, SW1H 0TL (“**the Contracting Authority**”); and
- (2) Chime Insight and Engagement, a company registered in England and Wales (Company Registration Number 6064157) whose registered office is at Southside, 105 Victoria Street, London, SW1E 6QT (“**the Service Provider**”).

**RECITALS:**

- A. The Parties wish to enter into a framework agreement which will enable the Authority, from time to time, to enter into a Call-Off Contract or a series of Call-Off Contracts with the Service Provider for some or all of the Services of the type described in Schedule 3.
- B. The terms and conditions of this Framework Agreement shall apply to the Services to be provided by the Service Provider.
- C. This Framework Agreement can be utilised by the Contracting Authority or any other member of the TfL Group.
- D. The terms and conditions of this Agreement provide that the Greater London Authority or any of its other functional bodies may, if the Service Provider so agrees, contract with the Service Provider on the terms set out in this Agreement.

**THE PARTIES AGREE THAT:**

In consideration of the payment by the Authority to the Service Provider of £5.00 (the receipt and sufficiency of which is acknowledged by the Service Provider) and the mutual promises and covenants set out in this Agreement, the Parties agree as follows:

**1. Definitions and Interpretations**

In the Agreement (including the Recitals):

- 1.1 unless the context indicates otherwise the following expressions shall have the following meanings:

**“Agreement”** this framework agreement, including the Schedules and all other documents referred to in this Agreement;

**“Agreement Commencement Date”** the date for commencement of this Agreement specified in Schedule 1;

<b>“Agreement Reference Number”</b>	the reference number for this Agreement as set out in Schedule 1;
<b>“Authority”</b>	the Contracting Authority and or any TfL Group member utilising this Agreement;
<b>“Business Day”</b>	any day excluding Saturdays, Sundays or public or bank holidays in England;
<b>“Call-Off Contract”</b>	a call-off contract in the form set out in Schedule 6 that has been executed by the Service Provider and the Authority, which incorporates this Agreement and includes any attachments and any documents expressly referred to in that Call-Off Contract;
<b>“Call-Off Contract Number”</b>	the reference number for a Call-Off Contract, as specified in the relevant Call-Off Contract;
<b>“Call-Off Co-ordinator”</b>	the person named as such in a Call-Off Contract or such other person as notified to the Service Provider by the Authority;
<b>“Call-Off Term”</b>	the duration of a Call-Off Contract, as set out in the relevant Call-Off Contract;
<b>“Charges”</b>	the charges payable by the Authority, in consideration of the due performance of the Services, as specified in or calculated in accordance with a Call-Off Contract;
<b>“Confidential Information”</b>	all information (whether written or oral) that by its nature may reasonably be regarded as confidential to the Authority or any other member of the TfL Group (whether commercial, financial, technical or otherwise) including information which relates to the business affairs, customers, suppliers, products, software, telecommunications, networks, trade secrets, know-how or personnel of the Authority or any member of the TfL Group;
<b>“Contract Information”</b>	(i) the Agreement and any Call-Off Contract in their entirety (including from time to time agreed changes to the Agreement or to any Call-Off Contract);

and

- (ii) data extracted from the invoices submitted pursuant to Clause 7 which shall consist of the Service Provider's name, the expenditure account code, the expenditure account code description, the document number, the clearing date and the invoice amount;

**“Force Majeure Event”**

any of the following: riot, civil unrest, war, act of terrorism, threat or perceived threat of act of terrorism, fire, earthquake, extraordinary storm, flood, abnormal weather conditions or other natural catastrophe or strikes, lock-outs or other industrial disputes to the extent that such event has materially affected the ability of the Party relying on the Force Majeure Event (“**Affected Party**”) to perform its obligations in accordance with the terms of this Agreement but excluding any such event insofar as it arises from or is attributable to the wilful act, omission or negligence of the Affected Party or the failure on the part of the Affected Party to take reasonable precautions to prevent such Force Majeure Event or its impact;

**“Holding Company”**

any company which from time to time directly or indirectly controls the Service Provider where “control” is as defined by section 840 of the Income and Corporation Taxes Act 1988;

**“Insolvency Event”**

any of the following:

- (a) the Service Provider and/or the Holding Company making any voluntary arrangement with its creditors or becoming subject to an administration order;
- (b) a receiver, administrative receiver, manager, or administrator being appointed over all or part of the business of the Service Provider and/or the Holding Company;

- (c) being a company, the Service Provider and/or the Holding Company having passed a resolution for its winding-up or being subject to a petition for its winding-up (except for the purposes of a voluntary amalgamation, reconstruction or other re-organisation without insolvency);
- (d) the Service Provider and/or the Holding Company ceasing or threatening to cease to carry on its business for any reason and/or being unable to pay its debts within the meaning of the Insolvency Act 1986;
- (e) being an individual or firm, the Service Provider becoming bankrupt or dying;
- (f) any similar event to those in (a) to (e) above occurring in relation to the Service Provider and/or the Holding Company under the law of any applicable jurisdiction for those purposes;

**“Intellectual Property Rights”**

any patent, know-how, trade mark or name, service mark, design right (in each case whether registered or unregistered), copyright, rights in passing off, database right, rights in commercial or technical information, any other rights in any invention, discovery or process and any other intellectual property rights, whether registered or unregistered and including applications for the grant of any such rights and all rights or forms of protection having equivalent or similar effect in each case in the United Kingdom and anywhere else in the world;

**“Key Personnel”**

the Service Provider’s key personnel named as such in Schedule 1 or any relevant Call-Off Contract;

**“Losses”**

all costs (including legal costs and costs of enforcement), expenses, liabilities (including any tax liability), injuries, direct, indirect or consequential loss (all three of which terms

include pure economic loss, loss of profits, loss of business, depletion of goodwill and like loss), damages, claims, demands, proceedings and judgments;

**“Milestone”**

an event which is the completion of one or more of the specified activities as may be set out in the Project Plan;

**“Mini-Competition”**

a competitive process which the Authority may from time to time utilise to select a service provider to carry out Services from time to time;

**“Parties”**

the Authority and the Service Provider (including their successors and permitted assignees) and **“Party”** shall mean either of them as the case may be;

**“Project Plan”**

the plan (if any) set out in a Call-Off Contract in relation to the performance and timing of the Services under a Call-Off Contract which may include Milestones;

**“Procurement Manager”**

the person named as such in Schedule 1 or such other person as notified to the Service Provider by the Authority;

**“Proposal”**

the Service Provider's offer to provide Services in response to a request Form. A Proposal must include a draft Call-Off Contract signed by the Service Provider;

**“Request Form”**

a document produced by the Authority pursuant to clause 3, setting out its request for a Proposal, which document shall be in the form set out in Schedule 5A or Schedule 5B or in such other form as may be notified to the Service Provider by the Authority from time to time;

**“Required Date”**

the date or dates on or by which each Milestone is required to be completed as set out in the Project Plan or, in the absence of any Milestones, the date or dates on or by which the Services are required to be provided as set out in the Project Plan;

**“Service Provider Equipment”**

the equipment and materials of whatsoever

	nature used by the Service Provider in providing the Services which do not themselves form part of the Services and in which title is not intended to pass to the Authority under any Call-Off Contract;
<b>“Service Provider’s Manager”</b>	the person who is identified as the Service Provider’s Manager in the Call-Off Contract for the relevant Services;
<b>“Service Provider’s Personnel”</b>	all such employees, officers, suppliers, sub-contractors and agents of the Service Provider as are engaged in the performance of any of the Services and including the Key Personnel;
<b>“Services”</b>	<p>(a) all or any part of the services to be provided to, or activities to be undertaken and completed for, the Authority by the Service Provider under a Call-Off contract as detailed in such Call-Off Contract including any variations to such services and/or activities pursuant to Clause 32; and</p> <p>(b) any services, functions or responsibilities which may be reasonably regarded as incidental to the foregoing services or activities and which may be reasonably inferred from the Call-Off Contract;</p>
<b>“Specification”</b>	the specification and other requirements set out in Attachment 1 of the Call-Off Contract;
<b>“Term”</b>	the period during which this Agreement continues in force as set out in Schedule 1;
<b>“TfL”</b>	Transport for London, a statutory corporation established under the Greater London Authority Act 1999;
<b>“TfL Group”</b>	TfL and all its subsidiaries (as defined in section 736 of the Companies Act 1985) from time to time together with Cross London Rail Links Limited (company number 04212657) and reference to any <b>“member of the TfL Group”</b> shall refer to TfL or any such subsidiary;

- “TfL Premises”** any land or premises (including temporary buildings) owned or occupied by or on behalf of any member of the TfL Group (including for the avoidance of doubt the Authority);
- “Transparency Commitment”** means the transparency commitment stipulated by the UK government in May 2010 (including any subsequent legislation) in accordance with which the Authority is committed to publishing its contracts, tender documents and data from invoices received; and
- “VAT”** means value added tax as provided for in the Value Added Tax Act 1994 and any tax replacing the same or of a similar nature.
- 1.2 a reference to the singular includes the plural and vice versa, and a reference to any gender includes all genders;
- 1.3 a reference to any statute, enactment, order, regulation or other similar instrument shall be construed as a reference to the statute, enactment, order, regulation or instrument as amended or re-enacted by any subsequent statute, enactment, order, regulation or instrument and shall include all statutory instruments or orders made pursuant to it whether replaced before or after the date of this Agreement;
- 1.4 a reference to any document other than as specified in Clause 1.3 and save as expressed otherwise shall be construed as a reference to the document as at the date of execution of this Agreement;
- 1.5 headings are included in the Agreement for ease of reference only and do not affect the interpretation or construction of the Agreement;
- 1.6 references to Clauses and Schedules are, unless otherwise provided, references to clauses of, and schedules to, the Agreement and any reference to a paragraph in any Schedule shall, in the absence of provision to the contrary, relate to the paragraph in that Schedule;
- 1.7 in the event, and only to the extent, of any conflict between the Clauses and the Schedules, the Clauses prevail, except where:
- 1.7.1 the conflicting part of the Schedule is explicitly expressed to take precedence;
- 1.7.2 the conflict is with a provision in Schedule 2 (Special Conditions of Agreement), in which case the provisions in Schedule 2 shall prevail; or

- 1.7.3 the conflict is with a provision in Attachment 3 (Special Conditions of Call-Off), in which case the provisions in Attachment 3 shall prevail;
- 1.8 except as otherwise expressly provided in any Call-Off Contract, and subject to Clause 1.7, if there is any inconsistency between any of these Clauses, the Schedules, any Call-Off Contract or any other document referred to in or incorporated into this Agreement or any Call-Off Contract, the order of priority for the purposes of construction is:
  - 1.8.1 each Call-Off Contract;
  - 1.8.2 these Clauses;
  - 1.8.3 the Schedules;
  - 1.8.4 any other document referred to in or incorporated by reference into this Agreement or any Call-Off Contract;
- 1.9 the Schedules form part of the Agreement and will have the same force and effect as if expressly set out in the body of the Agreement;
- 1.10 the expression "person" means any individual, firm, body corporate, unincorporated association, partnership, government, state or agency of a state or joint venture; and
- 1.11 the words "including", "includes" and "included" will be construed without limitation unless inconsistent with the context.

## **2. Framework Agreement**

- 2.1 The purpose of this Agreement is to:
  - 2.1.1 provide a mechanism whereby the Parties may enter into Call-Off Contracts;
  - 2.1.2 provide the framework to administer each Call-Off Contract; and
  - 2.1.3 set out the obligations of the Parties.
- 2.2 The Services that may be requested by the Authority and provided by the Service Provider are of the type described in Schedule 3 or as more particularly described in each Call-Off Contract. The Authority's requirements may vary and this Agreement shall not place the Authority under any obligation to procure the Services from the Service Provider at a particular time or at all. This Agreement is not an exclusive arrangement and nothing in this Agreement shall operate to prevent the Authority from engaging any other organisations or persons to provide services similar to or the same as the Services.
- 2.3 Clause 3 sets out the procedure by which the Parties may enter into a Call-Off Contract. Each Call-Off Contract shall be a binding agreement on the Parties and shall incorporate the terms and conditions of this Agreement.

2.4 The Service Provider shall commence provision of the relevant Services in accordance with the Call-Off Contract. The Service Provider must not commence any Services without an agreed Call-Off Contract.

2.5 All Charges in respect of a Call-Off Contract shall be set out in the relevant Call-Off Contract and shall not exceed the rates set out in Schedule 4.

**3. Call-Off Procedure – *this section will not apply if single supplier framework.***

3.1 At any time during the duration of this Agreement, the Authority may identify Services which at its sole discretion it wishes to let under the terms of this Agreement.

3.2 Where the Authority opts to appoint the Service Provider direct without the need for a Mini-Competition, it will issue to the Service Provider a Request Form substantially in the form set out in Schedule 5A, specifying the Services to be provided, in which event:

3.2.1 the Service Provider shall promptly confirm receipt of such Request Form;

3.2.2 the Service Provider shall respond to the Request Form by completing a Proposal an offer capable of acceptance, or by notifying the Authority in writing that it does not intend to submit a Proposal. The Service Provider shall so respond to the Authority by the date specified in the Request Form or, if no such date is specified, within 10 Business Days of receiving the Request Form, or by such other date as may be agreed with the Call-Off Co-ordinator. A Proposal must remain valid for at least 90 Business Days from the date it is submitted to the Authority;

3.2.3 after receipt of an acceptable Proposal, the Authority will forward to the Service Provider two copies of the Call-Off Contract. The Service Provider shall sign both copies and return same to the Authority within 10 Business Days of receipt. The Call-Off Co-ordinator will arrange for both copies of the Call-Off Contracts to be signed by the Authority and will send a completed signed Call-Off Contract to the Service Provider.

3.3 Where the Authority opts to undertake a Mini-Competition it will issue to those Service Providers on the framework that are the subject of this Agreement, that it assesses in its sole discretion, are capable of providing the Services to the Authority's satisfaction, a Request Form as set out in Schedule 5B, specifying the Services to be provided. In the event that the Service Provider receives such a Request Form:

3.3.1 the Service Provider shall immediately confirm receipt of such Request Form;

3.3.2 the Service Provider shall respond to a Request Form by completing a Proposal as an offer capable of acceptance or by notifying the Authority in writing that it does not intend to submit a Proposal. The Service Provider

shall respond to the Authority by the date specified in the Request Form or, if no such date is specified, within 10 Business Days of receiving the Request Form, or by such other date as may be agreed with the Call-Off Co-ordinator. A Proposal must remain valid for at least 90 Business Days from the date it is submitted to the Authority;

- 3.3.3 the Authority will award the relevant Call-Off Contract to the Proposal that is the most economically advantageous with reference to the assessment criteria set out in the Request Form as they relate to the Service(s) in question.
- 3.4 Each Call-Off Contract shall be a binding agreement on the Parties and shall incorporate the terms and conditions of this Agreement, as may have been amended in such Call-Off Contract and such documentation shall together form a separate agreement between the parties.
- 3.5 A Request Form and anything prepared or discussed by the Authority shall constitute an invitation to treat and shall not constitute an offer capable of acceptance by the Service Provider. The Authority shall not be obliged to consider or accept any Proposal submitted by the Service Provider.
- 3.6 A draft Call-Off Contract shall only become a Call-Off Contract upon execution of the draft Call-Off Contract by the Authority.
- 3.7 The Authority is not obliged to approve or sign any Call-Off Contract.
- 3.8 Unless otherwise expressly agreed in writing with the Authority; the Service Provider shall not be entitled to charge under this Agreement for any work involved in any receipt and/or confirmation of any Request Form, and/or any response to any Request Form as contemplated in this clause 3.
- 3.9 Where reasonably requested to do so by the Greater London Authority ("GLA") or any of its other functional bodies (currently, the London Development Agency, the Metropolitan Police, the London Fire and Emergency Planning Authority) ("Functional Bodies") and provided the Service Provider is willing to so contract, the Service Provider shall contract with such other members of the GLA Group on the terms of this Agreement mutatis mutandis. The GLA or the Functional Bodies can not affect or amend this Agreement and that each Call-Off Contract is specifically between the Service Provider and the GLA or appropriate Functional Body and the TfL Group shall in no way be liable for the GLA or appropriate Functional Bodies obligations arising out of such Call-Off Contract.

#### **4. Term of Agreement and Call-Off Contracts**

- 4.1 This Agreement (but not a Call-Off Contract) commences on the Agreement Commencement Date and continues in force for the Term unless terminated earlier, either in whole or in part, in accordance with this Agreement.

- 4.2 Each Call-Off Term shall be set out in the relevant Call-Off Contract. Unless stated otherwise in a Call-Off Contract, the Call-Off Term and the Services provided pursuant to a Call-Off Contract may extend beyond the termination or expiry of this Agreement, in which case the provisions of this Agreement shall survive such expiry or termination to the extent that such provisions are relevant to any such Call-Off Contract.
- 4.3 A Call-Off Contract may expire or be terminated in accordance with its terms or Clause 28 but such expiry or termination shall not, in and of itself, give rise to an expiry or termination of any other Call-Off Contract or this Agreement.

## **5. The Services**

### **5.1 The Service Provider:**

- 5.1.1 shall provide the Services specified in a Call-Off Contract to the Authority in accordance with this Agreement and the terms of the relevant Call-Off Contract;
- 5.1.2 acknowledges that it has sufficient information about the Authority and the Specification and that it has made all appropriate and necessary enquiries to enable it to perform the Services in accordance with the relevant Call-Off Contract;
- 5.1.3 shall comply with all lawful and reasonable directions of the Authority relating to its performance of the Services under any Call-Off.

### **5.2 Notwithstanding anything to the contrary in this Agreement, the Authority's discretion in carrying out its statutory duties shall not be fettered or otherwise constrained or affected by any provision of this Agreement or relevant Call-Off Contract.**

### **5.3 The Service Provider shall provide the Services under each Call-Off Contract:**

- 5.3.1 with the high degree of skill, care and diligence normally exercised by recognised professional firms or by highly skilled and experienced service providers providing services of a similar scope, type and complexity to the Services and with sufficient resources including project management resources;
- 5.3.2 in conformance in all respects with the Specification and so that they fulfil the purpose indicated by or to be reasonably inferred from the Specification; and
- 5.3.3 in a safe manner and free from any unreasonable or avoidable risk to any person's health and well-being and in an economic and efficient manner.

## **6. Charges**

- 6.1 The Service Provider shall invoice the Authority in accordance with the procedures set out in Clause 7 and in consideration of, and subject to the due performance of the Services by the Service Provider, the Authority shall pay the Service Provider the Charges in accordance with those procedures and any other terms and conditions of the relevant Call-Off Contract.
- 6.2 The Service Provider is not entitled to reimbursement for expenses unless such expenses are specified in a Call-Off Contract or have been incurred with the prior written consent of the Authority, in which case the Service Provider shall supply appropriate evidence of expenditure in a form acceptable to the Authority.
- 6.3 All Charges exclude any VAT which may be chargeable, which will be payable in addition to the sum in question at the rate and in the manner for the time being prescribed by law on delivery of a valid VAT invoice.

