

**SCHEDULE 2.1**  
**STATEMENT OF REQUIREMENTS**

**LOT 1**

### VERSION CONTROL

VERSION NUMBER	DATE	COMMENT
1.0	July 2021	Execution Version

## CONTENTS

1 PURPOSE

1

## **SCHEDULE 2.1 – LOT 1 STATEMENT OF REQUIREMENTS**

### **1. PURPOSE**

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

1.1.1 TPH-Appendix09-Information-Warnings Non-standard Licences and Conditions

1.1.2 TPH-Appendix12-Policy>Returns Refunds policy

1.1.3 TPH-Appendix13-Policy-Vehicle Licensing Business Rules

## APPENDIX 1 – LOT 1 STATEMENT OF REQUIREMENTS

- **Schedule 2.1 – Statement of Requirements**
- **Lot 1 Supplier**

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

## Contents

• .....	<a href="#">C</a>
<a href="#">Contents</a> .....	3
• .....	<a href="#">I</a>
<a href="#">Introduction</a> .....	7
• <a href="#">1 Part 1 - Service System Requirements</a> .....	8
<a href="#">1.1 General</a> .....	8
<a href="#">1.1.1 Roles and Permissions</a> .....	8
<a href="#">1.1.2 Online Portal</a> .....	10
<a href="#">1.1.3 Help &amp; Guidance</a> .....	12
<a href="#">1.1.4 Templates</a> .....	13
<a href="#">1.1.5 Incident Management</a> .....	14
<a href="#">1.1.6 Licence Checker</a> .....	15
<a href="#">1.1.7 System Configuration</a> .....	17
<a href="#">1.2 Communication Channels</a> .....	22
<a href="#">1.2.1 General</a> .....	22
<a href="#">1.2.2 Online Portal</a> .....	25
<a href="#">1.2.3 Telephone</a> .....	26
<a href="#">1.2.4 Email</a> .....	31
<a href="#">1.2.5 SMS</a> .....	35
<a href="#">1.3 Manage Application Forms</a> .....	35
<a href="#">1.4 Manage Licence</a> .....	39
<a href="#">1.5 Manage Alerts</a> .....	48
<a href="#">1.6 Manage Workflows</a> .....	51
<a href="#">1.7 Quality Control and Quality Assurance</a> .....	56
<a href="#">1.8 Create Customer Accounts</a> .....	59
<a href="#">1.9 View Customer Accounts</a> .....	65
<a href="#">1.10 Update Customer Accounts</a> .....	67
<a href="#">1.11 Review Customer Requests</a> .....	76
<a href="#">1.12 Close Customer Accounts</a> .....	82
<a href="#">1.13 Obtain Application Pack</a> .....	88
<a href="#">1.14 Complete Application (Online)</a> .....	90
<a href="#">1.15 Submit Application (Online)</a> .....	94
<a href="#">1.16 Submit Application (Post)</a> .....	98
<a href="#">1.17 Review Application</a> .....	99
<a href="#">1.18 Customer Assessment (General)</a> .....	108
<a href="#">1.19 Manage Customer Bookings</a> .....	111
<a href="#">1.20 Deliver Customer Assessments</a> .....	133
<a href="#">1.21 Renew Licence</a> .....	137

<a href="#">1.22</a>	<a href="#">Update / Replace Licences</a>	142
<a href="#">1.23</a>	<a href="#">Age Related Medicals and Medical Reviews</a>	150
<a href="#">1.24</a>	<a href="#">Vehicle Licensing</a>	154
<a href="#">1.24.1</a>	<a href="#">Performing Inspections</a>	154
<a href="#">1.24.2</a>	<a href="#">Performing Inspections with Handheld Devices</a>	170
<a href="#">1.25</a>	<a href="#">Operator Licensing</a>	172
<a href="#">1.25.1</a>	<a href="#">Submit Application</a>	174
<a href="#">1.25.2</a>	<a href="#">Review Application</a>	179
<a href="#">1.25.3</a>	<a href="#">Perform Inspection(s)</a>	180
<a href="#">1.25.4</a>	<a href="#">Issue Licence</a>	185
<a href="#">1.25.5</a>	<a href="#">Renew Licence</a>	187
<a href="#">1.25.6</a>	<a href="#">Licence Changes and Variations</a>	191
<a href="#">1.25.7</a>	<a href="#">User Permissions</a>	196
<a href="#">1.25.8</a>	<a href="#">Examples of an Operator Licence</a>	199
<a href="#">1.26</a>	<a href="#">Manage Operator Upload</a>	201
<a href="#">1.26.1</a>	<a href="#">Configure Operator Preferences</a>	202
<a href="#">1.26.2</a>	<a href="#">Upload Operator Data</a>	203
<a href="#">1.26.3</a>	<a href="#">Reminder Notifications</a>	208
<a href="#">1.26.4</a>	<a href="#">Upload Validation</a>	210
<a href="#">1.26.5</a>	<a href="#">Flagging Instances</a>	212
<a href="#">1.26.6</a>	<a href="#">View Operator Upload Data</a>	213
<a href="#">1.26.7</a>	<a href="#">Workflows</a>	215
<a href="#">1.26.8</a>	<a href="#">Audit Functionality</a>	216
<a href="#">1.27</a>	<a href="#">Accident Reporting</a>	216
<a href="#">1.28</a>	<a href="#">Enquiries and Complaints</a>	218
<a href="#">1.28.1</a>	<a href="#">Enquiries and Complaints</a>	220
<a href="#">1.28.2</a>	<a href="#">Information Requests</a>	224
<a href="#">1.29</a>	<a href="#">Obtain Intelligence</a>	225
<a href="#">1.30</a>	<a href="#">Manage Investigation</a>	226
<a href="#">1.31</a>	<a href="#">Make Licensing Decisions</a>	229
<a href="#">1.32</a>	<a href="#">Retrieve Licence</a>	235
<a href="#">1.33</a>	<a href="#">Manage Appeals</a>	237
<a href="#">1.33.1</a>	<a href="#">Create Appeal</a>	238
<a href="#">1.33.2</a>	<a href="#">Process/Update Appeal</a>	240
<a href="#">1.33.3</a>	<a href="#">Cost Recovery</a>	243
<a href="#">1.33.4</a>	<a href="#">Controls and Configuration</a>	244
<a href="#">1.34</a>	<a href="#">Surrender / Withdraw Licence</a>	246
<a href="#">1.34.1</a>	<a href="#">Surrender Licence</a>	246
<a href="#">1.34.2</a>	<a href="#">Request Licence Surrender</a>	247
<a href="#">1.34.3</a>	<a href="#">Process Licence Surrender</a>	247
<a href="#">1.35</a>	<a href="#">Manage Compliance Activity</a>	249
<a href="#">1.35.1</a>	<a href="#">Create/Update Compliance Activities</a>	250

1.35.2	<a href="#">Receive Compliance Updates</a>	256
1.35.3	<a href="#">View Compliance Information</a>	258
1.35.4	<a href="#">Configure Compliance Questionnaires</a>	259
1.35.5	<a href="#">Data Interface</a>	260
1.36	<a href="#">Payments</a>	260
1.36.1	<a href="#">Payment Processing - Illustrative Process and Infrastructure</a>	264
1.36.2	<a href="#">Configure Payments</a>	265
1.36.3	<a href="#">Make Payments</a>	269
1.36.4	<a href="#">Payment Controls</a>	275
1.36.5	<a href="#">Refunds</a>	279
1.36.6	<a href="#">Chargebacks</a>	283
1.36.7	<a href="#">Operational Requirements</a>	285
1.37	<a href="#">Financial Reconciliation</a>	288
1.38	<a href="#">Scanning</a>	292
1.38.1	<a href="#">Record Receipt</a>	293
1.38.2	<a href="#">Scan Documents</a>	293
1.38.3	<a href="#">Document Storage</a>	298
1.38.4	<a href="#">Take Payment</a>	299
1.38.5	<a href="#">Return Non-Scanned Items</a>	300
1.38.6	<a href="#">Return Originals</a>	301
1.38.7	<a href="#">Create Workflow</a>	301
1.38.8	<a href="#">Scanning Reconciliation</a>	302
1.38.9	<a href="#">Check and Send Service</a>	302
1.39	<a href="#">Printing</a>	303
1.39.1	<a href="#">Configure Print Materials</a>	304
1.39.2	<a href="#">Generate Print Request</a>	306
1.39.3	<a href="#">Provide Updates</a>	314
1.39.4	<a href="#">Brass Badge Printing</a>	315
1.40	<a href="#">Reporting</a>	316
1.40.1	<a href="#">General</a>	319
1.40.2	<a href="#">Data Capture</a>	323
1.40.3	<a href="#">Data Storage</a>	324
1.40.4	<a href="#">Data Processes</a>	326
1.40.5	<a href="#">Report Generation</a>	327
1.40.6	<a href="#">MIS Design</a>	332
1.40.7	<a href="#">Financial Reporting</a>	332
1.40.8	<a href="#">Service Management</a>	332
1.40.9	<a href="#">User Requirements</a>	333
1.40.10	<a href="#">Live Service System Reporting</a>	335
1.41	<a href="#">Non Functional</a>	338
1.41.1	<a href="#">Availability and Capacity</a>	338
1.41.2	<a href="#">Monitoring</a>	340

1.41.3	<a href="#">Security and Access</a>	341
1.41.4	<a href="#">Design and Usability</a>	343
1.41.5	<a href="#">Application Architecture</a>	345
1.41.6	<a href="#">Reporting</a>	348
1.41.7	<a href="#">Hosting</a>	352
1.41.8	<a href="#">Vehicle Inspection Mobile App</a>	352
•2	<a href="#">Part 2 - Operational Requirements</a>	354
2.1	<a href="#">General</a>	354
2.2	<a href="#">Audit</a>	359
2.3	<a href="#">Business Continuity</a>	362
2.4	<a href="#">Continuous Improvement</a>	364
2.5	<a href="#">Data Migration</a>	365
2.6	<a href="#">Data Security</a>	370
2.7	<a href="#">Documentation</a>	371
2.8	<a href="#">Incident Management</a>	371
2.9	<a href="#">Maintenance Support</a>	372
2.10	<a href="#">Organisation and Personnel</a>	373
2.11	<a href="#">System Performance</a>	377
2.12	<a href="#">Training</a>	379
2.13	<a href="#">Reporting</a>	380

## Introduction

### PURPOSE

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

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

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

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

### REQUIREMENTS STRUCTURE

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

- Certain requirements include a section of text, which provides some background about that portion of functionality or business area – where this is the case, this should be treated as text for information only.
- Each requirement has a rationale section within it – in a similar nature to the background text described above, this is to provide some additional context and is for information only.
- The Requirements refer to expected functionality required to be available to Authorised Users – it is expected that this functionality will be tailored to specific role profiles and access levels during the Design and Development Phase of the project, with support from the Lot 2 Supplier where necessary.

## Part 1 - Service System Requirements

### General

These are requirements which cut across multiple functionalities and capabilities and will be capable of being used across the various business processes.

### Roles and Permissions

The requirements in this section relate to the management of User Roles and User Permissions of Authorised Users. Requirements relating to Customer Account management are covered in other sections.

It is the intention of TfL that the Configuration of User Roles and User Permissions is performed by an Authorised User with administrator responsibility (both TfL and Supplier Personnel).

#### User Access Configuration

**Requirement ID:** TPHRL-REQ-4531

**Priority:** Must have

Description:	The Service System shall provide the capability to Configure Authorised User Roles and User Permissions according to but not limited to: <ul style="list-style-type: none"> <li>viewing Records, associated Documentation and other Data types (according to data security restrictions)</li> <li>Workflow functionality</li> <li>access to Service System environments</li> </ul>
Rationale:	N/A

#### Configure Authorised User Roles

**Requirement ID:** TPHRL-REQ-1983

**Priority:** Must have

Description:	The Service System shall enable an Authorised User with sufficient User Permissions to Configure Authorised User Roles. This shall include but is not limited to: <ul style="list-style-type: none"> <li>Customer roles (e.g. Driver role, Operator role etc.)</li> <li>Authorised User roles (e.g. Lot 2 Supplier Contact Centre Personnel roles etc.)</li> </ul>
Rationale:	N/A

#### Configure Individual Role Based Security Profiles

**Requirement ID:** TPHRL-REQ-3172

**Priority:** Must have

Description:	The Service System shall allow an Authorised User to Configure individual role based Security Profiles for Authorised Users.
Rationale:	N/A

#### Assign Individual Role Based Security Profiles

<b>Requirement ID:</b> TPHRL-REQ-3270		<b>Priority:</b> Must have
<b>Description:</b>	The Service System shall allow an Authorised User to assign individual role based Security Profiles to Authorised Users.	
<b>Rationale:</b>	N/A	

### Configure Group Based Security Profiles

<b>Requirement ID:</b> TPHRL-REQ-3171		<b>Priority:</b> Must have
<b>Description:</b>	<p>The Service System shall enable an Authorised User to Configure group based Security Profiles for Authorised Users.</p> <p>Groups may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• administrators</li> <li>• team leaders</li> <li>• licensing managers</li> <li>• heads of business</li> </ul>	
<b>Rationale:</b>	N/A	

### Assign Group Based Security Profiles

<b>Requirement ID:</b> TPHRL-REQ-3271		<b>Priority:</b> Must have
<b>Description:</b>	The Service System shall enable an Authorised User to assign group based Security Profiles to Authorised Users.	
<b>Rationale:</b>	N/A	

### Reflect Changes to User(s) Profile

<b>Requirement ID:</b> TPHRL-REQ-3174		<b>Priority:</b> Must have
<b>Description:</b>	The Service System shall ensure that any Security Profile updates and changes will be reflected to the Authorised User and group affected immediately after they have re-logged back into the Service System.	
<b>Rationale:</b>	N/A	

### Automatically Control User Access

<b>Requirement ID:</b> TPHRL-REQ-3272		<b>Priority:</b> Must have
<b>Description:</b>	<p>The Service System shall provide the capability to automatically control the User Access of Authorised Users. This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Automatically disabling an Authorised User's login and access rights when they are no longer classed as an Authorised User</li> <li>• Automatically re-enabling disabled logins if required</li> </ul>	
<b>Rationale:</b>	N/A	

### Manually Control User Access

**Requirement ID:** TPHRL-REQ-3196

**Priority:** Must have

Description:	<p>The Service System shall provide the capability for an Authorised User with sufficient User Permissions to manually control Authorised User Access. This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Disabling an Authorised User's login and access rights when they are no longer classed as an Authorised User</li> <li>• Re-enabling disabled logins as and when required</li> </ul>
Rationale:	N/A

### Reset Credentials

**Requirement ID:** TPHRL-REQ-3161

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to reset their User credentials using one or more verified details including but not limited to their email address.</p> <p>Reset of User credentials shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• reset password</li> <li>• forgotten username</li> </ul>
Rationale:	N/A

### Online Portal

#### Configure Content

**Requirement ID:** TPHRL-REQ-1988

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User(s) to Configure content on the Online Portal.</p> <p>This includes but is not limited to the ability to remove any Application Form questions, change the order of questions, help and guidance, add/remove web site links and URL's etc.</p>
Rationale:	N/A

### Documentation Upload Formats

**Requirement ID:** TPHRL-REQ-3277

**Priority:** Must have

**Description:** The Service System shall enable a Customer to upload certain Documentation formats to the Online Portal. This includes, but is not limited to:

- PDF
- JPEG
- Microsoft Word
- Bitmap

**Rationale:** It is worth noting that uploads of documentation will occur from various mobile devices. Therefore the expectation is that all relevant formats can be submitted.

### Online Portal Design

**Requirement ID:** TPHRL-REQ-3284

**Priority:** Must have

**Description:** The Service System shall provide the capability for the Online Portal's design to be customised in line with the TfL Digital Toolkit.

Online Portal's design may also need to be refreshed based on TfL Digital Toolkit changes.

Refer to TPH - Appendix 05 - Policy - New Media Guidelines.

**Rationale:** N/A

### Visibility of Uploaded Documentation

**Requirement ID:** TPHRL-REQ-3560

**Priority:** Must have

**Description:** The Service System shall provide the capability for a Customer to have visibility of Documentation that they have uploaded.

**Rationale:** This will help prevent any incorrect documentation being uploaded.

### Upload Single Pages and Multiple Documents

**Requirement ID:** TPHRL-REQ-3561

**Priority:** Must have

**Description:** The Service System shall provide the capability for a Customer to upload both single pages and multiple page Documents.

**Rationale:** N/A

### Display System Messages

**Requirement ID:** TPHRL-REQ-3714

**Priority:** Must have

**Description:** The Service System shall provide the capability to display automated messages (including but not limited to: error messages, help messages) to Customers and Authorised Users. Messages shall provide clear guidance as to what action is required to progress through the relevant Workflow steps.

**Rationale:** N/A

### Validate Document Upload

**Requirement ID:** TPHRL-REQ-4556

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically validate the format and contents of a Document uploaded by a Customer. Validation criteria shall be Configurable by an Authorised User, and may include but not be limited to: number of pages for a specific type of Document, correct format.

**Rationale:** N/A

### Categorise Document Uploads

**Requirement ID:** TPHRL-REQ-4557

**Priority:** Must have

**Description:** The Service System shall provide the capability to ensure that all Documentation uploaded by a Customer is categorised according to a pre-defined list of Document types.

**Rationale:** N/A

## Help & Guidance

### Configure Help and Guidance

**Requirement ID:** TPHRL-REQ-2837

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure help and guidance for Customers and TfL Personnel for various Communication Channels.

This includes the use of video clips as a means of guidance for the Customer and TfL Personnel.

**Rationale:** The purpose of the help and guidance is to aid Customers in using their Online Portal, for Authorised Users to understand internal processes and to assist Customers during a phone conversation.

### Publish Help and Guidance (Customer)

**Requirement ID:** TPHRL-REQ-2002

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to publish help and guidance to Customers viewing and performing actions on the Online Portal.</p> <p>The help and guidance text shall be displayed according to User experience requirements specified in TPHRL-REQ-1997.</p>
Rationale:	N/A

### Publish Help and Guidance (TfL Personnel)

**Requirement ID:** TPHRL-REQ-3168

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to publish help and guidance to TfL Personnel.</p> <p>The help and guidance text shall be displayed according to User experience requirements specified in the Non-Functional Requirements.</p>
Rationale:	N/A

## Templates

### Configure Communication Templates

**Requirement ID:** TPHRL-REQ-3180

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Communication Templates to support business activities, this includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Email</li> <li>• Post</li> <li>• Document templates (i.e. letters, reminders, notices etc.)</li> </ul>
Rationale:	N/A

### Configure Communication Templates (SMS)

**Requirement ID:** TPHRL-REQ-3557

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure SMS Communication Templates.</p>
Rationale:	N/A

### Standard Quality Package

**Requirement ID:** TPHRL-REQ-3225

**Priority:** Must have

**Description:** The Service System shall enable Authorised Users to Configure Communication Template characteristics which include but are not limited to:

- Font size and type
- Images
- Colour
- Style
- Branding
- Headers, footers

**Rationale:** N/A

### Version Control Functionality

**Requirement ID:** TPHRL-REQ-3280

**Priority:** Must have

**Description:** The Service System shall provide the capability to ensure that any changes to Communication Templates are recorded as part of version control.

An Authorised User is able to view the current version of a Communication Template as well as any previous versions as and when required.

**Rationale:** N/A

### Incident Management

#### Generate Incident Tickets

**Requirement ID:** TPHRL-REQ-3700

**Priority:** Must have

**Description:** The Service System shall generate Incident Tickets when the Performance and/or Availability of the Service System falls below predefined/agreed thresholds. All Incident Tickets shall be categorised and prioritised according to pre-defined incident management rules, and include supporting activity logs generated by the Service System.

**Rationale:** N/A

#### Incident Management Workflow

**Requirement ID:** TPHRL-REQ-3687

**Priority:** Must have

**Description:** The Service System shall provide the capability for Incident Tickets to be automatically assigned to the correct party responsible, according to Configured Workflow rules.

**Rationale:** N/A

## Manage Incidents

**Requirement ID:** TPHRL-REQ-3699

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall enable an Authorised User to manage Incident Tickets, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Update the status / details of the Incident</li> <li>• Change categorisation and/or severity</li> <li>• Attach supporting information</li> <li>• Transfer incident to another Authorised User</li> <li>• Close Incident</li> </ul>
<p><b>Rationale:</b></p>	<p>N/A</p>

### Licence Checker

TfL is obligated to provide the ability for members of the public and Operators to check the Licences of PHV Drivers, Vehicles and Operators. This is known as the Taxi Private Hire Licence Checker. This functionality is currently limited to PHVs but this may need to be extended to Taxis if the relevant business decision is made to allow this. TfL have no impending plans to take this decision but would like the opportunity to extend this without excessive effort.

The Service System is expected to allow for two types of Licence check:

- Check of individual Driver, Vehicle or Operator Licences based on a web form submission
- Check of multiple Driver, Vehicle or Operator Licences based on an upload of a list of Licensee details

This section of requirements describes the functionality expected from the Service System to enable these activities.

The current Licence Checker web page can be found at this address: <https://tph.tfl.gov.uk/TfL/lg2/TPHLicensing/pubregsearch/home.page?menuId=5>

Refer to TPH - Appendix - 30 - Licence Checker functional specification for more details on the current Licence Checker.

Refer to TPH - Schedule 6.5 - Systems Integration which contains the Interface Catalogue and more details about the interfaces behind these requirements.

### Configure Licence Checker Fields

**Requirement ID:** TPHRL-REQ-3713

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the Licence details displayed to a member of the public or Operator when using the Licence Checker service.</p> <p>An Authorised User shall be able to Configure items including but not limited to:</p> <ul style="list-style-type: none"> <li>• Search fields permitted</li> <li>• Fields and/or data/information to be shown in search results</li> <li>• Licensing decisions and their affect on the search results to be shown</li> <li>• Licence types that are searchable e.g. PHV Driver, Operator.</li> <li>• Upload file formats and values permitted (for checking multiple Licenses)</li> </ul>
Rationale:	N/A

### Check Individual Licence Status (Licence Checker)

**Requirement ID:** TPHRL-REQ-3709

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or member of the public to check the status of an individual Licence in real time via a web portal. Licences shall be searchable by Licence numbers and/or names of Licensees. For Operators of Private Hire Vehicles this includes the Operator name, Operating Centre, and any trading names.</p> <p>Checks on the Licence Checker web portal shall be able to be executed against the following types of Licence:</p> <ul style="list-style-type: none"> <li>• Private Hire Vehicle Driver Licence</li> <li>• Private Hire Vehicle Licence</li> <li>• Private Hire Vehicle Operator Licence</li> </ul>
Rationale:	N/A

### Check Multiple Licence Statuses (Licence Checker)

**Requirement ID:** TPHRL-REQ-3673

**Priority:** Must have

Description:	<p>The Service System shall enable a Nominated Representative of an Operator to check the status of multiple Licences in real time via their Online Portal.</p> <p>The checks shall be able to be performed by the Nominated Representative uploading a list of Licences to the Licence Checker which would then return the agreed status of each Licence. Currently only 'active' Licence Statuses are displayed on the Licence Checker.</p> <p>Uploads shall be restricted to permitted table schemas and file formats.</p> <p>Checks on the Licence Checker shall be able to be executed against the following types of Licence:</p> <ul style="list-style-type: none"> <li>• PHV Driver Licence</li> <li>• PHV Vehicle Licence</li> </ul>
Rationale:	N/A

### System Configuration

#### Configure System Functionality

**Requirement ID:** TPHRL-REQ\_CRT\_APP-1

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure prescribed system functionalities.</p> <p>This includes, but is not limited to parameters for the following functionalities:</p> <ul style="list-style-type: none"> <li>• Business Rules</li> <li>• Workflows</li> <li>• Forms</li> <li>• Progress tracker</li> <li>• Triggers for prescribed functionalities</li> <li>• Data fields</li> <li>• Payments</li> <li>• Fees structure</li> </ul>
Rationale:	N/A

### Data Quality

**Requirement ID:** TPHRL-REQ-2760

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to ensure Data quality is maintained at all points, from the point of capture through to report. This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Completeness – presence and absence of features, their attributes and relationships</li> <li>• Logical consistency – degree of adherence to logical rules of Data structure, attribution and relationships (Data structure can be conceptual, logical or physical)</li> </ul> <p>During the tender process the Supplier shall confirm what Data quality standards their Service System adheres to and have the ability to correct any incorrect/incomplete Data captured.</p>
Rationale:	N/A

### System Audit Functionality

**Requirement ID:** TPHRL-REQ-3179

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to perform a system wide Audit of actions undertaken by an Authorised User. This includes but is not limited to the following areas:</p> <ul style="list-style-type: none"> <li>• All Authorised User activity is monitored and logged</li> <li>• All Database additions, modifications, deletions are logged</li> <li>• All process activity is monitored and logged</li> <li>• All Documentation/emails/notes additions, modifications and deletions are logged</li> <li>• All Configuration and Service System parameter changes are logged</li> </ul> <p>Authorised Users shall be able to interrogate and view Service System Audit Logs and Data change tables.</p> <p>The Service System Audit Log shall be retained and available to view by an Authorised User.</p> <p>Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy.</p>
Rationale:	N/A

### Naming Convention for Documentation

**Requirement ID:** TPHRL-REQ-3275

**Priority:** Must have

**Description:** The Service System shall provide capability to ensure that the correct naming convention is used when Documentation is recorded against a Customer Account and or Licence Record. (e.g. Passport)

**Rationale:** N/A

### Search Functionality (Authorised User)

**Requirement ID:** TPHRL-REQ-3177

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to perform a search of all Data on the Service System from a list of key areas.

This shall include but is not limited to the following:

- Customer Account
- Individual/groups of Records
- Workflow Records

Refer to TPH - Appendix 03 - Information - Key Searchable Fields.

**Rationale:** Any search query should take results from the live system.

### Modification to Documentation

**Requirement ID:** TPHRL-REQ-3519

**Priority:** Must have

**Description:** The Service System shall provide the capability to prevent any modification to Documentation that has been issued.

**Rationale:** N/A

### Migrate Data

**Requirement ID:** TPHRL-REQ-2762

**Priority:** Must have

**Description:** The Service System shall provide the capability to complete a full migration of all Data from the Existing Service System.

The Supplier shall provide a response on how they will migrate Data from the Existing Service System to the Service System, what tools would be used to achieve this.

Scope of Data to be migrated to be agreed as part of the Design and Development Phase.