## **7. Payment Procedures and Approvals**

- 7.1 The Service Provider shall invoice the Authority in respect of the Charges:
  - 7.1.1 monthly in arrears during the Call-Off Contract Term; or
  - 7.1.2 at such dates or at the end of such other periods as may be specified in the relevant Call-Off Contract; or
  - 7.1.3 if specified in a Call-Off Contract, on completion of each milestone. It is a condition precedent of the submission of an invoice on completion of a milestone that all preceding milestones specified in the relevant Call-Off Contract have been completed.
- 7.2 The Service Provider shall submit invoices to the address set out in each Call-Off Contract, each such invoice shall contain all information required by the Authority including the Agreement Number, relevant Call-Off Contract Number, SAP order number, the Authority Account Details, the Service Provider's name and address, a separate calculation of VAT and a brief description of the Services provided. Invoices shall be clear, concise, accurate, and adequately descriptive to avoid delays in processing subsequent payment.
- 7.3 In the event of a variation to the Services in accordance with this Agreement or the relevant Call-Off Contract that involves the payment of additional charges to the Service Provider, the Service Provider shall identify these separately on the relevant invoice.
- 7.4 If the Authority considers that the Charges claimed by the Service Provider in any invoice have under the relevant Call-Off Contract:
  - 7.4.1 been correctly calculated and that such invoice is otherwise correct, the invoice shall be approved and payment shall be made by bank transfer

(Bank Automated Clearance System (BACS)) or such other method as the Authority may choose from time to time within 30 days of receipt of such invoice or such other time period as may be specified in the relevant Call-Off Contract;

- 7.4.2 not been calculated correctly and/or if the invoice contains any other error or inadequacy, the Authority shall notify the Service Provider and the Parties shall work together to resolve the error or inadequacy. Upon resolution, the Service Provider shall submit a revised invoice to the Authority.
- 7.5 No payment made by the Authority (including any final payment) or act or omission or approval by the Authority or contract Manager or Call-Off Co-ordinator (whether related to payment or otherwise) shall:
  - 7.5.1 indicate or be taken to indicate the Authority's acceptance or approval of the Services or any part of them or any act or omission of the Service Provider, or otherwise prejudice any rights, powers or remedies which the Authority may have against the Service Provider, or absolve the Service Provider from any obligation or liability imposed on the Service Provider under this Agreement or a Call-Off Contract; or
  - 7.5.2 prevent the Authority from recovering any amount overpaid or wrongfully paid including payments made to the Service Provider by mistake of law or fact. Without prejudice to Clause 19, the Authority shall be entitled to withhold such amount from any sums due or which may become due to the Service Provider or the Authority may recover such amount as a debt under this Agreement or a Call-Off Contract.

## **8. Warranties and Obligations**

- 8.1 Without prejudice to any other warranties expressed elsewhere in this Agreement or implied by law, the Service Provider warrants, represents and undertakes that:
  - 8.1.1 the Service Provider:
    - 8.1.1.1 has full capacity and authority and all necessary licences, permits, permissions, powers and consents (including, where its procedures so require, the consent of its holding company as defined in section 736 of the Companies Act 1985) to enter into and to perform the Agreement and any relevant Call-Off Contract; and
    - 8.1.1.2 is aware of the purposes for which the Services are required and acknowledges that the Authority is reliant upon the Service Provider's expertise and knowledge in the provision of the Services; and
    - 8.1.1.3 is entering into this Agreement and any relevant Call-Off Contract as principal and not as agent for any person and that it will act as

an independent contractor in carrying out its obligations under this Contract;

8.1.2 the Agreement and Call-Off Contract is executed by a duly authorised representative of the Service Provider;

8.1.3 the Service Provider shall provide the Services:

8.1.3.1 in accordance with the relevant Call-Off Contract and the terms of this Agreement and with all due skill, care and diligence as may be expected of appropriately qualified and experienced persons (of a professional level if appropriate) with appropriate skill and experience in providing services of a similar scope, type, nature and complexity to the Services;

8.1.3.2 in a safe manner and free from any unreasonable or avoidable risk to any person's health and well-being and in an economic and efficient manner;

8.1.4 all materials, equipment and goods under the relevant Call-Off Contract or supplied by the Service Provider shall be of satisfactory quality within the meaning of the Sale of Goods Act 1979 (as amended), sound in design and in conformance in all respects with the requirements specified in the relevant Call-Off Contract; and

8.1.5 all documents, drawings, computer software and any other work prepared or developed by the Service Provider or supplied to the Authority under the relevant Call-Off Contract shall not infringe any Intellectual Property Rights or any other legal or equitable right of any person.

8.2 Each warranty and obligation in this Clause 8 shall be construed as a separate warranty or obligation (as the case may be) and shall not be limited or restricted by reference to, or reference from, the terms of any other such warranty or obligation or any other term of this Agreement.

## **9. Contractual Management**

9.1 The Contracting Authority authorises the Procurement Manager to act as the Authority's representative for all purposes of this Agreement and the Service Provider shall deal with the Procurement Manager (or his or her nominated representative) in respect of all matters arising under this Agreement, unless notified otherwise. The Authority will appoint a Call-Off Co-ordinator in respect of each Call-Off Contract in relation to matters arising under a Call-Off Contract, unless otherwise notified by the Authority.

9.2 The Service Provider Manager shall act as the Service Provider's representative for all purposes of this Agreement. In respect of each Call-Off Contract, the Service Provider shall provide the Key Personnel. The Service Provider Manager and the Key Personnel and shall procure that they:

- 9.2.1 diligently supervise the performance of the Services;
  - 9.2.2 attend all contract meetings with the Authority (the location, frequency and time of which shall be specified by the Procurement Manager or the relevant Call-Off Co-ordinator from time to time); and
  - 9.2.3 be available to the Authority to resolve any issues arising in connection with this Agreement or Call-Off Contract at such time periods as are specified in the relevant Call-Off Contract.
- 9.3 The Service Provider may only make any changes to the Service Provider Manager or Key Personnel (except in the event of sickness, incapacity or resignation) with the prior consent of the Authority (which shall not be unreasonably withheld).
- 9.4 No act of or omission by or approval from either the Authority, the Procurement Manager, or any Call-Off Co-ordinator in performing any of their respective duties under or in connection with this Agreement or relevant Call-Off Contract shall in any way operate to relieve the Service Provider of any its duties, responsibilities, obligations or liabilities under this Agreement and relevant Call-Off Contract.

## **10. Service Provider's Personnel**

- 10.1 Nothing in this Agreement or any Call-Off Contract will render the Service Provider's Personnel, an employee, agent or partner of the Authority or of any member of the TfL Group by virtue of the provision of the Services by the Service Provider under this Agreement or Call-Off Contract and the Service Provider shall be responsible for making appropriate deductions for tax and national insurance contributions from the remuneration paid to the Service Provider's Personnel.
- 10.2 The Service Provider shall provide the Service Provider's Personnel as necessary for the proper and timely performance and management of the Services in accordance with the relevant Call-Off Contract.
- 10.3 Without prejudice to any of the Authority's other rights, powers or remedies, the Authority may (without liability to the Service Provider) deny access to such Service Provider's Personnel to any TfL Premises if such Service Provider's Personnel in the Authority's view have not been properly trained in any way required by a relevant Call-Off Contract and/or are otherwise incompetent, negligent, and/or guilty of misconduct and/or who could be a danger to any person and shall notify the Service Provider of such denial in writing; the Service Provider shall immediately remove such Service Provider's Personnel from performing the Services and provide a suitable replacement (with the Call-Off Co-ordinator's prior consent in the case of Key Personnel).
- 10.4 The Service Provider shall indemnify, keep indemnified and hold harmless the Authority from and against all liabilities, costs, expenses, injuries, direct or indirect or consequential loss, damages, claims, demands, proceedings and legal costs (on a full indemnity basis) which the Authority or the TfL Group incur or suffer whenever

arising or brought by the Service Provider's Personnel or any person who may allege to be the same.

- 10.5 The Service Provider shall pay to the Service Provider's Personnel not less than the amounts declared to the Authority (if any) as part of the tender process for this Agreement and the relevant Call-Off Contract and not less than the amounts to which the Service Provider's Personnel are contractually entitled.

## **11. Sub-Contracting and Change of Ownership**

- 11.1 The Service Provider shall not assign or sub-contract all or any part of the Services without the prior written consent of the Authority identifying the relevant sub-contractor which may be refused or granted subject to such conditions as the Authority sees fit.

- 11.2 Where the Service Provider sub-contracts all or any part of the Services to any person, the Service Provider shall:

11.2.1 ensure that such person is obliged to comply with all of the obligations and duties of the Service Provider under the relevant Call-Off Contract insofar as they relate to the Services or part of them (as the case may be) which that sub-contractor is required to provide;

11.2.2 be responsible for payments to that person; and

11.2.3 remain solely responsible and liable to the Authority for any breach of the relevant Call-Off Contract or any performance, non-performance, part-performance or delay in performance of any of the Services by any sub-contractor to the same extent as if such breach, performance, non-performance, part-performance or delay in performance had been carried out by the Service Provider.

- 11.3 The Service Provider shall:

11.3.1 not without the prior written consent of the contracting Authority undergo any change in the ownership of the Service Provider where such change relates to 50% or more of the issued share capital of the Service Provider; and

11.3.2 give notice to the Authority in the event that there is any change in the ownership of the Holding Company where such change relates to 50% or more of the issued share capital of the Holding Company, such notice to be given within 10 Business Days of the date on which such change takes effect.

## **12. Conflict of Interest**

- 12.1 The Service Provider warrants that it does not and will not have any interest in any matter where there is or is reasonably likely to be a conflict of interest with the

Services or any member of the TfL Group, save to the extent fully disclosed to and approved by the Authority.

- 12.2 The Service Provider shall check for any conflict of interest at regular intervals throughout the duration of this Agreement and in any event not less than once in every six months and shall notify the Contracting Authority in writing immediately upon becoming aware of any actual or potential conflict of interest with the Services or any member of the TfL Group and shall work with the Contracting Authority to do whatever is necessary (including the separation of staff working on, and data relating to, the Services from the matter in question) to manage such conflict to the Contracting Authority's satisfaction, provided that, where the Contracting Authority is not so satisfied, it may terminate this Agreement and all Call-Off Contracts, in existence, in accordance with Clause 28.1.4.

### **13. Access to Premises**

- 13.1 Subject to Clause 10.3 any access to any TfL Premises made available to the Service Provider in connection with the proper performance of the Call-Off Contract shall be free of charge and shall be used by the Service Provider solely for the purpose of performing the Services during the Call-Off Contract Term, for the avoidance of doubt, that the Service Provider shall be responsible for its own costs or travel including any congestion charging. The Service Provider shall:
- 13.1.1 have the use of such TfL Premises as licensee and shall not have or purport to claim any sole or exclusive right to possession or to possession of any particular part of such TfL Premises;
  - 13.1.2 vacate such TfL Premises upon the termination or expiry of the relevant Call-Off Contract or at such earlier date as the Authority may determine;
  - 13.1.3 not exercise or purport to exercise any rights in respect of any TfL Premises in excess of those granted under this Clause 13.1;
  - 13.1.4 ensure that the Service Provider's Personnel carry any identity passes issued to them by the Authority at all relevant times and comply with the Authority's security procedures as may be notified by the Authority from time to time; and
  - 13.1.5 not damage the TfL Premises or any assets on the TfL Premises.
- 13.2 Nothing in this Clause 13 shall create or be deemed to create the relationship of landlord and tenant in respect of any TfL Premises between the Service Provider and any member of the TfL Group.
- 13.3 The Authority shall be under no obligation to provide office or other accommodation or facilities or services (including telephony and IT services) to the Service Provider except as may be specified in any Call-Off Contract.

## **14. Compliance with Policies and Law**

### **14.1 The Service Provider, at no additional cost to the Authority:**

- 14.1.1 undertakes to procure that all the Service Provider's Personnel comply with all of the Authority's policies and standards that are relevant to the performance of the Services, including the provisions set out in Schedule 8 and those relating to safety, security, business ethics, drugs and alcohol and any other on site regulations specified by the Authority for personnel working at TfL Premises or accessing the Authority's computer systems. The Authority shall provide the Service Provider with copies of such policies and standards on request;
- 14.1.2 shall provide the Services in compliance with all requirements of all Acts of Parliament, statutory instruments, court orders, regulations, directives, European Community decisions (insofar as legally binding), bye-laws, treaties and other regulatory requirements relevant to the Service Provider's business and/or the Authority's business, from time to time in force which are or may become applicable to the Services. The Service Provider shall promptly notify the Authority if the Service Provider is required to make any change to the Services for the purposes of complying with its obligations under this Clause 14.1.2;
- 14.1.3 without limiting the generality of Clause 14.1.2, shall comply with all relevant enactments in force from time to time relating to discrimination in employment and the promotion of equal opportunities;
- 14.1.4 acknowledges that the Authority is under a duty under section 71 of the Race Relations Act 1976 and under section 49A of the Disability Discrimination Act 1995 to have due regard to the need to eliminate unlawful discrimination on the grounds of race or disability (as the case may be) and to promote equality of opportunity between persons of different racial groups and between disabled people and other people (as the case may be). In providing the Services, the Service Provider shall assist and co-operate with TfL and/or the Authority where possible in satisfying this duty;
- 14.1.5 acknowledges that TfL is under a duty by virtue of a direction under section 155 of the Greater London Authority Act 1999 in respect of section 404(2) of that Act to have due regard to the need to:
  - 14.1.5.1 promote equality of opportunity for all persons irrespective of their race, sex, disability, age, sexual orientation or religion;
  - 14.1.5.2 eliminate unlawful discrimination; and
  - 14.1.5.3 promote good relations between persons of different racial groups, religious beliefs and sexual orientation,

and in providing the Services, the Service Provider shall assist and co-operate with the Authority where possible to enable TfL to satisfy its duty;

14.1.6 without prejudice to any other provision of this Clause 14.1 or the Schedules, shall comply with any provisions set out in the Schedules that relate to traffic management and shall comply with the reasonable instructions of TfL's Traffic Manager as may be made available to the Service Provider from time to time. For the purposes of this Clause 14.1.6, "Traffic Manager" means TfL's traffic manager appointed in accordance with section 17 of the Traffic Management Act 2004; and

14.1.7 shall promptly notify the Service Provider's Personnel and the Authority of any health and safety hazards that exist or may arise in connection with the performance of the Services.

In all cases, the costs of compliance with this Clause 14.1 shall be borne by the Service Provider.

14.2 Without prejudice to Clause 14.1, the Service Provider shall comply with the Authority's workplace harassment policy as updated from time to time (copies of which are available on request from the Authority) and with the Authority's Code of Conduct (which is available on the Authority's website, [www.tfl.gov.uk](http://www.tfl.gov.uk)).

14.3 In providing the Services, the Service Provider shall (taking into account best available techniques not entailing excessive cost and the best practicable means of preventing, or counteracting the effects of any noise or vibration) have appropriate regard (insofar as the Service Provider's activities may impact on the environment) to the need to:

14.3.1 preserve and protect the environment and to the need to avoid, remedy and mitigate any adverse effects on the environment;

14.3.2 enhance the environment and have regard to the desirability of achieving sustainable development;

14.3.3 conserve and safeguard flora, fauna and geological or physiological features of special interest; and

14.3.4 sustain the potential of natural and physical resources and the need to safeguard the life-supporting capacity of air, water, soil and ecosystems.

## **15. Corrupt Gifts and Payment of Commission**

The Service Provider shall not, and shall ensure that its employees, agents and sub-contractors do not, pay any commission, fees or grant any rebates to any employee, officer or agent of the Contracting Authority or any member of the TfL Group nor favour any employee, officer or agent of the Contracting Authority or any member of the TfL Group with gifts or entertainment of significant cost or value nor enter into any business arrangement with employees, officers or agents of the Contracting Authority

or any member of the TfL Group other than as a representative of the Authority, without the Authority's prior written approval.

## **16. Equipment**

### **16.1 Risk in:**

16.1.1 all Service Provider Equipment shall be with the Service Provider at all times; and

16.1.2 all other equipment and materials forming part of the Services (title to which will pass to the Authority) ("**Materials**") shall be with the Service Provider at all times until completion of the Services in accordance with the relevant Call-Off Contract.

regardless of whether or not the Service Provider's Equipment and Materials are located at TfL Premises:

16.2 The Service Provider shall ensure that all Service Provider's Equipment and all Materials meet all minimum safety standards required from time to time by law.

## **17. Quality and Best Value**

The Service Provider acknowledges that TfL is a best value authority for the purposes of the Local Government Act 1999 and as such TfL is required to make arrangements to secure continuous improvement in the way it exercises its functions, having regard to a combination of economy, efficiency and effectiveness, as such, the Service Provider shall, where reasonably requested by the Authority, participate in any relevant best value review.

## **18. Records, Audit and Inspection**

18.1 The Service Provider shall, and shall procure that its sub-contractors shall:

18.1.1 maintain a complete and correct set of records pertaining to all activities relating to the performance of the Services and the Service Provider's obligations under this Agreement and the relevant Call-Off Contract and all transactions entered into by the Service Provider for the purposes of this Agreement (including time-sheets for the Service Provider's Personnel where such records are material to the calculation of the Charges) ("**Records**");

18.1.2 retain all Records during the Term and Call-Off Term and for a period of not less than 6 years (or such longer period as may be required by law) following termination or expiry of this Agreement or relevant Call-Off Contract ("**Retention Period**").

18.2 The Authority and any person nominated by the Authority has the right to audit any and all Records at any time during the Retention Period on giving to the Service

Provider what the Authority considers to be reasonable notice (whether in writing or verbally) and at any reasonable time to inspect any aspect of the Service Provider's performance of the Services and the Service Provider shall give all reasonable assistance to the Authority or its nominee in conducting such inspection, including making available documents and staff for interview.

## 19. Set-Off

The Authority will be entitled but not obliged at any time or times to set off any liability of the Service Provider to the Authority against any liability of the Authority to the Service Provider.

## 20. Indemnity

20.1 Subject to Clause 20.2, the Service Provider is responsible for and shall indemnify, keep indemnified and hold harmless the Authority and the other members of the TfL Group (including their respective employees, sub-contractors and agents) ("**the Indemnified Party**") against all Losses which the Indemnified Party incurs or suffers as a consequence of any direct or indirect breach or any negligent performance of this Agreement or any relevant Call-Off Contract by the Service Provider (or any of its employees, agents or sub-contractors) (including in each case any non-performance or delay in performance of this Agreement) or of any breach of statutory duty, misrepresentation or misstatement by the Service Provider (or any of its employees or sub-contractors).

20.2 The Service Provider is not responsible for and shall not indemnify the Authority for any Losses to the extent that such Losses are caused by any breach or negligent performance of any of its obligations under this Agreement or Call-Off Contract by the Authority and/or any other member of the TfL Group including by any of their respective employees or agents.

## 21. Insurance

21.1 The Service Provider will at its sole cost maintain employer's liability and motor insurance cover as required by law and insurance cover in the sum of £5 million per claim (in terms approved by the Authority) in respect of the following to cover the Services ("**the Insurances**") and will ensure that the Authority's interest is noted on each and every policy:

21.1.1 public liability to cover injury and loss to third parties;

21.1.2 insurance to cover the loss or damage to any item related to the Services;

21.1.3 product liability; and

21.1.4 professional indemnity or, where professional indemnity insurance is not available, a "financial loss" extension to the product liability insurance referred to in Clause 20.1.3.

- 21.2 The insurance cover will be maintained with a reputable insurer (such approval not to be unreasonably withheld or delayed).
- 21.3 The Service Provider will produce evidence to the Contracting Authority and or the Authority on reasonable request of the insurance policies set out in Clause 21.1 and payment of all premiums due on each policy.
- 21.4 The Service Provider warrants that nothing has or will be done or be omitted to be done which may result in any of the insurance policies set out in Clause 21.1 being or becoming void, voidable or unenforceable.

## **22. The Authority's Data**

- 22.1 The Service Provider acknowledges the Authority's ownership of Intellectual Property Rights which may subsist in the Authority's data. The Service Provider shall not delete or remove any copyright notices contained within or relating to the Authority's data.
- 22.2 The Service Provider and the Authority shall each take reasonable precautions (having regard to the nature of their other respective obligations under this Agreement) to preserve the integrity of the Authority's data and to prevent any corruption or loss of the Authority's data.

## **23. Intellectual Property Rights**

- 23.1 The Service Provider hereby assigns with full title guarantee to the Authority all Intellectual Property Rights in all documents, drawings, computer software and any other work prepared or developed by a on behalf of the Service Provider in the provision of the Services ("the Products") provided that such assignment shall not include items not prepared or developed for the purposes of the relevant Call-Off Contract.
- 23.2 The Service Provider shall provide the Authority with copies of all materials relied upon or referred to in the creation of the Products with a perpetual, irrevocable, royalty-free and transferable licence free of charge to use such materials in connection with the use of the Products.

## **24. Protection of Personal Data**

The Service Provider shall comply with all of its obligations under the Data Protection Act 1998 and, if Processing Personal Data (as such terms are defined in section 1(1) of that Act) on behalf of the Authority, shall only carry out such Processing for the purposes of providing the Services in accordance with this Agreement and any relevant Call-Off Contract and shall act in accordance with instructions from the Authority.