**Rationale:** N/A

### Configure Data Retention

**Requirement ID:** TPHRL-REQ-3691

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Data retention rules for all Customer Account and/or Licence Records (including Documentation), in accordance with Business Rules. This shall include but not be limited to: retention periods, Data types, edit ability, historic Data displayed etc.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p> <p>Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy.</p>
Rationale:	N/A

### Hide Data Prior to Deletion

**Requirement ID:** TPHRL-REQ-4590

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to hide Data from Users that is due to be deleted from the Service System for a Configurable period of time prior to permanent deletion, in accordance with TPH - Schedule 8.4 - Records. All hidden (archived) Data shall be recoverable within this time period by a TfL Authorised User with sufficient User Permissions of a Super User role.</p> <p>e.g. for a Record that has a retention period of 7 years, the Service System shall hide (archive) this Record from a Customer prior to deletion after 6 years, and will be deleted after a further year.</p> <p>All archiving and deletion shall be performed in accordance with the TfL Data Retention Policy.</p>
Rationale:	N/A

### Natural Language Querying

**Requirement ID:** TPHRL-REQ-2807

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to perform natural language querying in order to create, select and modify Data (i.e. human language rather than programming language).</p>
Rationale:	N/A

### Maintain Service System Environments

**Requirement ID:** TPHRL-REQ-3701

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to maintain Service System environments and ensure they are up to date with latest Service System releases, including:</p> <ul style="list-style-type: none"> <li>• Development</li> <li>• Test</li> <li>• Pre-production</li> <li>• Training production</li> <li>• Production</li> </ul> <p>Should any of the above environments not be required it shall be removed by agreement between TfL and the Supplier. TfL's expectation is to minimise the number of environments required for the purposes of cost efficiency.</p>
Rationale:	N/A

### Deploy System Changes

**Requirement ID:** TPHRL-REQ-3657

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to deploy system updates (changes, fixes, customisation and configuration) in automated way between Service System environments, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Development</li> <li>• Test</li> <li>• Pre-production</li> <li>• Training production</li> <li>• Production</li> </ul>
Rationale:	N/A

### Configure Error Messages

**Requirement ID:** TPHRL-REQ-3715

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure error messages.
Rationale:	N/A

### Configure Scheduled Jobs

**Requirement ID:** TPHRL-REQ-4539

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure Scheduled Jobs. Examples include: Reminders, print runs, scan imports etc.  Please refer to TPH- Appendix 11- Scheduled Jobs
Rationale:	N/A

### Communication Channels

These requirements describe and specify the Communication Channels that the Service System shall enable between Customers and Contact Centres, this includes the use of the Online Portal, emails, telephone calls, and letters. The functionality provided by these requirements is expected to be utilised by both the TfL and Lot 2 Supplier Contact Centre Personnel.

Note: there is a business need to use automated methods of communication as much as possible (e.g. use of Online Portal, webchat, bots etc.)

#### General

### Customer Correspondence

**Requirement ID:** TPHRL-REQ\_CCR-10

**Priority:** Must have

Description:	The Service System shall provide the capability to correspond with a Customer, including but not limited to the following Communication Channels: <ul style="list-style-type: none"> <li>• Online Portal</li> <li>• email</li> <li>• telephone</li> <li>• post</li> </ul>
Rationale:	N/A

### Customer Correspondence via a Mobile Application

**Requirement ID:** TPHRL-REQ\_CCR-37

**Priority:** Must have

Description:	The Service System shall provide the capability to correspond with a Customer via a mobile application (i.e. with push notifications).
Rationale:	N/A

### Customer Correspondence via SMS

**Requirement ID:** TPHRL-REQ\_CCR-43

**Priority:** Must have

**Description:** The Service System shall provide the capability to correspond with a Customer through SMS.

**Rationale:** N/A

### Link Correspondence to Customer Record

**Requirement ID:** TPHRL-REQ\_CCR-11

**Priority:** Must have

**Description:** The Service System shall provide the capability to link all Correspondence via any Communication Channel to a Customer Account and/or Licence Record. This includes but is not limited to:

- Online Portal
- email
- telephone
- post
- SMS

**Rationale:** N/A

### Query Correspondence History

**Requirement ID:** TPHRL-REQ\_CCR-5

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to run queries against all Correspondence history made against a Customer Account and/or Licence Record(s).

Authorised Users shall have the ability to search using full or partial values (i.e. wildcards) by including but not limited to the following criteria: dates, reasons for Correspondence, Document references, notes, Customer Account details (name, Customer Account number, address etc), Licence details, Vehicle registration details, etc.

Please refer to Search Functionality (Authorised User) requirement, [TPHRL-REQ-3177](#).

**Rationale:** N/A

### Issue Notifications

**Requirement ID:** TPHRL-REQ-3123

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to issue pre-determined notifications via a different Communication Channels regardless of a Customer's chosen Preferred Method of Communication Channel.</p> <p>This will happen only during certain circumstances. (e.g. issue a Licence in paper format regardless of Preferred Method of Communication)</p> <p>Refer to TPH - Appendix 04 - Information - Communication Channels.</p>
Rationale:	N/A

### Notifying Customer Simultaneously through Various Communication Channels

**Requirement ID:** TPHRL-REQ-3181

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to notify Customers simultaneously through more than one Communication Channel. (e.g. send Licence Materials by post and notify the Customer via email that they have been sent)</p>
Rationale:	N/A

### Issue Bulk Communications

**Requirement ID:** TPHRL-REQ-3226

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to issue bulk Correspondence to the following groups and not limited to:</p> <ul style="list-style-type: none"> <li>• Licence holders only for each Licence Type</li> <li>• Applicants only for each Licence Type</li> <li>• Vehicle Licence holders based on age, make/model, fuel type and Exemption holders</li> <li>• Licence holders based on Licence Status</li> <li>• Licence holders based on Exemptions</li> </ul> <p>Any Correspondence issued should be recorded on the relevant Customer Account and/or Licence Record, and be issued in accordance with the Customer's recorded Preferred Method of Communication and marketing preferences.</p> <p>Refer to TPH - Appendix 04 - Information - Communication Channels</p>
Rationale:	N/A

### Configure Marketing Preferences

**Requirement ID:** TPHRL-REQ\_CCR-35

**Priority:** Must have

Description:	The Service System shall provide the capability for a Customer to Configure their marketing preferences that was recorded as part of their Customer Account creation.
Rationale:	A Customer may wish to alter their marketing preferences after their initial account setup.

### Record Communications according to Marketing Preferences

**Requirement ID:** TPHRL-REQ\_CCR-31

**Priority:** Must have

Description:	The Service System shall provide the capability to record a Customer's chosen marketing preferences.
Rationale:	A Customer should always be able to opt out of marketing communications.

### Record Communication Channels used to Send/Receive Communications

**Requirement ID:** TPHRL-REQ\_CCR-33

**Priority:** Must have

Description:	The Service System shall provide the capability to record the Communication Channels used to send/receive Correspondence to Customers along with the date/time sent.
Rationale:	N/A

### Redact Customer Details

**Requirement ID:** TPHRL-REQ\_PYM-118

**Priority:** Must have

Description:	The Service System shall provide the capability for an Authorised User to digitally redact Customer details on uploaded Application Forms, including but not limited to: Payment Details (e.g. postal applications - Payment Details shall always be redacted)
Rationale:	Not all users should have sight of specific information.

## Online Portal

### Customer Webchat

**Requirement ID:** TPHRL-REQ-1989

**Priority:** Must have

Description:	The Service System shall enable a Customer to communicate in real-time with an Authorised User while performing tasks via the Online Portal (e.g. completing an Application for a Driver Licence, creating a Customer Account etc.)  This could be achieved through a webchat service or something similar.
Rationale:	N/A

### Send Chat Transcript to Customer

**Requirement ID:** TPHRL-REQ\_CCR-32

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to send the transcript of a chat to a Customer if required.
Rationale:	N/A

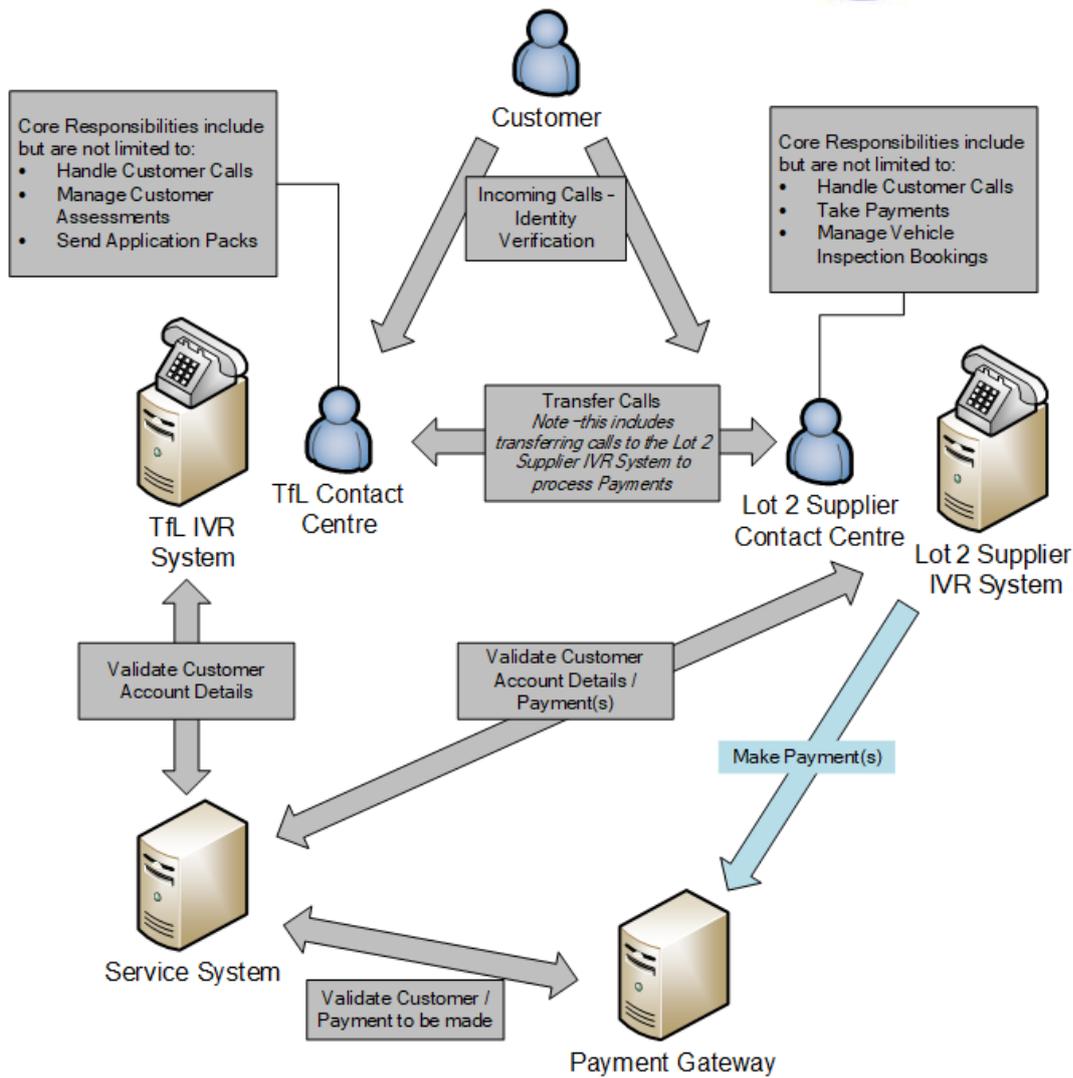
### Telephone

The Service System is expected to be interoperable with multiple IVR Systems, this shall include but not be limited to the IVR System provided by the Lot 2 Supplier to operate the Lot 2 Supplier Contact Centre and the Lot 2 Supplier IVR System.

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

Note: The TfL Contact Centre shall continue to utilise its existing IVR Service System and equipment, the Supplier and Lot 2 Supplier shall be expected to integrate with this existing infrastructure. Therefore, the requirements listed in this section apply to the Service System being able to integrate with both the Lot 2 Supplier IVR System, and the TfL Contact Centre IVR System.

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



### IVR Interoperability

**Requirement ID:** TPHRL-REQ\_CCR-47

**Priority:** Must have

**Description:** The Service System shall be interoperable with multiple IVR Systems, this shall include but not be limited to the Lot 2 Supplier IVR System and the TfL IVR System.

**Rationale:** N/A

### Customer Identity Verification for Incoming Calls

**Requirement ID:** TPHRL-REQ-4823

**Priority:** Must have

**Description:** The Service System shall provide the capability to interface with the TfL IVR System and the Lot 2 Supplier IVR System in order to enable Customer identity verification for incoming calls and any call back features against details held in the Service System.

**Rationale:**

### Enable Call Transfers

**Requirement ID:** TPHRL-REQ-4822

**Priority:** Must have

**Description:** The Service System shall interface with the Lot 2 IVR System and TfL IVR System to enable call transfers to be performed in such a way that all existing correspondence and interaction information is passed over to the new recipient so that the Customer does not have to provide the same information again.

**Rationale:**

### Enable Automated Payments

**Requirement ID:** TPHRL-REQ-4824

**Priority:** Must have

**Description:** The Service System shall provide the capability to interface with the Lot 2 Supplier IVR System and Payment Gateway to allow Customers to make automated Payments over the phone.

**Rationale:**

### Configure Call Guidance Text

**Requirement ID:** TPHRL-REQ\_CCR-1

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure call guidance text, including but not limited to:

- Title
- Content
- Creator
- Any queries applicable

**Rationale:** N/A

### Configure Security Questions

**Requirement ID:** TPHRL-REQ\_CCR-38

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure security questions in accordance with Data Protection Laws.

**Rationale:** N/A

### Validate Caller Identity (Manual)

**Requirement ID:** TPHRL-REQ\_CCR-9

**Priority:** Must have

**Description:** The Service System shall provide the capability to prompt an Authorised User to ask security questions prior to discussing information pertaining to a Customer Account and/or Licence Record, subject to Business Rules.

Refer to TPH - Business Rules 01 - Supplier Contact Centre  
Refer to TPH - Business Rules 02 - TfL Contact Centre

**Rationale:** N/A

### Record Customer Interaction

**Requirement ID:** TPHRL-REQ\_CCA-25

**Priority:** Must have

**Description:** The Service System shall provide the capability to record any Customer interaction related to a phone call, including but not limited to notes, processes and documents, against a Customer Account or Licence Record.

**Rationale:** The Service System shall automatically recognise a Customer Account so that all details captured can be recorded against it or a corresponding Licence Record.

### View Call Text

**Requirement ID:** TPHRL-REQ\_CCR-18

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to search for and view details of a call that has been translated into text.

**Rationale:** N/A

### Search Call Texts

**Requirement ID:** TPHRL-REQ\_CCR-39

**Priority:** Must have

**Description:** The Service System shall provide the capability to perform searches against call texts.

**Rationale:** N/A

### Carry out Speech Analysis

**Requirement ID:** TPHRL-REQ\_CCR-22

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to carry out speech analysis of historical and on-going calls.</p> <p>The Service System shall provide the capability to analyse and report on Customer interactions using speech analytics including but not limited to:</p> <ul style="list-style-type: none"> <li>• Report on call reasons</li> <li>• Measure Lot 2 Supplier Contact Centre and TfL Contact Centre quality assessments.</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

### Innovative and Automated Telephony

**Requirement ID:** TPHRL-REQ-4588

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable innovative and automated methods of handling telephony activities.</p> <p>This may include, but is not limited to, the ability to:</p> <ul style="list-style-type: none"> <li>• Receive and resolve calls through technological and innovative means available, e.g. the use of automated technology/machine learning to process calls and Payments</li> <li>• Identify key phrases within a call interaction</li> <li>• Speech analytics</li> <li>• Ability to route calls or provide guidance based on recognised phrases in a call</li> </ul>
<p>Rationale:</p>	<p>TfL would like to automate Customer interactions to the greatest extent possible to improve the customer experience and minimise the costs of human interactions. Therefore TfL would invite the Supplier to present a proposition of how the Service System shall include innovative and automated methods of handling telephony activities.</p>

## Email

### Configure Official Email Addresses

**Requirement ID:** TPHRL-REQ\_CCR-25

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure official email addresses, in order to communicate with Customers.</p> <p>Note - for the Existing Service System a TfL domain is currently configured on the email servers of the Existing Supplier, which would be an option to migrate across to the Lot 1 Supplier Service System as part of the transition between the Suppliers.</p>
Rationale:	TfL may wish to create multiple email addresses to correspond with a Customer dependent on the purpose of the email. e.g. any email requested for medical information may be sent from a TfL medical account.

### Send Emails

**Requirement ID:** TPHRL-REQ\_CCR-12

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to send email correspondence including the ability to select a template response from Configured templates, including tailoring the template content prior to sending, or writing a free text response.</p> <p>Any emails sent will need to be linked to the corresponding Customer Account and or Licence Record.</p>
Rationale:	N/A

### Receive Emails

**Requirement ID:** TPHRL-REQ\_CCA-30

**Priority:** Must have

Description:	<p>The Service System shall provide capability to receive inbound emails.</p> <p>Any emails received will need to be linked to the corresponding Customer Account and or Licence Record.</p>
Rationale:	N/A

### Allocate Emails to Customer Account/Licence Record

**Requirement ID:** TPHRL-REQ\_CCA-26

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to allocate an inbound email to a Customer Account and/or Licence Record.
Rationale:	N/A

### Allocate Inbound Emails to Teams

**Requirement ID:** TPHRL-REQ\_CCA-31

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to allocate inbound emails to appropriate internal teams and/or people.

**Rationale:** N/A

### Automatic Email Allocation

**Requirement ID:** TPHRL-REQ\_CCR-6

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically allocate an inbound email including but not limited to:

- Allocating to a Customer Account based on the sender email address
- Allocating to a team for processing based on Configured criteria e.g. email subject, contents etc.

**Rationale:** Any email received will automatically trigger an action to ensure that an Authorised User reviews the correspondence received to determine if further action is required.

### Send Automated Email Responses

**Requirement ID:** TPHRL-REQ\_CCA-32

**Priority:** Must have

**Description:** The Service System shall provide the capability to send automated acknowledgement email responses for all inbound emails.

**Rationale:** N/A

### Configure Automated Email Responses

**Requirement ID:** TPHRL-REQ\_CCR-7

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure automated responses to inbound emails, including but not limited to:

- Contents
- Subject
- Conditions of sending based on inbound email type
- Contents

**Rationale:** N/A

### Outbound Email References

**Requirement ID:** TPHRL-REQ\_CCR-13

**Priority:** Must have

**Description:** The Service System shall provide the capability to ensure that all outbound email correspondences include references to the Customer Account and/or Licence Record as applicable.

**Rationale:** N/A

### Identify Multiple Emails

**Requirement ID:** TPHRL-REQ-3166

**Priority:** Must have

**Description:** The Service System shall allow the capability for an Authorised User to identify multiple emails received from a Customer and then perform a single action for them. This includes but is not limited to:

- Link all received emails to the relevant Customer Account and/or Licence Record(s);
- Send one acknowledgement to the Customer for all emails received - delete all emails if deemed necessary
- (Re)assign all or some emails to an existing Workflow
- Initiate a new Workflow based on receipt of the emails

**Rationale:** N/A

### Incoming/Outgoing Email Content and Attachments

**Requirement ID:** TPHRL-REQ-3167

**Priority:** Must have

**Description:** The Service System shall automatically save any content and attachments from any incoming and outgoing emails to a corresponding Customer Account and or Licence Record.

Any incoming/outgoing emails will have the following mandatory Customer information, including but not limited to:

- Licence number
- Full name
- Subject title

The Service System shall allow an Authorised User to extract any attachments and link these to a corresponding Customer Account and or Licence Record. The attachments may need to be renamed as an alternative document. (e.g. Customer sends email with a medical attachment and we require the ability to extract the medical information)

**Rationale:** N/A

### Automatically Archive Emails

**Requirement ID:** TPHRL-REQ\_CCR-27

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically archive emails, subject to Business Rules.</p> <p>Refer to TPH - Business Rules 01 - Supplier Contact Centre  Refer to TPH - Business Rules 02 - TfL Contact Centre  Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy</p>
Rationale:	N/A

### Manually Archive Emails

**Requirement ID:** TPHRL-REQ\_CCR-28

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually archive emails, subject to Business Rules.</p> <p>Refer to TPH - Business Rules 01 - Supplier Contact Centre  Refer to TPH - Business Rules 02 - TfL Contact Centre  Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy.</p>
Rationale:	N/A

### Manually Delete Emails

**Requirement ID:** TPHRL-REQ\_CCR-29

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually delete emails, subject to Business Rules and User Permissions. (e.g. Spam)</p> <p>Refer to TPH - Business Rules 01 - Supplier Contact Centre  Refer to TPH - Business Rules 02 - TfL Contact Centre</p>
Rationale:	Emails will be deleted in specific instances.

### Automatically Filter Spam Emails

**Requirement ID:** TPHRL-REQ\_CCR-30

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically filter spam emails.
Rationale:	N/A

## SMS

### Communication via Short Messaging Service (SMS)

**Requirement ID:** TPHRL-REQ-2006

**Priority:** Must have

Description:	The Service System shall provide the capability to send notifications to a Customer using SMS if a mobile phone number is recorded on their Customer Account <b><u>AND</u></b> SMS is the Customer's Preferred Method of Communication.  Refer to TPH - Appendix 04 - Information - Communication Channels.
Rationale:	N/A

## Manage Application Forms

Forms are used by Customers when interacting with TfL across various business processes.

They are available on the Online Portal as well as in print (as hard-copies). A Customer is able to provide information relevant to the request/process step they are engaging in. TfL shall be able to view the contents of an Application Form, validate the contents (automatically as well as manually) and take a decision on the request/process step based on the information contained in the Application Form.

An Authorised User shall be able to create, define, edit and modify Forms.

### Background:

There are various types of Application Form that a Customer can submit, according to the Licence that they would like to obtain.

Dependent on the Licence Type, the Service System shall enable TfL to Configure different questions within an Application, evidence to upload, Customer Assessment and/or Vehicle Inspections required to be completed, internal review Workflow steps, and notifications. Configuration shall be expected to be done on a regular basis by Authorised Users at no additional cost to TfL.

These types of Application Forms include but are not limited to:

### Taxi Licences (for both new Applications and Renewal Applications)

- Taxi Driver
- Taxi Vehicle

### Private Hire Licences

- PHV Driver
- Private Hire Vehicle Operator
- Private Hire Vehicle

**Driver Applications:**

Driver Applications involve the completion of a number of different elements based on individual circumstances, these include but are not limited to:

- Licence Application
- Grant of Licence
- DBS disclosure application
- Medical Assessment
- Knowledge of London appearance (Taxi)
- DSA Hackney Carriage driving test (Taxi)
- English Language Assessment (PHV)
- Topographical Assessment (PHV)

For example of the Configuration required, currently an Application for a Taxi Driver Licence involves two distinct Application phases to accommodate the complexity of the Assessment process, also known as 'The Knowledge'. Refer to TPH - Appendix 18 - Business Function Summary - Introduction to Knowledge of London, for more details.

**Vehicle Licence Applications:**

Applications for a Vehicle Licence involve the Booking of a Vehicle Inspection, this is required for both Taxi and Private Hire Vehicles. Depending on the Vehicle type and/or Licensee history, the Vehicle Inspection shall be customised by an Authorised User according to Business Rules.

**Operator Licence Applications:**

Applications for Operator Licences may involve multiple Forms being completed by different individuals based on the PHV/101 Application Form submitted. The full Application may therefore include:

- A covering letter with details about the Application process
- A PHV/101 Application Form;
- One or more PHV/103 Personal Declaration Forms (one for each individual associated with the Application); and
- One or more PHV/108 Operating Centre Information Forms (one for every Operating Centre)

<b>Create Application Form</b>	
<b>Requirement ID:</b> TPHRL-REQ_ODL-1	<b>Priority:</b> Must have
<b>Description:</b>	The Service System shall enable an Authorised User to create Forms for each Application journey that a Customer can undertake.  This includes but is not limited to an Application Form for a new Licence or a Renewal, via the Online Portal or postal Communication Channel.
<b>Rationale:</b>	N/A

### Create Equal Opportunity Form

**Requirement ID:** TPHRL-REQ\_ODL-24

**Priority:** Must have

Description:	<p>The Service System shall provide the capability for an Equal Opportunity Form to be made available for the Customer to populate as part of an Application for a Licence.</p> <p>The Equal Opportunity Form should be made available for reporting purposes.</p> <p>The Equal Opportunity Data submitted by the Customer should not be made visible to an Authorised User who does not have sufficient User Permissions.</p>
Rationale:	N/A

### Edit Application Form

**Requirement ID:** TPHRL-REQ\_ODL-2

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to edit and/or Configure the content of Forms, including but not limited to fields, information tags from Record, questions, logic, barcode, and QR code labels.</p>
Rationale:	N/A

### Configure Form Structure and Logic

**Requirement ID:** TPHRL-REQ\_ODL-12

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to specify the structure and logic of the questions and sections in a Form. This includes but is not limited to the order of questions, the logical display of questions based on previous Customer answers, etc.</p>
Rationale:	N/A

### Configure Application Form Guidance

**Requirement ID:** TPHRL-REQ\_CRT\_APP-5

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the Application Form guidance displayed to a Customer, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Hints and tips displayed on the Online Portal</li> <li>• Notes shown on a physical Application Form</li> </ul>
Rationale:	N/A

### Configure Progress Tracker

**Requirement ID:** TPHRL-REQ\_CRT\_APP-2

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the features and parameters of an Application progress tracker shown on the Online Portal, such as add and amend stages and descriptions.

**Rationale:** N/A

### Specify Mandatory Requirements

**Requirement ID:** TPHRL-REQ\_ODL-4

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to create and specify a set of mandatory questions necessary for a Form to be submitted by a Customer.

**Rationale:** N/A

### Edit Mandatory Requirements

**Requirement ID:** TPHRL-REQ\_ODL-5

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to edit/update the categorisation of mandatory requirements within a Form.

**Rationale:** N/A

### Set Form Validity Period

**Requirement ID:** TPHRL-REQ\_ODL-21

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to set and Configure the validity period for a Form.