## **25. Confidentiality, Announcements and Transparency**

25.1 Subject to Clause 22.6 and Clause 24, the Service Provider will keep confidential:

25.1.1 the terms of this Agreement and all Call-Off Contracts; and

25.1.2 any and all Confidential Information that it may acquire in relation to the Authority .

25.2 The Service Provider will not use the Authority's Confidential Information for any purpose other than to perform its obligations under this Agreement and any Call-Off Contract. The Service Provider will ensure that its officers and employees comply with the provisions of Clause 25.1.

25.3 The obligations on the Service Provider set out in Clause 25.1 will not apply to any Confidential Information which:

25.3.1 either of the Parties can demonstrate is in the public domain (other than as a result of a breach of this Clause 25); or

25.3.2 a Party is required to disclose by order of a court of competent jurisdiction but then only to the extent of such required disclosure; or

25.3.3 to the extent that such disclosure is to the Secretary for Transport (or the government department responsible for public transport in London for the time being) the Office of Rail Regulation, or any person or body who has statutory responsibilities in relation to transport in London and their employees, agent and subcontractors.

25.4 The Service Provider shall keep secure all materials containing any information in relation to the Agreement or to any Call-Off Contract and its performance.

25.5 The Service Provider shall not communicate with representatives of the general or technical press, radio, television or other communications media in relation to the existence of the Agreement or any Call-Off Contract or that it is providing the Services to the Authority or in relation to any matter under or arising from the Agreement or any Call-Off Contract unless specifically granted permission to do so in writing by the Authority. The Authority shall have the right to approve any announcement before it is made.

25.6 The Service Provider acknowledges that the Authority is subject to the Transparency Commitment. Accordingly, notwithstanding Clause 25.1 and Clause 26, the Service Provider hereby gives its consent for the Authority to publish the Contract Information to the general public.

25.7 The Authority may in its absolute discretion redact all or part of the Contract Information prior to its publication. In so doing and in its absolute discretion the Authority may take account of the exemptions/exceptions that would be available in relation to information requested under the FOI Legislation (as defined in Clause 26.1

below). The Authority may in its absolute discretion consult with the Service Provider regarding any redactions to the Contract Information to be published pursuant to Clause 25.6. The Authority shall make the final decision regarding publication and/or redaction of the Contract Information.

25.8 The provisions of this Clause 25 will survive any termination of this Agreement or Call-Off Contract for a period of 6 years from termination.

## **26. Freedom of Information**

26.1 For the purposes of this Clause 26:

26.1.1 **“FOI Legislation”** means the Freedom of Information Act 2000, all regulations made under it and the Environmental Information Regulations 2004 and any amendment or re-enactment of any of them; and any guidance issued by the Information Commissioner, the Department for Constitutional Affairs, or the Department for Environment Food and Rural Affairs (including in each case its successors or assigns) in relation to such legislation;

26.1.2 **“Information”** means information recorded in any form held by the Authority or by the Service Provider on behalf of the Authority; and

26.1.3 **“Information Request”** means a request for any Information under the FOI Legislation.

26.2 The Service Provider acknowledges that the Authority:

26.2.1 is subject to the FOI Legislation and agrees to assist and co-operate with the Authority to enable the Authority to comply with its obligations under the FOI Legislation; and

26.2.2 may be obliged under the FOI Legislation to disclose Information without consulting or obtaining consent from the Service Provider.

26.3 Without prejudice to the generality of Clause 26.2, the Service Provider shall and shall procure that its sub-contractors (if any) shall:

26.3.1 transfer to the Procurement Manager (or such other person as may be notified by the Authority to the Service Provider) each Information Request relevant to this Agreement or a Call-Off Contract, the Services that it or they (as the case may be) receive as soon as practicable and in any event within 2 Business Days of receiving such Information Request; and

26.3.2 in relation to Information held by the Service Provider on behalf of the Authority, provide the Authority with details about and/or copies of all such Information that the Authority requests and such details and/or copies shall be provided within 5 Business Days of a request from the Authority (or such

other period as the Authority may reasonably specify), and in such forms as the Authority may reasonably specify.

26.4 The Authority shall be responsible for determining whether Information is exempt information under the FOI Legislation and for determining what Information will be disclosed in response to an Information Request in accordance with the FOI Legislation. The Service Provider shall not itself respond to any person making an Information Request, save to acknowledge receipt, unless expressly authorised to do so by the Authority.

## **27. Dispute Resolution**

27.1 The Authority and the Service Provider shall use all reasonable endeavours to negotiate in good faith and settle any dispute or difference that may arise out of or relate to this Agreement or any relevant Call-Off Contract ("**Dispute**") before resorting to litigation.

27.2 If the Dispute is not settled through discussion between the Contract Manager and a representative of the Service Provider within a period of seven Business Days of the date on which the Dispute arose, the Parties may refer the Dispute in writing to a director or chief executive (or equivalent) ("**Senior Personnel**") of each of the Parties for resolution.

27.3 If the Dispute is not resolved within 14 Business Days of referral to the Senior Personnel, either Party may propose by notice to the other Party ("**Notice**") that a structured mediation or negotiation be entered into with the assistance of a mediator.

27.4 If the Parties are unable to agree on a mediator, or if the agreed mediator is unable or unwilling to act within 28 Business Days of the service of the Notice, either Party may apply to the Centre for Effective Dispute Resolution ("**CEDR**") in London to appoint a mediator. The costs of that mediator shall be divided equally between the Parties or as the Parties may otherwise agree in writing.

27.5 Where a dispute is referred to mediation under Clause 27.3, the Parties will attempt to settle such Dispute by mediation in accordance with the model mediation procedures published by CEDR or such other procedures as the mediator may recommend.

27.6 If the Parties reach agreement on the resolution of the Dispute, such agreement shall be recorded in writing and once signed by the Parties' authorised representatives, shall be final and binding on the Parties.

27.7 If either Party refuses at any time to participate in the mediation procedure and in any event if the Parties fail to reach agreement on the Dispute within 40 Business Days of the service of the Notice either Party may commence proceedings in accordance with Clause 40.

- 27.8 For the avoidance of doubt, the Service Provider shall continue to provide the Services in accordance with the Call-Off Contract and without delay or disruption while the Dispute is being resolved pursuant to this Clause 27.
- 27.9 Neither Party shall be prevented from, or delayed in, seeking any order for specific performance or for interim or final injunctive relief as a result of the provisions of this Clause 27 and Clause 27 shall not apply in respect of any circumstances where such remedies are sought.

## **28. Breach and Termination of Agreement**

- 28.1 Without prejudice to the Authority's right to terminate at common law, the Contracting Authority may terminate this Agreement and the Contracting Authority or the Authority may terminate any current Call-Off Contract immediately upon giving notice to the Service Provider if:
- 28.1.1 except as provided in and without prejudice to Clauses 28.1.3, the Service Provider has committed any material or persistent breach of this Agreement (in the case of the Contracting Authority) or Call-Off Contract (in the case of the Contracting Authority and or the Authority) and in the case of such a breach that is capable of remedy fails to remedy that breach within 10 Business Days (or such other timeframe as specified in writing by the Authority) from the date of written notice to the Service Provider giving details of the breach and requiring it to be remedied; or
  - 28.1.2 the Service Provider is subject to an Insolvency Event; or
  - 28.1.3 the Service Provider is in breach of Clause 11.3; or
  - 28.1.4 the Authority is not satisfied on the issue of any conflict of interest in accordance with Clause 12; or
  - 28.1.5 the Service Provider commits any of the money laundering related offences listed in the Public Agreement Regulations 2006.
- 28.2 Without prejudice to any of the Contracting Authority's and/or the Authority's other rights, powers or remedies (whether under this Agreement or otherwise) if the Service Provider is in breach of any of its warranties and/or obligations under Clause 8 and/or any of its other obligations in respect of the Services under this Agreement or Call-Off Contract, the Service Provider shall, if required to do so by the Contracting Authority's and/or Authority, promptly remedy and/or re-perform the Services or part of them at its own expense to ensure compliance with such warranties and/or obligations. Nothing in this Clause 28.2 shall prevent the Contracting Authority and/or Authority from procuring the provision of any Services or any remedial action in respect of any Services from an alternative service provider and, where the Contracting Authority and/or Authority so procures any Services or any remedial action, the Contracting Authority and/or Authority shall be entitled to recover from the Service Provider all additional cost, loss and expense incurred by the Contracting Authority and/or Authority and attributable to the Contracting Authority and/or

Authority procuring such Services or remedial action from such alternative service provider.

- 28.3 Neither Party shall be deemed to be in breach of the relevant Call-Off Contract, or otherwise liable to the other Party in any manner whatsoever, for any failure or delay in performing its obligations under the relevant Call-Off Contract to the extent that such failure or delay is due to a Force Majeure Event. If a Force Majeure Event has continued for more than 8 weeks from the date on which that Force Majeure Event first arose, then for as long as such Force Majeure Event continues and has that effect, the Party not affected by such Force Majeure Event (“**Unaffected Party**”) may terminate the Call-Off Contract immediately upon giving notice to the Affected Party. If the Call-Off Contract is terminated in accordance with this Clause 28.3 then without prejudice to any rights and liabilities which accrued prior to termination the Affected Party shall not be liable to the Unaffected Party by reason of such termination.
- 28.4 Without prejudice to the Contracting Authority’s right to terminate this Agreement or Contracting Authority and/or Authority to terminate the relevant Call-Off Contract under Clause 28.1 or to terminate at common law, the Authority may terminate this Agreement or the Contracting Authority and/or Authority relevant the Call-Off Contract at any time without cause subject to giving the Service Provider written notice of the period specified in Schedule 1, provided that this Clause 28.4 may be disapplied by notice to that effect in Schedule 1.
- 28.5 To the extent that the Contracting Authority has a right to terminate this Agreement or the Contracting Authority and/or Authority the relevant Call-Off Contract under this Clause 28 then, as an alternative to termination, the Authority may by giving notice to the Service Provider require the Service Provider to provide part only of the Services with effect from the date specified in the Authority’s notice (“**Change Date**”) whereupon the provision of the remainder of the Services will cease and the definition of “the Services” shall be construed accordingly. The Charges applicable with effect from the Change Date will be adjusted proportionately or if in the Contracting Authority’s and/or the Authority’s opinion a proportionate adjustment would not be reasonable in such manner as the Contracting Authority and/or Authority may determine.

## **29. Consequences of Termination or Expiry**

- 29.1 Notwithstanding the provisions of Clause 25, wherever the Authority chooses to put out to tender for a replacement service provider some or all of the Services, the Service Provider shall disclose to tenderers such information concerning the Services as the Authority may require for the purposes of such tender. The Service Provider may impose upon any recipient of such information such obligations of confidentiality as it may require.
- 29.2 The termination or expiry of this Agreement shall not prejudice or affect any right, power or remedy which has accrued or shall accrue to either Party prior to or after such termination or expiry.

29.3 Upon expiry or termination of this Agreement or relevant Call-Off Contract (howsoever caused):

29.3.1 the Service Provider shall, at no further cost to the Authority:

29.3.1.1 on receipt of the Authority's written instructions to do so (but not otherwise), arrange to remove all electronically held information by a mutually agreed date, including the purging of all disk-based information and the reformatting of all disks.

29.3.2 the Authority shall (subject to Clauses 19, 29.1 and 29.4 and the provisions of any security for due performance supplied by the Service Provider) pay the Service Provider any Charges remaining due in relation to any Services properly performed in accordance with the relevant Call-Off Contract up to the date of termination or expiry calculated so far as is possible in accordance with the rules set out in the Call-Off Contract or otherwise reasonably determined by the Authority.

29.4 On termination of this Agreement and any relevant Call-Off Contract under Clause 28.1 or a cessation of any Services under Clause 28.4 (but in the case of the latter only insofar as the right to cease any Services arises as a result of a right for the Authority to terminate under Clause 28.1), the Authority may enter into any agreement with any third party or parties as the Authority thinks fit to provide any or all of the Services and the Service Provider shall be liable for all additional expenditure reasonably incurred by the Authority in having such services carried out and all other costs and damages reasonably incurred by the Authority in consequence of such termination. The Authority may deduct such costs from the Charges or otherwise recover such costs from the Service Provider as a debt.

### **30. Survival**

The provisions of Clauses 1, 6, 7, 8, 11.2.2, 11.2.3, 13.1.1, 13.1.2, 13.1.5, 13.2, 16, 18-22 (inclusive), 23.2, 25-27 (inclusive), 29-32 (inclusive), 34-44 (inclusive) and any other Clauses or Schedules that are necessary to give effect to those Clauses shall survive termination or expiry of this Agreement. In addition, any other provision of this Agreement which by its nature or implication is required to survive the termination or expiry of this Agreement or relevant Call-Off Contract shall do so.

### **31. Rights of Third Parties**

31.1 Save that any member of the TfL Group has the right to enforce the terms of this Agreement or any relevant Call-Off Contract in accordance with this Agreement's (Rights of Third Parties) Act 1999 ("Third Party Act"), the Parties do not intend that any of the terms of this Agreement or any relevant Call-Off Contract will be enforceable by virtue of the Third Party Act by any person not a party to it.

31.2 Notwithstanding Clause 31.1, the Parties are entitled to vary or rescind this Agreement or any relevant Call-Off Contract without the consent of any or all members of the TfL Group.

## **32. Contract Variation**

Save where the Authority may require an amendment to the Services, this Agreement or Call-Off Contract may only be varied or amended with the written agreement of both Parties. The details of any variations or amendments shall be set out in such form as the Authority may dictate and which may be substantially in the form set out in Schedule 7 and shall not be binding upon the Parties unless completed in accordance with such form of variation.

## **33. Novation**

- 33.1 The Contracting Authority may novate or otherwise transfer this Agreement and the Contracting Authority and/or Authority any relevant Call-Off Contracts (in whole or in part).
- 33.2 Within 10 Business Days of a written request from the Contracting Authority and/or Authority, the Service Provider shall at its expense execute such agreement as the Contracting Authority and/or Authority may reasonably require to give effect to any such transfer all or part of its rights and obligations under this Agreement and any relevant Call-Off Contract to one or more persons nominated by the Contracting Authority and/or Authority.
- 33.3 Subject to Clause 11, this Agreement is personal to the Service Provider who shall not assign the benefit or delegate the burden of this Agreement or otherwise transfer any right or obligation under this Agreement without the prior written consent of the Contracting Authority.

## **34. Non-Waiver of Rights**

No waiver of any of the provisions of this Agreement or any relevant Call-Off Contract is effective unless it is expressly stated to be a waiver and communicated to the other Party in writing in accordance with the provisions of Clause 36. The single or partial exercise of any right, power or remedy under this Agreement shall not in any circumstances preclude any other or further exercise of it or the exercise of any other such right, power or remedy.

## **35. Illegality and Severability**

If any provision of this Agreement (in whole or in part) is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such provision shall be severed from this Agreement and the remaining provisions shall continue in full force and effect as if this Agreement had been executed without the invalid, illegal, or unenforceable provision. In the event that in the Authority's reasonable opinion such a provision is so fundamental as to prevent the accomplishment of the purpose of this Agreement, the Authority and the Service Provider shall immediately commence good faith negotiations to remedy such invalidity.

## **36. Notices**

Subject to Clause 36.2, any notice, demand or communication in connection with this Agreement will be in writing and may be delivered by hand, post or facsimile addressed to the recipient at its registered office, the address stated in Schedule 1 or any other address (including a facsimile number) notified to the other party in writing in accordance with this clause as an address to which notices, invoices and other documents may be sent. The notice, demand or communication will be deemed to have been duly served:

- 36.1 if delivered by hand, at the time of delivery;
- 36.2 if delivered by post, 48 hours after being posted or in the case of Airmail 14 days (excluding Saturdays, Sundays and public holidays) after being posted; or
- 36.3 if delivered by facsimile, at the time of transmission, provided that a confirming copy is sent by first class post to the other party within 24 hours after transmission.

## **37. Entire Agreement**

37.1 Subject to Clause 37.2:

37.1.1 this Agreement and any relevant Call-Off Contract and all documents referred to in this Agreement and any relevant Call-Off Contract, contain all of the terms which the Parties have agreed relating to the subject matter of this Agreement and such documents and supersede and extinguish any prior drafts, agreements, undertakings, representations, warranties and arrangements of any nature whatsoever, whether or not in writing relating to the provision of the Services. Neither Party has been induced to enter into this Agreement by a statement which it does not contain;

37.1.2 and without prejudice to the Service Provider's obligations under this Agreement, the Service Provider is responsible for and shall make no claim against the Authority in respect of any misunderstanding affecting the basis of the Service Provider's tender in respect of this Agreement or any incorrect or incomplete information howsoever obtained.

37.2 Nothing in this Clause 37 excludes any liability which one Party would otherwise have in respect of any statement it has made fraudulently to the other Party.

## **38. Relationship of the Parties**

Nothing in this Agreement or any Call-Off Contract constitutes, or shall be deemed to constitute, a partnership between the Parties. Except as expressly provided in this Agreement and any Call-Off Contract, neither Party shall be deemed to be the agent of the other, nor shall either Party hold itself out as the agent of the other.

**39. Further Assurance**

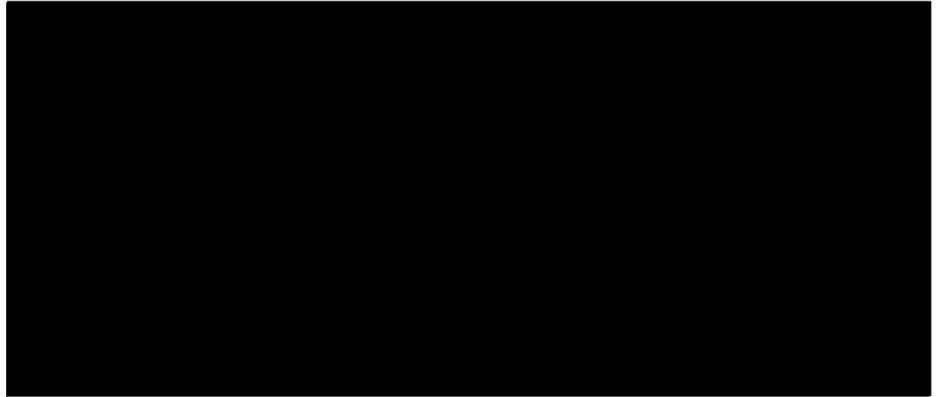
Each Party will do or procure the doing of all acts and things and execute or procure the execution of all such documents as the other Party reasonably considers necessary to give full effect to the provisions of this Agreement and any relevant Call-Off Contract.

**40. Governing Law**

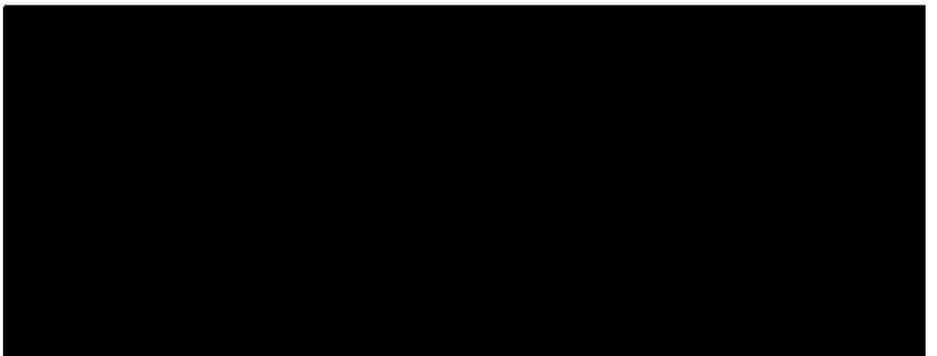
The Agreement shall be governed by and construed in accordance with the law of England and Wales. Without prejudice to Clause 27, the courts of England will have exclusive jurisdiction to settle any dispute which may arise out of or in connection with this Agreement provided that the Authority has the right in its absolute discretion to enforce a judgment and/or to take proceedings in any other jurisdiction in which the Service Provider is incorporated or in which any assets of the Service Provider may be situated. The Parties agree irrevocably to submit to that jurisdiction.

**THE AGREEMENT** has been signed for and on behalf of the Parties the day and year written above.

Signed by  
for and on behalf of  
**The Contracting Authority )**



Signed by  
for and on behalf of  
the **Service Provider**



## SCHEDULE 1 - KEY AGREEMENT INFORMATION

1. **Agreement Reference Number:** TfL 90865
2. **Name of Service Provider:** Chime Insight and Engagement
3. **Agreement Commencement Date:** 01/04/2015
4. **Term:** 3 years to 31/03/2018 with the option to extend for 1 further year (3+1) to 31/03/2019
5. **Payment period (see Clause 7):**

Where no alternative is listed, the payment period shall be 4-weekly, within 30 days of receipt of any invoices for services supplied.

6. **Address where invoices shall be sent:** Transport for London  
Accounts Payable  
PO Box 45276  
London  
SE10 1AJ

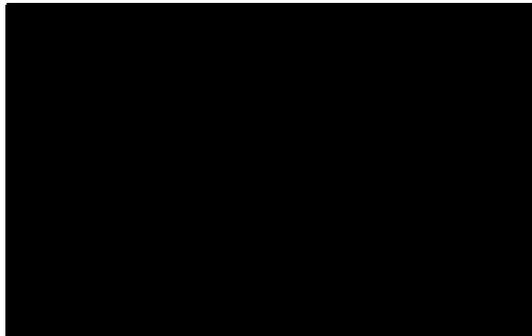
7. **Details of the Authority's Assistant Commercial Manager**

**Name:**

**Address:**

**Tel:**

**Email:**



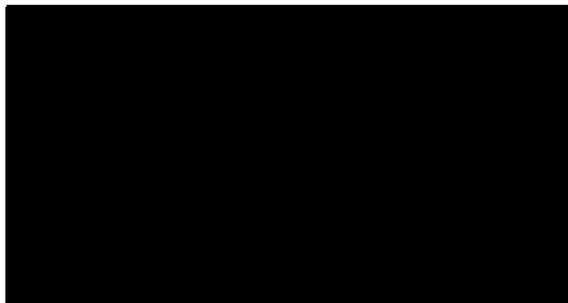
8. **Details of the Authority's Contract Manager**

**Name:**

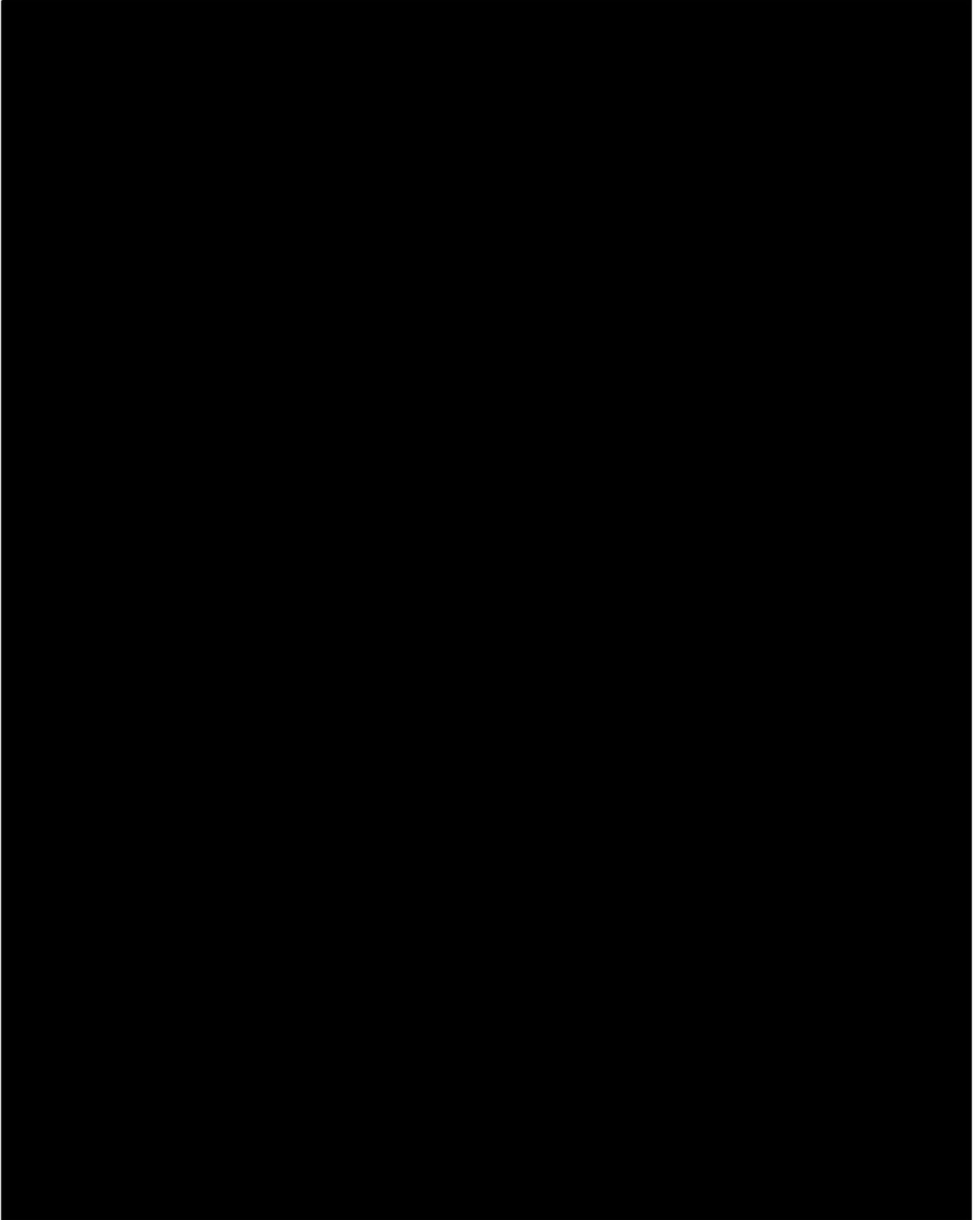
**Address:**

**Tel:**

**E-mail:**



**9. Service Provider's Key Personnel:**



**10. Notice period in accordance with Clause 28.4 (termination without cause):**

90 days

**11. Address for service of notices and other documents in accordance with Clause 36:**

**For the Authority:**

Transport for London  
Windsor House, 42-50 Victoria Street  
London  
SW1H 0TL

Facsimile number: 020 3054 7388  
For the attention of: Renna Chauhan

**For the Service Provider:**

For the attention of Sinead Jefferies  
Chime Insight and Engagement  
4<sup>th</sup> Floor Holborn Gate  
26 Southampton Buildings  
London  
WC2A 1AH

## SCHEDULE 2 - SPECIAL CONDITIONS OF AGREEMENT

### A1 DATA PROTECTION

<b>“Authority Personal Data”</b>	Personal Data Processed by the Service Provider on behalf of the Authority;
<b>“Data Subject”</b>	has the meaning given to it by section 1(1) of the DPA;
<b>“DPA”</b>	the Data Protection Act 1998;
<b>“Personal Data”</b>	has the meaning given to it by section 1(1) of the DPA;
<b>“Processing”</b>	has the meaning given to it by section 1(1) of the DPA and <b>“Process”</b> and <b>“Processed”</b> will be construed accordingly;
<b>“Sensitive Personal Data”</b>	has the meaning given to it by section 2 of the DPA;

A1.1 Without prejudice to the generality of Clause 24 of the Agreement, the Service Provider shall:

- A1.1.1 take appropriate technical and organisational security measures, that are satisfactory to the Authority, against unauthorised or unlawful Processing of Authority Personal Data and against accidental loss, destruction of, or damage to such Personal Data;
- A1.1.2 provide the Authority with such information as it may from time to time require to satisfy itself of compliance by the Service Provider with Clause CA1.1.1;
- A1.1.3 co-operate with the Authority in complying with any subject access request made by any Data Subject pursuant to the DPA and/or responding to any enquiry made or investigation or assessment of Processing initiated by the Information Commissioner in respect of any Authority Personal Data;
- A1.1.4 when notified by the Authority, comply with any agreement between the Authority and any Data Subject in relation to any Processing which causes or is likely to cause substantial and unwarranted damage or distress to such Data Subject, or any court order requiring the rectification, blocking, erasure or destruction of any Authority Personal Data;
- A1.1.5 take reasonable steps to ensure the reliability of personnel having access to Authority Personal Data and to ensure that such personnel are fully aware of the measures to be taken and the Service Provider's

obligations under this Clause A1 when Processing Authority Personal Data; and

- A1.1.6 not Process any Authority Personal Data outside the European Economic Area (or any country deemed adequate by the Commission pursuant to Article 25(6) Directive 95/46/EC) without the Authority's prior written consent.
- A1.2 When the Service Provider receives a written request from the Authority for information about, or a copy of, Authority Personal Data, the Service Provider shall supply such information or data to the Authority within such time and in such form as specified in the request (such time to be reasonable) or if no period of time is specified in the request, then within 10 Business Days from the date of the request.
- A1.3 The Authority remains solely responsible for determining the purposes and manner in which Authority Personal Data is to be Processed. The Service Provider shall not share any Authority Personal Data with any sub- Contractor or third party unless there is a written contract in place with the Authority which requires the sub- Contractor or third party to:
- A1.3.1 only Process Authority Personal Data in accordance with the Authority's instructions to the Service Provider; and
- A1.3.2 comply with the same obligations with which the Service Provider is required to comply with under this Clause CA1.
- A1.4 Details of the Personal Data to be Processed by the Service Provider and the purposes of such Processing are as follows:

**1. Data Subjects**

The Personal Data to be Processed by the Service Provider (if any) concerns the following categories of Data Subjects:

*[staff data or data about customers]*

**2. Categories of Data**

The Personal Data to be Processed concerns the following categories of data:

*[names; addresses; telephone numbers; photographs]*

**3. Purposes of the Processing**

The Personal Data is to be Processed for the purposes of the service provision.:

**4. Manner of Processing**

The Personal Data is to be Processed in a reasonable manner:

## **5. Sensitive Personal Data**

The Personal Data concerns the following categories of Sensitive Personal Data (if any):

*[e.g. information about the data subject's racial or ethnic origin, political opinions, religious beliefs. Refer to section 2 of the DPA for other categories of Sensitive Personal Data]*

## **6. Recipients**

The Personal Data may only be disclosed to the recipients or categories of recipients within the Service Provider's organisation directly involved in relation to the service provision.

## **7. Onward Transfers**

The Personal Data may only be shared with the recipients or categories of recipients outside the Service Provider's organisation subject to the agreement of the Authority.

## **A7 FURTHER INTELLECTUAL PROPERTY REQUIREMENTS**

- A7.1 The Service Provider shall procure that all the Service Provider's Personnel performing the Services (or part of them) contract with the Service Provider that any Intellectual Property Rights arising out of or relating to work done by those persons pursuant to a Call-Off Contract shall be assigned with full title guarantee to the Authority and that those persons shall have no title, rights or interests whether legal or beneficial in any of such Intellectual Property Rights and, in relation to any copyright work created, that all moral rights shall be waived by the creator.
- A7.2 If, and to the extent that, the Products consist of or include copyright work authored by the Service Provider or any other person, being work not prepared or developed for the purposes of the Call-Off Contract, then, notwithstanding Clause 23.1, title to the copyright in such work shall not vest in the Authority.
- A7.3 The Service Provider grants or undertakes to procure the grant to the Authority free of charge of a perpetual, irrevocable, transferable, world-wide and royalty-free licence to reproduce and use any work of the type referred to in Clause CA7.2 and every part of it in any manner.
- A7.4 As between the Authority and the Service Provider Intellectual Property Rights in all documentation and other items supplied by the Authority to the Service Provider in connection with the Contract shall remain the property of the Authority.
- A7.5 The Authority grants to the Service Provider a non-exclusive, non-transferable, revocable licence to use all the Intellectual Property Rights owned (or capable of being so licensed) by the Authority required by the Service Provider or any of its the Service Provider's Personnel to provide the Services. Any such licence is granted

for the Call-Off Term solely to enable the Service Provider to comply with its obligations under the Call-Off Contract.

## **A8 INFRINGEMENT OF INTELLECTUAL PROPERTY RIGHTS**

A8.1 The Service Provider shall:

A8.1.1 promptly notify the Authority upon becoming aware of an infringement or alleged infringement or potential infringement of any Intellectual Property Right which affects or may affect the provision or receipt of the Services or if any claim or demand is made or action brought for infringement or alleged infringement of any Intellectual Property Right; and

A8.1.2 indemnify, keep indemnified and hold harmless the Authority from and against all actions, claims, demands, costs, charges or expenses (including legal costs on a full indemnity basis) that arise from or are incurred by the Authority by reason of any infringement or alleged infringement of any Intellectual Property Rights of any person arising out of the use by the Authority of the Products (or any of them) or anything arising from the provision of the Services and from and against all costs and damages of any kind which the Authority may incur in or in connection with any actual or threatened proceedings before any court or arbitrator.

A8.2 The Authority shall, at the request of the Service Provider, give the Service Provider all reasonable assistance for the purpose of the Service Provider contesting any such claim, demand, or action referred to in Clause CA8.1.1 and the Service Provider shall:

A8.2.1 reimburse the Authority for all costs and expenses (including legal costs) incurred in doing so;

A8.2.2 conduct at its own expense all litigation and/or negotiations (if any) arising from such claim, demand or action; and

A8.2.3 consult with the Authority in respect of the conduct of any claim, demand or action and keep the Authority regularly and fully informed as to the progress of such claim, demand or action.

A8.3 If a claim or demand is made or action brought to which Clause CA8.1 applies or in the reasonable opinion of the Service Provider is likely to be made or brought, the Service Provider may, after consultation with the Authority, at its own expense and within a reasonable time, modify or substitute any or all of the Products (as defined in Clause CA7.1) so as to avoid the infringement or the alleged infringement, provided that the terms of the Call-Off Contract shall apply mutatis mutandis to such modified or substituted Products and such Products are accepted by the Authority

## **SCHEDULE 3 – SERVICES**

### **1. OVERVIEW OF REQUIREMENTS**

This brief should be read in conjunction with the supporting Generic Supplier Brief for Customer Research and Insight Services.

TfL is seeking to implement a framework agreement consisting of a maximum of 3 to 4 suppliers where the management and development of Customer Satisfaction Surveys (CSS), Perception Monitoring programmes and additional individual survey requirements (see below) are mini competed (tendered) and a supplier appointed for individual packages of work. If a supplier is unsuccessful at securing research relating to CSS or Perception Monitoring, they will still be considered separately for any bespoke research requirements that will need to be tendered throughout the lifetime of this framework.

A number of these surveys produce Key Performance Indicators for TfL and third party suppliers. The reputation survey and the customer satisfaction surveys for London Underground, London Buses and the Transport for London Road Network (TLRN) produce the Customer Pillar Metrics that measure TfL's objective to put customer at the centre of everything we do (refer to the TfL story). The Customer Pillar Metrics are used in the Business Planning process by highlighting where improvements are required to achieve the TfL story, and providing an evaluation tool in terms of likely impact of new initiatives. This means that these surveys must deliver;

- Accurate measures of TfL's performance, with no errors
- Timely reports to meet internal deadlines for scorecard reports and senior management meetings
- Clear interpretation of TfL's current performance and the reasons underlying any changes in performance
- Good communication of results to allow TfL to take action to improve performance and prioritise according to what customers want.

The majority of this brief focuses on the customer satisfaction surveys and the reputation survey. These are the surveys that are ongoing throughout the year. There are other perception monitoring surveys that form part of this brief that may be required in the future by TfL. This includes the Bus User Survey, segmentation surveys, London Travel Demand Survey (LTDS) and Town Centre studies.

The agencies will be required to demonstrate knowledge and expertise in managing and delivering large-scale surveys and will be required to provide fieldwork, day-to-day management, data processing and insightful reporting of the surveys. Agencies should take a pro-active role in owning, developing and interpreting the survey.

It is imperative that all stages of the research are carried out with rigorous attention to research quality.

Agencies are invited to describe how they would deliver against TfL's requirements (including management, technical and communications processes), resourcing levels that

would be made available and experience of working with TfL or other clients to meet these specifications.

## **2. RESEARCH OVERVIEW**

### **2.1 General requirements**

TfL has been running customer satisfaction surveys since 1990. Perception monitoring surveys are used to provide greater understanding of the views of Londoners regarding a variety of topics within the remit of TfL. Results from these surveys are used to help prioritisation of services and budgets and to improve TfL's reputation. The ability to maintain trend data is very important.

These surveys cover a number of different fieldwork methodologies;

- Face to face
- Telephone
- Online panels of residents of London and the South East
- Online surveys with sample provided
- Paper self-completion
- In-home interviewing

TfL would like to understand the capability of suppliers in providing each of these methodologies.

TfL works to a financial calendar year from April to March. This year is split into 13 x 4 week periods, and these form the following quarters.

- Quarter 1, periods 1, 2 and 3
- Quarter 2, periods 4,5 and 6
- Quarter 3, periods 7, 8, 9 and 10
- Quarter 4, periods 11, 12 and 13.

The table below shows a list of current research projects with details on sample sizes, methodologies and frequency of surveying. The table does not include the following perception monitoring surveys;

- Bus User Survey
- Segmentation surveys
- Town Centre Studies.

Details of these surveys would be provided when TfL requires them.

## SUMMARY OF SURVEYS REQUIRED

Survey	Frequency	Interviews per year	Methodology	Sample
Bus Services CSS	Quarterly	13,000	Face to face	Bus users alighting at bus stops
Night Bus CSS	Annual	500	Face to face	Night bus users, on bus
Bus Stations CSS	Quarterly	3,600	Face to face	Bus users, waiting to board buses
London Underground CSS	Quarterly	17,500	Face to face	LU users leaving through ticket hall
London Overground CSS	Quarterly	5,200	Face to face	LO users, on train
DLR CSS	Quarterly	13,000	Face to face	DLR users, on train and leaving network
Tramlink CSS	Quarterly	4,000	Face to face	Tramlink users, alighting at tram stops
Victoria Coach Station CSS	Quarterly	1000	Face to face	Coach users, waiting to board
Taxi & Private Hire Customers CSS	Annual	1000	Online and Face to face	Used taxi in last 14 days, Londoners online, non-Londoners face-to-face
Taxi & Private Hire Licensee CSS	Annual	400	Telephone	Taxi & PHV drivers
Dial-a-Ride CSS	Quarterly	2,600	Telephone	Used DAR in last week or non-actives not used in 3 months
London River Services CSS	Quarterly	2,000	Face to face	Rivers Services users, on boat or at pier
Survey	Frequency	Interviews per year	Methodology	Sample
Streets CSS	Annual	1,000	Telephone	Londoners
TLRN CSS	Quarterly	3,300	Online	TLRN users selected from online panel
Emirates Air Line CSS	Quarterly	2,800	Face to face	EAL users exiting at terminals
Crossrail CSS	Quarterly	1,200	Face to face	Users of Liverpool St – Shenfield line, on train
Woolwich Ferry CSS	Annual	1,500	Self-completion	Users handed paper surveys on ferry to submit on exiting
Congestion Charging CSS	6-monthly	3,200	Online and	Recent congestion Charge customers

			Telephone	selected from TfL database
Barclay's Cycle Hire members CSS	6-monthly	6,000	Online	BCH members used in the last 3 months, selected from TfL database
Barclay's Cycle Hire casuals CSS	Annual	1,200	Face to face	BCH users at docking stations
Reputation Tracker	Quarterly	4,000	Online	Londoners selected from online panel
LTDS	Annual	8,000 households	In-home	Residents of London Boroughs

Occasionally, there may also be a requirement for the agency to conduct ad hoc research projects to address specific issues, to provide detailed understanding of the main study findings or to inform survey development.

Most of these satisfaction and perception monitoring surveys have been developed and running for a number of years and have been treated as individual surveys. While there are valid reasons for conducting the surveys in this way (e.g. to reflect business needs and operational requirements<sup>1</sup>), agencies should consider ways in which fieldwork and sampling could be consolidated across some of the surveys to provide greater consistency, efficiencies and cost savings. While some developments may be required during the contract period, sample sizes, questionnaires and methodologies are currently fixed and proposals should be based on the specifications provided in this brief.