**Rationale:** N/A

### Display Form

**Requirement ID:** TPHRL-REQ\_ODL-23

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to make a Form(s) available to a Customer, in order for the Customer to be able to complete an Application or a Request to TfL.</p> <p>A Form shall be capable of being displayed on the Online Portal as well as available as a postal pack to the Customer, subject to Business Rules.</p> <p>The Service System shall ensure consistency of the Form details across all relevant Communication Channels i.e. a postal Application Pack shall contain the same Data requirements as an Form submitted on the Online Portal.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data.</p>
Rationale:	N/A

### Remove Form

**Requirement ID:** TPHRL-REQ\_ODL-22

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to remove a Form or Forms, and restrict them from being accessible to Customers.
Rationale:	N/A

## Manage Licence

When processing an Application for a Licence (e.g. new, Renewal or Variation), a decision can be made to grant a Licence to the Customer. The granting of the Licence would need to be captured within the Service System with relevant information being recorded about the grant of the Licence, such as the Licence Start Date and Licence Expiry Date.

There are currently 3 different types of Licence that can be granted, those being for Drivers, Operators and Vehicles. There are however then further sub-categories of those Licences, such as Private Hire Vehicle and Taxi. These further sub-categories can affect the type of Licence that is granted, aiding the Print Supplier in ensuring that the correct Licence is granted to the Customer but also dictating when any subsequent actions are required to be taken by the Service System in respect of the Licence.

A Licence can be granted for the normal Licence validity periods (as below), currently referred to as a 'Standard' Licence.

- A Vehicle Licence is valid for a maximum period of 1 year
- A Driver Licence is valid for a maximum period of 3 years
- An Operator Licence is valid for a maximum period of 5 years

A Driver Licence or Operator Licence can also be granted for a shorter term, currently referred to as a 'Non Standard' Licence. This type of Licence, depending on the type of 'Non Standard' Licence being granted, may be extendable up to the maximum Licence validity period or is not extendable and so would need to be treated in the same way as if a 'Standard' Licence was granted. Depending on the type of 'Non Standard' Licence being granted, the Service System will need to recognise these and ensure relevant action is taken at appropriate future times.

Any Licence granted may also need to be supported with Conditions, Warnings and/or Exemptions (and/or Modifications if it's a Vehicle Licence).

In addition, a Licence that has already been granted by TfL may need to be re-issued at some point during the term of that Licence. This could be due to the Licence having been lost or stolen or there being a change of circumstances that requires a further Licence to be issued, e.g. change of name or address, change of owner or VRM.

The Service System will need to allow the functionality to grant a Licence to occur and recognise the different types of Licence that can be granted. The Service System will also need to allow the functionality to re-issue a Licence that has already been granted to occur and recognise the different types of Licence that can be issued.

### Configure Licences

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-4

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure different categories of Licence, for example:</p> <ul style="list-style-type: none"> <li>• PHV Driver</li> <li>• Taxi Driver</li> <li>• Operator</li> <li>• Vehicle</li> </ul> <p>There are then further sub-categories of Licence that can be granted or issued:</p> <ul style="list-style-type: none"> <li>• Standard Licence</li> <li>• Non-Standard Licence (extendable)</li> <li>• Non-Standard Licence (non-extendable)</li> </ul> <p>For an Operator Licence, currently there are different sizes (Licence Tiers) of Licence that can be granted, for example, but these may be subject to change:</p> <ul style="list-style-type: none"> <li>• Tier 0-10</li> <li>• Tier 11-20</li> <li>• Tier 21-50</li> <li>• Tier 51-100</li> <li>• Tier 101-500</li> <li>• Tier 501-1,000</li> <li>• Tier 1,001-10,000</li> <li>• Tier 10,000+</li> </ul>
Rationale:	N/A

### Future Flexibility of Licences

**Requirement ID:** TPHRL-REQ-4587

**Priority:** Must have

Description:	<p>The Supplier shall design the Service System to allow TfL to add new Licence activities for Customers of alternative modes of transport in the future (e.g. pedicabs, autonomous Vehicles, electric scooters, passenger drones etc.).</p> <p>There is likely to be different Licence structures, categories, validity periods and Conditions for Drivers, Operators and Vehicles in the future and as a result an Authorised User should be easily able to Configure parameters within the Service System for Customers with alternative modes of transportation.</p>
Rationale:	N/A

### Configure Licence Validity Periods (Standard)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-3

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the validity periods for the different Licence types being granted:</p> <ul style="list-style-type: none"> <li>• A Vehicle Licence is valid for a maximum period of 1 year</li> <li>• A Driver Licence is valid for a maximum period of 3 years</li> <li>• An Operator Licence is valid for a maximum period of 5 years</li> </ul> <p>The validity periods shall be Configurable and maintained on an ongoing basis by an Authorised User.</p>
Rationale:	N/A

### Calculate Licence Validity Period (Standard)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-14

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically calculate and set the validity period for a Licence being granted, recognising the type of Licence being granted.</p>
Rationale:	N/A

### Licence Version Control (Renewal/Issue Numbers)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-15

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to automatically record and update the version of a Licence being granted or issued, subject to Business Rules.</p> <p>This is done by setting the Renewal Number and Issue Number for a Licence being granted or issued. The Service System shall need to recognise where a Licence is being granted following a decision having been made following an Application having been submitted or an existing Licence being issued due to a change of circumstances/details for the Customer (e.g. a Licence being lost by the Customer) and set the Renewal Number and/or Issue Number accordingly.</p> <p>For example:</p> <p>When a new Driver Licence is granted, a Licence Number will be generated of 12345. As it is the first Licence being granted to the Customer, the Renewal Number is set as “01” and the Issue Number is set as “01”.</p> <p>If a Customer was to request a replacement of that Licence, when a further Licence is issued, the Renewal Number would remain as “01”, but the Issue Number would need to be set as “02”.</p> <p>When the Customer submits an application to Renew their Licence and a further Licence is granted, the Licence Number will remain unchanged, i.e. 12345. As it is the second Licence being granted to the Customer, the Renewal Number is set as “02” and the Issue Number will be reset as “01”.</p> <p>Refer to TPH - Business Rules 13 - Post Licencing.</p>
<p>Rationale:</p>	<p>N/A</p>

### Grant or Issue a Licence Type

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-16

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to grant or issue a Licence to occur and recognise the different types of Licence that can be granted or issued.</p> <p>A Licence could be granted with Conditions, Warnings and/or Exemptions (and/or Modifications if it's a Vehicle Licence).</p> <p>Refer to TPH - Appendix 13 - Policy - Vehicle Licensing Business Rules.</p>
<p>Rationale:</p>	<p>N/A</p>

### Issue Concurrent Licence (where applicable)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-17

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall provide the capability to grant a Licence concurrently, where applicable, subject to Business Rules. The Service System will need to recognise the different types of Licence that can be granted. For example:</p> <p>A Licence has already been granted following the assessment of a new Application for a Licence. The Licence Start Date for the Licence already granted is 01/04/2019 and the Licence Expiry Date is 31/03/2020. The Customer then submits an Application to Renew their Licence in February 2020 and following the assessment of that Application, a decision is made to grant a Licence on 01/03/2020. As the Licence is being Renewed, the next Licence to be granted needs to run concurrently to the existing Licence. Therefore, when the further Licence is granted on 01/03/2020, the Service System will need to set the Licence Start Date of the Licence being granted to be 01/04/2020, recognise the validity period of the Licence being granted (i.e. a Driver Licence) and set the Licence Expiry Date of the Licence being granted to 31/03/2023.</p> <p>A Licence could be granted with Conditions, Warnings and/or Exemptions (and/or Modifications if it's a Vehicle Licence).</p> <p>Refer to TPH - Business Rules 13 - Post Licencing</p> <p>Refer to TPH - Appendix 13 - Policy - Vehicle Licensing Business Rules</p>
<p><b>Rationale:</b></p>	<p>N/A</p>

### Recognise Non Standard Licence

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-18

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall provide the capability to recognise the different types of 'Non Standard' Licence that can be granted or issued and ensure that the relevant action is taken at the required time.</p> <p>A Licence could be granted with Conditions, Warnings and/or Exemptions (and/or Modifications if it's a Vehicle Licence).</p> <p>Refer to TPH - Appendix 09 - Information - Warnings Non - Standard Licences and Conditions Annexure</p> <p>Refer to TPH - Appendix 09 - Information - Warnings Non - Standard Licences and Conditions</p>
<p><b>Rationale:</b></p>	<p>N/A</p>

### Extend Non Standard Licence (where applicable)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-19

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to allow a 'Non Standard' Licence to be extended, where applicable, subject to Business Rules.</p> <p>A Licence could be issued with Conditions, Warnings and/or Exemptions (and/or Modifications if it's a Vehicle Licence).</p> <p>Refer to TPH - Business Rules 13 - Post Licensing</p>
<p>Rationale:</p>	<p>An extendable Non Standard Licence may need to be extended on multiple occasions, but only up to the maximum term of the Licence. For example: where a Driver's leave to remain in the UK is restricted to a certain date, the Licence can only be granted up to that date. They may then get an extension to their leave status and so a further Licence needs to be issued (extended).</p>

### Prevent Grant Beyond Maximum Licence Validity Period (Standard)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-20

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to not allow a Standard Licence to be granted for a period beyond the maximum Validity Period of that Licence Type.</p>
<p>Rationale:</p>	<p>N/A</p>

### Prevent Extension (Issue) beyond Maximum Licence Validity Period (Non Standard)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-21

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall not allow a 'Non Standard' Licence, where applicable, to be extended (issued) beyond the maximum validity period of that Licence Type.</p>
<p>Rationale:</p>	<p>N/A</p>

### Configure Conditions

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-13

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to Configure a list of Conditions that can be placed on any Licence Type.</p> <p>Refer to TPH - Appendix 13 - Policy - Vehicle Licensing Business Rules.</p>
<p>Rationale:</p>	<p>N/A</p>

### Configure Warnings

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-22

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure a list of Warnings that can be placed on any Licence Type.</p> <p>Refer to TPH - Appendix 13 - Policy - Vehicle Licensing Business Rules.</p>
Rationale:	N/A

### Configure Licence Validity Period (Non-Standard Licence)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-6

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the Validity Period for certain Licence types, subject to Business Rules.</p> <p>The Service System shall automatically calculate the Validity Period of a Non-Standard Licence based on the information inputted from the Licence Application. (e.g. a Licence must be set to match the end date of a Customer's permit to stay in the UK, it must also recognise the Expiry Dates of an existing Licence and set the Start Dates and Expiry Dates of the Licence to ensure that it is concurrent).</p> <p>Refer to TPH - Business Rules 13 - Post Licensing Refer to TPH - Appendix 09 - Information - Warnings Non - Standard Licences and Conditions Annexure Refer to TPH - Appendix 09 - Information - Warnings Non - Standard Licences and Conditions</p>
Rationale:	N/A

### Configure Licence Statuses (Authorised User)

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-5

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure a list of Licence Statuses that a Licence can hold, subject to Business Rules. This includes but not limited to:</p> <ul style="list-style-type: none"> <li>• Active</li> <li>• Revoked</li> <li>• Suspended</li> <li>• Expired</li> <li>• Surrendered</li> </ul> <p>Refer to TPH – Business Rules 13 – Post Licensing</p>
--------------	---

Rationale:	The expectation is that the Service System will automatically update the status of a Licence at key points, such as the granting of the Licence or Expiry, Revocation or Suspension of the Licence. This is an illustrative list only.
------------	--

### Configure Modifications (Vehicles)

<b>Requirement ID:</b> TPHRL-REQ_MNG_LIC-23		<b>Priority:</b> Must have
Description:	The Service System shall enable an Authorised User to Configure a list of Modifications that can be placed on a Vehicle Licence. This is just for Vehicle Licences.	
Rationale:	N/A	

### Licence Status Updates (Automatic)

<b>Requirement ID:</b> TPHRL-REQ_MNG_LIC-25		<b>Priority:</b> Must have
Description:	The Service System shall provide the capability to automatically update the Licence Status of a Licence at key points, subject to Business Rules.  Refer to TPH - Business Rules 13 - Post Licensing	
Rationale:	N/A	

### Licence Status Updates (Authorised User)

<b>Requirement ID:</b> TPHRL-REQ_MNG_LIC-26		<b>Priority:</b> Must have
Description:	The Service System shall enable an Authorised User to update the Licence Status of a Licence, subject to Business Rules.  Refer to TPH - Business Rules 13 - Post Licensing	
Rationale:	N/A	

### Perform Bulk Licence Updates

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-27

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to bulk update the Licence Status of multiple Licences simultaneously, subject to Business Rules.</p> <p>Scenarios where this may be required include but are not limited to: writing off Applications for Licences that have had no valid Fee Payments made against them, bulk Suspensions following a manufacturer recall.</p> <p>An Authorised User should be able to select multiple Licences and perform a bulk action across all of them.</p> <p>Refer to TPH - Business Rules 04 - New Driver and Renewals, and TPH - Business Rules 12 - Payments and Refunds.</p>
Rationale:	N/A

### Perform Bulk Administrative Actions

**Requirement ID:** TPHRL-REQ\_MNG\_LIC-28

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to perform bulk administrative actions across multiple items.</p> <p>Examples of bulk actions include but are not limited to:</p> <ul style="list-style-type: none"> <li>• re-categorisation of documentation (e.g. MOT certificate, V5c, Application Forms)</li> <li>• Payment reversals</li> </ul>
Rationale:	N/A

## Manage Alerts

TfL requires the ability to create and manage user defined as well as pre-defined Alerts throughout the business process.

Alerts are electronic flags against Customer Accounts and/or Licence Records that signify that there is an issue that must be resolved. Alerts that shall be automatically triggered based on pre-defined criteria or thresholds that are satisfied or exceeded.

Examples of Alerts include but are not limited to:

- An Accident has been reported against a Vehicle Licence Record that prompted a Vehicle Inspection, however the Vehicle Inspection was not attended by the Customer
- A Driver Licence has expired with a Renewal Application pending completion
- An Operator has an outstanding weekly upload pending on their Customer Account

Alerts are on-screen notifications that are intended to be displayed to Authorised Users to support them in processing or dealing with a Customer interaction. Alerts shall also be reportable within the Service System or using the Management Information System.

These requirements define the scope of functionality necessary to support creation and management of Alerts.

<b>Configure Alerts</b>	
<b>Requirement ID:</b> TPHRL-REQ-3205	<b>Priority:</b> Must have
<b>Description:</b>	<p>The Service System shall enable an Authorised User to Configure pre-defined Alerts that can be assigned automatically or manually against a Customer Account and/or Licence Record.</p> <p>Configurable Alert criteria include but are limited to:</p> <ul style="list-style-type: none"> <li>• Alert name</li> <li>• Alert description</li> <li>• Dimensions and metrics to monitor against which the Alert shall be applied</li> <li>• Conditions in which the Alert shall be triggered</li> <li>• Notification/output parameters</li> </ul> <p>Examples of pre-defined Alerts include but are not limited to:</p> <ul style="list-style-type: none"> <li>• MOT outside expected parameters (for Vehicles)</li> <li>• Outstanding Payments</li> <li>• Missing Documents (against an Application or Request)</li> <li>• Lack of response against a request for more information</li> <li>• Readings outside tolerance thresholds (e.g. odometer readings compared to previous year(s))</li> <li>• Unfit Notices issued</li> <li>• Manufacturer recalls</li> </ul>
<b>Rationale:</b>	N/A

<b>Add Alert</b>	
<b>Requirement ID:</b> TPHRL-REQ-3207	<b>Priority:</b> Must have
<b>Description:</b>	<p>The Service System shall enable an Authorised User to manually add a bespoke Alert to a Customer Account and/or Licence Record. The Authorised User shall be able to select from a pre-defined list of Alerts or create a bespoke Alert, and add free text details specific to the issue.</p> <p>All Alerts shall be able to be shared with the Compliance Policing On-Street (CPOS) function via a data interface to the CPOS System.</p>
<b>Rationale:</b>	N/A

### Disable Alerts

**Requirement ID:** TPHRL-REQ-3619

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to manually disable one or more Alerts against a Customer Account and/or Licence Record.

**Rationale:** N/A

### Trigger Alerts

**Requirement ID:** TPHRL-REQ-3210

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically trigger Alerts against a Customer Account and/or Licence Record when defined thresholds have been reached or criteria have been satisfied, subject to Business Rules.

Examples of criteria that may trigger an automated Alert include but are not limited to:

- An outstanding Compliance Activity has been created
- Lack of response to a request for more information

Refer to TPH - Business Rules 13 - Post Licensing

**Rationale:** N/A

### View Alerts

**Requirement ID:** TPHRL-REQ-2129

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view all active and historic Alerts relating to a Customer Account and/or Licence Record, including but not limited to: Alert type, Alert details, start and end dates, free text comments against Alerts etc.

**Rationale:** N/A

## Manage Workflows

### Configure Workflows & Checklists

**Requirement ID:** TPHRL-REQ\_RVW-5

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Workflows with checklists, in order to ensure reviews are done in a standardised manner.</p> <p>These Workflows can be automated based on triggered events such as specific document types being received and indexed against the applicable Record or through a pre-set Scheduled Job that initiates the Workflow and checklist review based on date triggers.</p>
Rationale:	N/A

### Assign Workflow to Teams

**Requirement ID:** TPHRL-REQ\_RVW-7

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically assign a Workflow from one team to another (e.g. Medical Assessment, Topographical Assessment etc.), based on defined business processes.</p> <p>Any documents linked to a Record shall be capable of being viewed within the Workflow.</p>
Rationale:	N/A

### Re-assign Workflow

**Requirement ID:** TPHRL-REQ\_RVW-30

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to re-assign a Workflow to a different team.</p>
Rationale:	N/A

### Add to Workflow

**Requirement ID:** TPHRL-REQ\_RVW-20

**Priority:** Must have

Description:	<p>The Service System shall have capability to automatically add, and allow an Authorised User to manually add an Application and other Documentation/Forms to a Workflow, in order for it to be assigned for review.</p>
Rationale:	N/A

### Trigger Workflow

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-12

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically trigger a Workflow to internal teams and Third Parties (if applicable).</p> <p>Automated triggers shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• Configured Workflow stages</li> <li>• Priority levels</li> <li>• Activity expiry dates</li> <li>• Customer activity performed</li> </ul> <p>This shall include but is not limited to review of an Application from a Customer, notifications of a Customer's eligibility for an Assessment, details and outcome of an Assessment etc.</p> <p>Refer to TPH - Appendix 11 - Scheduled Jobs</p>
Rationale:	N/A

### Configure Workflow Stages and Questions

**Requirement ID:** TPHRL-REQ\_ODL-20

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Workflow stages and questions.</p> <p>This shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• internal Workflow within TfL teams</li> <li>• external Workflow via data interfaces e.g. CPOS, DBS</li> </ul>
Rationale:	N/A

### Configure Workflow Document Upload Stages

**Requirement ID:** TPHRL-REQ\_CRT\_APP-8

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the stages where documentary evidence is expected/required, in support of a Licence Application.</p> <p>These shall follow guided design principles e.g. provide an upload function next to the relevant set of questions.</p>
Rationale:	N/A

### Workflow Status Changes

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-1

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically enable Workflow status changes to occur, based on defined Business Rules.</p> <p>The Service System shall provide the capability to record all status changes applied to a Workflow.</p>
Rationale:	N/A

### View Interaction History

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-2

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view a history of all interactions recorded against a Workflow.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### View Progression of Workflow

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-3

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view the progression of a Workflow item, from creation to resolution.</p> <p>Refer to TPH - Appendix 22 - Business Process Diagram - Workflow</p>
Rationale:	N/A

### Perform Spell Check

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-4

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to perform spell checks within a Workflow as well as the ability to copy and paste texts within and into a Workflow.</p>
Rationale:	N/A

### View and Configure Workflow Notes

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-5

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view and Configure Workflow notes.</p> <p>The Service System shall be able to restrict any Workflow notes from being made available or displayed to the Customer (e.g. via the Online Portal).</p> <p>Refer to TPH - Appendix 22 - Business Process Diagram - Workflow</p>
Rationale:	N/A

### Configure Workflow Process Types

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-6

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Workflow process types in order to differentiate between work items.</p> <p>These process types, as well as other Workflow details, shall be capable of being reported against.</p>
Rationale:	N/A

### Automate Workflow

**Requirement ID:** TPHRL-REQ-3178

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automate the Workflow functionality.</p> <p>The Service System shall enable an Authorised User to Configure various areas within the Service System without manual intervention including but not limited to automatic update of fields.</p>
Rationale:	N/A

### Configure Workflow Priority Levels

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-7

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Workflow priority levels including but not limited to defining the rules where priority levels are automatically applied to Workflow tasks.</p>
Rationale:	N/A

### Automatically Assign Workflow Priority Level

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-8

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically assign priority levels to Workflows based on pre-defined Configured rules.

**Rationale:** N/A

### Manually Assign Workflow Priority Levels

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-9

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to manually assign priority levels to Workflows.

**Rationale:** N/A

### Configure Drip Feed Settings

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-10

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure Workflow drip feed settings, including but not limited to:

- Work tray capacity levels
- Priority levels
- Workflow item type
- Age of items
- Exceptions
- Turning off drip feeding

**Rationale:** N/A

### Automatically Drip Feed Workflows

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-11

**Priority:** Must have

**Description:** The Service System shall automatically drip feed Workflows based on Configured Workflow settings.

Drip feeding refers to sending work items to Authorised Users based on pre-set volumes over time according to Business Rules. e.g. a new work item is sent once a work tray has capacity or where an item has been set to a high priority status.

**Rationale:** N/A

### Configure Individual Workflow

**Requirement ID:** TPHRL-TPHRL\_SET\_MRW-12

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure different Workflows for an individual. (e.g. when on leave, delegating tasks etc.)
Rationale:	N/A

## Quality Control and Quality Assurance

TfL intends to operate a number of Quality Control and Quality Assurance measures to ensure that its operations are running accurately and efficiently.

Quality Control refers to reviewing a random sample (based on defined criteria) of open Licensing activities or processes, e.g. review of an Application, before final decisions have been made.

Quality Assurance refers to reviewing a random sample (based on defined criteria) of completed licensing activities or processes.

Quality Control and Assurance tasks shall be defined as part of the Design and Development Phase, and shall be according to the Business Rules set out by TfL.

### Configure Quality Control and Quality Assurance Checks

**Requirement ID:** TPHRL-REQ-3186

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Quality Control and Quality Assurance checks that are required to be carried out. This shall include, but is not limited to the ability to be able to:</p> <ul style="list-style-type: none"> <li>• Perform a percentage check of any transactions (e.g. Applications assessed, Assessments completed, Vehicle Inspections performed)</li> <li>• Review any, or a sample of, documentation produced that is to be issued to a Customer</li> <li>• Review any, or a sample of, decisions/letters that have been issued but are still to be quality checked</li> <li>• Review any, or a sample of, decisions made by TfL Personnel (e.g. the issuing of a Licence; the revocation of a Licence; an Assessment being deemed to pass or fail)</li> <li>• Review any, or a sample of, transactions or Workflow completed by TfL Personnel</li> <li>• Review content of telephone interaction recorded with a Customer</li> </ul>
Rationale:	N/A

### Configure Quality Control and Quality Assurance Workflows

**Requirement ID:** TPHRL-REQ-3187

**Priority:** Must have

**Description:** The Service System shall provide the capability for Quality Control and Quality Assurance checks to be Configured into Workflows, including but not limited to Applications and Assessments.

This shall include the ability to Configure the route for any proposed Workflow based on the outcome of any quality check completed.

**Rationale:** N/A

### Configure Sample Sizes

**Requirement ID:** TPHRL-REQ-3184

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure Quality Control and Quality Assurance sample sizes based on the business process area being assessed by the checks.

**Rationale:** N/A

### Configure Quality Thresholds

**Requirement ID:** TPHRL-REQ-3183

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure acceptable thresholds for Quality Control and Quality Assurance checks.

Quality thresholds may be Configured against the following items, including but not limited to: documents, processes, decisions, individuals.

**Rationale:** N/A

### Trigger Quality Control and Assurance Checks

**Requirement ID:** TPHRL-REQ-3632

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically trigger Quality Control and Quality Assurance Workflow tasks based on pre-defined thresholds, random population sampling, and quality check configuration. The tasks shall be assigned to an applicable Authorised User for review.

The Quality Control checks shall temporarily be triggered prior to the completion of a business process, e.g. review of the outcome of an Application, before the final outcome is communicated to a Customer.

**Rationale:** N/A

### Perform Quality Control and Assurance Checks

**Requirement ID:** TPHRL-REQ-3185

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to perform Quality Control and Quality Assurance checks based on automated Workflows assigned to them, including but not limited to the assessment of Applications and Assessments, before the final outcome is made (e.g. before the final decision or exam mark is allocated).
Rationale:	N/A

### Link Quality Control and Assurance Checks to Customer Account/Licence Record

**Requirement ID:** TPHRL-REQ-3615

**Priority:** Must have

Description:	The Service System shall provide the capability to link any Quality Control and Quality Assurance checks undertaken to the relevant Customer Account and/or Licence Record(s).
Rationale:	N/A

### Record Quality Control and Assurance Outcomes

**Requirement ID:** TPHRL-REQ-3616

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record the outcomes of Quality Control and Quality Assurance checks.</p> <p>The outcomes shall be recorded against the relevant Customer Account and/or Licence Record.</p> <p>Information to be recorded shall include but may not be limited to:</p> <ul style="list-style-type: none"> <li>• Date/time of check</li> <li>• Identity of assessor</li> <li>• Quality measure</li> <li>• Errors identified</li> <li>• Amendments required</li> </ul>
Rationale:	N/A

### Trigger Rectification Workflow

**Requirement ID:** TPHRL-REQ-3633

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically trigger a Workflow to an applicable Authorised User to process the outcome of a Quality Control and Quality Assurance check that results in a change to the original action or Licence Decision.
Rationale:	The process should be passed back to the originator of the activity to rectify the error for training purposes.

## Create Customer Accounts

In order to complete any licencing Customer journey with TfL, a Customer is required to have a Customer Account.

A Customer Account is a unique account (entity) to capture and maintain details of a Customer as well as their interactions with TfL. The Account is created with contact details of the Customer (known as the contract record) and has a unique reference number (known as the Customer Record). The Customer Account can be created by the Customer using the Online Portal. Alternatively, it can be created by an Authorised User on behalf of the Customer,

A Customer (who is either a Driver (Taxi or PHV), a Vehicle Licensee, and/or an Operator) shall have a single Customer Account.

A Customer Account can be created via:

- Self service i.e. Online Portal
- Other Communication Channels, including but not limited to telephone, post etc.

An Authorised User can create a Customer Account on behalf of a Customer. When creating an Account via this Communication Channel, a Customer interaction record is also created with associated metadata (e.g. date and timestamp, agent ID etc.). In addition, a link can be created to an existing Licence Record to new Customer Account record. Opportunities exist to reduce number of calls by promoting online journeys as well as Live chat capabilities (subject to cost).

### Register for a Customer Account

**Requirement ID:** TPHRL-REQ\_CCA-6

**Priority:** Must have

Description:	The Service System shall enable a Customer to register for a Customer Account, via the Online Portal or telephone call, in order to be able to engage TfL on licencing services including self service activities.
Rationale:	N/A

### Capture Customer Details (Online)

**Requirement ID:** TPHRL-REQ\_CCA-7

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to enter Customer Details via the Online Portal in support of their request to register for a Customer Account.</p> <p>Details include but are not limited to: name, address, contact details, security question answers, Preferred Method of Communication (PMOC).</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Input Customer Details (Authorised User)

**Requirement ID:** TPHRL-REQ\_CCA-79

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to input Customer Details to the Service System (received via phone or postal Application) in support of their request to register for a Customer Account.</p> <p>Details include but are not limited to: name, address, contact details, security question answers, Preferred Method of Communication (PMOC).</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Search for Postcode

**Requirement ID:** TPHRL-REQ\_CCA-9

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or an Authorised User to search an address using a postcode provided, while entering the address details as part of creating a Customer Account.</p>
Rationale:	N/A

### Input Address Manually (Customer)

**Requirement ID:** TPHRL-REQ\_CCA-80

**Priority:** Must have

Description:	<p>The Service System shall enable the Customer to be able to manually enter address details (subject to Data Requirements rules) in the event that no address is found via the postcode finder.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	<p>Needed in the event of a failure of a postcode search to ensure Customer details can be entered.</p>

### Input Address Manually (Authorised User)

**Requirement ID:** TPHRL-REQ\_CCA-81

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to be able to manually enter a Customer's address details (subject to Data requirements rules) in the event that no address is found via the postcode finder.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	<p>Needed in the event of a failure of a postcode search to ensure Customer details can be entered.</p>

### Default Preferred Method of Communication

**Requirement ID:** TPHRL-REQ\_CCA-12

**Priority:** Must have

**Description:** The Service System shall default the Customer's Preferred Method of Communication as email unless the Customer requests a different value.

**Rationale:** N/A

### Process Preferred Method of Communication

**Requirement ID:** TPHRL-REQ\_CCA-78

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically store the Customer's Preferred Method of Communication against the appropriate Customer Account.

The Service System shall be capable of identifying the Preferred Method of Communication stored and engaging with the Customer using this Communication Channel.

**Rationale:** N/A

### Display Help and Guidance

**Requirement ID:** TPHRL-REQ\_CCA-13

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically display help and guidance to Customers completing an action on the Online Portal.

**Rationale:** N/A

### Validate Customer Details

**Requirement ID:** TPHRL-REQ\_CCA-14

**Priority:** Must have

**Description:** The Service System shall provide the ability to automatically validate the data provided by the Customer in support of their Customer Account creation or update request (e.g. field format checks), and not allow the Customer Account creation or update to progress further until validation rules are complied with.

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### Configure Validation Rules

**Requirement ID:** TPHRL-REQ-4589

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the Validation Rules over the Customer Details provided by the Customer in support of their Customer Account creation or update Request (e.g. field format checks).

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### Verify Email Address Ownership

**Requirement ID:** TPHRL-REQ\_CCA-86

**Priority:** Must have

**Description:** The Service System shall provide the capability for a Customer to verify their ownership of the email address specified against the Customer Account.

**Rationale:** N/A

### Perform Security Checks

**Requirement ID:** TPHRL-REQ\_CCA-16

**Priority:** Must have

**Description:** The Service System shall provide the ability to apply security checks, prior to the Customer Account being created (e.g. CAPTCHA checks)

**Rationale:** N/A

### View Terms and Conditions

**Requirement ID:** TPHRL-REQ\_CCA-17

**Priority:** Must have

**Description:** The Service System shall enable a Customer to view the applicable Terms and Conditions for registering a Customer Account with TfL.

**Rationale:** N/A

### Respond to Terms and Conditions

**Requirement ID:** TPHRL-REQ\_CCA-18

**Priority:** Must have

**Description:** The Service System shall enable a Customer to accept the applicable Terms and Conditions prior to registering for a Customer Account with TfL.

The Customer shall be unable to proceed with a Customer Account creation without accepting the Terms and Conditions.

**Rationale:** N/A

### Store Customer Details

**Requirement ID:** TPHRL-REQ\_CCA-3

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to store all Customer details provided securely for a Customer Account creation only when the creation has progressed past validation and duplication checks, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 03 – Customer Account.</p>
Rationale:	N/A

### Display On-screen Messages

**Requirement ID:** TPHRL-REQ\_CCA-19

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to display on-screen success and error messages to a Customer and/or an Authorised User performing an action using the Service System.</p>
Rationale:	N/A

### Perform Duplication Checks

**Requirement ID:** TPHRL-REQ\_CCA-2

**Priority:** Must have

Description:	<p>The Service System shall provide the ability to automatically validate if a Customer Account exists using one or more details submitted by the Customer, preventing duplicate records being created. Rules must be configurable and editable throughout lifetime of the Service System.</p> <p>Refer to TPH - Business Rules 03 - Customer Account.</p>
Rationale:	N/A

### Create Customer Account

**Requirement ID:** TPHRL-REQ\_CCA-4

**Priority:** Must have

Description:	<p>The Service System shall provide capability to automatically create a Customer Account for a new Customer once all Validation Rules checks have been passed.</p> <p>Validation Rule checks and subsequent Customer Account creation are subject to Business Rules.</p> <p>Refer to TPH – Business Rules 03 – Customer Account.</p>
Rationale:	N/A

### Display Customer Account Status

**Requirement ID:** TPHRL-REQ\_CCA-89

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to display a Customer Account status based on a predefined list of states that the Customer Account can be in (e.g. active, inactive, closed...etc).</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Manage Customer Account Statuses

**Requirement ID:** TPHRL-REQ\_CCA-90

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record, monitor and modify the statuses of a Customer Account (e.g. active, inactive, closed etc.), subject to Business Rules.</p> <p>The Service System shall provide the capability to automatically assign a status to a Customer Account based on defined Business Rules.</p> <p>Refer to TPH - Business Rules 03 - Customer Account</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Assign Unique Identifier

**Requirement ID:** TPHRL-REQ\_CCA-5

**Priority:** Must have

Description:	<p>The Service System shall provide capability to automatically assign a Unique Identifier to every Customer Account created.</p> <p>Unique Identifiers must be allocated sequentially.</p>
Rationale:	N/A

### Access to Customer Account

**Requirement ID:** TPHRL-REQ\_CCA-21

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to access their Customer Account via the Online Portal, using authenticated log in details once the Customer Account has been successfully created.</p>
Rationale:	N/A

### Send Link to Activate Customer Account Online

**Requirement ID:** TPHRL-REQ\_CCA-29

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to send a link to the Customer's email address (provided one is given) in order to activate their Customer Account online, if the Customer requests/creates a Customer Account via the TfL Contact Centre.
Rationale:	N/A

### Send Notification of Customer Account Creation

**Requirement ID:** TPHRL-REQ\_CCA-88

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to send a notification to the Customer via their Preferred Method of Communication, in order to confirm the creation of the Customer Account.</p> <p>The notification shall contain details including but not limited to: the Customer Account Number and the functionality accessible via the Customer Account (all Communication Channels), the Customer username and how to view and access their Customer Account (Online Portal only).</p> <p>The notification shall be based on Configurable templates. The details of the templates, including but not limited to font type, font size, branding etc., shall be agreed with TfL.</p>
Rationale:	N/A

## View Customer Accounts

A Customer and/or an Authorised User shall be able to view the details of a Customer Account, subject to User Permissions.

### Log in (Customer)

**Requirement ID:** TPHRL-REQ-1986

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to log in to their Customer Account, using validated login and security details.</p> <p>A Customer shall not be able to access a Customer Account via the Online Portal without the successful authentication of their user details.</p>
Rationale:	N/A

### Log in (Authorised User)

**Requirement ID:** TPHRL-REQ-1987

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to access the Service System using authenticated login details.

**Rationale:** N/A

### Search for Customer Account and Associated Records (Authorised User)

**Requirement ID:** TPHRL-REQ\_VW\_CA-1

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to search for a Customer Account(s) and/or Licence Record(s), subject to User Permissions.

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### Search Using Wildcards

**Requirement ID:** TPHRL-REQ\_VW\_CA-8

**Priority:** Must have

**Description:** The Service System shall provide the capability for an Authorised User to perform searches of Customer Accounts, Licence Records and any other Records using wildcards (e.g. Criteria: Name - John Smi\*).

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### Display Search Results

**Requirement ID:** TPHRL-REQ\_VW\_CA-2

**Priority:** Must have

**Description:** The Service System shall provide the capability to display search results, based on search parameters provided.

If there are more than one result per search, the Service System shall provide the capability for the Authorised User to sort the returned results in ascending or descending order, by the fields specified in the search.

**Rationale:** N/A

### View Customer Account (Authorised User)

**Requirement ID:** TPHRL-REQ\_VW\_CA-3

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view the details of a Customer Account including the Record(s) that are associated with the Customer Account, subject to User Permissions.

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### View Customer Account (Customer View)

**Requirement ID:** TPHRL-REQ\_VW\_CA-4

**Priority:** Must have

**Description:** The Service System shall enable a Customer to view all the details of their Customer Account, including associated Licence Record(s), subject to Customer and Licence data restrictions.

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### View Correspondence

**Requirement ID:** TPHRL-REQ\_VW\_CA-6

**Priority:** Must have

**Description:** The Service System shall enable a Customer or Authorised User to view selected items of Correspondence related to their Customer Account and/or Licence Record.

These include but are not limited to: scanned Documents saved against a Customer Account and/or record, emails, and messages initiated (inbound and outbound) within the Online Portal.

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

## Update Customer Accounts

Updates can be made to existing Customer Account details. They can be performed by either the Customer themselves through the self-serve Online Portal, or by TfL upon a suitable instruction via a Communication Channel other than via the Online Portal. This is also subject to Business Rules as some fields cannot be updated directly by the Customer themselves. This is due to the potential impact on data quality, impact on other data items (e.g. Licence details) and the need to manage and protect master data items e.g. Customer name, address.

Alternatively, a Customer could submit a Request (either via the Online Portal, or through any of the other Communication Channels such as email, telephone) to update one or more of their saved details.

In some instances a Customer could be required to provide supporting information to support their Request for a Customer Account update.

#### View Account Details

**Requirement ID:** TPHRL-REQ\_CCA-37

**Priority:** Must have

**Description:** The Service System shall enable a Customer to view details recorded on their Customer Account.

**Rationale:** N/A

#### Editable Fields

**Requirement ID:** TPHRL-REQ\_CCA-38

**Priority:** Must have

**Description:** The Service System shall enable a Customer to edit and amend specified fields on their Customer Account subject to Business Rules, e.g. A Customer shall be able to edit and update recorded telephone number(s) recorded against a Customer Account.

Refer to TPH – Business Rules 03 – Customer Account

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### Non-Editable fields

**Requirement ID:** TPHRL-REQ\_CCA-39

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to restrict a Customer from making changes or editing specified fields within a Customer Account, subject to Business Rules.</p> <p>E.g. a Customer shall be unable to update a Customer name field, date of birth field, address fields in the Customer Account.</p> <p>Refer to TPH – Business Rules 03 – Customer Account Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	<p>This is due to the sensitive and data impact of any potential changes to these fields. e.g. a change in address at Customer Account level may require a change to linked Licence Records.</p> <p>Updates to these types of fields in the Customer Account will require a review to assess impacted data records and any follow-on actions.</p> <p>In addition, certain changes (e.g. name change) require supporting evidence in order to be processed.</p>

### Request Edit to Customer Account Details (Online)

**Requirement ID:** TPHRL-REQ\_CCA-43

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to Request an update of their Customer Account details (e.g. name, address etc.) via their Online Portal. Requests must be submitted with supporting Documentation as required, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
Rationale:	N/A

### Request Edit to Customer Account Details (Contact Centre)

**Requirement ID:** TPHRL-REQ\_UCA-2

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to Request an update of their Customer Account details (e.g. name, address etc.) via the Lot 2 Supplier Contact Centre or the TfL Contact Centre. This includes but is not limited to the following Communication Channels - telephone, email, post. Requests must be submitted with supporting Documentation as required, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 01 – Supplier Contact Centre Refer to TPH – Business Rules 02 – TfL Contact Centre Account</p>
Rationale:	N/A

### Request Password Reset

**Requirement ID:** TPHRL-REQ\_UCA-6

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to request a password reset of their Customer Account password, subject to Business Rules.</p> <p>A password reset can be requested via the relevant Communication Channels, subject to Business Rules, including but not limited to the Online Portal, telephone call to either the TfL Contact Centre or the Lot 2 Supplier Contact Centre.</p> <p>Refer to TPH – Business Rules 01 – Supplier Contact Centre Refer to TPH – Business Rules 02 – TfL Contact Centre Account</p>
Rationale:	N/A

### Request Password Reminder

**Requirement ID:** TPHRL-REQ\_UCA-7

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to request a reminder of their Customer Account password, subject to Business Rules.</p> <p>The Service System shall provide the capability to automatically remind the Customer of their password securely via their registered email address.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
Rationale:	N/A

### Reset Security Question Answers

**Requirement ID:** TPHRL-REQ\_CCA-82

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to reset Customer security question answers.

**Rationale:** N/A

### Request Security Question Reset

**Requirement ID:** TPHRL-REQ\_CCA-83

**Priority:** Must have

**Description:** The Service System shall enable a Customer to request a reset of their security questions and/or answers.

Refer to TPH – Business Rules 03 – Customer Account

**Rationale:** N/A

### Configure Security Questions

**Requirement ID:** TPHRL-REQ\_CCA-84

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure a predefined list of security questions.

**Rationale:** N/A

### Track Status of Request

**Requirement ID:** TPHRL-REQ\_CCA-42

**Priority:** Must have

**Description:** The Service System shall enable a Customer to track and view the status of all Requests initiated on their Online Portal.

**Rationale:** N/A

### Recording Customer Request Actions (All Channels)

**Requirement ID:** TPHRL-REQ\_UCA-3

**Priority:** Must have

**Description:** The Service System shall have the capability to record all Customer and Authorised User actions in relation to requests to update Customer Accounts, initiated via all Communication Channels (online, email and/or post).

**Rationale:** N/A

### Upload Customer Request (Post)

**Requirement ID:** TPHRL-REQ\_UCA-1

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to scan Customer requests received by post (Documents etc.) and attach them to a Customer Account and/or request.

**Rationale:** N/A

### Upload Customer Request (Email)

**Requirement ID:** TPHRL-REQ\_CCA-45

**Priority:** Must have

**Description:** The Service System shall provide capability to upload inbound email (containing request to update to a Customer Account item) to the corresponding Customer Account.

**Rationale:** N/A

### Reset Customer Account Password

**Requirement ID:** TPHRL-REQ\_UCA-5

**Priority:** Must have

**Description:** The Service System shall provide the capability to reset a Customer Account password, following a request from the Customer.

The Service System shall provide the capability to inform the Customer of the password reset securely via their registered email address.

All changes to a Customer Account shall be auditable and evidenced in an Audit Log.

**Rationale:** N/A

### Notify Customer of Request Outcome

**Requirement ID:** TPHRL-REQ\_UCA-4

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically send a notification to the Customer. Notifications shall confirm the outcome of their request to update Customer Account details (e.g. change of address), and shall be sent using the Customer's Preferred Method of Communication.

**Rationale:** N/A

### Link to existing Licence Details

**Requirement ID:** TPHRL-REQ\_CCA-10

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to link a Customer's existing Licence(s) Record to an existing Customer Account, subject to Business Rules.

Refer to TPH – Business Rules 03 – Customer Account

**Rationale:** N/A

### Display Updated Terms and Conditions

**Requirement ID:** TPHRL-REQ\_VW\_CA-5

**Priority:** Must have

**Description:** The Service System shall provide the capability to notify and display to a Customer any updates to the existing Terms and Conditions, via the applicable Communication Channels, including but not limited to the Online Portal.

Updated Terms and Conditions shall be displayed to a Customer after successful log-in.

**Rationale:** N/A

### Accept Updated Terms and Conditions

**Requirement ID:** TPHRL-REQ\_UCA-8

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically notify Customers of changes to TfL Terms and Conditions via their Preferred Method of Communication, and via their Online Portal.

**Rationale:** N/A

### Maintain Data Association

**Requirement ID:** TPHRL-REQ\_UCA-9

**Priority:** Must have

**Description:** The Service System shall provide the capability to link and maintain the association between a Customer Account and one or more Licence Records.

The Service System shall provide the capability to maintain links manually (by an Authorised User) as well as automatically, based on defined Business Rules.

Refer to TPH – Business Rules 13 – Post Licensing

**Rationale:** N/A

### Create and Maintain Customer Account Association to Driver Licence Record

**Requirement ID:** TPHRL-REQ\_UCA-10

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to create and maintain a data association between a Customer Account and one or more Driver Licence Records, subject to Business Rules.</p> <p>This includes but is not limited to Licence Record for a Taxi Driver and/or PHV Driver at any status (e.g. active, revoked, suspended, expired etc.)</p> <p>The Service System shall maintain metadata for all data associations done.</p> <p>The Service System shall also retain data on history of all data associations done, (subject to Appendix 02 - Data Retention), even after the associations have been deleted or amended.</p> <p>Refer to TPH – Business Rules 03 – Customer Account Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy</p>
Rationale:	N/A

### Create and Maintain Customer Account Association to Operator Licence Record

**Requirement ID:** TPHRL-REQ\_UCA-11

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to create and maintain a data association between a Customer Account and one or more Operator Licence Records, subject to Business Rules.</p> <p>This includes but is not limited to an Operator Licence Record at any status (e.g. active, Revoked, Suspended, Expired etc.).</p> <p>The Service System shall maintain and retain history metadata for all Data associations created (subject to Appendix 02 - Data Retention), even after the associations have been deleted or amended.</p> <p>Refer to TPH – Business Rules 03 – Customer Account Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy</p>
Rationale:	N/A

### Create and Maintain Customer Account Association to Vehicle Licence Record

**Requirement ID:** TPHRL-REQ\_UCA-12

**Priority:** Must have

**Description:**

The Service System shall provide the capability to create and maintain a data association between a Customer Account and one or more Vehicle Licence Records, subject to Business Rules.

This includes but is not limited to an Vehicle Licence Record at any status (e.g. active, revoked, suspended, expired etc.).

The Service System shall maintain metadata for all data associations done.

The Service System shall also retain data on history of all data associations done, (subject to Appendix 02 - Data Retention), even after the associations have been deleted or amended.

Refer to TPH – Business Rules 03 – Customer Account

Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy

**Rationale:** N/A

### View all Records associated with a Customer Account (Authorised User)

**Requirement ID:** TPHRL-REQ\_UCA-13

**Priority:** Must have

**Description:**

The Service System shall enable an Authorised User to view all data Records associated with a Customer Account.

The Authorised User shall be able to view Licence details of Licence(s) linked to a Customer Account. This includes but is not limited to Licence number(s), name(s), address(es) etc.

**Rationale:** N/A

### View all Records associated with a Customer Account (Customer)

**Requirement ID:** TPHRL-REQ\_UCA-14

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable a Customer to view all data Records associated with their Customer Account, subject to Business Rules.</p> <p>The Authorised User shall be able to view Licence details of Licence(s) linked to a Customer Account. This includes but is not limited to Licence number(s), name(s), address(es) etc.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
<b>Rationale:</b>	N/A

### Set Historic End-Date

**Requirement ID:** TPHRL-REQ\_BCA-14

**Priority:** Must have

<b>Description:</b>	The Service System shall provide the capability for an Authorised User to set a Customer Account end-date as a historic date.
<b>Rationale:</b>	N/A

## Review Customer Requests

The Service System shall enable an Authorised User to receive, view, assess and respond to any type of call, inquiry, or Application raised by a Customer (e.g. updating Customer Account details, applying for a new Driver Licence, Renewing an existing Licence, modifying or replacing an existing Licence), from all applicable Communication Channel (including but not limited to the Online Portal, telephone, post, emails, social media etc.)

These sets of requirements relate to Requests raised by a Customer via their Online Portal, or by a Request made to an Authorised User to. Both routes shall enable an Authorised User to:

- view all the information provided by the Customer, supporting the Request
- process the Request (including escalating to various internal and/or external teams)
- make a decision, and/or
- issue/amend/retrieve Licence Materials.

These requirements are expected to be available to the Authorised User to be called on throughout their day-to-day process.

### Assign Review Case

**Requirement ID:** TPHRL-REQ\_CCA-48

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically assign a review case to an Authorised Team based on defined Business Rules.  Refer to TPH – Business Rules 03 – Customer Account
Rationale:	N/A

### Re-allocate Review Case

**Requirement ID:** TPHRL-REQ\_CCA-47

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to view and re-allocate a Request from a Customer to another Authorised Team.
Rationale:	N/A

### Add Review Comments

**Requirement ID:** TPHRL-REQ\_CCA-49

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to add review comments to the Request.
Rationale:	N/A

### Add/Update Priority Status

**Requirement ID:** TPHRL-REQ\_RVW-24

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to add and/or update a priority status against a Request.
Rationale:	N/A

### Display Review Comments

**Requirement ID:** TPHRL-REQ\_CCA-50

**Priority:** Must have

Description:	The Service System shall enable Authorised User to view any available review comments recorded against a Request
Rationale:	N/A

### Request Additional Customer Information

**Requirement ID:** TPHRL-REQ\_CCA-51

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to request additional information from a Customer via Workflow. The request shall be sent to the Customer using their Preferred Method of Communication (online, email, or post).

**Rationale:** N/A

### Send Bulk Notifications to Customers

**Requirement ID:** TPHRL-REQ\_RVW-25

**Priority:** Must have

**Description:** The Service System shall provide the capability to send targeted notifications to bulk groups of Customers (Licencees, applicants) based on pre-defined and configurable selection criteria. These should be triggered based on Business Rules or ad-hoc bulk notifications to target Customer groups.

Refer to TPH – Business Rules 03 – Customer Account

**Rationale:** N/A

### Trigger Reminder Notifications

**Requirement ID:** TPHRL-REQ\_CCA-53

**Priority:** Must have

**Description:** The Service System shall provide capability to trigger manual or event-based reminder notifications to a Customer, via any of the relevant Communication Channels, to encourage a response to a request or action required.

The contact Channel defaulted to should be based on the Preferred Method of Communication for the Customer.

**Rationale:** N/A

### Configure Reminder Timelines

**Requirement ID:** TPHRL-REQ\_RVW-21

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the timelines and rules around when a reminder should be triggered and sent to a Customer.

**Rationale:** N/A

### Respond to Request for Additional Information

**Requirement ID:** TPHRL-REQ\_CCA-54

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to respond to a request for additional information, via their Online Portal.</p> <p>The Service System shall enable a Customer to upload Documents. The Service System shall enable a Customer enter free text information in support of their request.</p>
Rationale:	N/A

### Approve Request Via Workflow

**Requirement ID:** TPHRL-REQ\_CCA-55

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to approve a Request via Workflow.
Rationale:	N/A

### Reject Request Via Workflow

**Requirement ID:** TPHRL-REQ\_CCA-56

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to reject a Request to update Customer Account information via Workflow.
Rationale:	N/A

### Send Outcome Notification

**Requirement ID:** TPHRL-REQ\_RVW-26

**Priority:** Must have

Description:	The Service System shall provide the capability to send (configurable) notifications to Customers informing them of the outcome of their request, using their Preferred Method of Communication.
Rationale:	N/A

### Update Customer Account (Automatic)

**Requirement ID:** TPHRL-REQ\_CCA-57

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically update Customer details, following a successful review.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Update Customer Account (Manual)

**Requirement ID:** TPHRL-REQ\_RVW-27

**Priority:** Must have

**Description:** The Service System shall provide the capability for Authorised Users to manually update Customer details, following a successful review.

**Rationale:** N/A

### Update Licence Information

**Requirement ID:** TPHRL-REQ\_CCA-58

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to update and modify recorded Licence details, based on changes made to a Customer Account, subject to Business Rules.

Refer to TPH – Business Rules 03 – Customer Account

Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### Update Impacted Data Records

**Requirement ID:** TPHRL-REQ\_CCA-59

**Priority:** Must have

**Description:** The Service System shall provide the capability to update other impacted Records based on Customer Account details being updated.

**Rationale:** N/A

### Issue Updated Licence

**Requirement ID:** TPHRL-REQ\_CCA-60

**Priority:** Must have

**Description:** The Service System shall provide the capability to issue an updated Licence, with the relevant updated Customer Account details, subject to Business Rules.

Refer to TPH – Business Rules 03 – Post Licensing

**Rationale:** N/A

### Display Updated Details

**Requirement ID:** TPHRL-REQ\_CCA-61

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically display updated Customer Account details in the Customer Online Portal.

**Rationale:** N/A

### Generate Customer Account Update Reports

**Requirement ID:** TPHRL-REQ\_CCA-62

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to generate reports of updates done to Customer Accounts. All data fields should be capable of being reported on.
Rationale:	N/A

### View Attachment(s)

**Requirement ID:** TPHRL-REQ\_RVW-1

**Priority:** Must have

Description:	The Service System must enable an Authorised User to view all attachments uploaded and stored against a Request, including Document metadata. View access shall be subject to User Permissions.
Rationale:	N/A

### View Account History

**Requirement ID:** TPHRL-REQ\_RVW-4

**Priority:** Must have

Description:	<p>The Service System must provide capability for an Authorised User to view a summary view of all actions taken on a Customer Account.</p> <p>The actions should have associated metadata displayed against them, including but not limited to: who completed the action, when it was completed, and the action description.</p> <p>The Authorised User shall be able to select the number of items of Customer Account history they are viewing with an option to view by groups/pages.</p>
Rationale:	N/A

### Maintain Review Status

**Requirement ID:** TPHRL-REQ\_RVW-16

**Priority:** Must have

Description:	The Service System shall provide the capability to maintain an Application at various review statuses, in order to reflect the current review status e.g. completed, passed, failed, pending etc.
Rationale:	N/A

### View Review Status (Authorised User)

**Requirement ID:** TPHRL-REQ\_RVW-28

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view the current request status for a Customer e.g. review completed, review passed, review failed, pending etc.