## **2.2 London Travel Demand Survey (LTDS)**

LTDS comprises of an in-home interview and a travel diary. Agencies are not required to respond to specific requirements for LTDS at this stage. However, for this framework we would like agencies to provide details of their capability and capacity to carry out these types of methodologies.

This survey has very specific requirements and as such, further detail will be provided in a separate brief once the framework is in place. Please note that LTDS is primarily managed by TfL's Strategy & Policy team, not by the Customer Research and Insight team.

LTDS is not referred to in the remainder of this brief.

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<sup>1</sup> For example: the Dial-a-Ride survey needs to be conducted by telephone due to the nature of the service and survey requirements

### **3. OBJECTIVES**

#### **3.1 Business objectives**

- *To provide performance data for Key Performance Indicators*
- *For TfL and service operators to monitor customers' satisfaction with the quality of service delivery and identify areas for improvement;*
- *For business management and resource allocation*
- *To respond to management and stakeholder queries*

#### **3.2 Customer satisfaction survey objectives**

*To provide tracking data reporting customers' satisfaction and perceptions of services and facilities for use by Surface Transport, London Underground and London Rail management and in measuring performance against TfL targets.*

Analysis of the data from these surveys provides an understanding of which service attributes are most important in driving customers' overall satisfaction.

The data is also used for indicative customer profiling for modes where a more robust source is not available (i.e. Taxi and Private Hire, London River Services, Victoria Coach Station, trams and London Overground) and for providing trip origin and destination data for Victoria Coach Station and the Woolwich Ferry.

#### **3.3 Perception monitoring survey objectives**

##### **3.3.1 Reputation Tracker**

*To provide tracking data reporting Londoners' overall perceptions of TfL, London Buses, London Underground, and Roads against an existing framework derived through research establishing five drivers of TfL's reputation (What we stand for, Experience, Value for money, Progress and innovation, and Trust).*

The reputation tracker data gives the operating businesses within TfL an overall view of their customers beyond the last journey as measured on CSS.

### **4. SURVEY REQUIREMENTS AND DATA ANALYSIS**

#### **4.1 General requirements**

In order to achieve consistency with the current surveys, the following must be taken into account when preparing proposals

- Most CSS surveys should be conducted using face-to-face interviews;
- All face-to-face interviews should be carried out using CAPI. Although this approach appears to have few advantages in terms of strike rates, completion rates or interview duration, there are significant advantages in the accuracy of

data capture, speed of processing the data and also in back checking interviews.

- For all face-to-face fieldwork, customers should be recruited at random;
- Each interview must be conducted as close as practicable in time and situation to the travel experience. For the following services this is immediately after the journey or use of the facility:
  - Day bus services
  - Bus stations
  - London Underground
  - Tramlink
  - River Services
  - VCS
  - The non-residents section of the of Taxi and Private Hire customer survey
  - Emirates Air Line
  - Barclay's Cycle Hire casuals
- For Night Buses, London Overground, Crossrail and the majority of DLR surveys, interviews should be carried out with customers during their journey on the mode.
- Telephone interviewing is used for Dial-a-Ride, and taxi/PHV Licensee. This is due to the dispersed nature of these journeys, which makes on-site fieldwork impractical. In particular, for DaR the fact that many users are frail older people would make interviews done standing up and/or out-of-doors unsuitable.
- Self-completion questionnaires are used for the Woolwich Ferry satisfaction survey. The ferry journey itself is short, and there is no opportunity to conduct a face to face interview as customers alight.
- Online panels of Londoners are used for TLRN CSS, taxi/PHV journeys made by London residents and the Reputation Tracker. Barclays Cycle Hire and Congestion Charge customers are selected from a TfL database and invited to take part in an online survey.

Regardless of any future consolidation of surveys, to achieve consistency and efficiency, interviewers should (where practical due to operational or method differences) work across as many surveys as possible. This results in savings on recruitment, training, fieldwork checking, management and administration.

Proposals should provide TfL with adequate assurances of what measures will be taken to ensure the target number of interviews for all surveys will be achieved.

The successful agency will be required to achieve the required number of interviews in every survey period. Should the agency fail to meet the required target numbers of interviews in any period, TfL will expect to be compensated for this shortfall.

### **4.1.1 Questionnaires**

The wording and order for the main satisfaction sections of the questionnaires have been extensively tested and agreed throughout TfL. These must not be changed.

The successful agency would be required to use the existing questionnaires, although is permitted to put them into their own format if required and to change order for some demographics in the later parts of the questionnaire with the agreement of TfL Customer Research.

Interview lengths for the surveys requiring costs based on the existing questionnaires are shown in Appendix B.1.

Where satisfaction with a journey is being measured, the questionnaires divide the journey experience into segments to guide the respondent through the questionnaire and to aid recall of the journey just made, or location visited. Satisfaction is asked of key areas such as safety and security, staff, information, cleanliness, condition and service. Additional information collected includes details of the actual journey and information about the respondent, e.g. demographics and journey purpose for analysis, and a contact number to permit interviewer back checking.

It is anticipated that the questionnaires will remain fixed for the duration of the survey with the exception of occasional minor changes and additions of an occasional question or two for some questionnaires. It is important that key questions remain consistent across surveys to enable the comparison of results between modes.

### **4.1.2 Rating scales**

Rating questions in the Customer Satisfaction Surveys are recorded using an 11-point scale, from 10 (extremely satisfied) to 0 (extremely dissatisfied). In order to publish the results in a straightforward way where the measures of satisfaction can be compared among themselves and over time, an index is used. To calculate the index scores, the mean scores of the ratings are whole number scores out of 100 (thus a mean score of 6.62 becomes a customer satisfaction rating of 66).

Rating questions in the perception monitoring surveys may differ depending on survey. The majority of questions in the current Reputation tracker are five point agreement scales ranging from 'strongly disagree' to 'strongly agree' with a mid point of 'neither agree nor disagree'. The figure reported is percentage of respondents who select 'strongly agree' or 'agree'.

### **4.1.3 Sampling**

At present, the overall sample size for all the surveys is 88,000 interviews per year (see section 2 above). Due to the fact that some parts of the survey are funded directly by the modes or departments from very tight budgets, TfL would like to achieve the minimum sample sizes that will give robust results. Details of the required sample targets for each survey are shown in the earlier table.

Sampling for the face-to-face surveys are currently done as a two-stage process of selecting points where customers leave vehicles or facilities, then randomly selecting an

individual for interview at those points. The selection of the interview points is crucial and must ensure a representative spread of customers. Times of day and days of week must also be covered in proportion to customer volumes to ensure the sample is representative.

#### **4.1.4 PDAs**

Proposals should provide details of the hardware and software to be used for carrying out the surveys where relevant. It should be noted that any equipment such as hand held computers, scanning equipment, etc. must be owned by the agency.

## **5 REPORTING**

### **5.1 Current CSS reporting**

For each Customer Satisfaction Survey, TfL currently receives a minimum of:

- Periodic, quarterly or annual data topline in Excel
- Quarterly or annual summary report in PowerPoint
- Quality Assurance Report in Word

Additional reporting may be required for some surveys. All current reports will be made available to the successful agencies.

Currently all reports are produced in either Microsoft Excel, Powerpoint or Word and all contain significance testing of the survey results. TfL has clearly established reporting formats for all its major surveys, however agencies should include suggestions for improving existing reporting formats. All current reports will be made available to the successful agency.

Any proposed reporting format should be able to accommodate changes to the Questionnaire, and changes or additions to routes, lines, operators or any other reporting criteria without incurring major costs. Proposals, however, should also include costs for reporting based on the existing formats.

Agencies should assume that minor modifications may need to be made to the report formats to take account of user requirements. Such modifications would only be made twice a year during the Contract.

Data from these surveys is used at the highest level within TfL and the GLA and also by external sources such as the DfT. As such accuracy of data reporting is paramount. Agencies should detail how they propose to ensure that the highest standards of reporting will be achieved.

### **5.2 Interpretation and communication**

Agencies are expected to not only deliver data, but also deliver insight which helps TfL to understand its customers. current performance and drive improvements. Successful

agencies will be the ones that are able to demonstrate how they will effectively deliver powerful insight.

The Customer Satisfaction Surveys produce the Key Performance Indicators for TfL and its third party suppliers. Interpretation and communication of the data is therefore essential. Internal stakeholders need to know;

- What is the current performance?
- What has changed?
- Why has anything changed?
- How do they maintain or improve performance.

There are a number of opportunities to communicate the customer satisfaction findings.

- When Customer Satisfaction data is sent to TfL, the email should contain a short summary of the headlines. This is aimed to be an 'elevator pitch' for the recipients to understand their current performance. This should be less than 200 words.
- A powerpoint report of the latest data. This should include a headlines summary, trend data referencing TfL's operational data where available, interpretation of the data over time, and a 'hot topic' focusing on a particular service area.
- For some stakeholders, there will be a face to face debrief.

Agencies should outline how they will deliver the interpretation and communication required, including factors taken into account, and statistical capabilities.

In addition to regular reporting TfL may require ad-hoc analyses of the survey data.

### **5.3 Reputation Tracker reporting**

It is particularly important that the supplier of the Reputation Tracker is able to interpret and add value to the results. While CSS has been measured over a considerable period and the drivers are well understood, the Reputation Tracker was set up in 2012 and TfL's reputation is affected by a multitude of influences. When reporting the Reputation Tracker results the supplier needs to be able to pull together a coherent and credible 'story' of what has happened to TfL's reputation. This means the supplier needs to be able to evaluate the various influences in terms of their impact on TfL's reputation. These will be internal (eg operational performance, the launch of a new service, or communication) and external (eg the weather, media stories, customer expectations). The supplier therefore needs to be able to grasp TfL's business issues effectively, and to understand transport more widely, as well as bring expertise about reputation drawn from other markets to bear.

We take comprehensive, strategic papers to various Boards and Groups across TfL rather than just supplying data to meet business objectives. These papers can be time consuming to prepare and require different skill sets from traditional market research techniques. The successful agency will be expected to support and enhance the work undertaken.

### **5.4 Sentiment Analysis**

In order to build up the story of TfL's reputation agencies should consider if and how they would use sentiment analysis to complement the Reputation Tracker results. Transport

is such an important part of Londoners' lives and often a major source of frustration for people, which means there is plenty of commentary found in social media. Analysis could include:

- Ongoing tracking of positive versus negative comment;
- Analysis of sentiment (happiness, anger etc);
- Tracking of specific issues that particular annoy or delight customers that do not appear in other tracking
- Tracking of mentions by mode;
- Analysis of different themes (staff, ticketing, reliability etc);
- Correlation of social media comment versus Reputation Tracker trends
- Who is commenting, how and when.

Suppliers are asked to demonstrate how they would approach the above and are invited to include costs for running an adhoc sentiment analysis project which covers all social media channels.

## **6 PARALLEL RUNS AND DUMMY RUNS**

When contracts are agreed for the CSS surveys, there will be a requirement for dummy and parallel runs. A dummy run would include a full wave of data collection from training and field allocation right through to full reporting. This will allow any new supplier to test all aspects of the survey process before taking over a live wave. Costs for dummy runs should not be included at this stage.

For some surveys a parallel run will be required. Similar to a dummy run this will be at least one wave of data collection through all elements. However, a parallel run will be more specific in sampling points to allow the data collected to be compared with the incumbent's data collected at the same time. The new supplier will be expected to compare the data sets and provide suggestions for any correction factors. Costs should not be included at this stage.

## **7 RESEARCH QUALITY**

Guidelines on TfL's requirements for research quality are provided in the generic tender brief. The below specifies the requirements for the CSS and perception monitoring surveys, taking into account the use of these surveys as Key Performance Indicators.

While TfL recognises that quality assurance processes may differ between some of the surveys in this Lot due to methodology (e.g. face-to-face *versus* telephone interviewing), survey scope or operating conditions or, indeed, agency practices, the following outlines the established processes in place to deliver survey quality, interviewer consistency and to achieve the required samples and spreads. Agencies are invited to indicate how changes and improvements could be made to these processes and practices to ensure greater accuracy of results.

## **7.1 Interviewers**

Interviewers should represent a broad range of TfL's customers and be appropriate for the geographical area and time of day they will be working. Continuity of interviewers used from wave to wave is very important to maintain consistency of results. Agencies should specify how they will ensure continuity and what standards will be set.

It is TfL's usual policy to require that no individual interviewer should complete more than 10% of the interviews in any wave in order to reduce any possibility of interviewer bias. In practice this means that each interviewer should be allocated less than 10% of the shifts or hours worked to account for variation in interviewer performance, location and time of day. In this instance, however, agencies may wish to propose alternative solutions to reducing interviewer bias and these should be detailed in the proposal.

Agencies should also explain clearly how they would ensure the maintenance of a team of interviewers to ensure that staff turnover does not disrupt the survey.

Agencies should comment on how they would manage interviewer variability.

## **7.2 Interviewer training**

All interviewers should be fully trained in face-to-face interviewing to a minimum of IQCS standards. TfL recognises, however, the need for interviewers to have specific training in carrying out these Customer Satisfaction Surveys. TfL's research staff are keen to support this training. Proposals should describe the level, frequency and content of training it is felt interviewers would require to carry out the surveys.

At present, this specific training comprises:

- One day initial training specific to TfL customer satisfaction studies;
- Accompaniment on first shift for each study.
- One day annual refresher training session covering all face-to-face studies;
- Half day annual refresher training session covering all CATI studies

Agencies should provide details of proposed training programmes and identify any improvements that would be made to the current training regime.

## **7.3 Interviewer checks and accompaniments**

Interviewer spot checking and accompaniment should be carried out to a pre-determined programme and set of priorities. In addition to accompaniment by Agency field staff, observation of fieldwork should also be carried out by Agency exec staff. The primary aim is to assess interviewer quality in detail in the context of their history, skills and type of shift being worked; to identify any areas for further interviewer training or coaching, that may be delivered as part of the accompaniment.

Interviewer accompaniments also provide an overview of how questionnaires for the various surveys are working across different interviewers and customers; provide basic checks of interviewer quality (right time and place, using correct questionnaire, appropriate manner and appearance, basic skills and clarity), plus demonstrate to interviewers the value of the data to TfL. They also provide an opportunity to reflect on possible survey improvements in the context of a live interview;

Feed back on these checks and accompaniments and how any issues are to be resolved will need to be made to TfL's Project Manager. It is expected also that if serious problems are encountered during the fieldwork period that these will be notified to TfL within 24 hours of observation for immediate action where necessary.

In addition to spot checks carried out by the research agency, TfL will also undertake unannounced spot checks and pre-arranged accompaniment of interviewers as deemed appropriate. The research agency should provide TfL with the fieldwork schedule for all surveys at the start of each data collection period and inform TfL of any changes to the schedules as soon as these are known.

## **7.4 Quality Assurance Reporting**

A suite of fieldwork quality and survey quality reports is currently provided on an annual, quarterly and period basis.

As with the above Quality Assurance processes, agencies are invited to suggest changes or improvements to the reporting processes to ensure data transparency and accuracy.

### **7.4.1 Field Quality Report**

The purpose of this report is to provide quality assurance of accuracy of data going into reports.

The report covers the following:

- Number of interviews achieved against target, including target for completion of satisfaction measures (0% drop out)
- % completion of overall interview
- Number and proportion of spot checks made, issues identified and actions taken as a result; results of back checking
- List of any changes that occurred during fieldwork (weather, closures, etc.)
- Summary of key points

### **7.4.2 Quarterly Quality Assurance Report**

The purpose of this report is to provide a systematic review of quality and quality assurance of trends in the data.

The report covers all CSS surveys and provides the following details:

- Interviews achieved against targets for: Operators (where relevant); age; gender; journey purpose; other key demographics
- Average interview length and spread of interview length
- Actions taken by the agency to identify discrepancies in any of above, and act on them
- details of the impact of weighting on the results.
- detailed breakdown of interviewer variability for each customer satisfaction measure and key demographics.

- A record of any data errors or discrepancies found in the data/reports/results (whether found by the Agency or by TfL CR), the causes and actions taken to correct the data
- Summary of key points.

## 8 WORKING WITH TFL

Although it is expected that different individuals within the agency will carry out the work, the senior Contract Director must be able to fulfil the following requirements:

- Take responsibility for problem solving
- Ensure quality control, especially regarding communications and output quality
- Introduce processes that ensure the work is managed seamlessly, delivered on time and to the required standard,
- Manage communications across internal agency teams, ensure that new agency staff are briefed about TfL's business, aims, organisation culture and the agency's way of working with TfL
- Ensure good communications between the agency and TfL contact points.

In addition, as TfL is keen to make fuller use of CSS and use the data with ad hoc and other survey results, the agency team will need skills in interpreting data, and should be ready to join internal meetings for this purpose.

## 9 COSTS

Costs should be provided for conducting the LU survey only by using the Excel Commercial Evaluation document, "**TfL 90865\_ITT\_Volume\_1 \_Annex\_4\_Commercial \_Lot 4**" for the purposes of this framework

For the purpose of this tender agencies should provide costs for the following surveys which are outlined at section 10:

- Day Bus Services CSS
- Dial-a-Ride CSS
- TLRN CSS
- Docklands Light Railway CSS
- Reputation Tracker

Agencies are required to submit costs in the format provided below to allow comparisons to be made between the various research suppliers. Setup costs should be provided separately.

Agencies unable to submit costings in this format should discuss this with TfL's Procurement Officer before submitting a Proposal.

Where assessments are to be carried out on-board buses or trains etc. the interviewer must be in possession of a valid passenger ticket for the journey that they make. The costs of these tickets should be included in the fieldwork costs.

For each project mentioned above, please describe any underlying assumptions, e.g. level of quality control, level of assessor training, number of assessors, data processing and checks, analysis and reporting in addition to those stated upon which costs are based.

## REBATES

TfL wishes to let the Lots so that a rebate structure is included based on the total value of work let across all lots, which the supplier has been successful on. This can be based on an agency being commissioned to conduct either an individual Lot or multiple Lots.

Agencies are invited to propose a rebate structure as shown below. Please use the Excel Commercial Evaluation document, "TfL 90865\_ITT\_Volume\_1\_Annex 4\_C Commercial\_Lot 4", under the relevant tab to insert your proposed discount scheme, which will be reconciled on an annual basis. (The exact number and value of jobs to be carried out under this framework is unknown at present.)

12 month spend (for each year of the contract/framework)	% Discount
£0 - £500,000	
£500,001 - £ 1,000,000	
£1,000,001 - £1,500,000	
£1,500,001 - £ 2,000,000	
£ 2,000,001 +	

## 10 SUMMARIES OF SURVEYS FOR COSTING

### 10.1 Day bus services

<p><b><u>Background</u></b></p> <p>London has one of the world's largest urban bus networks, which provides approximately 6.3 million passenger journeys over 700 routes each weekday. Following the privatisation of the bus operating companies in 1995, TfL secures bus services in London on a contract basis from private operators, setting the route structure, frequency, fares, providing bus stops, stands and stations and ticketing equipment.</p>
<p><b><u>Scope</u></b></p> <p>The research should incorporate bus services operated on behalf of TfL within the Greater London area but should not include night buses, Mobility Buses, Dial-a-Ride buses, dedicated school contract buses and a small number of atypical contracted services.</p> <p>Currently there are 22 bus operators, who provide the services to be included in the research. The number of operators may fluctuate slightly as contracts change hands over</p>

time.

The study will provide data that can be analysed at operator level for the majority of operators.

Interviews must cover bus stops and shelters, with data reported separately for these elements.

### **Methodology**

Face-to face interviews are carried out with passengers alighting at a pre-determined sample of bus stops throughout Greater London (i.e. within the M25).

At present, fieldwork is conducted continuously, in four weekly waves.

Fieldwork resources are allocated on the basis of the overall volume of passengers by time of day and day of week (see Appendix A.1). Work at the specific sampling points should be allocated on different days of the week in succeeding waves in order to avoid the potential for re-interviewing respondents if the same sample points are used every wave.