**Rationale:** N/A

### Resubmit Request

**Requirement ID:** TPHRL-REQ\_RVW-29

**Priority:** Must have

**Description:** The Service System shall enable a Customer to resubmit a request, following a rejection decision.

**Rationale:** N/A

## Close Customer Accounts

A Customer Account may be closed once the Customer has ceased to be an active TfL Licensee. A Customer Account may be closed after a set of validation criteria are met e.g. if the Licence Status is no longer active and the Customer Account has been inactive for a defined period of time (subject to Business Rules). The Customer may also request for their Customer Account to be closed.

### Request Account Closure (All Channels)

**Requirement ID:** TPHRL-REQ\_CCA-70

**Priority:** Must have

**Description:** The Service System shall enable a Customer to Request closure of their Customer Account via applicable Communication Channels, including the Online Portal, telephone, email and post, subject to Business Rules.

Refer to TPH – Business Rules 03 – Customer Account.

**Rationale:** N/A

### Provide Reason for Closure

**Requirement ID:** TPHRL-REQ\_CCA-72

**Priority:** Must have

**Description:** The Service System shall enable a Customer to provide reason(s) for requesting closure of their Customer Account. Reasons shall be selected from a Configurable list.

**Rationale:** N/A

### Configure Reasons for Closure

**Requirement ID:** TPHRL-REQ\_DCA-18

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to define and manage permitted reasons for Customers to request closure of their Customer Account.
Rationale:	N/A

### Display Closure Conditions (Online)

**Requirement ID:** TPHRL-REQ\_CCA-73

**Priority:** Must have

Description:	The Service System shall provide the capability to display the terms of Customer Account closure to the Customer via the Online Portal (e.g. Surrender of documents).
Rationale:	N/A

### Notify Customer of Closure Conditions

**Requirement ID:** TPHRL-REQ\_DCA-20

**Priority:** Must have

Description:	The Service System shall provide the capability to display the terms of Customer Account closure to an Authorised User for the purposes of informing the Customer, via the telephone, email or postal communication Channels (e.g. Surrender of documents), subject to Business Rules.  Refer to TPH – Business Rules 03 – Customer Account
Rationale:	N/A

### Provide Supporting Information

**Requirement ID:** TPHRL-REQ\_CCA-71

**Priority:** Must have

Description:	The Service System shall enable a Customer to provide relevant details in support of their Request to close their Customer Account.  Data fields to be provided by TfL.
Rationale:	N/A

### Set Licence End-Date

**Requirement ID:** TPHRL-REQ\_CCA-64

**Priority:** Must have

**Description:** The Service System shall provide the capability for an Authorised User to add an end-date, end reason, and inactive Licence Status update to any Licences linked to a Customer Account prior to that Customer Account being closed, subject to Business Rules.

Refer to TPH - Business Rules 13 - Post Licensing.

**Rationale:** N/A

### Close Customer Account

**Requirement ID:** TPHRL-REQ\_CCA-63

**Priority:** Must have

**Description:** The Service System shall provide an Authorised User with the capability to close a Customer Account, subject to Business Rules.

Scenarios that shall initiate this action include but are not limited to:

- Request from the Customer;
- Fraud against the Customer Account; and
- Breach of the Customer Account Terms and Conditions.

Refer to TPH – Business Rules 03 – Customer Account

**Rationale:** N/A

### Close Customer Account (Automated)

**Requirement ID:** TPHRL-REQ\_DCA-21

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically close a Customer Account according to Configured reasons, which may include but are not limited to:

- an end-date applied by an Authorised User
- a period of Account inactivity; (refer to Appendix 02 - Data Retention)

The reasons for automatically closing a Customer Account shall be Configurable by an Authorised User.

Refer to TPH - Appendix 14 - Information - Customer Licence Data

Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy

**Rationale:** N/A

### Automatically Record Reason for Closure

**Requirement ID:** TPHRL-REQ\_DCA-24

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically record a reason when a Customer Account is automatically closed, based on Business Rules (e.g. closure due to Customer Account inactivity).</p> <p>The reason shall be system-applied and shall be reportable.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
Rationale:	N/A

### Notify Customer of Account Closure

**Requirement ID:** TPHRL-REQ\_CCA-67

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically notify a Customer of their Customer Account closure.</p> <p>This includes but is not limited to Customer Accounts closed due to:</p> <ul style="list-style-type: none"> <li>• Customer Request</li> <li>• Customer Account inactivity</li> <li>• Fraud against the Customer Account</li> <li>• Breach by the Customer of Licence Terms and Conditions</li> </ul> <p>The Customer shall be notified via their Preferred Method of Communication.</p>
Rationale:	N/A

## Create Alert against Customer Account

**Requirement ID:** TPHRL-REQ\_DCA-16

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall provide the capability for an Authorised User to set an Alert against a Customer Account that has been closed, to flag any pending action(s) on the Customer Account to other Authorised User(s). This includes but is not limited to any components of a Licence pending return from the Customer.</p> <p>The Service System shall enable an Authorised User to include additional text or comments to every Alert created, in order to provide additional information when displayed to another Authorised User.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
<p><b>Rationale:</b></p>	<p>When a Customer Account is closed (due to any number of reasons e.g. retirement, inactivity, or suspected fraud or breach of Terms and Conditions), there are instances when the Licence Materials may either need to be retrieved (by a compliance agent) or the licence materials are in transit from the Customer back to TfL.</p> <p>Having an Alert on the Customer Account, which is only displayed internally to other Authorised Users, enables TfL to better manage the Customer Account, or any case or issues that arise off the Customer account.</p> <p>This is one of the improvements identified as potential value-adding functionality in the proposed Service System.</p>

### Configure Customer Account Alerts

**Requirement ID:** TPHRL-REQ\_DCA-23

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability for an Authorised User to Configure a list of predefined Alerts that can be set against a Customer Account that has been closed.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
<p>Rationale:</p>	<p>When a Customer Account is closed (due to any number of reasons e.g. retirement, inactivity, or suspected fraud or breach of Terms and Conditions), there are instances when the Licence Materials may either need to be retrieved (by a compliance agent) or the licence materials are in transit from the Customer back to TfL.</p> <p>Having an Alert on the Customer Account, which is only displayed internally to other Authorised Users, enables TfL to better manage the Customer Account, or any case or issues that arise off the Customer account.</p> <p>This is one of the improvements identified as potential value-adding functionality in the proposed Service System.</p>

### Display Alert against Customer Account

**Requirement ID:** TPHRL-REQ\_DCA-22

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to display flags against a Customer Account to an Authorised User, to inform them that the Customer has Licence components that are pending return.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
<p>Rationale:</p>	<p>When a Customer Account is closed (due to any number of reasons e.g. retirement, inactivity, or suspected fraud or breach of Terms and Conditions), there are instances when the Licence Materials may either need to be retrieved (by a compliance agent) or the licence materials are in transit from the Customer back to TfL.</p> <p>Having an Alert on the Customer Account, which is only displayed internally to other Authorised Users, enables TfL to better manage the Customer Account, or any case or issues that arise off the Customer account.</p> <p>This is one of the improvements identified as potential value-adding functionality in the proposed Service System.</p>

### Flag Inactive Customer Accounts

**Requirement ID:** TPHRL-REQ\_DCA-36

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically flag Customer Accounts that have been inactive for a defined period of time and trigger Configured Workflow actions.

**Rationale:** N/A

### Configure Inactive Customer Account Flags

**Requirement ID:** TPHRL-REQ\_DCA-37

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the parameters within which notifications shall be triggered to Customers and Authorised Users. Parameters shall include but not be limited to:

- Threshold time period that a Customer Account has been inactive for
- Current Licence Status
- Recipient(s) of notifications

**Rationale:** N/A

## Obtain Application Pack

This process shall allow a Customer applying for a Driver Licence or Operator Licence (for both a new Licence or to Renew an existing Licence) to obtain and submit all of the required Application Forms to TfL in order to initiate the Application process.

The Application Form can be completed either via an Online Portal or as a postal pack submitted via including but not limited to via registered post.

Postal Application Packs can be obtained subject to defined Business Rules.

### Generate Postal Application Pack

**Requirement ID:** TPHRL-REQ\_ODL-9

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to complete the set mandatory questions and generate a postal application pack to be sent to a Customer, when requested via telephone, email or postal request, subject to Business Rules.

Business Rules include but are not limited to Payment requirements before a postal pack containing all of the required Forms, can be created.

Refer to TPH – Business Rules 03 – Customer Account

**Rationale:** N/A

### Duplication Check

**Requirement ID:** TPHRL-REQ\_ODL-8

**Priority:** Must have

Description:	<p>The Service System shall allow only one Application for a Licence to be created per Customer for a Licence Type, via Online Portal or postal Channels.</p> <p>This check shall be performed every time an Application is generated or created against a Customer Account, to prevent duplication.</p>
Rationale:	N/A

### Assign Unique Identifier to Application

**Requirement ID:** TPHRL-REQ\_ODL-10

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically assign a Unique Identifier to any Application Pack created, subject to agreed Business Rules (i.e. a Renewal Application will not be assigned a new Unique Identifier but be linked to existing Unique Identifier) via the Online Portal, physically printed on sent out Forms.</p> <p>Business Rules may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• new Applications shall be issued with a Unique Identifier issued in sequential order</li> <li>• Renewal Applications will not be assigned a new Unique Identifier, but will retain their existing Licence number on approval</li> </ul> <p>Refer to TPH - Business Rules 04 - New Driver and Renewals</p> <p>Operators: All Forms provided for a new Operator Licence shall have the Unique Identifier number assigned. Renewal Applications will not be assigned a new Unique Identifier number, but will retain their existing Licence number on approval. Operators seeking to vary their Operating Centre or people shall be issued a Form containing their existing Licence number.</p>
Rationale:	N/A

### Associate Application to Customer Account

**Requirement ID:** TPHRL-REQ\_OAP-1

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall provide the capability to associate any Application to the corresponding Customer Account (e.g. linking the Unique Identifier to a Customer Account).</p> <p>For example, In the case of an Operator, the Licence should be associated with the Customer Account of the company record.</p> <p>Customer Accounts can be linked to one or more Licences, subject to Business Rules. The Service System shall prompt an Authorised User to associate Licence Records to Customer Account(s).</p>
<p><b>Rationale:</b></p>	<p>N/A</p>

### Complete Application (Online)

#### Display Application Requirements/Guidance

**Requirement ID:** TPHRL-REQ\_SAP-5

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall provide the capability to display a summary of what the Customer needs to provide in order to complete the Application via the Online Portal, including the questions to be answered and documents needed, before the Customer begins the Application.</p> <p>For Operator Licence Applications this shall also include the completion of mandatory questions that will determine the number of PHV/103 Personal Declaration Form and PHV/106 Forms to be completed as part of the submission, and email addresses of other persons to be associated with the Licence. Refer to the introduction to the Operator Licence set of requirements for further information.</p>
<p><b>Rationale:</b></p>	<p>N/A</p>

### Complete Licence Application (Online)

**Requirement ID:** TPHRL-REQ\_SAP-1

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to complete an Application via the Online Portal, subject to Business Rules.</p> <p>The Service System shall enable the Customer to provide all of the mandatory details required to support their Application. These include but are not limited to specific fields, to identify the Customer (and associated individuals and Operating Centre location details for Operator Licences), mandatory questions that identify the type of Licence that they require, and supporting Documents.</p> <p>Refer to TPH – Business Rules 03 – Customer Account, and TPH - Appendix 14 - Information - Customer Licence Data.</p>
Rationale:	N/A

### Auto-Populate Customer Details

**Requirement ID:** TPHRL-REQ\_SAP-9

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to auto-populate a draft Application with Customer details held against the Customer Account used to make the Application. The Service System shall enable the Customer to edit any details that are auto-populated.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Validate Customer Details

**Requirement ID:** TPHRL-REQ\_CCA-92

**Priority:** Must have

Description:	<p>The Service System shall provide the ability to automatically validate the Customer Details provided by the Customer in an Application Form (e.g. incomplete fields checks, field format checks, mandatory fields checks etc.) The Service System shall display any error or Warning messages required, in accordance with design principles, to allow the Customer to correct any errors.</p> <p>For Operator Licence Applications this display of any error or Warning messages shall also be available to any persons that have been sent a link to complete an Application Form required for submission.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### View Progress Tracker

**Requirement ID:** TPHRL-REQ\_SAP-3

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to view a progress tracker, to track the steps they've completed while completing an Application, via the Online Portal.</p> <p>For an Operator Licence Application the Customer shall be able to view the status of what they have completed and note any outstanding actions pending, such as Application Forms from persons to be associated with their Licence.</p>
Rationale:	N/A

### Update Progress Tracker

**Requirement ID:** TPHRL-REQ\_SAP-4

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically update the progress tracker based on the questions/sections completed by the Customer.</p>
Rationale:	N/A

### Capture Photograph

**Requirement ID:** TPHRL-REQ\_SAP-18

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to capture a passport quality photograph of themselves in order to support their Application.</p> <p>The Service System shall ensure that the photograph meets the accepted criteria for photographs, as defined by TfL.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Complete Declaration Questions

**Requirement ID:** TPHRL-REQ\_SAP-21

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to provide responses to pre-defined declaration questions in order to support their Application.</p> <p>For Operator Licence Applications, all persons required to complete an Application Form must complete the declaration.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Capture Customer Signature

**Requirement ID:** TPHRL-REQ\_CRT\_APP-7

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to digitally sign their Application prior to submitting an Application Form.</p> <p>Note: for Operator Licence Applications all persons required to complete an Application Form (PHV/103) must sign their Application. The whole Application must be (PHV/101) signed by the appropriate person - Director or Nominated Representative.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data.</p>
Rationale:	N/A

### Upload Supporting Documents

**Requirement ID:** TPHRL-REQ\_SAP-22

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to upload supporting documents at relevant stages through the process, in support of their Application.</p> <p>The allowed file formats shall include but are not limited to:</p> <ul style="list-style-type: none"> <li>- PDF</li> <li>- CSV - all types</li> <li>- Word</li> <li>- Excel</li> <li>- JPEG /JFIF</li> <li>- Bitmap</li> <li>- email formats</li> <li>- PowerPoint</li> <li>- Visio</li> <li>- PNG</li> </ul> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data.</p>
Rationale:	N/A

### View and Verify Documents

**Requirement ID:** TPHRL-REQ\_CRT\_APP-24

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to view and verify all documents they have provided in support of their Application, prior to submitting the Form.</p>
Rationale:	N/A

### Request Payment

**Requirement ID:** TPHRL-REQ\_CRT\_APP-3

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to request one or more Payment(s) for a Form submitted via the Online Portal, subject to Business Rules. The Payment amount(s) shall be set by predefined amounts determined by an Authorised User.</p> <p>Refer to TPH – Business Rules 12 – Payment and Refunds.</p>
Rationale:	N/A

### Submit Application (Online)

This process allows the Customer to submit their Application (Taxi or PHV Driver or Operator) via the Online Portal. This process and functionality is only available if an Application was created on the Online Portal.

The requirements within this section cover the capability to submit and process online Applications across various business processes and touch-points. These include but are not limited to Driver, Operator and Vehicle Applications.

### Validate Data Requirements

**Requirement ID:** TPHRL-REQ\_SAP-15

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically validate Customer inputs on the Online Portal.</p> <p>This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>- Field format checks</li> <li>- Mandatory fields checks</li> <li>- DBS disclosures</li> <li>- Companies House</li> <li>- Local Authority Planning Permission portal</li> <li>- Medical fitness</li> <li>- Local Authority Information</li> <li>- DVLA or EEA driving Licence data</li> <li>- Driver Assessment data</li> <li>- Licensing history data</li> </ul> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Validate Mandatory Application Requirements

**Requirement ID:** TPHRL-REQ\_SAP-39

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to validate the Customer Application for mandatory Application requirements. These include but are not limited to the following:</p> <ul style="list-style-type: none"> <li>• Age requirements</li> <li>• Leave to remain and work in the UK requirements</li> <li>• Drivers Licence requirements</li> </ul> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Display Warnings for Mandatory Application Requirements

**Requirement ID:** TPHRL-REQ\_SAP-40

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to display warning messages to a Customer if the Application fails one or more of the mandatory Application Validation Rules.</p> <p>A Customer shall still be able to save or complete the Application if the validation fails.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Save Application

**Requirement ID:** TPHRL-REQ\_SAP-26

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to save a complete or incomplete Application that has been successfully validated, subject to Configured Validation Rules.</p> <p>The Application shall be saved and available to retrieve/view for Configured period of time.</p> <p>Refer to TPH – Business Rules 03 – Customer Account Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Trigger Reminders for Incomplete Applications

**Requirement ID:** TPHRL-REQ\_SAP-38

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to send automated notifications to a Customer via their Preferred Method of Communication to remind them of an incomplete Application, at a Configured frequency prior to the expiration of their Application.</p> <p>For Operator Licence Applications this automated notification shall be sent to the company contact details which are listed on the Customer Account.</p> <p>Refer to TPH – Business Rules 03 – Customer Account.</p>
Rationale:	N/A

### Retrieve/View Incomplete Application

**Requirement ID:** TPHRL-REQ\_SAP-27

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to retrieve an incomplete Application that has been successfully saved, within a specified period of time.</p> <p>Validity period for retrieving a saved application shall be subject to Business Rules.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
Rationale:	N/A

### Edit Incomplete Application

**Requirement ID:** TPHRL-REQ\_SAP-28

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to edit a saved Application, within a specified period of time, which will be Configurable based on set Business Rules.</p> <p>For Operator Licence Application this time period shall include the time afforded to the persons required to complete required Application forms as part of the entire submission.</p> <p>Refer to TPH – Business Rules 03 – Customer Account.</p>
Rationale:	N/A

### Review and Confirm Application Responses

**Requirement ID:** TPHRL-REQ\_CRT\_APP-4

**Priority:** Must have

**Description:** The Service System shall enable a Customer to view a summary of all their responses and Documents provided in support of their Application, prior to submission.

**Rationale:** N/A

### Submit Application

**Requirement ID:** TPHRL-REQ\_SAP-25

**Priority:** Must have

**Description:** The Service System shall enable a Customer to submit an Application that has been successfully validated, subject to Business Rules.

For Operator Licence Applications, all Application Forms for each person associated with the Licence must be fully completed, required documents uploaded, and fees completely paid.

Refer to TPH – Business Rules 03 – Customer Account, and TPH - Appendix 14 - Information - Customer Licence Data.

**Rationale:** N/A

### View Submitted Application

**Requirement ID:** TPHRL-REQ\_SAP-29

**Priority:** Must have

**Description:** The Service System shall enable a Customer to view a summary of their responses and all Documents provided for a submitted Application via the Online Portal.

**Rationale:** N/A

### Application Audit Trail

**Requirement ID:** TPHRL-REQ\_SAP-36

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically capture and store an audit trail of all Applications created, changed and modified, submitted via all Communication Channels.</p> <p>These details shall include but are not limited to the following:</p> <ul style="list-style-type: none"> <li>• Time and date of Application submission</li> <li>• Time and date of Application withdrawal</li> <li>• Time and date of document uploads</li> <li>• Time and date of Data inserts and updates</li> <li>• Old and current values in the event of a Data update</li> <li>• Channel of Application submission.</li> </ul> <p>An Authorised User shall be able to interrogate and view this Audit Log.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Submit Application (Post)

A Customer can submit their postal Application for both a Driver Licence (for either a Taxi and/or Private Hire Vehicle) or an Operator Licence either through:

- Self-addressed envelope included in the Application Pack;or
- Post Office Check and Send Service

The postal Customer journey includes various key functionalities (e.g. document management, scanning, payments, and workflows) all of which are described below.

These Functional Requirements will be provided by the Supplier for TfL, the Lot 2 Supplier, and the Scan Supplier to use as part of their operations.

### Scan Postal Application

**Requirement ID:** TPHRL-REQ\_SAP-33

**Priority:** Must have

Description:	<p>The Service System shall enable the Scan Supplier to scan and upload completed Forms and any supporting documents to a Customer Account.</p> <p>All scanned Application Packs shall be automatically linked to a Licence Record.</p>
Rationale:	N/A

### Redact Customer Details

**Requirement ID:** TPHRL-REQ\_SAP-34

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to redact Customer Details on scanned postal Forms (e.g. Payment details) and also redact data based on document types.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	<p>This functionality will be user profile driven and can be performed by an Internal User (i.e. Authorised User) or the Scanning Partner.</p>

### Maintain Document Processing Timestamp

**Requirement ID:** TPHRL-REQ\_SUB\_APP\_POST-1

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically record the date and time a Forms(s) or document was received and/or scanned into the system for processing.</p> <p>The Service System shall provide the capability to timestamp across all the applicable statuses a document can achieve (e.g. received, processed, pending etc.).</p> <p>The Service System shall provide the capability to automatically record and differentiate between the different dates the document was processed (e.g. date of processing by Scanning Partner, date of processing by Authorised User etc.).</p>
Rationale:	<p>Updated based on TfL review comments. Different processing dates drive such metrics as partner service levels, key performance indicator measurements etc.</p>

## Review Application

### Trigger Workflow

**Requirement ID:** TPHRL-REQ\_SUB\_APP\_POST-15

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically trigger the appropriate Workflows based on the Document scanned and uploaded into the Service System, based on the Business Rules.</p> <p>Refer to TPH – Business Rules 03 – Scanning.</p>
Rationale:	<p>N/A</p>

### Scan Documents

**Requirement ID:** TPHRL-REQ\_SUB\_APP\_POST-16

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to scan and upload documents into a Customer Account.</p> <p>All scanned documents shall be automatically linked to a Customer Account.</p>
Rationale:	<p>This functionality allows an internal TfL user to manually scan documents, in addition to the bulk scanning activities to be carried out by the Scanning Partner.</p>

### View Application

**Requirement ID:** TPHRL-REQ\_RVW-10

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view Application details submitted by a Customer, including any Form(s) and all supporting documents provided by the Customer, and any linked Payment details e.g details of Payment(s) (those taken by Scanning Partner and through the Check &amp; Send service).</p>
Rationale:	<p>N/A</p>

### View Documents Linked to an Application

**Requirement ID:** TPHRL-REQ\_RVW-23

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view all scanned and uploaded documents that are linked to a Customer Account and/or Licence Record, including but not limited to: document name, document description, last edited date, format, Workflow actions linked to a document, the ability to sort and filter documents etc.</p>
Rationale:	<p>N/A</p>

### Input Application Details

**Requirement ID:** TPHRL-REQ\_SUB\_APP\_POST-18

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to identify and populate (either automated, semi-automated or manual) details in a scanned Form into a format capable of being reviewed by an Authorised User.</p>
Rationale:	<p>This is currently a manual task performed by an Authorised User (I.e. manually copying over details provided in a scanned Application into a Review screen.</p> <p>TfL is seeking innovative ideas from suppliers on how this process step could be more efficient and less labour-intensive.</p>

### Review Application

**Requirement ID:** TPHRL-REQ\_RVW-11

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to review any Form(s) submitted by a Customer.

**Rationale:** N/A

### Validate Application Against Internal/External Data

**Requirement ID:** TPHRL-REQ\_RVW-36

**Priority:** Must have

**Description:** The Service System shall provide the capability to validate a submitted Application against information from internal and Third Party data interfaces. This shall include but not be limited to:

- DVLA - for checking Driving Licence validity and endorsements
- DBS - for checking criminal record
- DVSA - for Vehicle validity including manufacturer recalls and MOT
- MIB - for checking motor insurance details
- Congestion Charging Exemptions List
- Tax Status (Vehicles and Drivers)
- Companies House
- Post Office Check and Send

Refer to the Interface Catalogue for details of the external and internal Service System interfaces required.

**Rationale:** N/A

### Track Submitted Application Status

**Requirement ID:** TPHRL-REQ\_SAP-30

**Priority:** Must have

**Description:** The Service System shall enable a Customer to view the current status of a submitted Form(s) via the Online Portal.

**Rationale:** N/A

### Trigger Additional Information Notification

**Requirement ID:** TPHRL-REQ\_RVW-33

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to trigger a notification to a Customer, using their Preferred Method of Communication, requesting additional information or documentation regarding their Licence Application. For Operator Licence Applications, notification shall be sent to the Nominated Representative or Customer.

**Rationale:** N/A

### Trigger Reminder Notification (Automated)

**Requirement ID:** TPHRL-REQ\_RVW-34

**Priority:** Must have

**Description:** The Service System shall provide the capability to trigger an automated notification to a Customer, using their Preferred Method of Communication, if information is not received following a request for additional information or documentation regarding their Licence Application, within a specified period, subject to Business Rules.

Refer to TPH – Business Rules 03 – Customer Account.

**Rationale:** N/A

### Link Response to Application Request

**Requirement ID:** TPHRL-REQ-2246

**Priority:** Must have

**Description:** The Service System shall have the capability to link an incoming response from a Customer (via relevant contact Channels) to a Licence Application, subject to Business Rules. For Operator Licence Applications the Service System shall be able to associate responses from multiple persons that are associated with a Licence Application.

Refer to TPH – Business Rules 03 – Customer Account

**Rationale:** N/A

### Update Application Status

**Requirement ID:** TPHRL-REQ\_SAP-31

**Priority:** Must have

Description:	<p>The Service System shall provide the ability to (and allow the Customer the ability to, where agreed by TfL) identify and, where possible, automatically update the status (in near real-time) of the following as a minimum:</p> <ul style="list-style-type: none"> <li>• Planning permission</li> <li>• Leave status</li> <li>• Local Authority/adverse information</li> <li>• Customer Accounts</li> <li>• Records or Licence Records</li> <li>• Medical fitness</li> <li>• DBS checks</li> <li>• Assessments undertaken</li> <li>• Any Appeals</li> <li>• Reviews</li> <li>• Progression of Workflow against a Record</li> </ul> <p>The statuses and rules for when they shall apply are to be agreed with TfL and shall be Configurable by an Authorised User.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
Rationale:	N/A

### Apply Application Status

**Requirement ID:** TPHRL-REQ\_RVW-13

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically assign a status to an Application based on Business Rules defined. The Service System shall automatically assign Application status changes based on Authorised Users Workflow review actions and responses.</p> <p>The statuses and rules for when they shall apply are to be agreed with TfL and shall be Configurable by an Authorised User.</p> <p>Refer to TPH – Business Rules 04 – New Driver and Renewals.</p>
Rationale:	N/A

### Configure Application Statuses

**Requirement ID:** TPHRL-REQ\_RVW-12

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the statuses (in near real-time) of the following as a minimum:</p> <ul style="list-style-type: none"> <li>• Customer Accounts</li> <li>• Planning permission checks</li> <li>• Leave status checks</li> <li>• Checks with other Licensing Authorities</li> <li>• Records or Licence Records</li> <li>• Medical fitness</li> <li>• DBS checks</li> <li>• Assessments undertaken</li> <li>• Any Appeals</li> <li>• Reviews</li> <li>• Progression of Workflow against a Record</li> </ul> <p>The statuses and rules for when they shall apply are to be agreed with TfL and shall be configurable by an Authorised User.</p>
Rationale:	N/A

### Update Application Comments & Attachments

**Requirement ID:** TPHRL-REQ\_RVW-31

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to add notes, comments or attach subsequent documents received from a Customer, via any channel, throughout the Assessment and completion of a Workflow.</p> <p>Documents including but not limited to physical files, videos, links to file sharing sites etc.</p>
Rationale:	N/A

### Escalate to External Sources

**Requirement ID:** TPHRL-REQ\_RVW-8

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to send communications (letter/email) to a Third Party for an expected action throughout the Assessment and completion of a Workflow (e.g. to other proposed persons to be linked with the Licence; Companies House; Local Authority; Licensing Authorities, Home Office, police etc.).</p> <p>Any such communication issued should be retained against the Customer Account and/or Record.</p>
Rationale:	N/A

### Application Status Change

**Requirement ID:** TPHRL-REQ\_RVW-19

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically capture status information to reflect the Application is pending information from a Third Party, where applicable.</p>
Rationale:	N/A

### Escalate to Internal Teams

**Requirement ID:** TPHRL-REQ\_RVW-9

**Priority:** Must have

Description:	<p>The Service System shall enable internal TfL Teams (e.g. Occupational Health, TfL Tech; Legal; Investigations and Appeals Teams and Date Team or Policy Team) to participate in a review, as has been defined within a Workflow, and provide any supporting information/Documents as required to complete the review.</p> <p>The Service System shall enable the ability to restrict the accessibility of information/documents that are recorded against the Customer Account/Record(s) by the internal TfL Team. Any supporting information/Documents provided by an internal TfL Teams would need to be recorded against the Customer Account/Record(s).</p>
Rationale:	N/A

### Perform Concurrent Review Steps

**Requirement ID:** TPHRL-REQ\_RVW-15

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to perform multiple checks concurrently as defined within a Workflow.</p> <p>Driver checks include but are not limited to: carrying out the assessment of a Medical Form, as well as conducting a DBS check and requesting information from a Third Party.</p> <p>Operator checks include but are not limited to: assessing each mandatory Application Form received (PHV/101, 103, 108, 106), performing a check of Companies House information, checking planning permission status of an Operating Centre.</p>
Rationale:	N/A

### Send Application Outcome Notification

**Requirement ID:** TPHRL-REQ\_ISS-10

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically send a notification to a Customer, using their Preferred Method of Communication (PMOC), following the completion of the review of their Licence Application. The notification issued to the Customer must also be retained against their Customer Account and/or Record.</p> <p>For Operator Licence Application, the Service System shall be able to determine the correct Customer recipient, namely the Nominated Representative, where the account belongs to a partnership or company.</p> <p>Any notifications issued shall be Configurable, as some may not be able to be sent via the PMOC e.g. a Licence Pack (containing a Licence and Badge) could not be sent by email.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
Rationale:	N/A

### Trigger Criminal Checks Notifications

**Requirement ID:** TPHRL-REQ-4817

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to trigger notifications to specific Authorised Users to perform criminal checks on Driver, Vehicle and Operator Licensees at Configured frequencies in relation to the Licence and previous checks performed. This could include automated reports to be provided to external parties to carry out bulk checks. Checks shall be performed in accordance with the applicable Business Rules.</p> <p>The frequency of these checks for each Licensee is shown below:  Drivers - six-monthly  Vehicle Owners - annually  Operators - annually</p>
<p>Rationale:</p>	

### Configure Criminal Checks Notifications

**Requirement ID:** TPHRL-REQ-4818

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to Configure the criteria for triggering criminal checks to be performed against Driver, Vehicle and Operator Licensees.</p> <p>The frequency of these checks for each Licensee is shown below:  Drivers - six-monthly  Vehicle Owners - annually  Operators - annually</p>
<p>Rationale:</p>	

### Perform Regular Criminal Checks (Automated)

**Requirement ID:** TPHRL-REQ-4820

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to perform regular automated checks on the DBS status of Driver, Vehicle and Operator Licensees. If a Licensee fails a criminal check then this shall prompt a Workflow activity to review and potentially revoke the Licence.</p> <p>The frequency of these checks for each Licensee is shown below:  Drivers - six-monthly  Vehicle Owners - annually  Operators - annually</p> <p>These automated checks shall require an interface with DBS data, refer to the Interface Catalogue for more information.</p>
Rationale:	

### Perform Regular Criminal Checks (Semi-Automated)

**Requirement ID:** TPHRL-REQ-4821

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually upload a report of DBS status data to enable the Service System to perform regular automated checks on the DBS status of Driver, Vehicle and Operator Licensees. If a Licensee fails a criminal check then this shall prompt a Workflow activity to review and potentially revoke the Licence.</p> <p>The frequency of these checks for each Licensee is shown below:  Drivers - six-monthly  Vehicle Owners - annually  Operators - annually</p>
Rationale:	

## Customer Assessment (General)

A Driver (PHV Driver and/or Taxi Driver) is required to complete Assessments (or provide evidence supporting Exemption from taking one or more Assessments) in order to assure their fitness to drive on London roads.

Currently, all Assessments are delivered by Authorised Users, (in some instances by Third Parties, acting on behalf of TfL), using third party assessment platforms to generate the Assessment questions, record the Customers' answers, and mark the Assessments.

The Service System shall be capable of providing functionalities enabling an Authorised User to create and modify an Assessment event. The Service System is also required to provide Booking capabilities, with functionality that can be Configured by an Authorised User. A Customer shall be

able to view and book Timeslots for their events via the relevant Communication Channels (e.g. the Online Portal and the Contact Centre).

The Service System shall also provide the capability to notify a Customer of an outcome of their Assessments and Vehicle Inspections, and progress the Application through Workflows, based on defined Business Rules and processes.

### Intuitive Customer Experience

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-14

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to offer an intuitive Booking Customer experience to the Customer.</p> <p>This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• The ability to prompt/offer Assessment Centres/Vehicle Inspection Centres and Timeslots to a Customer based on the details of the Customer Account (e.g. address details etc.)</li> <li>• The ability to offer alternative Assessment Centres/Vehicle Inspection Centres and Timeslots to a Customer based on indicated preferences</li> </ul>
Rationale:	N/A

### Configure Customer Assessment Event

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-1

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure different Customer Assessment Event(s) (e.g. english language assessment, topographical assessment, knowledge of London assessments etc.).</p> <p>The Service System shall be configurable to record the details of each Assessment Event.</p>
Rationale:	N/A

### Configure Customer Assessment Business Rules

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-2

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure certain Business Rules applicable to one, more or all Customer Assessments or Assessment types e.g. how many times a Customer is allowed to sit and re-sit any particular Assessment, where an exemption is applicable, or the logical sequence of Assessments for an Application etc.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
Rationale:	N/A

### Define Customer Assessment(s) Required for Application

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-3

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically associate a particular Customer Assessment or multiple Assessments to a Licence Record, based on the Application type, Customer profile, and Workflow type, subject to Business Rules.</p> <p>E.g. ability to automatically assign Topographical Assessment and/or English Language Assessment to Customers applying for a PHV Driver Licence, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p>
Rationale:	N/A

### Manually Assign Customer Assessment to Application

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-11

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to manually assign a particular Customer Assessment Event or multiple Assessment Events to a Licence Record.
Rationale:	N/A

### Update and Display Assessment Availability

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-6

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to update and display the slots available for Booking for all Assessments in real time to ensure that only available slots are displayed (to both Customers and/or Authorised Users) at the point of Booking.</p> <p>The Service System shall enable the updates and display to be done both automatically and manually (by an Authorised User, if required).</p>
Rationale:	N/A

### Configure Customer Assessment Booking Details

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-9

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the details required to complete a Customer Assessment Booking (e.g. date of Booking, date of Assessment, time of Assessment, test centre to be attended etc.)

**Rationale:** N/A

### Uniquely Identify Assessments

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-10

**Priority:** Must have

**Description:** The Service System shall provide the capability to uniquely identify each Assessment.

The Service System shall provide the capability to uniquely identify all Assessments including those delivered by TfL as well as any Third Parties (e.g. the current Knowledge Records are assigned unique numbers, which are linked to a Customer Account).

**Rationale:** N/A

### Configure Assessment Details

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-13

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the details of an Assessment.

This shall include but not be limited to: the ability to change the address details of an Assessment Centre.

**Rationale:** N/A

## Manage Customer Bookings

The Service System shall provide the capability for a Customer and/or an Authorised User to create and manage Bookings. These include but are not limited to Bookings relating to:

- Assessment Events - in support of a Driver Licence Application
- Vehicle Inspections - in support of a Vehicle Licence Application

The Service System shall provide the capability for a Customer to self-serve their Bookings. In addition, the Service System shall enable an Authorised User to create and modify Bookings on behalf of a Customer.

These requirements cover the required functionality to support all Customer Bookings via all the relevant Channels in use by TfL.

### Configure Length of Booking Slots

**Requirement ID:** TPHRL-REQ-3136

**Priority:** Must have

Description:	The Service System shall allow an Authorised User to Configure the length of Timeslots for a particular Booking slot (e.g. PHV 20 min/Taxi 30 min Timeslots).  This includes but is not limited to the ability to Configure the slots due to a request for a reasonable adjustment.
Rationale:	N/A

### Configure Capacity for Mobile Inspection Unit

**Requirement ID:** TPHRL-REQ-3202

**Priority:** Must have

Description:	The Service System shall allow an Authorised User to Configure capacity for a Mobile Inspection Site (e.g. Calendars, staff availability etc.)
Rationale:	N/A

### Create Booking Calendar

**Requirement ID:** TPHRL-REQ\_BCA-1

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to create one or more Calendar, in order to effectively manage Bookings. (e.g. Customer Assessments and Vehicle Inspection Bookings).
Rationale:	N/A

### Configure Advance Booking Parameters

**Requirement ID:** TPHRL-REQ\_BCA-15

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure how far in advance a Booking can take place e.g. allow Bookings up to six (6) months in advance.  The Authorised User shall be able to set these parameters per Booking Type.
Rationale:	N/A

### Configure Available Days

**Requirement ID:** TPHRL-REQ\_BCA-16

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure available and unavailable days/times/periods.

This includes but is not limited to the ability to make certain days/times/periods unavailable when required e.g. due to staff training.

**Rationale:** N/A

### Align with UK Bank Holiday Calendar

**Requirement ID:** TPHRL-REQ\_BCA-17

**Priority:** Must have

**Description:** The Service System shall provide the capability to align the Calendars with the United Kingdom bank holiday calendar.

The Service System shall provide the capability to automatically identify and make bank holidays unavailable for Bookings. An Authorised User shall be able to override this if required, subject to Business Rules.

Refer to TPH – Business Rules 17 – English Language  
Refer to TPH – Business Rules 07 – Topographical

Refer to TPH – Business Rules 10 – Vehicle

**Business Rules to be defined.**

**Rationale:** N/A

### Maintain Customer Booking Calendar

**Requirement ID:** TPHRL-REQ\_BCA-12

**Priority:** Must have

**Description:** The Service System shall provide the capability to maintain separate Calendars.

This includes but is not limited to Topographical Assessments, Vehicle Inspections, Knowledge examination and appearances etc.

**Rationale:** N/A

### Maintain Business Rules for Booking Calendar

**Requirement ID:** TPHRL-REQ\_BCA-2

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to specify and maintain Business Rules relevant to the use and display of Calendars. Examples include-

- Per Assessment type, internally and externally.
- Vehicle Inspection Centres
- Mobile Inspection Centers

Refer to TPH – Business Rules 17 – English Language

Refer to TPH – Business Rules 07 – Topographical

Refer to TPH – Business Rules 10 – Vehicle

**Rationale:** N/A

### Configure Booking Validations

**Requirement ID:** TPHRL-REQ\_BCA-27

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the validations and/or restrictions that can apply to a Booking request.

For example, a Customer shall be restricted from making a Booking for a defined timeframe, due to one or more no-show at an Assessment.

**Rationale:** N/A

### Booking Channels

**Requirement ID:** TPHRL-REQ-2073

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer to make a Booking via any of the defined Channels. This includes the following however is not limited to:</p> <ul style="list-style-type: none"> <li>• Contact Centre</li> <li>• Online Portal</li> <li>• Phone</li> <li>• Self Service Terminals at Vehicle Inspection Centres (only for Vehicle Inspections)</li> </ul>
<p>Rationale:</p>	<p>Currently, Customers seeking to make a Vehicle Inspection Booking make Payments over the phone to TfL, while making a Booking. In the future, the Customer will be able to pay for their Booking (and any additional fees) via the Online Portal. In the rare instances when a Customer makes a Booking via the Contact Centre, the agent will be able to take a Payment as part of the Booking.</p>

### Indicate Booking Type

**Requirement ID:** TPHRL-REQ\_BCA-33

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer to indicate the type of Booking they wish to make. This includes however is not limited to-</p> <ul style="list-style-type: none"> <li>• Assessments</li> <li>• Vehicle Inspections</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

### Capture Purpose of Booking

**Requirement ID:** TPHRL-REQ-2154

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer or an Authorised User to capture the reason or purpose of a Booking. The Customer or Authorised User shall be able to select a reason from a pre-defined list of reasons. The Service System shall provide the capability to display valid reasons relevant to the Inspection Type or Assessment Type indicated by the Customer. The list of options shall be Configurable by TfL.</p>
<p>Rationale:</p>	<p>N/A</p>

### Display Relevant Booking Options

**Requirement ID:** TPHRL-REQ-3198

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to display to a Customer or an Authorised User (completing a Booking on behalf of a Customer), the booking options relevant to the Booking Type indicated/selected.</p> <p>This includes but is not limited to the ability to only display:</p> <ul style="list-style-type: none"> <li>• Vehicle Inspection Types or Vehicle Inspection Centres when a Customer indicates they wish to book Vehicle Inspection.</li> <li>• Assessment Types and Centres when a Customer indicates they wish to book an Assessment.</li> </ul> <p>The Service System shall enable an Authorised User to configure and modify the logic used in displaying content to a Customer.</p>
Rationale:	N/A

### Display Documentation Required

**Requirement ID:** TPHRL-REQ-2166

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or an Authorised User to view a list of documentation required in support of their Application (either uploaded via the Online Portal or presented at the Assessment Centre or Inspection Centre). The list of Documentation displayed to the Customer or Authorised User shall vary depending on the Licence request/Assessment Type or Vehicle Inspection Type/purpose they have indicated. The list(s) shall be Configurable by an Authorised User.</p>
Rationale:	N/A

### Book Mobile Inspection

**Requirement ID:** TPHRL-REQ-2161

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or an Authorised User to create a Booking for a Mobile Vehicle Inspection against a Mobile Inspection Site Calendar. This will be offered subject to approval and will be available to certain Customers only , subject to Business Rules. Refer to TPH – Business Rules 10 – Vehicles.</p>
Rationale:	<p>The Existing Service Provider offers this service to Fleet Operators. TfL's intention is to continue with this product offering under the Agreement.</p>

### Search for Available Slots

**Requirement ID:** TPHRL-REQ\_BCA-36

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer or an Authorised User to search for available slots for a particular Booking Type. The Service System shall enable a Customer or an Authorised User to indicate their booking preferences and shall return all the results that match the details provided.</p> <p>These booking preferences include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Assessments - Assessment Type, Centre(s), date and time</li> <li>• Vehicle Inspections – Vehicle Inspection Type, Vehicle Inspection Centre(s), date and time</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

### Display Customer Booking Calendar

**Requirement ID:** TPHRL-REQ\_BCA-3

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer to view the Calendar(s) available, subject to Business Rules.</p> <p>Examples of relevant Business Rule include but are not limited to - display only Assessments relevant to the Application type and Application status, display available slots at all Vehicle Inspection Centres when making a Vehicle Inspection Booking.</p> <p>The Service System shall enable a Customer to view all available Calendar(s) for applicable Customer Assessments and applicable Inspection Centres.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p> <p>Refer to Non-functional Requirement TPHRL-REQ-3009 (Device).</p>
<p>Rationale:</p>	<p>N/A</p>

### Offer Alternative Booking Options

**Requirement ID:** TPHRL-REQ\_CAM\_GEN-15

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to offer one or more alternative Booking options to the Customer if their preferred options are unavailable.</p> <p>This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• The ability to prompt/offer Assessment Centres and Vehicle Inspection Centres and times to the Customer based on the details of the Customer Account (e.g. address details etc.).</li> <li>• The ability to offer alternative Booking Slots and/or Assessment Centres or Vehicle Inspection Centres to a Customer based on indicated preferences.</li> </ul> <p>These options shall be displayed to either an Authorised User or a Customer making a Booking.</p>
Rationale:	N/A

### Choose Booking Slot

**Requirement ID:** TPHRL-REQ\_BCA-37

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or an Authorised User to select and confirm a Booking slot, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 01 – Supplier Contact Centre</p>
Rationale:	N/A

### Capture Booking Details

**Requirement ID:** TPHRL-REQ\_BCA-34

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or an Authorised User to capture the details necessary for creating a Booking.</p> <p>The Service System shall provide the capability to capture the Booking details relevant to each Booking Type:</p> <p>These shall include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Vehicle Inspections - Vehicle details, Registered keeper details etc.</li> <li>• Assessments - Customer details</li> </ul>
Rationale:	N/A

### Auto-populate details

**Requirement ID:** TPHRL-REQ\_BCA-35

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to auto-populate the Booking details required with the Customer Account details available.</p> <p>A Customer shall be able to edit any details that have been auto-populated, subject to Business Rules. E.g. the Customer shall be unable to edit critical Customer Account data.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p>
Rationale:	N/A

### Capture Vehicle details (Manual)

**Requirement ID:** TPHRL-REQ-2155

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or an Authorised User to record specific details about the Vehicle for Vehicle Inspection purposes. These details include but are not limited to:</p> <ul style="list-style-type: none"> <li>(i) Vehicle Registration Mark</li> <li>(ii) Vehicle details: make, colour, model</li> <li>(iii) DVLA date</li> <li>(iv) Euro emissions</li> <li>(v) Vehicle type (PHV or Taxi)</li> <li>(vi) Vehicle age</li> <li>(vii) Vehicle Licence Number (only for existing Licensees)</li> <li>(viii) VIN</li> </ul> <p>The Service System shall auto-populate with details available in Customer Account. The Customer and or an Authorised User is able to amend auto-populated details.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Capture Vehicle Details from Documentation

**Requirement ID:** TPHRL-REQ-3199

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to auto populate the Vehicle details from the documentation uploaded by a Customer. This shall include but is not limited to the Vehicle V5 document.</p> <p>The Service System shall be capable of identifying and uploading in the Booking details, the details in the documentation. This shall include but is not limited to:</p> <ul style="list-style-type: none"> <li>(i) Vehicle Registration Mark</li> <li>(ii) Vehicle details: make, colour, model</li> <li>(iii) DVLA date</li> <li>(iv) Euro emissions</li> <li>(v) Vehicle type (PHV or Taxi)</li> <li>(vi) Vehicle age</li> <li>(vii) Vehicle Licence Number (only for existing Licensees)</li> <li>(viii) VIN</li> </ul> <p>The Customer and or an Authorised User shall be able to amend the auto-populated details.</p>
<p>Rationale:</p>	<p>N/A</p>

### Attach/Upload Documents

**Requirement ID:** TPHRL-REQ-2167

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer to upload the Documentation required to support a Booking.</p> <p>The Service System shall provide the capability to Configure what documents are mandatory, or optional, and which documents can be submitted at the Centre instead.</p> <p>Documentation uploaded shall be linked to a Customer Account and or Licence Record and shall be indexed (named) correctly against the Vehicle/Vehicle Licence Record (e.g. MOT certificate May 2019)</p>
<p>Rationale:</p>	<p>N/A</p>

### Automatically Identify Documentation submitted

**Requirement ID:** TPHRL-REQ-3200

**Priority:** Must have

**Description:** The Service System shall automatically identify the Documentation submitted by a Customer and or an Authorised User e.g ability to automatically identify a V5 document and link to a Vehicle Record and specified file type.

**Rationale:** N/A

### Automatically Name Documentation Submitted

**Requirement ID:** TPHRL-REQ-3232

**Priority:** Must have

**Description:** The Service System shall automatically name Documentation submitted by a Customer.

Business Rules will define the naming convention for Documentation submitted by the Customer.

Refer to TPH – Business Rules 03 – Customer Account

**Rationale:** N/A

### Validate Documentation Submitted

**Requirement ID:** TPHRL-REQ-2186

**Priority:** Must have

**Description:** The Service System shall provide capability to validate Documentation submitted by a Customer in support of their Vehicle Licence Application and/or Vehicle Inspection Booking. The document required to be submitted shall include but not be limited to:

- MOT
- Tax
- Vehicle Registration Mark (VRM) etc.

The Service System shall provide the capability to perform file format validation checks. These rules shall be Configurable by an Authorised User. The Service System shall also provide the capability to validate the documents against Third Party data sources. Refer to TPH - Schedule 6.5 - Systems Integration for more details. Refer to TPH - Appendix 14 - Information - Customer Licence Data

**Rationale:** N/A

### View and Verify Documents

**Requirement ID:** TPHRL-REQ\_CRT\_APP-25

**Priority:** Must have

Description:	The Service System shall enable a Customer to view and verify all documents they have provided in support of their Booking, prior to submitting the Form.
Rationale:	N/A

### View Documentation Uploaded

**Requirement ID:** TPHRL-REQ-3201

**Priority:** Must have

Description:	The Service System shall allow an Authorised User to view Documentation uploaded by a Customer.
Rationale:	N/A

### Confirm Documentation Outstanding

**Requirement ID:** TPHRL-REQ-2169

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to notify the Customer of Documentation outstanding for their Booking, this includes notifications sent to the Customer via the following Communication Channels:</p> <ul style="list-style-type: none"> <li>• Online Portal</li> <li>• email</li> <li>• SMS</li> </ul>
Rationale:	N/A

**Validate Booking Details (Vehicle Inspections)**

**Requirement ID:** TPHRL-REQ-3164

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to automatically validate the details provided by a Customer in support of their Booking.</p> <p>The Service System shall provide the capability to identify instances where the details provided by a Customer exceeds defined thresholds e.g. the Vehicle age, emission levels.</p> <p>The Service System shall automatically prevent a Booking from progressing if one or more conditions exceed the defined thresholds.</p> <p>Refer to TPH – Business Rules 03 – Customer Account</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p> <p>Refer to TPH – Business Rules 13 – Post Licensing</p>
<p>Rationale:</p>	<p>N/A</p>

### Validate Booking Details (Customer Assessment)

**Requirement ID:** TPHRL-REQ\_BCA-21

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to restrict a Customer's ability to book an Assessment in certain valid scenarios, subject to Business Rules.</p> <p>The Service System shall provide the ability to trigger this functionality both automatically (based on Business Rules) and manually (by an Authorised User, subject to their user access and permissions).</p> <p>The Service System shall provide the capability to apply this functionality over a defined/set time period.</p> <p>Business Rules may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• a Customer cannot make more than one Booking for one of a Customer Assessment Event at any one time,</li> <li>• a Customer cannot book onto an Assessment where they have an Exemption on their Customer Account that is applicable to that Assessment and,</li> <li>• a Customer cannot be assigned an Assessment with the same examiner more than once in any three, consecutive attempts, during the Knowledge assessment.</li> </ul> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p>
<p>Rationale:</p>	<p>A Customer could be restricted from making a Booking for a defined timeframe, due to one or more no-show assessment Booking.</p>

### Display Booking Error Message

**Requirement ID:** TPHRL-REQ\_BCA-19

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall display a clear error message to a Customer if their Booking has been unsuccessful and the reason(s) for booking failure (e.g Assessment was booked within 3 months of a previous Assessment failure, Card Declined , Assessment or event type not applicable or available).</p> <p>The Service System shall also display further guidance on how the error(s) can be resolved.</p> <p>The messages shall be Configurable by an Authorised User.</p>
<p>Rationale:</p>	<p>N/A</p>

### Send Booking Confirmation

**Requirement ID:** TPHRL-REQ\_BCA-7

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to confirm a new (or amended) Customer Booking via the Customer's Preferred Method of Communication, and/or a notification in their Online Portal.</p> <p>The Communication Channel shall default to the Customer's Preferred Method of Communication.</p>
Rationale:	N/A

### Update Application with Booking Details

**Requirement ID:** TPHRL-REQ\_BCA-6

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to update an Customer Account and or a Licence Record with confirmed Booking details.</p> <p>The Booking details must be visible both to a Customer and an Authorised User via their respective Online Portal.</p>
Rationale:	N/A

### Request an Exceptional Booking

**Requirement ID:** TPHRL-REQ\_BCA-31

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to request an exceptional Booking, due to exceptional circumstance(s).</p> <p>This includes but is not limited to the ability to request a reasonable adjustment due to disability, due to an unusual Vehicle etc.</p> <p>The Service System shall enable a Customer to raise an exceptional Booking request for all types of Bookings available.</p> <p>The Service System shall enable the Customer to provide the details of their exceptional Booking, including but not limited to reasons, preferred time/date/centre etc.</p>
Rationale:	N/A

### Process Exceptional Request

**Requirement ID:** TPHRL-REQ\_BCA-32

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically trigger an escalation process that enables TfL to respond to and process an exceptional Request raised by a Customer.

**Rationale:** N/A

### Request for a Block Booking

**Requirement ID:** TPHRL-REQ-3215

**Priority:** Must have

**Description:** The Service System shall enable a Customer to request for a Block Booking through a Communication Channel. This includes however is not limited to-

- Online Portal
- Phone

This functionality shall be available only to pre-approved Customers.

The Customer will be required to fill out certain details in support of their request, this includes however is not limited to-

- Number of Vehicles
- Date/time
- Preference of Centre

**Rationale:** N/A

### Configure Block Booking

**Requirement ID:** TPHRL-REQ\_BCA-41

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure Block Bookings.

This shall include but is not limited to the ability to create, edit/modify Block Booking slots.