The general principle is that services should be covered from 7.30am until 9pm. It is important that early morning and evening are surveyed as the travel patterns and service expectations of customers travelling at these times of day may be very different to those travelling during the day.

Similarly, the pattern of weekend interviewing should be in proportion to the relative numbers of passengers on Saturdays and Sundays compared with weekdays. Fieldwork will not necessarily be at the same stops for weekend and weekday interviewing.

### **Sample**

The sample size for the survey is currently approximately 1,000 interviews a period (13,000 interviews a year) 3,000 interviews per quarter. The number of sampling points in the survey was increased from 82 to 100 in March 2009.

The sample size should permit analysis of the data at network level on a quarterly basis, and both network and operator level (for most operators) on an annual basis.

Fieldwork should incorporate all bus operators, and the volume of interviews achieved for each operator in each quarterly period should be roughly in proportion to their share of the services operated.

Sample should include a wide range of bus routes and be geographically spread to include both urban and suburban locations throughout the Greater London area.

There are over 18,000 bus stops within Greater London so the cost of covering all of these in the survey would be prohibitive. It is necessary, therefore, to select a sample of stops for the survey. In the present survey design, a number of factors have been taken into consideration in order to ensure that a representative sample is selected:

- Variation in customers' travel patterns and their use of stops by time of day (e.g. on weekday mornings, the majority of customers travel to office centres, bus stations, train or Underground stations, and shopping centres).
- Location characteristics (e.g. major suburban centre, rail/underground station, residential area).
- Demographic profile of area
- Number of bus routes serving the location by each operator

interviewed should be broadly representative of bus passengers aged 16 or over in terms of demographic profile, frequency of and reasons for bus usage. Respondents do not necessarily have to live within the defined survey area. It should also include customers making short, medium and long journeys.

An extensive study (the *Bus User Survey*) was carried out during 1999, 2003, 2007 and 2014 to determine the demographic and journey profiles of passengers using 300 daytime bus routes. Data from the 2014 survey is available for weighting of collected data back to a known profile of bus customers. It should also be compared to the collected data to identify whether there are any groups who are under-represented within the current survey.

Interviews should be conducted with '*the next available person*'. Some minimal constraints need to be placed on this rule, however, to ensure that the first person alighting (who may have been the last to board, the most able or the least encumbered) or the last person alighting (who may be the least able or most encumbered with shopping, children, etc.) is not always the person to be interviewed. In addition, steps should be taken to ensure that interviewer bias in the selection of respondents is avoided, and agencies should detail how this will be achieved.

Sampling points represent inner/outer areas and all major suburban centres, and bus frequencies per operator in proportion to the total service.

Sampling points are selected at sites where many bus routes have stops so that there is an almost constant supply of bus customers arriving and available for interview. The sampling points cover the whole of Greater London and are not too close together along any individual bus route, so that no particular operators or customer types (commuters, shoppers etc.) are over-represented in the total sample.

The sampling points in the original sampling frame were selected as follows:

- Using a London Bus Services Database, potential sampling points were identified at intervals along each bus route in places where customers are likely to alight, including major suburban centres, rail or tube stations, rural/residential areas and central key points for 'short hop' traffic;
- Most of these points are at locations where bus routes intersect. Each sampling point selected for any route was also identified as a potential sampling point on all the routes passing through the location;
- Eliminating duplication in local areas reduced the initial total of approximately 350 sampling points. For example, six potential locations very close to each other in central Croydon were cut to two, covering all the major routes travelling through the area. All sampling points were added to

the database by attaching the location name to each of the routes passing through the sample point;

- An audit of bus stops was carried out to determine the suitability of carrying out interviews at each stop. This took into account such factors as pavement width, shelter, lighting, proximity to a rowdy pub, etc. As a result further stops were eliminated from the sample frame.

The sampling frame may be modified progressively during the Contract if required to produce more or fewer interviews, to adjust the share of buses run by individual operators or to replace particular sampling points with similar nearby locations if they become unusable in practice. It may also be found as the survey progresses that additional modifications to the sample points will be required to further reduce duplication, to ensure routes and operators are adequately represented and to maximise strike rates.

The agency commissioned to carry out the research should monitor and, where necessary, amend the sampling points throughout the duration of Contract.

It should be noted that the number and distribution of services by operator may change throughout the duration of the contract. For example, a route may change operator as a result of the route tendering process. There may also be changes to routes in terms of the origin or destinations served.

To assist agencies in understanding the scale of these possible changes and in costing the proposal, approximately 20% of routes can potentially change operator each year. This is achieved through a rolling programme of tendering carried out every two weeks throughout the five-year period.

The effect of these changes on the survey design and sampling is very limited with the largest impact being on ensuring the correct scores are assigned to a new operator (particularly when contracts change operator in the middle of a survey period) at the reporting stages of the survey. TfL will provide the successful agency with an update of relevant service and operator changes every period.

### **Data Cleaning and Queries**

There are a number of tasks that need to be undertaken before reports can be produced to ensure data quality and integrity. These include the following:

- Filtering out of interviews undertaken with customers alighting from bus routes not included in the survey. While most of these can be filtered out at the time of recruitment, a final filter is required at the data cleaning stage to ensure that such data does not contribute to the results;
- Checking that interviews allocated to bus routes at specific stops conform to the London Buses database of stops and routes (i.e. that the route keyed in by the interviewer actually serves that stop). Every 12 weeks TfL will provide an output of the database in Excel format which can be used by the agency to check that interviews for each bus route are valid at each specific stop.

The agency will be required to provide TfL Customer Research & Insight with a list of queries where a route and stop fail to match the TfL database immediately after the end of each period's fieldwork.

The number of queries can be reduced through interviewer training and feedback where the hand-held computers have obviously been incorrectly keyed.

The agency must maintain and update a database matching routes to operators (which would be made available by TfL on commissioning) to take into account of routes changing operator. This ensures that each operator report only contains information on routes operated by that bus company. TfL will provide this information at the end of each period as a retrospective confirmation of any routes that have changed operator. Information on any new or terminated routes will also be provided at this time.

### **Weighting**

If the number of interviews each period is greater or less than 800 interviews (600 in Quarter 3), the data should be weighted to represent this number. This ensures that the three or four periods comprising each quarter are equally represented in the results.

The volume of interviews achieved for each operator in each quarterly period should be roughly in proportion to their share of the services operated, and then weighted to match this. Weighting figures are obtained by calculating the proportion of total scheduled mileage across the London bus network accounted for by the routes under the control of each operator. These figures are calculated annually, although amendments may be necessary during the year as routes are moved between operators. The required information will be provided by TfL to the successful agency.

Data should also be weighted back to a known profile of bus customers, based on data from the Bus User Survey 2014, that will be provided by TfL.

Weighted data only should be reported to TfL, with the exception of SPSS data which should be provided in a format whereby the weighting can easily be applied or removed as required.

### **Reporting Requirements**

Each period TfL should receive

- Period topline report in excel
- Data in SPSS
- Quality assurance report in word

Each quarter TfL should receive

- Summary PowerPoint report and commentary of quarterly results including a 'Hot topic'
- Quarterly topline report in excel
- Quarterly Excel Reports with various breakdowns of CSS Scores (stop & shelters, bus operator reports, safety and security, value for money, bus stations, etc.)
- Quality assurance report in word
- Data in SPSS

## 10.2 Dial-a-Ride (DaR)

### **Background**

Dial-a-Ride is a London-wide, door-to-door bus service for people with disabilities who are unable to use or find it difficult to use conventional public transport. It is booked by telephone and, while the transport services are operated from five regional bases, bookings are managed from a central control centre.

The service is provided throughout the day, every day of the year. DaR directly operates 350 low floor minibuses and a small number of people carriers throughout London. DaR also allocates a number of journeys to taxis or Private Hire Vehicles. It provides approximately 100,000 trips each month.

register for the service as 'members' and they can then book journeys usually a day in advance of travel. There are currently approximately 50,000 members with around 40% making at least one trip a year. 81% of Dial-a-Ride members are over the age of 65 and 55% are at least 80 years of age, making them a group in need of excellent interviewer skills and empathy.

### **Methodology**

A CATI survey should be carried out by telephone amongst users of the DaR. Interviews last an average of 13 minutes.

Dial-a-Ride's CSS is conducted over three separate weeks, one in each period per quarter, based on a sample provided by DaR from their records of trips made during the preceding week.

The survey records partial responses from users who were previously excluded due to the practicalities of taking part. This covers people who are hard of hearing, or have learning disabilities. Carers are interviewed if users are unable to take part in the survey.

### **Sample**

The sample (provided quarterly by DaR) is drawn from a database of customers who have made a recent telephone booking and used so as to provide a good spread of customers by geographical residence. Borough is provided as a field within the database.

It should be noted that up to Q3 2012/13, weighting was carried out based on DaR's six operating areas. At the beginning of Q4 2012/13, the sampling method used was stratified in order to better represent all of the 32 boroughs. Results are weighted according to the usage levels of the 32 boroughs during the sampling period.

630 users of the service are interviewed by telephone in each quarter. Carers are interviewed if users are unable to take part in the survey.

People who contact Dial-a-Ride but are unable to book and/or travel are also included

in the sample. From Q1 2013/14, the survey design was adapted to also include users of Dial-a-Ride who had travelled on a regular booking (this group had not necessarily contacted Dial-a-Ride recently).

In addition to the main survey, an extra 100 interviews are carried out among those who travelled by taxi and minicab. This group (in combination with those from the main survey who travelled by taxi/minicab) are reported as "Taxi/minicab users (incl boost)". Therefore, those who travelled by taxi/minicab as part of the main survey are reported in both the Dial-a-Ride (main survey) average scores and also in the taxi/minicab average scores.

A further 100 surveys are completed per quarter with non-active members (those who have not contacted Dial-a-Ride in the last three months), but these are only reported on an annual basis to ensure large enough bases for analysis.

Group bookings and excursions are excluded from the survey.

The samples will be provided electronically in Excel. The successful agency will be expected to de-duplicate the sample provided against those customers contacted in the preceding wave of research, ensuring that the same registered user is not contacted in consecutive waves. Typically each depot provides between 200 and 1,000 contacts each period.

At least three call backs should be made to each respondent. Response rates should be monitored and at least 30% achieved each quarter. As DaR users have a strong interest in the service, the number of interviews achieved in a shift is higher than may be expected normally for a telephone survey.

#### **Other requirements**

Agencies should make provision for changes to up to three questions, plus up to three new questions to be added each quarter (not necessarily for one period only) to take service trials and changes into account.

#### **Data cleaning and queries**

The recording of verbatim comments should be reviewed. Personal comments that name drivers or other passengers should be anonymised.

#### **Weighting**

On completion of each wave of fieldwork, DaR offices provide patronage data for the week preceding the survey, which is used to weight the survey data at network level to known usage across the five DaR operating areas. This weighting will be carried out by the successful agency before results are reported to TfL. The Taxi/PHV boost should be reported separately with no weighting, although weighting may be developed in future with the successful supplier.

#### **Reporting Requirements**

Every quarter TfL will receive

- Topline of results in excel (KPI report)
- Verbatims in word
- Wheelchair and seatbelt report in excel
- PowerPoint report and commentary of quarterly results including a 'Hot topic'
- A shorter summary PowerPoint report 'Flash Report'

### 10.3 Transport for London Road Network (TLRN)

#### **Background**

The TLRN is made up of roads that are owned and maintained by Transport for London. These are the key routes or major arterial roads in London. 5% of the roads in London are TLRN but they carry approximately 33% of the city's traffic. LRN is identified by red routes (red line markings are used instead of the yellow lines used by the London boroughs).

#### **Methodology**

The survey is conducted using an online panel among residents of London and the South East. To be eligible for interview, panelists need to have used the TLRN in the last month using any of the following modes;

- Car
- Pedestrian
- Bus
- Motorcycle/ scooter/ moped
- Taxi/ commercial delivery/ emergency vehicle
- Cycle

A map of the TLRN is shown to respondents to allow them to identify the section of the TLRN that they have used. This map is interactive allowing respondents to zoom in and out, and instructs them to click on the start and end point of their trips. See Appendix A.3 for the current map.

#### **Sample**

3300 interviews are conducted every quarter – 3000 London residents and 300 from South East England. Interviews are carried out in a 4 week period during each quarter.

Quotas are set for each corridor.

#### **Other requirements**

None for this survey.

#### **Data cleaning and queries**

No requirements specific to this survey.

### **Weighting**

Weighting may be required to match the London and South east population, and the use of corridors.

### **Reporting Requirements**

- PowerPoint report and commentary of quarterly results
- Shortened executive summary in PowerPoint
- Quarterly and cumulative Excel tables
- SPSS file
- Quarterly Fieldwork Quality Report in Word

## **10.4 Docklands Light Railway**

### **Background**

The Docklands Light Railway opened in 1987 to serve the London Docklands with 11 trains and 15 stations. Since then, a number of extensions have seen the DLR extended to Bank, Beckton, Lewisham, London City Airport, Woolwich Arsenal, and Canning Town.

Today it is a 34km railway with 45 stations and over 100 trains and carries over 100 million passengers a year.

Docklands Light Railway Limited (DLRL) is the organisation that owns the railway's assets. TfL's role is to oversee the operation of the railway and plan development that meets the needs of east London. The Railway is currently operated by SERCO.

### **Methodology**

Face to face interviews are conducted with randomly selected customers on-train. On-train methodology is used because a large proportion of DLR customers either continue their journey on another rail operator's services or on LU, without leaving a station, or leave the system via a station which is shared with other rail operators. These factors make recruitment at the conclusion of the journey impractical. However, during the morning peak hours interviewing is carried out at station exits.

Interviewing is conducted seven days a week between 07.00 and 24.00. Between 7am and 9.30 am the survey is conducted at station exits with customers leaving the system. The survey is conducted continuously and reported on a periodic basis.

Interviewers are required sign in and sign out at the Poplar office at the start and end of each shift, and interviewers working on the Bank – Lewisham and Stratford – Lewisham routes will need to also sign in with CGLR at their offices in Greenwich. Interviewers are required to attend an annual safety briefing at DLR's offices.

### **Sample**

The sample size is to 3000 interviews a quarter. Each of the five lines is covered

every day of the week. Respondents are selected on a strict 1 in 5 basis .

#### **Data cleaning, queries and weighting**

Data is weighted by usage of the DLR service by time of day based on passenger volume information provided by TfL

#### **Reporting Requirements**

Each period TfL should receive

- Period topline report in excel
- Data tables in excel

Each quarter TfL should receive

- Summary PowerPoint report and commentary of quarterly results including a 'Hot topic'
- Field quality report in word
- Quality assurance report in word

### **10.5 Reputation Tracker**

#### **Background**

Reputation is vital for TfL, which is so dependent on public support and funding in order to upgrade services and increase capacity in the light of London's rising population. London can only prosper as a major world city if it has a world class transport system, so TfL's reputation is vital to the future of the city and the UK economy as a whole.

In order to better understand the drivers of TfL's reputation, in 2012 qualitative research among Londoners was used to establish a customer framework. This framework described how customers wanted to view TfL and had five drivers of reputation: What we stand for, Experience, Value for money, Progress and innovation, and Trust.

Once the framework was established the Reputation Tracker was set up to measure our progress against the framework and to understand Londoners' overall view of TfL.

#### **Methodology**

The survey is carried out quarterly, online over a period of around five days towards the end of the quarter.

In contrast with CSS, the Reputation Tracker measures perception of all Londoners regardless of what modes of transport they use and how familiar they are with TfL. Each of the five sections of the customer framework has a short series of statements, which Londoners are asked to state on a five point scale to what extent they agree with each (eg TfL cares about its customers). There is a battery for each of TfL,

London Buses, London Underground and Roads. Other questions provide useful context to the main battery of statements and include: mode usage, awareness of TfL responsibilities, understanding of and attitudes towards TfL's funding, awareness of TfL investments, and interaction with TfL (e.g. visited the website, seen positive news stories, contacted the Customer Services Centre).

### **Sample**

The sample size is 1,000 Londoners aged 16+. Currently the survey is carried out using an online omnibus.

### **Data cleaning, queries and weighting**

The sample needs to be representative of all Londoners aged 16+.

### **Reporting Requirements**

Each quarter TfL should receive results in the following formats:

- Data tables including all breaks in Excel
- Bespoke data tables of key measures showing trend information and significance testing
- Summary PowerPoint report and commentary of quarterly results

## APPENDIX A – SAMPLING

A.1 Bus Journeys by Day Type and Time Period

A.2 Bus Service sample locations

A.3 TfL Road Network – Example interactive map

A.4 TfL Road Network – Routes

A.5 Docklands Light Railway - Passenger Counts

A.6 Dial-a-Ride – Sample information

## APPENDIX B – QUESTIONNAIRES

B.1 Length of existing questionnaires:

<b>Main Satisfaction Surveys</b>	<b>Current Questionnaire Length</b>
Day Bus Services	14 mins – face-to-face
Dial-a-Ride	11 mins - telephone
TLRN	25 mins - online
Docklands Light Railway	8 mins - face-to-face
Reputation Tracker	20 mins – online

## **B.2 Questionnaires for existing surveys**

### **B.2.1 Day Bus Services - Satisfaction**

### **B.2.2 Dial – a – Ride**

B.2.2.1 Main survey

B.2.2.2 Non-Actives survey

B.2.2.3 Taxi boost

### **B.2.3 TLRN – Satisfaction**

### **B.2.4 Dockland Light Railway – Satisfaction**

### **B.2.5 Reputation Tracker – London residents**

## **APPENDIX C - REPORTING**

### **C.1 Examples of existing reports**

C.1 Day Bus Services – Quarterly summary report

C.2 Dial – a – Ride – Quarterly KPI report

C.3 TLRN – Quarterly summary report

C.4 Dockland Light Railway – Period topline report

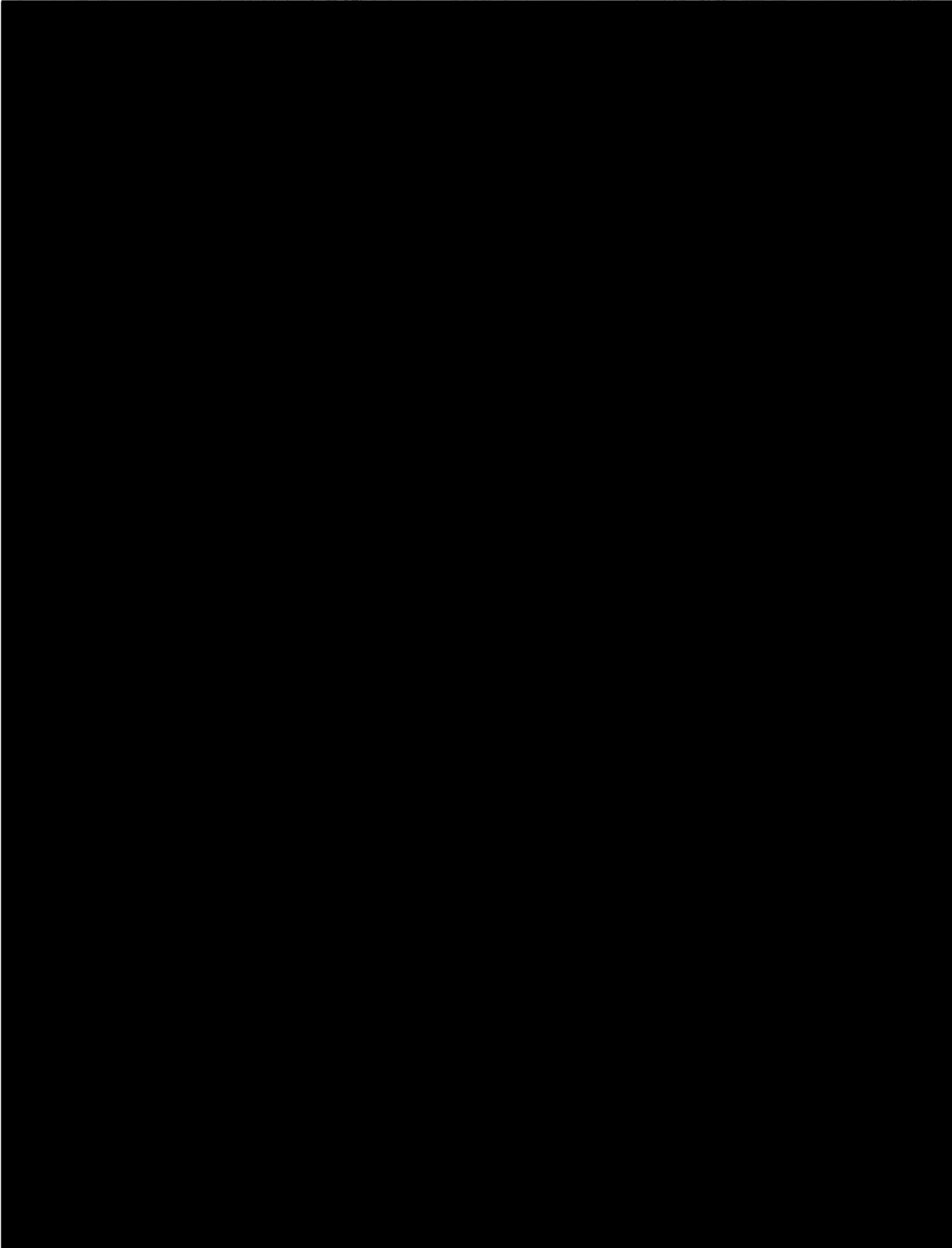
C.5 Reputation Tracker – Quarterly Data Tables