**Rationale:** N/A

### Allocate Block Booking Slots

**Requirement ID:** TPHRL-REQ-3216

**Priority:** Must have

**Description:** The Service System shall allow an Authorised User to book multiple Booking Slots at one or more Vehicle Inspection Centres (including but not limited to a Mobile Inspection Site) for a Customer requesting a Block Booking.

**Rationale:** N/A

### Notify Customer of Block Booking Request Outcome

**Requirement ID:** TPHRL-REQ-3217

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to notify a Customer of the outcome of their request for a Block Booking. Possible outcomes include however are not limited to-</p> <ul style="list-style-type: none"> <li>• Block Booking request is successful</li> <li>• Block Booking request is unsuccessful</li> </ul> <p>The Service System shall provide the capability to include details of Block Bookings allocated. These include but are not limited to the booking date(s), time slots, Vehicle Inspection Centre(s) etc.,</p> <p>The Customer is notified through the following communication channels, this includes however is not limited to-</p> <ul style="list-style-type: none"> <li>• Online Portal</li> <li>• Email</li> </ul>
Rationale:	N/A

### Assign Block Booking Slots to Vehicles

**Requirement ID:** TPHRL-REQ\_BCA-38

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to assign Block Booking slots to individual Vehicles.</p> <p>The Service System shall enable the Customer to record and capture the required Booking details for each Vehicle assigned to a slot.</p>
Rationale:	N/A

### View Booking Details

**Requirement ID:** TPHRL-REQ-3140

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or an Authorised User to view the details of a Booking. This includes but is not limited to the ability to view the details of an Assessment Booking, a Vehicle Inspection Booking etc.</p> <p>The Customer or Authorised User shall be able to view all Bookings created and linked to a Customer Account and/or Licence Record.</p>
Rationale:	N/A

### Reschedule Booking

**Requirement ID:** TPHRL-REQ\_BCA-8

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to reschedule a Booking made (e.g. date, time, Centre) and this will be subject to Business Rules.</p> <p>Business Rules may included but are not limited to, how many times a Customer can change a Booking, the period of time before a Booking when a Customer can make a change.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p>
Rationale:	N/A

### Reschedule Bookings in Bulk (Authorised User)

**Requirement ID:** TPHRL-REQ\_BCA-29

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to be able to select and reschedule multiple/bulk Bookings, subject to Business Rules.</p> <p>The Service System shall enable the Authorised User to be able to reschedule Bookings according to various parameters, including but not limited to per Assessment Centre or Vehicle Inspection Centre, per date etc.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p>
Rationale:	This requirement will be required in the event of issues impacting an Assessment Centre or Vehicle Inspection Centre. E.g. unavailability due to an incident/event on site, rendering the site unavailable.

### Issue Notifications

**Requirement ID:** TPHRL-REQ\_BCA-30

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to issue automatic bulk notifications to affected Customers, when a confirmed Booking has been rescheduled by an Authorised User.</p> <p>The Service System shall enable an automatic notification to be generated using the Customer's Preferred Method of Communication.</p> <p>The Service System shall automatically link all notifications to the Licence Record.</p>
Rationale:	N/A

### Cancel a Booking (Customer)

**Requirement ID:** TPHRL-REQ\_BCA-13

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to cancel a Booking, subject to Business Rules.</p> <p>Business Rules may include but are not limited to, how many times a Customer can cancel a Booking, the period in which a Booking can/cannot be cancelled.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p>
Rationale:	N/A

### Cancel a Booking (Authorised User)

**Requirement ID:** TPHRL-REQ\_BCA-28

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to cancel a Booking on behalf of a Customer, subject to Business Rules.</p> <p>Business Rules may included but are not limited to, how many times a Customer can cancel a Booking, the period of time before a Booking when a Customer can make a cancellation.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p>
Rationale:	N/A

### Cancel in Bulk (Authorised User)

**Requirement ID:** TPHRL-REQ\_BCA-42

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to cancel Bookings in bulk, subject to Business Rules.</p>
Rationale:	N/A

### Capture Cancellation Reasons

**Requirement ID:** TPHRL-REQ\_BCA-20

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or Authorised User to provide reasons for a Booking cancellation.</p> <p>The Customer shall be able to select one or more reasons from a pre-defined list of cancellation reasons that can be Configured by an Authorised User.</p>
Rationale:	N/A

## Reports

**Requirement ID:** TPHRL-REQ\_BCA-11

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to create, generate, extract and edit or refresh bespoke and customised Reports based on all elements of the Assessments or Inspections, and across all Calendars.</p> <p>This includes, but is not limited to the following Reports:</p> <ul style="list-style-type: none"> <li>• Real time report on the number of Bookings per day, per Assessment/Inspection Centre (estimates and actuals)</li> <li>• Assessment/Inspection Centre availability for the next Authorised User defined number of days per Calendar type.</li> <li>• Historical bookings per Assessment/Inspection Centre, with the ability to drill down by Application information</li> <li>• The historical number of unused slots per Assessment/Inspection Centre, with the ability to filter by dates</li> </ul>
Rationale:	N/A

## View Customer Assessment Details (Authorised User)

**Requirement ID:** TPHRL-REQ\_BCA-23

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view the details of an Assessment at various stages/statuses of the Assessment.</p> <p>This includes but is not limited to the ability to view:</p> <ul style="list-style-type: none"> <li>• The time, date and location of an Assessment</li> <li>• Assessments passed, or failed</li> <li>• Grades achieved per Assessment (if applicable)</li> </ul>
Rationale:	N/A

## View Customer Assessment Details

**Requirement ID:** TPHRL-REQ\_BCA-22

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to view the details of their Assessment at various stages/statuses of the Assessment.</p> <p>This includes but is not limited to the ability to view:</p> <ul style="list-style-type: none"> <li>• The time, date and location of an Assessment</li> <li>• Assessments passed, or failed</li> <li>• Grades achieved per Assessment (if applicable)</li> </ul>
Rationale:	N/A

### Configure Time Limit for holding a Booking Slot

**Requirement ID:** TPHRL-REQ\_BCA-39

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure the amount of time a Booking slot can be held while a Customer is creating or amending a Booking.
Rationale:	N/A

### Prevent Multiple Customers Booking Single Slot

**Requirement ID:** TPHRL-REQ\_BCA-40

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to prevent the same Booking slot being offered to more than one Customer.</p> <p>The Service System shall ensure that a slot can only be booked by a Customer.</p> <p><b>Refer to Non-Functional Requirement Concurrency</b></p>
Rationale:	N/A

### Record Vehicle Inspection Slots Offered (Authorised User)

**Requirement ID:** TPHRL-REQ-4814

**Priority:** Must have

Description:	The Service System shall provide the capability to record the earliest available Booking Slots that a Customer can select when booking a Vehicle Inspection via the Lot 2 Supplier Contact Centre. The Solution shall record the first available Booking Slots within the first 5 available days for any new Inspection, and 2 days for a Re-Test. This shall be recorded by the Service System against the Customer Account and/or Licence Record. This shall apply to all types of Vehicle Inspection Booking, in accordance with Lot 2 Schedule 2.2A (Performance Levels).
Rationale:	

### Record Vehicle Inspection Slots Offered (Automated)

**Requirement ID:** TPHRL-REQ-4815

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically record details of the earliest Booking Slot that is made available to a Customer when booking a Vehicle Inspection via the Online Portal. This shall be recorded by the Service System against the Customer Account and/or Licence Record. This shall apply to all types of Vehicle Inspection Booking, in accordance with Lot 2 Schedule 2.2A (Performance Levels).
Rationale:	

## Deliver Customer Assessments

The Service System shall enable an Authorised User to manage the delivery of a Customer Assessment for a Driver.

Authorised Users shall be able to assess the completed Assessments and record Inspection outcomes.

This capability includes, but is not limited to the ability to update the Application with Assessment outcome, and capture additional Assessment information.

### Record Attendance (Authorised User)

**Requirement ID:** TPHRL-REQ\_DCA-4

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to record and capture the attendance of a Customer at an Assessment.

**Rationale:** N/A

### Automatic Record of Attendance (Customer)

**Requirement ID:** TPHRL-REQ\_DCA-35

**Priority:** Must have

**Description:** The Service System shall enable a Customer to automatically record their attendance at an Assessment Centre.

**Rationale:** N/A

### Record Non-Attendance Reason

**Requirement ID:** TPHRL-REQ\_DCA-25

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to record non-attendance (no-shows) and a reason for non-attendance from a preConfigured list of Reason Codes.

**Rationale:** N/A

### Configure Non-Attendance Reasons

**Requirement ID:** TPHRL-REQ\_DCA-27

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure a pre-defined list of Reasons Codes for non-attendance.

**Rationale:** N/A

### Record Cancellations

**Requirement ID:** TPHRL-REQ\_DCA-26

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to record cancellations and reasons for cancellations from a preConfigured list of Reason Codes.

**Rationale:** N/A

### Configure Cancellation Reasons

**Requirement ID:** TPHRL-REQ\_DCA-28

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure a pre-defined list of Reasons Codes for cancellation.
Rationale:	N/A

### Compare Assessment Documents

**Requirement ID:** TPHRL-REQ\_DCA-33

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view the documents provided by the Customer at Booking against the documents provided at the Assessment Centre.</p> <p>The Service System shall enable an Authorised User to indicate (within the Assessment), if the documents presented onsite at the Assessment Centre match those provided at Booking.</p>
Rationale:	N/A

### Update Application with Assessment Outcome

**Requirement ID:** TPHRL-REQ\_DCA-7

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically update the Licence Record with the score and outcome of the Assessment (e.g. 70/100 = Pass)
Rationale:	N/A

### Update Application with Assessment Outcome (External)

**Requirement ID:** TPHRL-REQ\_DCA-29

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically update the Licence Record with the score, outcome, and any additional details of the Assessment via an external driver Assessment system.</p> <p>Refer to TPH - Schedule 6.5 - Systems Integration for further details.</p>
Rationale:	N/A

### Update Application with Assessment Outcome (Manually)

**Requirement ID:** TPHRL-REQ\_DCA-30

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to manually validate and update driver Assessment outcomes and scores and link this to the associated Licence Record.
Rationale:	N/A

### Capture Additional Assessment Information

**Requirement ID:** TPHRL-REQ\_DCA-8

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to capture additional information against the Assessment record (e.g. capture assessment comments or observations)
Rationale:	N/A

### Upload Additional Assessment Information

**Requirement ID:** TPHRL-REQ\_DCA-9

**Priority:** Must have

Description:	The Service System shall enable an Authorised User or a Customer to upload additional Assessment information (e.g. proof of ID, MOT, insurance policy documentation, Customer photograph etc.) and link to the associated Licence Record.
Rationale:	N/A

### Notify Customer of Assessment Outcome

**Requirement ID:** TPHRL-REQ\_DCA-10

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to notify the Customer of the outcome of an Assessment, based on their Preferred Method of Communication.</p> <p>All notifications issued shall be retained against the Assessment Record and /or Licence Record.</p>
Rationale:	N/A

### Enable Customer to Re-book Assessment

**Requirement ID:** TPHRL-REQ\_DCA-11

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to re-book an Assessment for a defined number of times if their previous scores/outcome was not a pass, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p>
Rationale:	N/A

### Withdraw Application (Automated)

**Requirement ID:** TPHRL-REQ\_DCA-12

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically withdraw an Application if certain criteria are met (e.g. for periods of inactivity on the Application, multiple no-shows, multiple failure to book Assessment, multiple failure to pass Assessment etc.), subject to Business Rules.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p>
Rationale:	N/A

### Withdraw Application (Manual)

**Requirement ID:** TPHRL-REQ\_DCA-31

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually trigger the withdrawal of an Application if certain criteria are validated and met (e.g. for periods of inactivity, multiple no-shows, multiple failure to book Assessment, multiple failure to pass Assessment etc.), subject to Business Rules.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p>
Rationale:	N/A

### Record Assessment Outcome with Additional Information

**Requirement ID:** TPHRL-REQ\_DCA-15

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to record an Assessment outcome (e.g. pass, fail, disqualified, grade/mark), with options to record additional information (e.g. test Centre, date/time of Assessment, examiner, assessor, Assessment stage etc.). This may include the details of the Assessment, e.g. routes assessed on a Knowledge appearance or examination.</p>
Rationale:	N/A

### Trigger Workflow

**Requirement ID:** TPHRL-REQ\_DCA-32

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall provide the capability to trigger a specific Workflow, subject to Business Rules.</p> <p>These include but are not limited to ability to trigger Workflows based on the status of the Assessment, receipt of exceptional Booking request (e.g. for reasonable adjustments) etc.</p> <p>Refer to TPH – Business Rules 17 – English Language</p> <p>Refer to TPH – Business Rules 07 – Topographical</p> <p>Refer to TPH – Business Rules 10 – Vehicles</p>
<b>Rationale:</b>	N/A

### Renew Licence

All Customers, regardless of Licence Type, shall receive Renewal Notification and Expiry Notification via their Preferred Method of Communication.

The Service System should enable Customer to Renew their Licences via an Online Portal and via a postal submission. Whilst the postal route will be accepted by TfL the primary and incentivized route shall be through the Online Portal. Charges are expected to be applied to Customers that wish to have postal packs sent out to them subject to Business Rules.

Customers wishing to Renew their Vehicle Licences shall be able to book a Renewal Inspection via their Online Portal, or by contacting the TfL Contact Centre (via telephone, email, or post), however, as with Driver Licences, Customers will be encouraged to use the Online Portal.

### Send Renewal Reminder Notifications

**Requirement ID:** TPHRL-REQ\_RNW\_DL-2

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall provide the capability to automatically send Renewal Reminder Notifications to a Customer on a Configured period of time before the Licence is due to Expire via the Customer's Preferred Method of Communication. The period of time the Renewal Reminder Notification is issued will vary depending on the Licence Type.</p> <p>Refer to TPH - Business Rules 04 - New Driver and Renewals.</p>
<b>Rationale:</b>	N/A

### Configure Renewal Reminder Notifications

**Requirement ID:** TPHRL-REQ\_RNW\_DL-3

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure Renewal Notifications to be sent to Customers, including but not limited to: contents, frequency, applicable Licence Type(s), timelines for triggering prior to Licence Expiry, Vehicle age (for Vehicles only - this will dictate whether a Renewal is permitted), Driver age etc.

Refer to TPH - Business Rules 04 - New Driver and Renewals

**Rationale:** N/A

### Calculate Vehicle/Driver Age

**Requirement ID:** TPHRL-REQ\_RNW\_DL-33

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically calculate and take into account the age of a Vehicle/Driver and other locally Configurable parameters to be agreed with TfL, when processing Applications, Notices and re-licensing. Example: A Vehicle will only be allowed for a Vehicle Inspection depending on its age, emissions criteria and any Exemptions that exist.

**Rationale:** N/A

### Recognise Licence Status

**Requirement ID:** TPHRL-REQ\_RNW\_DL-31

**Priority:** Must have

**Description:** The Service System shall provide the capability to recognise the Licence Status to determine if a Renewal Reminder Notification should be automatically issued.

For example, an automatic Renewal Reminder Notification shouldn't be sent if a Driver/Vehicle Licences has a status of Suspended, Revoked etc

Refer to TPH - Business Rules 13 - Post Licensing

**Rationale:** N/A

### Send Expiry Notification

**Requirement ID:** TPHRL-REQ-2119

**Priority:** Must have

**Description:** The Service System shall provide the capability to send an Expiry Notification to a Customer at a Configured number of days before the Licence Expiry Date, in accordance with Business Rules. The time frame for the Expiry Notification being triggered shall be Configurable by an Authorised User. The notice shall be delivered to a Customer via any of the relevant contact channels, subject to the Preferred Method of Communication.

**Rationale:** N/A

### Send Expired Notification

**Requirement ID:** TPHRL-REQ\_RNW\_DL-27

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to send Expiry Notifications to Customers, on expiry of their Licence, subject to Business Rules.</p> <p>The timeframe for the Expiry Notification being triggered shall be Configurable by an Authorised User.</p> <p>The notice shall be delivered to a Customer via any of the relevant contact channels, subject to the Preferred Method of Communication.</p> <p>Refer to TPH - Business Rules 13 - Post Licensing</p>
Rationale:	N/A

### View On-Screen Expiry Notification Reminder (Online)

**Requirement ID:** TPHRL-REQ\_RNW\_DL-28

**Priority:** Must have

Description:	<p>The Service System shall provide the capability for an Expiry notification message to be displayed on-screen to a Customer (i.e. when Licence is reaching its Expiry Date or has expired), each time they access their Customer Account via the Online Portal.</p>
Rationale:	N/A

### Configure Expiry Notifications

**Requirement ID:** TPHRL-REQ\_RNW\_DL-30

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure expiry notifications, including but not limited to: contents, frequency, applicable Licence Type(s), timelines for triggering prior to or after Licence expiry etc.</p> <p>For example, the expiry notifications issued to a Customer includes but are not limited to:</p> <ul style="list-style-type: none"> <li>a) the date the Licence is due to expire;</li> <li>b) how to apply for a Renewal; and</li> <li>c) that if a Renewal is not submitted before a specified date, it may result in the Customer not being continuously Licensed.</li> </ul>
Rationale:	N/A

### Pre-Populate Renewal Application Form

**Requirement ID:** TPHRL-REQ\_RNW\_DL\_PO-4

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to pre-populate the Renewal Application Form with existing Customer Account and Licence Record details.</p> <p>This will apply to both postal Applications and Applications submitted on the Online Portal</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Send Renewal Application Pack (Post)

**Requirement ID:** TPHRL-REQ-2120

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to send a Renewal Application Pack to a Customer at a Configured period of time before the Licence is due to expire, via the postal channel, in accordance with Business Rules.</p> <p>The Application forms shall be pre-populated with the information available/recorded about the Customer.</p> <p>Example - A medical form shall be included in a Renewal Application Pack for any PHV Driver over 45 years old. A 'Living and Working Abroad' form could be sent where the Customer has been outside the UK.</p>
Rationale:	Postal Application Packs to be optional, and not the preferred method of Renewing a Licence. Online Portal is the preferred method, and will be promoted within TfL.

### Complete Renewal Application (Online)

**Requirement ID:** TPHRL-REQ-2121

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to complete a Renewal Application for a Licence due to expire and upload all supporting Documentation, subject to Business Rules.</p> <p>For PHV Drivers over 45 years, additional medical questions will be asked and a personalised medical form will be posted for completion by a medical practitioner with access to their full medical history. They will be required to upload their completed medical form as part of their online Application.</p> <p>Refer to TPH - Business Rules 04 - New Driver and Renewals</p>
Rationale:	N/A

### Prevent Invalid/Incomplete Renewal Applications

**Requirement ID:** TPHRL-REQ\_RNW\_DL-36

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to perform data validation of Customer details in accordance with Configured Validation Rules, to prevent an invalid Licence Renewal.</p> <p>Circumstances include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Debt existing on a Customers Account etc</li> <li>• Expectation to recognise that leave to remain documentation was provided in support of a previous Application and will, or will not, now be required to be provided in support of the Renewal Application (e.g. recognise that a UK passport was provided with the new Application and so is not needed upon Renewal)</li> </ul> <p>Refer to TPH - Business Rules 04 - New Driver and Renewals</p>
Rationale:	N/A

### View Renewal Pack Delivery Status

**Requirement ID:** TPHRL-REQ\_RNW\_DL-35

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view the recorded delivery tracking reference and progress of the tracking of the document(s) and/or Form(s) sent against the relevant Customer Account and/or Licence Record.</p>
Rationale:	N/A

### Add Application to Workflow (Automated and Manual)

**Requirement ID:** TPHRL-REQ\_RNW\_DL-15

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically initiate a Workflow to review a Renewal Application which has been received in the Service System.</p> <p>The Service System shall also enable an Authorised User to manually initiate a Workflow for review as and when required.</p>
Rationale:	N/A

### Record Outcome of Renewal Request

**Requirement ID:** TPHRL-REQ\_RNW\_DL-38

**Priority:** Must have

**Description:** The Service System shall provide the capability to record the outcome of a Customer's Renewal request. Recorded outcomes include but are not limited to:

- Licence issued
- Licence rejected
- Licence withdrawn

**Rationale:** N/A

### Update / Replace Licences

#### Request Replacement (All Channels)

**Requirement ID:** TPHRL-REQ\_RPL\_DL-1

**Priority:** Must have

**Description:** The Service System shall enable a Customer to Request a replacement of their Licence materials (paper Licence or Badge etc.) and this will apply to any Licence Type via any of the relevant Communication Channels e.g. via TfL Contact Centre, Online Portal etc.

The Customer shall be able to indicate which of the Licence Materials require replacement.

The Service System will assist the Customer to determine which materials need replacing e.g. should a Taxi driver lose their Badge, the Service System should indicate that the Customer will also need a replacement Licence and Identifiers. If a Customer changes the address then a new paper Licence will be required (for each Licence Type held).

**Rationale:** N/A

#### Return of Licence Material for Replacement

**Requirement ID:** TPHRL-REQ\_RPL\_DL-20

**Priority:** Must have

**Description:** The Service System shall provide the capability to record and monitor the return of any Licence parts that are due to be returned in relation to the Customers Request for a replacement.

This will apply to any Licence parts that have not been lost/stolen/destroyed.

**Rationale:** N/A

### Request Update (All Channels)

**Requirement ID:** TPHRL-REQ-3126

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable a Customer to Request an update to one or more details of an existing Licence e.g. Licence name, Licence address, change of name and/or address, change of ownership, change of VRM, Exemption (e.g. from carrying guide/assistance dogs, carrying wheelchair users) etc., via applicable Communication Channels (including but not limited to email, post, telephone, Online Portal), subject to Business Rules.</p> <p>(The primary Communication Channel will be the Online Portal, with the TfL Contact Centre promoted as a Communication Channel of last resort).</p> <p>The Customer shall be able to indicate which of the Licence details requires a change/update (change of ownership, change of VRM).</p> <p>Refer to TPH - Business Rules 03 - Customer Account</p>
<b>Rationale:</b>	N/A

### Request Exemption (All Channels)

**Requirement ID:** TPHRL-REQ\_RPL\_DL-21

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable a Customer to Request an Exemption to an existing Licence e.g. Exemption from carrying guide/assistance dogs, carrying wheelchair users as per Taxi Accessibility Regulations etc., via applicable Communication Channels (including but not limited to email, post, telephone, Online Portal), subject to Business Rules.</p> <p>(The primary Communication Channel will be the Online Portal, with the TfL Contact Centre promoted as a Communication Channel of last resort).</p> <p>Refer to TPH - Business Rules 03 - Customer Account</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
<b>Rationale:</b>	N/A

### Prevent Invalid Replacement Licence Requests

**Requirement ID:** TPHRL-REQ\_RPL\_DL-12

**Priority:** Must have

**Description:** The Service System shall provide the capability to restrict replacement Licence Materials requests, including but not limited to:

- Ensuring the Customer holds an active Licence
- Ensuring it is for the same Licence Type
- Ensuring same details are included on the Licence e.g Expiry Date

Refer to TPH - Business Rules 13 - Post Licensing

**Rationale:** N/A

### Restrict Frequent Replacement Requests

**Requirement ID:** TPHRL-REQ\_RPL\_DL-14

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure a minimum time limit within which a Customer cannot make another Request for the same replacement Licence material.

The Authorised User shall have the ability to override the restriction where appropriate.

Refer to TPH – Business Rules 04 - New Drivers and Renewals

**Rationale:** This is to prevent fraudulent activities where a Customer requests multiple replacement Licences over a short space of time without justification.

### Notify Frequent Replacement Activity

**Requirement ID:** TPHRL-REQ\_RPL\_DL-16

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically notify an Authorised User when a Customer has made more than a specified number of Requests for replacement Licence Materials within a set period.

Refer to TPH – Business Rules 04 - New Drivers and Renewals

**Rationale:** N/A

### Specify Replacement Reason(s)

**Requirement ID:** TPHRL-REQ\_RPL\_DL-2

**Priority:** Must have

**Description:** The Service System shall enable a Customer or an Authorised User to specify the reason(s) why a replacement Licence is required. Reason(s) may be selected from a Configured list, or entered as free text when selecting an 'other' option.

**Rationale:** N/A

### Specify Update Reason(s)

**Requirement ID:** TPHRL-REQ-3127

**Priority:** Must have

**Description:** The Service System shall enable a Customer or an Authorised User to specify reason(s) why an update to a Licence is required. Reason(s) may be selected from a Configured list, or entered as free text when selecting an 'other' option.

If there are multiple changes required to the Licence, the Service System shall enable the Customer or Authorised User to record multiple reasons for the change.

**Rationale:** N/A

### Configure Update Reason(s)

**Requirement ID:** TPHRL-REQ\_EXE-7

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the reason(s) available for a Customer to select when requesting an update to their Licence details, including but not limited to:

- Change of name
- Change of address
- Request for Exemption etc.

A mandatory drop down list of options relevant to the change requested, as well as a free text option shall be made available.

**Rationale:** N/A

### Configure Replacement Reason(s)

**Requirement ID:** TPHRL-REQ\_RPL\_DL-18

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the reason(s) available to a Customer for requesting a replacement Licence or Licence materials.