C.6 Day Bus Services – Quality Assurance Report

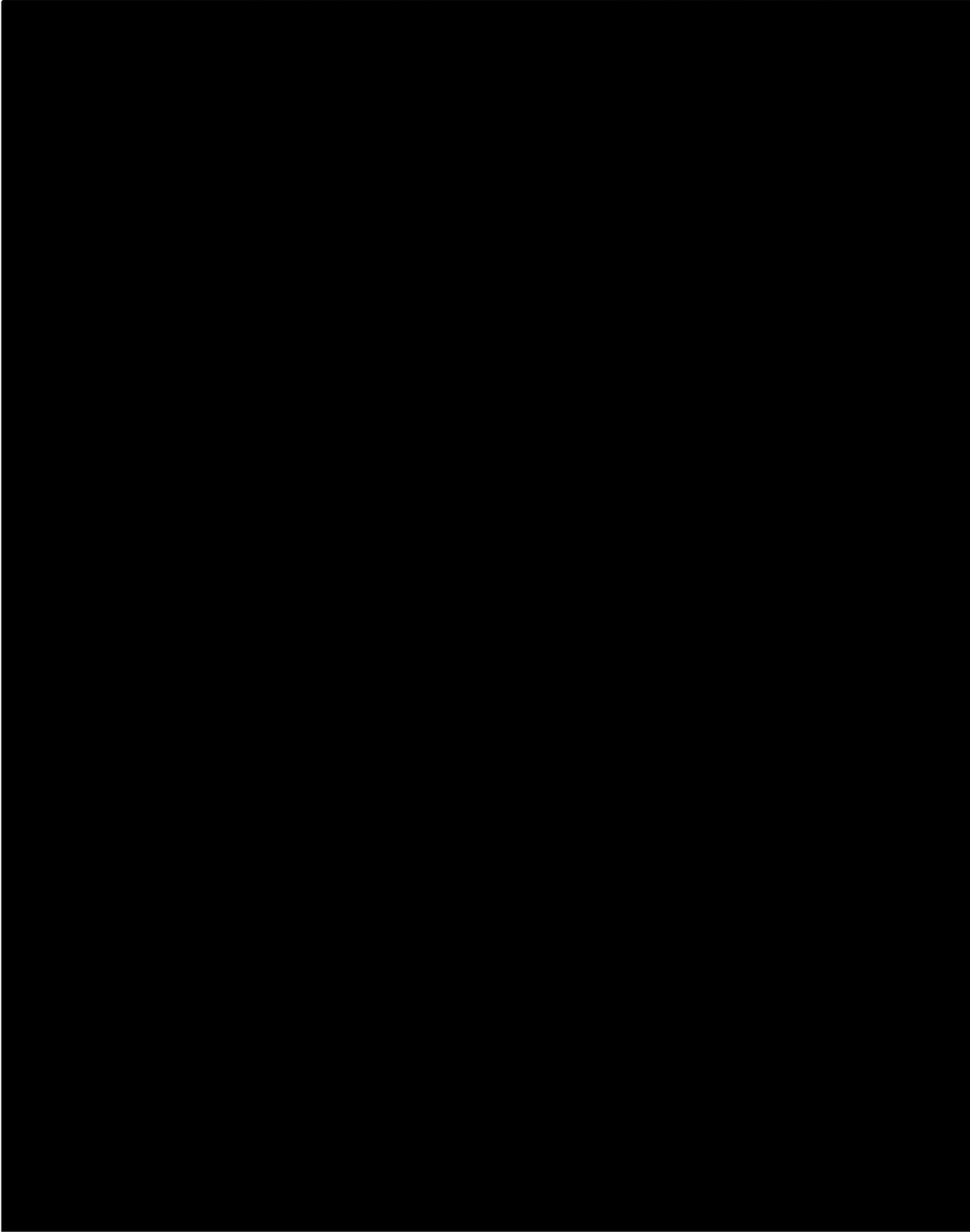
## SCHEDULE 4 – RATES

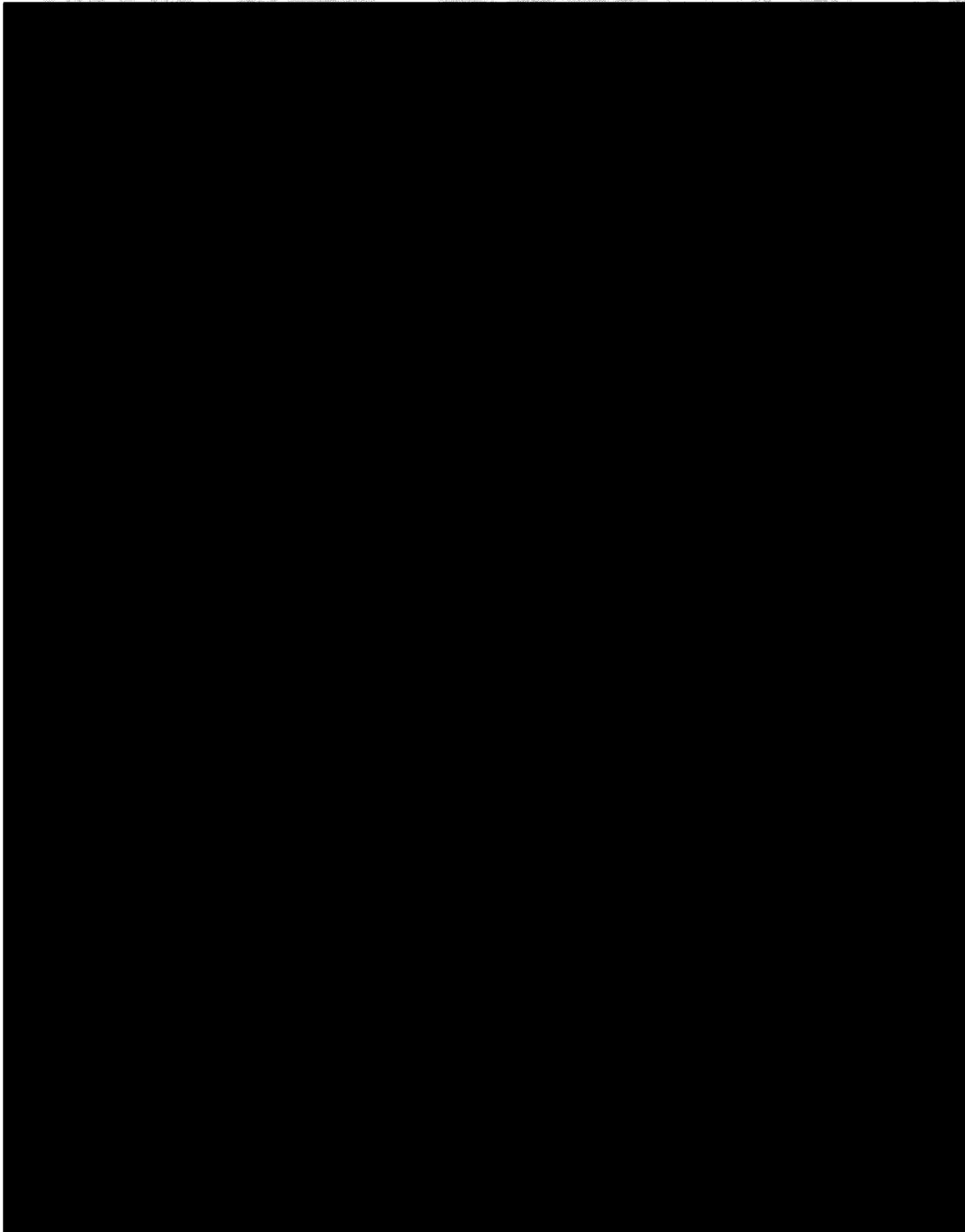
\* Note TfL does not pay for travel or subsistence costs.

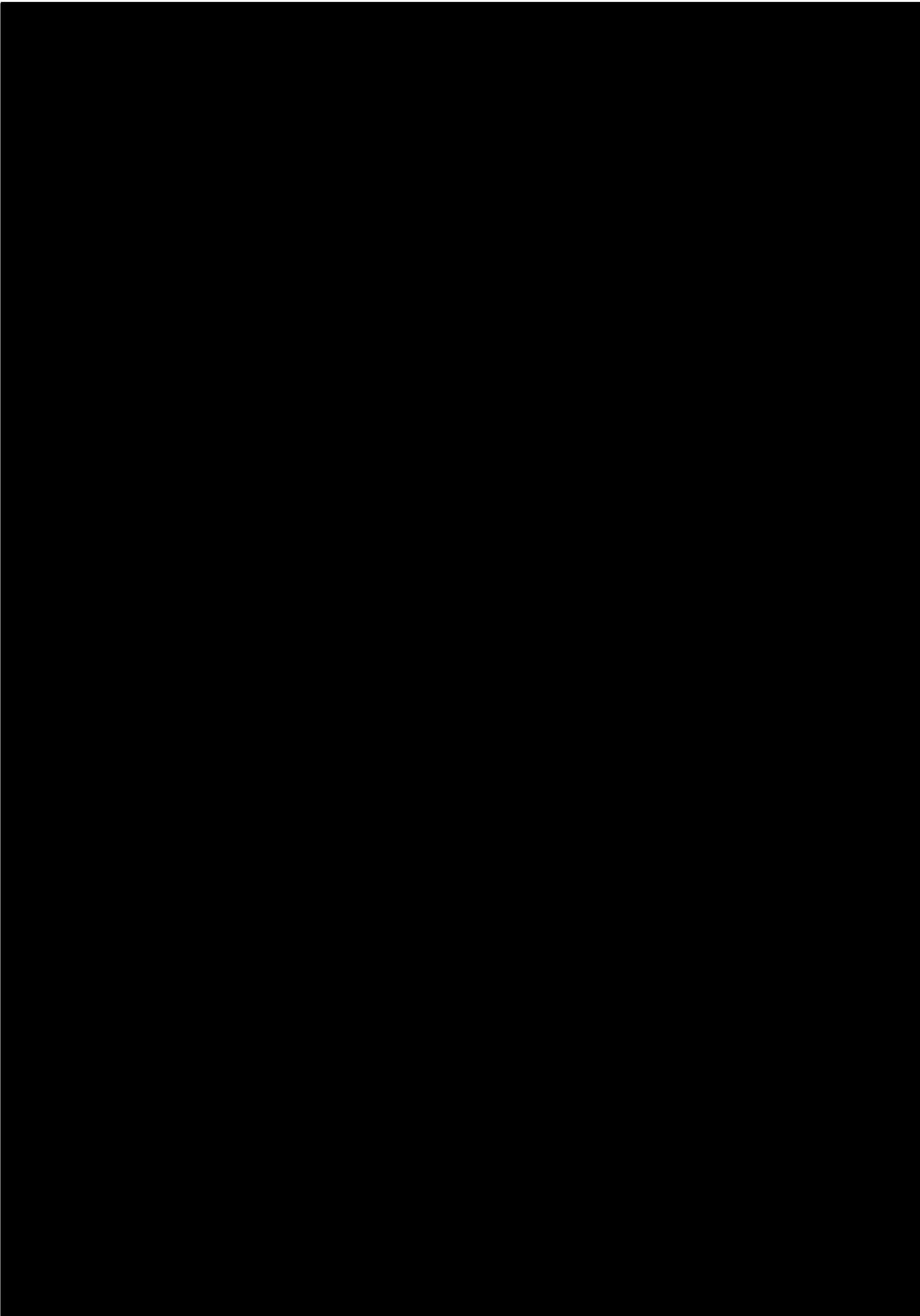
### Commercial Evaluation - LOT 4 Customer Satisfaction and Perception Monitoring Surveys

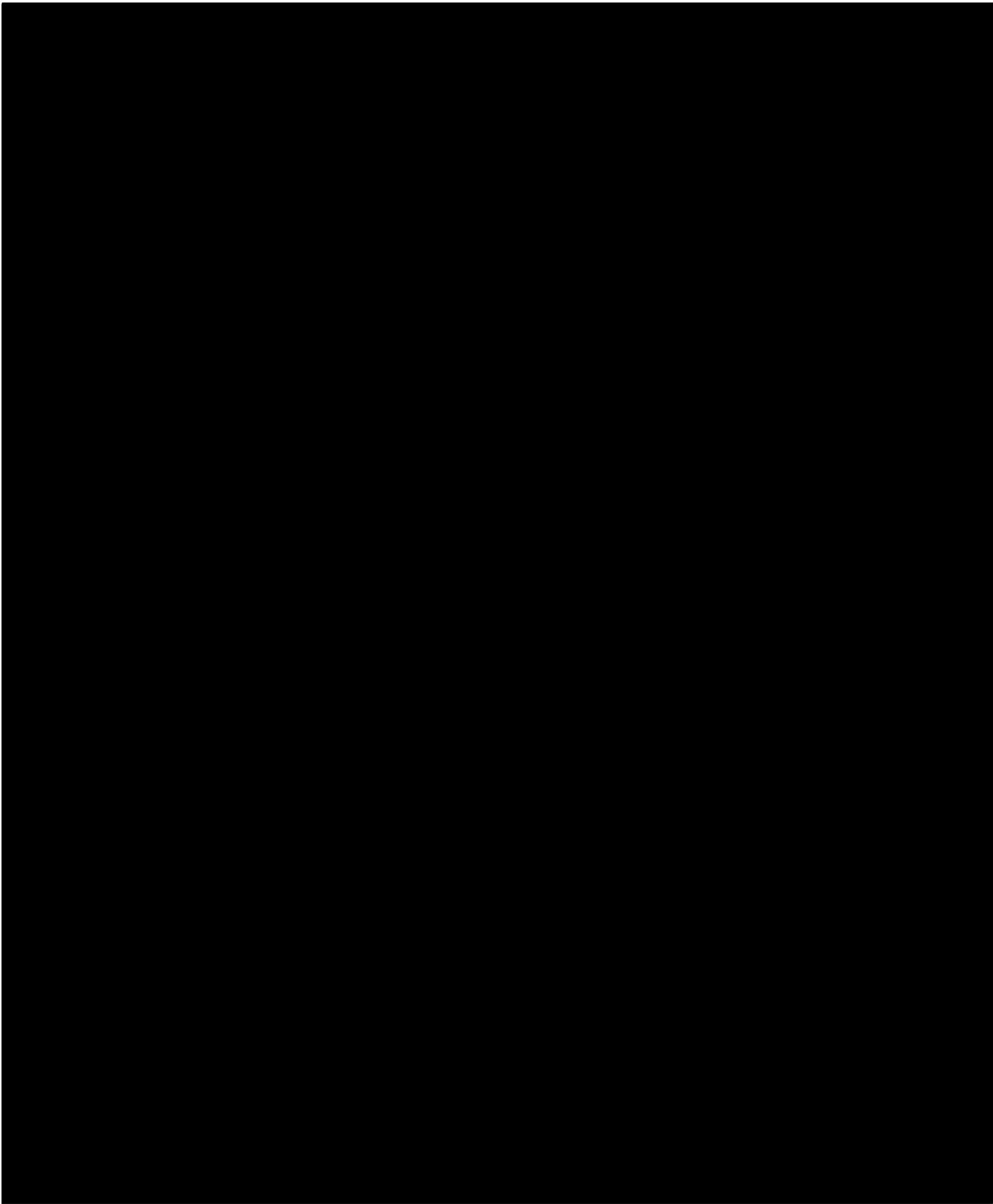


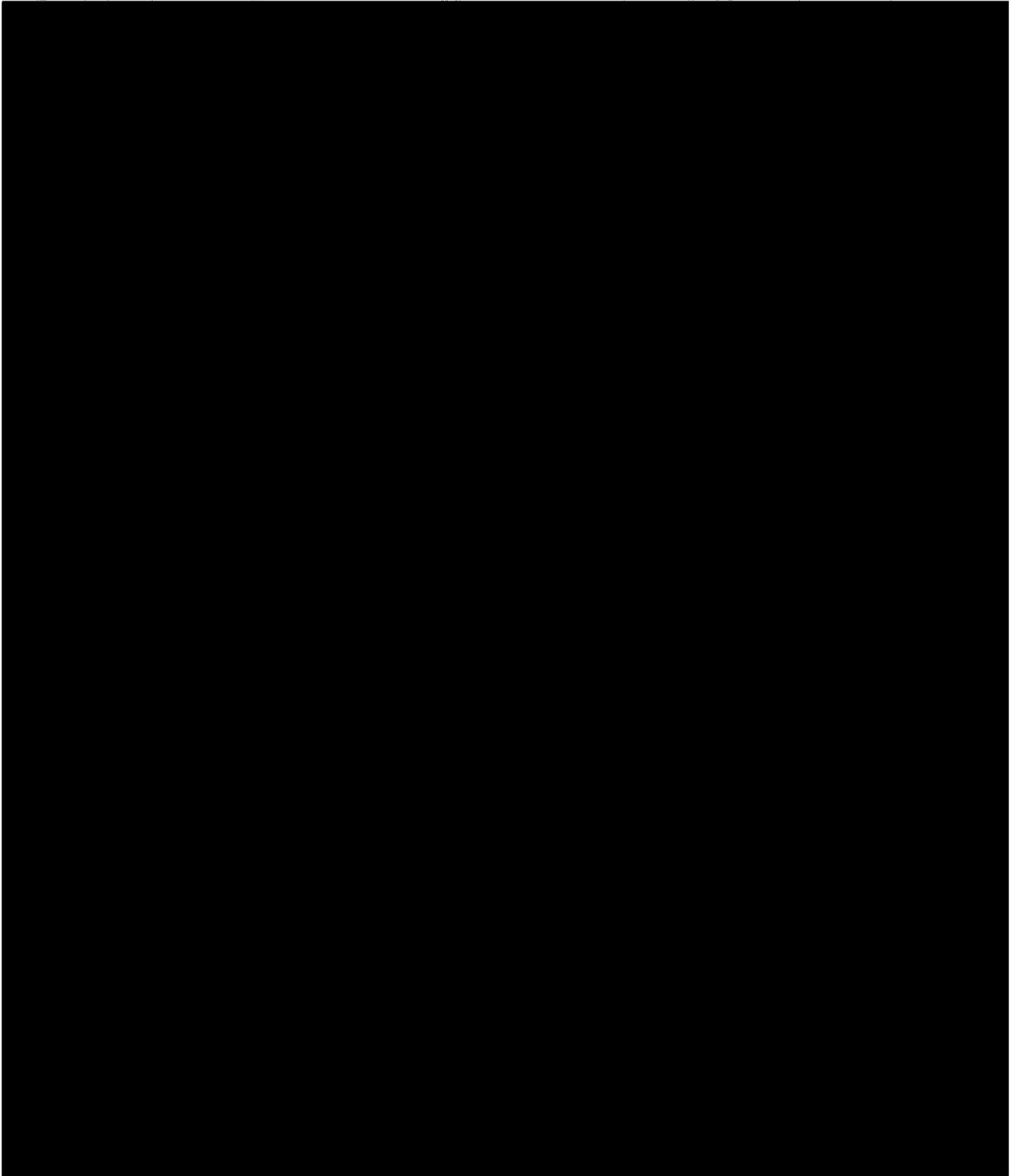
**Commercial Evaluation - LOT 4 Customer Satisfaction and Perception Monitoring Surveys**



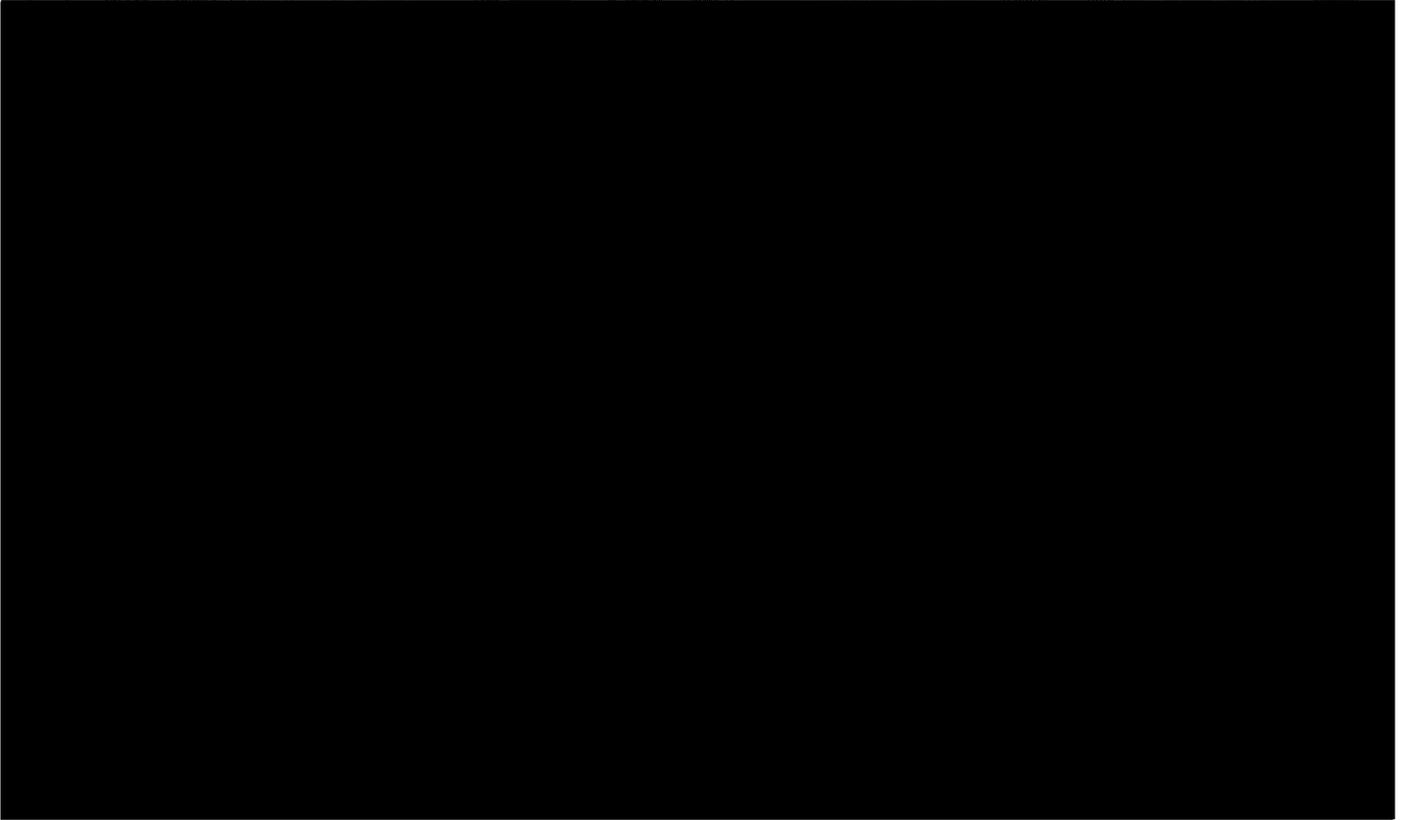




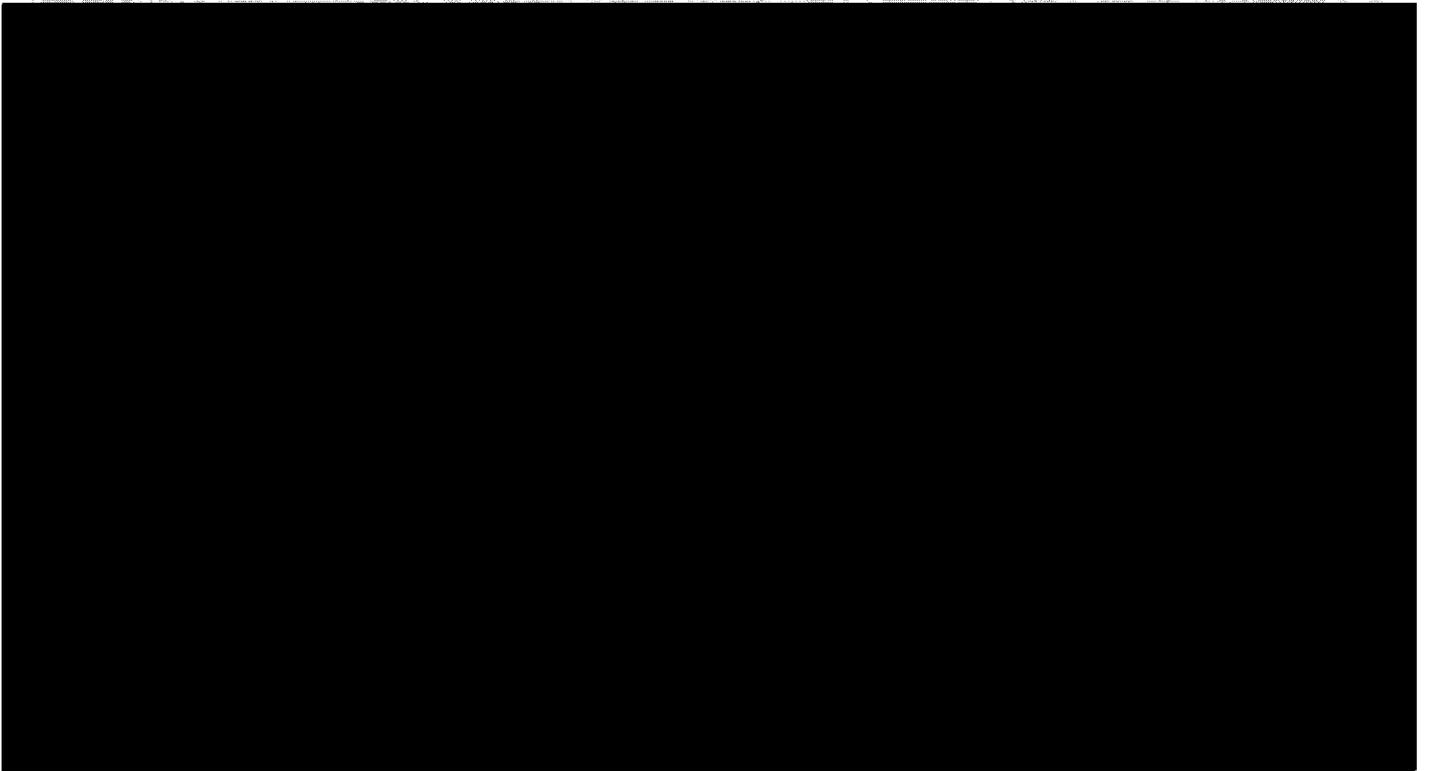




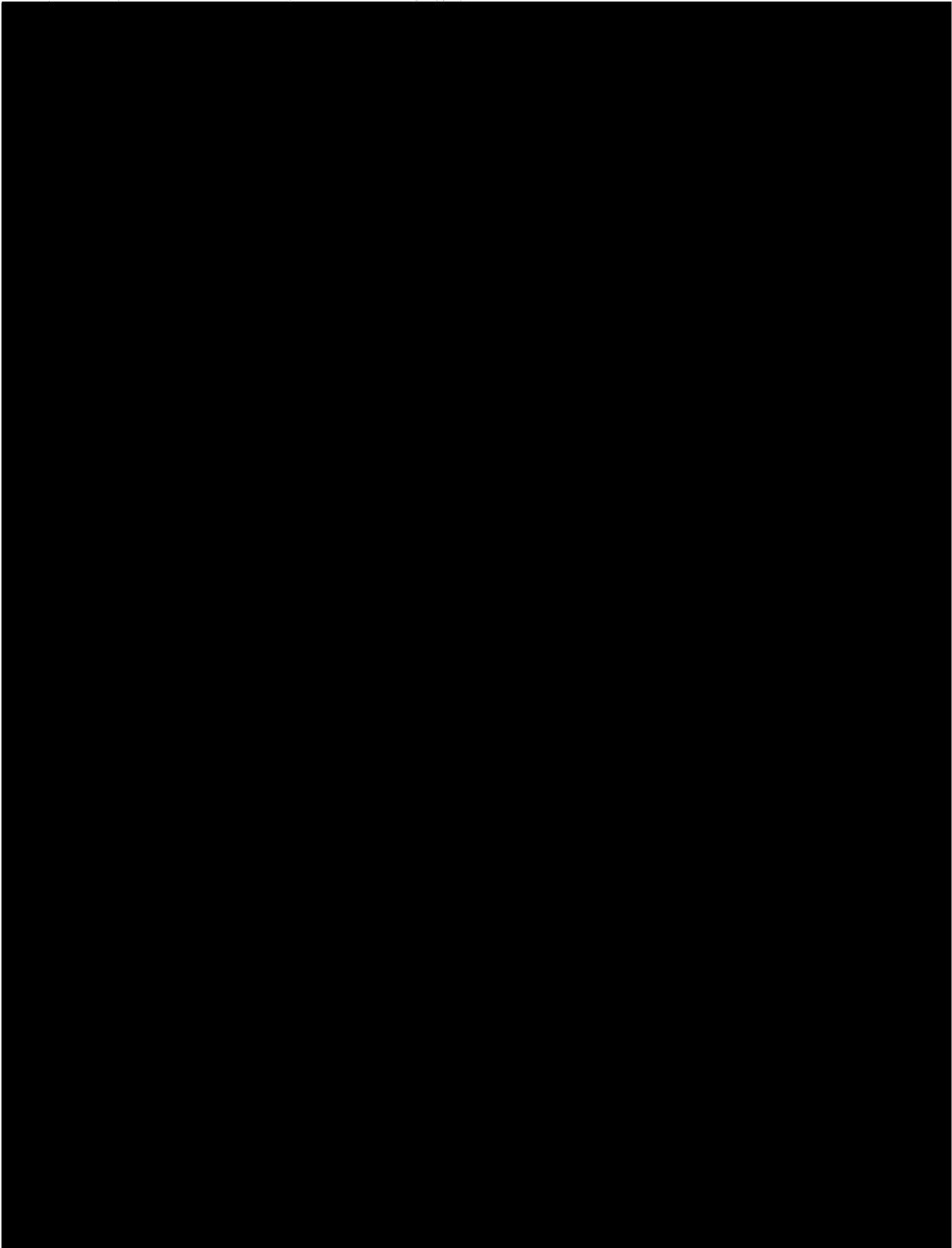
**Commercial Evaluation - LOT 4 Customer Satisfaction and Perception Monitoring Surveys**



**Commercial Evaluation - LOT 4 Customer Satisfaction and Perception Monitoring Surveys**



**Commercial Evaluation - LOT 4 Customer Satisfaction and Perception Monitoring Surveys**







**Attachments:** Attachment 1: Services to be provided and other relevant information

Attachment 2: Service Provider's Proposal

Draft Call-Off Contract

**Attachment 1 –**

[To be completed by the Authority]

**1. Services to be provided and associated information**

*[Detail here all (a) Services and (b) deliverables with full descriptions of what is required.*

*Include a Project Plan that clearly identifies the project milestones against which payments are to be made. This may be as simple as a plan that contains dates for acceptance and completion. If no plan is available, or if the milestones cannot be specified at this stage, you must request the Service Provider to include a proposed plan and milestones in their response.*

*You should also define other requirements you wish the Service Provider to respond to such as:*

- *details of any technical and/or functional specifications and/or any service levels (as applicable) of any Deliverable or Service required by the Authority to be delivered or achieved by the Service Provider;*
- *Working Hours;*
- *CVs of the Personnel to be working on the project;*
- *estimated time-lines for each of the milestones and for the overall project;*
- *the Service Provider's best price offer based on charges (subject to Schedule 4);*
- *the Service Provider's proposal for staged payments or whether pro-rata monthly payments will apply;*
- *any materials, equipment or goods required to provide the Services, including Service Provider IPR deliverables and Third Party IPR deliverables;*
- *any material assumptions or facts relied upon by the Authority in compiling it and any other material information which relates to the Services required to be provided and/or performed;*
- *Service levels, and measurement thereof;*
- *any warranties and/or representations required from the Service Provider.]*

## 2. Acceptance Criteria

*[If the Authority requires any deliverable (whether in isolation or in combination with other deliverables (eg as a solution, package, or system)) and/or any Service to be subject to acceptance and/or service validation tests (as applicable), define the acceptance criteria which the Service Provider must ensure]*

## 3. Timetable

Commencement Date [complete only if different from the date of the Call-Off Contract]:

Call-Off Term:

## 4. The Authority account details

Relevant account code and cost centre:

## 5. The Authority's Call-Off Co-ordinator

Name:

Address:

Phone:

Fax:

Email:

## 6. Additional insurance (if any) to be held by Service Provider:

*[Delete as appropriate]*

- a) Employer's liability insurance to be increased to £[X] million per incident;
- b) Public liability insurance to be increased to £[X] million per occurrence with financial loss extension;
- c) Professional indemnity insurance to be increased to £[X] million in the aggregate per annum for the duration of the Call-Off Contract/ Agreement and for 6 years after expiry or termination of the Call-Off Contract/Agreement; and
- d) Product liability insurance to be increased to £[X] million in the aggregate per annum with financial loss extension.

## **Attachment 2**

### **Proposal**

*[To be completed by the Service Provider]*

#### **1. Proposed Solution**

The Service Provider should detail how it proposes to deliver the Services set out in Attachment 1, including (where requested) a Project Plan (this may be as simple as a plan that contains dates for acceptance testing and completion depending on the particular project), details of any equipment and materials required and service levels.

#### **2. Charges**

The Service Provider should set out the charges for the Services required, their provision and the contract model as set out in Attachment 1, taking into account that the rates used to calculate the Charges shall not exceed the Rates set out in Schedule 4 of this Agreement.

#### **3. Service Team and Personnel**

Details of the Service Provider's Manager, and Personnel, including grades and areas of responsibility. Please attach copies of CVs.

#### **4. Experience**

An outline of relevant past work or projects including references;

#### **5. Proposed sub-contractors (if any)**

Name and contact details of proposed sub-contractor(s) and details of any proposed sub-contracted work:

#### **6. Proposed completion date**

[Complete only if different from duration/expiry date stated in Attachment 1]:

#### **7. Insurance**

The Service Provider should confirm that additional insurance cover has/will be arranged according to the requirements (if any) set out in Attachment 1.

#### **8. Other Information**

**Attachment 3**

**Special Conditions**



under this Call-Off Contract. The Service Provider shall neither be entitled to any additional payment nor excused from any obligation or liability under this Call-Off Contract or this Agreement due to any misinterpretation or misunderstanding by the Service Provider of any fact relating to the Services to be provided. The Service Provider shall promptly bring to the attention of the Call-Off Co-ordinator any matter that is not adequately specified or defined in the Call-Off Contract or any other relevant document.

- 2.3 The timetable for any Services to be provided by the Service Provider and the corresponding Milestones (if any) and Project Plan (if any) are set out in Attachment 1. The Service Provider must provide the Services in respect of this Call-Off Contract in accordance with such timing and the Service Provider must pay liquidated damages in accordance with this Agreement of such an amount as may be specified in Attachment 1. The Service Provider shall be liable for the ongoing costs of providing Services in order to meet a Milestone.
- 2.4 The Service Provider acknowledges and agrees that as at the commencement date of this Call-Off Contract it does not have an interest in any matter where there is or is reasonably likely to be a conflict of interest with the Services provided to the Authority under this Call-Off Contract.

### **3. CALL-OFF TERM**

This Call-Off Contract commences on the date of this Call-Off Contract or such other date as may be specified in Attachment 1 and subject to Clause 4.2 of this Agreement, shall continue in force for the Call-Off Term stated in Attachment 1 unless terminated earlier in whole or in part in accordance with this Agreement.

### **4. CHARGES**

Attachment 2 specifies the Charges payable in respect of the Services provided under this Call-Off Contract. The Charges shall not increase during the duration of this Call-Off Contract unless varied in accordance with this Agreement. The Service Provider shall submit invoices in accordance with this Agreement and the Charges shall be paid in accordance with this Agreement.

### **5. CALL-OFF CO-ORDINATOR AND KEY PERSONNEL**

The Authority's Call-Off Co-ordinator in respect of this Call-Off Contract is named in Attachment 1 and the Service Provider's Key Personnel in respect of this Call-Off Contract are named in Attachment 2.

This Call-Off Contract has been signed by duly authorised representatives of each of the Parties.

**SIGNED**

For and on behalf of the *[Authority]*

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_



**SIGNED**

For and on behalf of *[the Service Provider]*

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## **Attachment 1**

[To be completed by the Authority]

### **1. Services to be provided**

### **2. Timetable**

Commencement date [complete only if different from the date of the Call-Off Contract]:

Call-Off Term:

Attach Project Plan (if any) (including Milestones if applicable)

### **3. Liquidated Damages**

Amount of liquidated damages per day (if any):

### **4. Expenses**

Expenses (if any) that the Service Provider may claim:

### **5. Authority Account Details**

Relevant account code and cost centre:

### **6. Authority Call-Off Co-ordinator**

Name:

Address:

Phone:

Fax:

Email:

### **7. Availability of Key Personnel**

The Service Provider's Key Personnel shall be available at the following period of notice:

### **8. Other information or conditions**

Specify any other information or special conditions relevant to provision of Services under this Call-Off Contract

## **Attachment 2**

[To be completed by the Service Provider]

### **1. Charges**

Charges to be specified on a time and materials or fixed fee basis. If time and materials fee, also specify maximum price for provision of the Services.

### **2. Key Personnel**

The Service Provider's Key Personnel (include grades and areas of responsibility):

### **3. Proposed sub-contractors (if any)**

Name and contact details of proposed sub-contractor(s) and details of any proposed sub-contracted work:

### **4. Proposed completion date**

**Attachment 3**

**Special Conditions for Call-Off**

**SCHEDULE 7 - FORM FOR VARIATION**

Agreement Parties: *[to be inserted]*

Call-Off Contract Number: *[to be inserted]*

Variation Number: *[to be inserted]*

Authority Contact Telephone *[to be inserted]*

Fax *[to be inserted]*

Date: *[to be inserted]*

**AUTHORITY FOR VARIATION TO AGREEMENT (AVC)**

Pursuant to Clause 32 of this Agreement, authority is given for the variation to the Services and the Charges as detailed below. The duplicate copy of this form must be signed by or on behalf of the Service Provider and returned to the Call-Off Co-ordinator as an acceptance by the Service Provider of the variation shown below.

<b>DETAILS OF VARIATION</b>	<b>AMOUNT (£)</b>
<b>ALLOWANCE TO THE AUTHORITY</b>	
<b>EXTRA COST TO THE AUTHORITY</b>	
<b>TOTAL</b>	

.....  
For the Authority

<b>ACCEPTANCE BY THE SERVICE PROVIDER</b>	
<b>Date</b>	<b>Signed</b>

**SCHEDULE 8 - AUTHORITY POLICIES AND STANDARDS – N/A**