**Rationale:** N/A

### Display Supporting Document Requirements

**Requirement ID:** TPHRL-REQ-3278

**Priority:** Must have

Description:	The Service System shall determine a list of all Documents required in support of the Customer's Request and display the same to the Customer and Authorised User. The list of Documents displayed to the Customer or Authorised User shall vary depending on the Request raised. The list of Documents shall be Configurable by an Authorised User.
Rationale:	N/A

### Attach Supporting Documentation

**Requirement ID:** TPHRL-REQ-3128

**Priority:** Must have

Description:	The Service System shall enable a Customer to provide and attach Documentation in support of their request to update/replace Licence details or Licence Materials.  Refer to TPH - Appendix 14 - Information - Customer Licence Data
Rationale:	N/A

### Validate Data and Documents

**Requirement ID:** TPHRL-REQ-3130

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically validate the Data and Documents provided by a Customer in support of a Request created. Data and Documents shall be validated by Document type and content.  Refer to TPH - Appendix 14 - Information - Customer Licence Data
Rationale:	N/A

### Request Licence Replacement Payment

**Requirement ID:** TPHRL-REQ\_RPL\_DL-15

**Priority:** Must have

Description:	The Service System shall provide the capability to generate and request a Payment for specific Licence materials, as specified by TfL.
Rationale:	N/A

### Review Request

**Requirement ID:** TPHRL-REQ-3133

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to receive and review a Customer Request for a replacement of Licence Materials or update of Licence details. This includes but is not limited to the Request Data and all Documents attached.</p> <p>The Service System shall enable an Authorised User to record and review comments to the Request record.</p>
Rationale:	N/A

### Manage Request Status

**Requirement ID:** TPHRL-REQ-3131

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically assign a status to a Request and update as it progresses through the Workflow.</p> <p>Examples of statuses include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Created</li> <li>• Submitted</li> <li>• In progress</li> <li>• Rejected</li> <li>• Approved</li> <li>• Withdrawn</li> <li>• Posted</li> </ul> <p>An Authorised User shall also be able to Configure the statuses assigned.</p> <p>Refer to TPH - Appendix 14 - Information - Customer Licence Data</p>
Rationale:	N/A

### Respond to Request

**Requirement ID:** TPHRL-REQ-3274

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to respond to a Request submitted by a Customer via any of the relevant Communication Channels based on the Customer's Preferred Method of Communication (Preferred Method of Communication).</p> <p>The Authorised User shall be able to trigger a response via the Online Portal, with an option for other Communication Channels, subject to Business Rules.</p> <p>Examples of responses include but are not limited to: request additional Documentation to support a Driver Licence name change, an appearance at a Vehicle Inspection Centre to receive the Licence Materials etc.</p> <p>Refer to TPH - Business Rules 01- Supplier Contact Centre</p> <p>Refer to TPH - Business Rules 02 - TfL Contact Centre</p>
<p>Rationale:</p>	<p>N/A</p>

### Record Request Metadata

**Requirement ID:** TPHRL-REQ\_RPL\_DL-6

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to automatically record the date and time that any Request is received by post, email, Online Portal or telephone Communication Channels.</p>
<p>Rationale:</p>	<p>N/A</p>

### End-date Licence Record

**Requirement ID:** TPHRL-REQ-3282

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall automatically apply an end-date to a Licence record and enable an Authorised User to override or amend the end date.</p> <p>The Authorised User shall be able to end-date the Licence record for any date in the future.</p> <p>Refer to TPH – Business Rules 04 - New Drivers and Renewals</p>
<p>Rationale:</p>	<p>Might be required if TfL determines the Customer needs to apply for a new Licence due to the change requested, and the old Licence then needs to be invalidated. This is an automated activity in general when a Licence record has expired and it can also be accomplished via a Workflow where required.</p>

### Specify Reason(s) for Applying End-date to Licence Record

**Requirement ID:** TPHRL-REQ\_RPL\_DL-22

**Priority:** Must have

Description:	The Service System shall enable a Customer or an Authorised User to specify reason(s) why an update to the end-date of a Licence is required. Reason(s) may be selected from a Configured list, or entered as free text when selecting an 'other' option.
Rationale:	N/A

### Configure End Date Functionality

**Requirement ID:** TPHRL-REQ\_RPL\_DL-23

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure the automatic end-date of a Licence Record, or enable an Authorised User to override or amend the end date.  A mandatory drop down list of options relevant to the change requested, as well as a free text option shall be made available.
Rationale:	N/A

### Update Licence Record

**Requirement ID:** TPHRL-REQ\_EXE-5

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically update a Licence Record with changes made to the Licence (e.g. Licence Exemptions, name change, update named director details etc.).
Rationale:	N/A

### Issue Numbers

**Requirement ID:** TPHRL-REQ\_RPL\_DL-25

**Priority:** Must have

Description:	The Service System shall provide the capability to ensure that all Licences and Licence Materials include Issue Numbers.
Rationale:	N/A

### Update Of Issue Numbers

**Requirement ID:** TPHRL-REQ\_RPL\_DL-26

**Priority:** Must have

Description:	The Service System shall provide the capability to ensure that Issue Numbers are automatically updated when a new Licence and /or Licence materials are issued to a Customer.
Rationale:	N/A

### Return Of Licence and /or Licence Materials

**Requirement ID:** TPHRL-REQ\_RPL\_DL-27

**Priority:** Must have

**Description:** The Service System should provide the capability to chase the return of a Licence and/or Licence Materials that have not been returned and/or destroyed.

**Rationale:** N/A

### Returned Licence and /or Licence Materials Workflow

**Requirement ID:** TPHRL-REQ\_RPL\_DL-28

**Priority:** Must have

**Description:** The return of Licence/Licence Materials should be recorded in the system and trigger further actions via Workflow where required.

**Rationale:** N/A

## Age Related Medicals and Medical Reviews

This section includes requirements that relate to Medical Assessments outside of the scope of the regular Licence Renewal cycle. Included therefore are Medical Assessments triggered by, including but not limited to, a Customer reaching a certain age, a Condition held against a Licence Record of a Customer or notification of a Customer's change in health and ad-hoc Assessment requests based on Intelligence received.

For awareness, there is a different process for age related medicals for Licenced Drivers. A Taxi Driver is required to provide a medical form on their birthday (these are currently set at 50, 56, 62, and 65 years old). A PHV Driver is required to provide a medical in support of their Renewal when they are 45 years old and over. Age thresholds are subject to Business Rules.

### Configure Medical Assessment Notifications

**Requirement ID:** TPHRL-REQ\_AGE\_MED-11

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the Customer criteria for triggering and determining the content and Workflow of the automated notifications about Medical Assessments to Customers.

Refer to TPH – Business Rules 18 – Medicals

**Rationale:** N/A

### Notify Customer of Medical Assessment (Automated)

**Requirement ID:** TPHRL-REQ\_AGE\_MED-7

**Priority:** Must have

Description:	<p>The Solution shall provide the capability to automatically notify a Customer of the need for them to submit a Medical Assessment Form or medical reports based on configured timescales and conditions. The Customer shall be notified using their Preferred Method of Communication.</p> <p>Scenarios include, but are not limited to: Age Related Medical reviews - when Customers with conditions on the licence record reach a point where a Medical Assessment is required etc.</p> <p>Refer to TPH – Business Rules 18 – Medicals</p>
Rationale:	N/A

### Notify Customer of Medical Assessment (Manual)

**Requirement ID:** TPHRL-REQ\_AGE\_MED-1

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to trigger and Configure a request to a Customer for them to submit a Medical Assessment Form or medical reports.
Rationale:	N/A

### Submit Medical Assessment (Online)

**Requirement ID:** TPHRL-REQ\_AGE\_MED-8

**Priority:** Must have

Description:	The Service System shall enable a Customer to submit a Medical Assessment Form or Medical reports, including any applicable attachments, via the Online Portal.
Rationale:	N/A

### Link Medical Forms and Documents to Licence Record (Automated)

**Requirement ID:** TPHRL-REQ\_AGE\_MED-12

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically recognise medical Forms/information submitted by a Customer and link these to the relevant Licence Record and corresponding Workflow (if present/applicable)
Rationale:	N/A

### Link Medical Forms and Documents to Licence Record (Manual)

**Requirement ID:** TPHRL-REQ\_AGE\_MED-13

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to manually recognise medical Forms/information submitted by a Customer and link these to the relevant Licence Record and corresponding Workflow (if present/applicable)

**Rationale:** N/A

### Assign Medical Assessment to Review Workflow

**Requirement ID:** TPHRL-REQ\_AGE\_MED-10

**Priority:** Must have

**Description:** The Service System shall enable TfL Teams (e.g. Licensing teams, Managers or Occupational Health) to participate in a review, as has been defined within a Workflow, and provide any supporting information/Documents as required to complete the review.

**Rationale:** Should a review be requested, the Service System shall only allow the Occupational health team to view the relevant medical information and no other personal information stored.

### Record Outcome of Medical Assessment

**Requirement ID:** TPHRL-REQ\_AGE\_MED-5

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to review a Medical Assessment Form or medical reports submitted by a Customer and record the outcome of a review. This shall include, but not limited to an Authorised User being able to perform multiple checks as defined within a Workflow e.g.

- carry out the assessment of a medical form
- escalate to Occupational health
- request further information before a final outcome is made.

**Rationale:** N/A

### View Medical Assessment Outcomes and Documents

**Requirement ID:** TPHRL-REQ\_AGE\_MED-4

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view the outcomes of a Medical Assessment completed for a Customer. This shall include but is not limited to the comments and recommendations within the Service System and all documents, including the referral outcome document from Occupational Health.

**Rationale:** N/A

### Complete Medical Assessment (Medical Practitioner)

**Requirement ID:** TPHRL-REQ\_AGE\_MED-14

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall provide the capability for a medical practitioner to complete a Medical Assessment in support of a Driver Licence Application (new, Renewal or change). This may be include using a a web form or validated access to the Online Portal.</p> <p>The medical practitioner shall be able to specify details including but not limited to: select applicable Licensee, responses to medical questions, upload attachments, submit free text comments, provide an electronic signature etc.</p> <p>Refer to TPH – Business Rules 18 – Medicals</p>
<p><b>Rationale:</b></p>	<p>The use of a web form for submission of medical forms is a potential future process that is proposed by TfL.</p> <p>The existing operation involves a medical practitioner completing a paper-based form and returning this to the TfL .TfL would invite input from Suppliers as to how such functionality would be delivered, including but not limited to: the ability to verify the identity of a general practitioner, how the process would function if general practitioners were unable to complete the form for technical reasons etc.</p>

### Validate Medical Practitioner Identity

**Requirement ID:** TPHRL-REQ\_AGE\_MED-15

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall provide the capability to validate the identity of the submitters of medical web forms as known medical practitioners.</p>
<p><b>Rationale:</b></p>	<p>The use of a web form for submission of medical Forms is a potential future process that is proposed by TfL. TfL requires assurance that a medical Form has been completed by the medical practitioner and there is no risk that any other individual has submitted the Form. TfL would therefore invite the Supplier to respond with possible options to operate efficient and effective validation checks.</p> <p>Validation checks could include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Identifying whether the submitter exists in the General Medical Council GPs database</li> <li>• Checking whether a submitter has previously submitter records to TfL</li> <li>• A facility for the medical practitioner to upload documentation to prove their identity.</li> </ul>

## Vehicle Licensing

This section lists the Service System requirements that shall enable the performing of Vehicle Licensing. The predominant users of this Service System functionality shall therefore be the Lot 2 Supplier Authorised Users and Vehicle Licensees.

In vast majority of the cases, Vehicle Licensing requires the Inspection of the Vehicle and associated Documentation. A Booking has to be made for a Vehicle Inspection. Once a Booking is made successfully, the Customer can attend a Vehicle Inspection at one of the designated Inspection Centres, or at an agreed address for a Mobile Inspection. Lot 2 Supplier Personnel perform Vehicle Inspections and shall record the outcome and details in the Service System.

### Performing Inspections

This section includes the Service System requirements to enable Vehicle Licensing activities, these include but are not limited to:

- Configuring Inspection checks
- Recording Customer attendance at Inspections
- Recording Customer and Vehicle details
- Scanning Vehicle documentation
- Recording Vehicle Inspection outcomes

For more information of the types of inspections and how Inspections are performed refer to the following Appendices:

- TPH - Appendix 23 - Information - Vehicle Inspection Types and Definitions
- TPH - Appendix 17 - Policy - Vehicle Licensing Inspection Manual

## Configure Vehicle Inspections

**Requirement ID:** TPHRL-REQ-4564

**Priority:** Must have

**Description:**

The Service System shall enable an Authorised User to Configure Vehicle Inspection Types. The inspection types shall relate specifically to one or more types of Vehicle Inspection. Configuration may change based on different Licence Types.

The Inspection configuration shall include the setting of a number of items, these include but are not limited to:

- Inspection name
- Vehicle type
- Inspection steps / checks
- Inspection questions
- Documentation to scan and review
- Photographs required
- Status/outcome options

For information, TfL operate as a minimum the following Vehicle Inspection types.

- Standard Licensing Inspection
- Vehicle Re-test
- Vehicle Exemption Check
- Vehicle Modification Check
- Non-Mechanical Inspection
- Unfits (Typically where a TfL On-Street Inspector has identified a Vehicle failure on-street)
- Accident Reviews
- Lost/Replacing Licence discs

These are described in more detail in TPH - Appendix 23 - Information - Vehicle Inspection Types and Definitions.

**Rationale:**

N/A

### Check-in (Authorised User)

**Requirement ID:** TPHRL-REQ-2095

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to check a Vehicle in, against the Booking details held.</p> <p>The Service System shall enable an Authorised User to manually record details including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Booking attended</li> <li>• Driver/Fleet owner details</li> <li>• Documents submitted</li> </ul>
Rationale:	N/A

### Check-in (Automated)

**Requirement ID:** TPHRL-REQ-3203

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically check in a Vehicle at an Inspection Centre.</p> <p>The Service System shall provide the capability to perform check-in functions including:</p> <ul style="list-style-type: none"> <li>• Verify the Vehicle details against the Booking details maintained</li> <li>• Record timestamp details (e.g. arrival time)</li> </ul>
Rationale:	N/A

### Check-in (Self-Service)

**Requirement ID:** TPHRL-REQ-3235

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to complete a self check-in of a Vehicle at an Inspection Centre.</p> <p>The Service System shall provide the capability to perform functions including but not limited to:</p> <ul style="list-style-type: none"> <li>• Verify the Vehicle details against the Booking details maintained</li> <li>• Timestamp details (e.g. arrival time)</li> </ul>
Rationale:	N/A

### Record Non-Attendance (Authorised User)

**Requirement ID:** TPHRL-REQ-2096

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to record non-attendance against a Booking, if the Customer does not show up within specified timeframes (e.g. 20 minutes after the Booked Inspection time).

Refer to TPH – Business Rules 10 - Vehicles

**Rationale:** N/A

### Record Non-Attendance (Automated)

**Requirement ID:** TPHRL-REQ-3204

**Priority:** Must have

**Description:** The Service System shall provide the capability to record non-attendance against a Booking, if the Customer does not show up within specified timeframes (e.g. 20 minutes after the booked Vehicle Inspection timeslot).

Refer to TPH – Business Rules 10 - Vehicles

**Rationale:** N/A

### Scan and Upload (Authorised User)

**Requirement ID:** TPHRL-REQ-2098

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to scan and upload Documentation provided by the Customer, at the point of the Vehicle Inspection. Examples of valid Documents include but are not limited to:

- MOT
- Vehicle insurance
- Log book (V5)
- Modification documents

The Documents shall be stored against the Vehicle Record.

**Rationale:** In the majority of cases, Customers are expected to upload Documentation at the point of Booking a Vehicle Inspection via their Online Portal.

However, Customers will be able to bring the supporting Documentation with them to their Vehicle Inspection Booking.

This requirement is intended to support Customers who provide original Documentation onsite, and support the Authorised Users to scan and upload the Documents against the Vehicle record in the Service System.

### Label scanned documents

**Requirement ID:** TPHRL-REQ-3190

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically label/name a successfully scanned document.

The Service System shall enable an Authorised User to edit/ re-name a system-applied label.

**Rationale:** N/A

### View Scanned Documents

**Requirement ID:** TPHRL-REQ-3192

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view a scanned document.

The scanned documents shall be accessible and viewable in formats including but not limited to PDF format.

**Rationale:** N/A

### Scan and Upload (Customer)

**Requirement ID:** TPHRL-REQ-3211

**Priority:** Must have

**Description:** The Service System shall enable a Customer to scan and upload documents in support of their Vehicle Inspection, while onsite at an Inspection Site.

Examples of valid documents include but is not limited to the following:

- MOT
- Vehicle insurance
- Log book (V5)
- Modification documents

The Service System shall automatically store the documents against the Vehicle Record.

**Rationale:** N/A

### Link Scanned Record

**Requirement ID:** TPHRL-REQ-3212

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically link a scanned document to the corresponding Customer Account.

**Rationale:** N/A

### Validate Documents

**Requirement ID:** TPHRL-REQ-3193

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to perform (automated, semi-automated and/or manual) checks against the Documents provided by a Customer at a Vehicle Inspection Centre, according to Configured Validation Rules.</p> <p>The Service System shall provide the capability to validate Documents including but not limited to:</p> <ul style="list-style-type: none"> <li>• MOT</li> <li>• Vehicle insurance</li> <li>• Log book (V5)</li> </ul> <p>The Service System shall provide the capability to validate the documents using Third Party data sources. Refer to TPH - Schedule 6.5 - Systems Integration for further details.</p>
Rationale:	N/A

### Record Document Validation Outcomes

**Requirement ID:** TPHRL-REQ-2107

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record the validation outcomes of the documents provided by the Customer, against relevant Third Party data sources.</p> <p>Such Third Parties include but are not limited to the DVSA, MIB etc.</p> <p>The Service System shall capture outcomes against the Licence Record.</p>
Rationale:	N/A

### Record Licence Surrender

**Requirement ID:** TPHRL-REQ-2116

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall enable an Authorised User to capture the details of a Vehicle Licence that has been Surrendered (disc or similar Licence for PHV and plates, internal and rear for Taxis), details including but not limited to reasons for Surrendering (e.g. stolen, lost or destroyed Licence etc.), date of Surrender etc.</p> <p>The Authorised User shall be able to record what Licence Materials were returned, and what if any Licence Materials are awaiting return.</p>
<p><b>Rationale:</b></p>	<p>This requirement only applies when a previous Licence has been issued to the Customer.</p> <p>For the Vehicles (both Taxi and PHV) that are to be re-licensed, the existing Licence has to be Surrendered. Owner or keeper of a Vehicle/authorised presenter sign a disclaimer form (where applicable) and a surrender of Licence Form to surrender the Vehicle Licence.</p> <p>If the Customer fails to surrender the licence, the Vehicle could fail the inspection but that is dependent on the non-surrender reason i.e If the Licence has been reported as lost, the Vehicle should not fail the Inspection.</p>

### Update Vehicle Licence Status

**Requirement ID:** TPHRL-REQ-2099

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall enable an Authorised User to update an existing Licence Status, in the instance that a Vehicle is to be re-licensed.</p> <p>Example of Licence Statuses are "Surrendered", "active", "stolen" etc.</p> <p>Refer to TPH – Business Rules 10 - Vehicles</p>
<p><b>Rationale:</b></p>	<p>N/A</p>

### Review Inspection Documentation

**Requirement ID:** TPHRL-REQ-3195

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to review the Documents provided by a Customer at a Vehicle Inspection Site.

The Authorised User shall be able to confirm the Documents provided including but not limited to the ability to:

- record the Documents provided by the Customer,
- record the Documents not provided by the Customer
- flag any potential failures against the Vehicle Inspection Standards
- flag any advisories issued on the Documents e.g. MOT
- record mileage against the MOT certificate etc.

Refer to TPH – Business Rules 10 - Vehicles

**Rationale:** N/A

### Record Outcome of Documentation Check

**Requirement ID:** TPHRL-REQ-2108

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to record the outcome of the documentation check.

Possible outcomes include but are not limited to:

- PASS, if all the documents necessary are provided and successfully validated
- FAIL, if one or more documents were not provided or were not successfully validated.

The Customer shall proceed to a physical inspection even if the document check fails.

Refer to TPH – Business Rules 10 - Vehicles

**Rationale:** N/A

### Capture Inspector Details

**Requirement ID:** TPHRL-REQ-2101

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically capture the details of the Inspector checking Documentation or a Vehicle. Such details include however are not limited to the Inspector's number, name, start and end time, date etc.

**Rationale:** N/A

### Display Compliance Activity

**Requirement ID:** TPHRL-REQ-4582

**Priority:** Must have

**Description:** The Service System shall provide the capability to display details of all Compliance Activity history to an Authorised User during the Vehicle Inspection process Workflow, subject to data protection restrictions. This shall include but not be limited to: details of all on-street Inspections performed, any Unfit Notices against a Driver or Vehicle, any ongoing investigations.

**Rationale:** N/A

### Capture Evidence of Inspection

**Requirement ID:** TPHRL-REQ-3219

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to capture and record evidence in support of an Inspection.

This shall include but is not limited to photographs of Inspection failure points, photographs of Licence Materials affixed on Vehicles etc

All evidence shall be recorded and stored against the Licence Record and/or Customer Account.

**Rationale:** N/A

### Capture Inspection Metadata

**Requirement ID:** TPHRL-REQ-3213

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically capture and report on data relating to a Vehicle Inspection.

This includes but is not limited to the ability to capture and report on:

- Arrival date and time of a Vehicle
- Check-in time of a Customer
- Start and end time of document check
- Start and end time of a Vehicle check

**Rationale:** N/A

### Capture Vehicle Check Details

**Requirement ID:** TPHRL-REQ-4560

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to capture Vehicle Inspection details (e.g. odometer readings, emissions levels) and compare with previous Inspection readings.
Rationale:	N/A

### Capture Advisories

**Requirement ID:** TPHRL-REQ-3224

**Priority:** Must have

Description:	The Service System shall provide the capability (automatically and manually) to capture and record any advisories as a result of a Vehicle Inspection.
Rationale:	N/A

### Record Inspection Outcome

**Requirement ID:** TPHRL-REQ-2102

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record the outcome of an Inspection. Possible outcomes include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Document check and Vehicle Inspection passed</li> <li>• Document check passed, Vehicle Inspection failed</li> <li>• Document check failed, Vehicle Inspection passed</li> <li>• Document check and Vehicle Inspection failed</li> </ul> <p>If the Vehicle fails Inspection, the Service System shall enable an Authorised User to record and list out the failure points specific to that Inspection e.g. documents not provided, Vehicle headlights broken etc.</p>
Rationale:	N/A

### Update Licence Record with Inspection Outcome

**Requirement ID:** TPHRL-REQ-3233

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to update the Licence Record with the Inspection Outcome.</p> <p>The Service System shall provide the capability to save and record the Vehicle Inspection Report against the Licence Record and the Customer Account.</p>
Rationale:	N/A

### Record Points of Failure of an Inspection

**Requirement ID:** TPHRL-REQ-3220

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically and manually (via an Authorised User) to record the failure points of a Vehicle Inspection. This includes but is not limited to document and Vehicle checks failed.

The Service System shall provide the capability to record the failure points using a pre-defined list Configured by an Authorised User.

**Rationale:** N/A

### Configure Inspection Failure Points/Reasons

**Requirement ID:** TPHRL-REQ-3221

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to create, Configure and modify a list of possible failure points of a Vehicle Inspection.

The Service System shall enable an Authorised User to Configure user-friendly descriptions which map to the failure points/reasons in the Vehicle Inspection Manual.

**Rationale:** N/A

### Display Failure Points in Inspection Report

**Requirement ID:** TPHRL-REQ-3222

**Priority:** Must have

**Description:** The Service System shall provide the capability to display the relevant Inspection failure points in a Vehicle Inspection report.

**Rationale:** N/A

### Report on Failure Points

**Requirement ID:** TPHRL-REQ-3223

**Priority:** Must have

**Description:** The Service System shall provide the capability to produce a Vehicle Inspection Report on the Inspections carried out per Inspection Site, with failure points relating to each Inspection.

The Service System shall provide the capability to filter and drill down on the Vehicle Inspection Report outputs using defined parameters. These include but are not limited to period(s) (day, week, month etc.), failure reason(s) etc.

**Rationale:** N/A

### View Points of Failure

**Requirement ID:** TPHRL-REQ-3234

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view the points of failure recorded against an Inspection.

The Authorised User shall be able to view the points of failure within the Licence Record and/or Customer Account.

**Rationale:** N/A

### Issue Vehicle Inspection Report

**Requirement ID:** TPHRL-REQ-2103

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to issue a Vehicle Inspection Report detailing the outcome of the Inspection (pass or fail), as well as any reasons for failing the Inspection and advisory e.g. Documents not provided, Vehicle headlights broken etc.

The Vehicle Inspection Report shall be issued with any additional materials as required and specified by TfL.

The Service System shall enable the Authorised User to issue a Vehicle Inspection Report via relevant Communication Channels, including but not limited to email, physical printed copy etc.

**Rationale:** N/A

### Issue Vehicle Inspection Report (Automated)

**Requirement ID:** TPHRL-REQ-3197

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically issue a Vehicle Inspection Report to the Customer, detailing the outcome of the Inspection (Pass), as well as any reasons for failing the Inspection and advisories.

The Service System shall provide the capability to automatically trigger the Vehicle Inspection Report to the Customer via their Online Portal.

The Service System shall also provide the capability to issue a Vehicle Inspection Report via relevant Communication Channels, including but not limited to email, physical printed copy etc.

The Vehicle Inspection Report shall be issued with any additional materials as required and specified by TfL.

**Rationale:** N/A

### Notify Customer of Statutory Rights (Failed Inspections)

**Requirement ID:** TPHRL-REQ-3162

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall provide the capability to notify a Customer who has failed a Vehicle Inspection of their statutory rights.</p> <p>These include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Inform the Customer of their statutory right to Appeal against a failed PHV Vehicle Inspection;</li> <li>• Inform the Customer of their statutory right to Appeal against a failed Taxi Vehicle Inspection in accordance with section 17 of the Transport Act 1985.</li> <li>• Inform the Customer of their statutory right to Book a Vehicle Inspection Re-Test.</li> </ul> <p>The Service System shall provide the capability to notify the Customer using the relevant Communication Channels, including but not limited to Online Portal, emails, print etc.</p> <p>Refer to TPH – Business Rules 10 - Vehicles</p>
<b>Rationale:</b>	N/A

### Print and Issue Vehicle Licence and other materials

**Requirement ID:** TPHRL-REQ-2104

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable an Authorised User to print and issue a Vehicle Licence and other Licence Materials (e.g. Taxi plates, PHV discs etc.), on successful completion and passing of an Inspection.</p> <p>The Authorised User shall be able to complete a checklist to indicate that these items have been issued to the Customer. The issued items should also be recorded (as a mock up) against the Vehicle Record.</p> <p>Refer to TPH – Business Rules 10 - Vehicles</p> <p>Refer to TPH - Appendix 15 - Print - Print Document Administration Catalogue</p>
<b>Rationale:</b>	N/A

### Track Inspection Performance against SLA

**Requirement ID:** TPHRL-REQ-3214

**Priority:** Must have

**Description:**

The Service System shall provide the capability to automatically track and report on Vehicle Inspection Performance Indicators against Lot 2 Supplier Service Levels.

This shall include but is not limited to the ability to track:

- Average duration of an Inspection (Documentation and Vehicle check) against Service Level targets
- Overall times of Inspections against Service Level Targets

The Service System shall provide the capability to track and report by various parameters, including but not limited to:

- Vehicle Inspection Site
- Vehicle Inspection bay
- Vehicle Inspection Type
- Vehicle Inspector
- Licence Type
- Vehicle make and model
- Fuel type
- Failure reasons
- Re-test reasons
- Date and time

**Rationale:**

N/A

### View Booking Calendar

**Requirement ID:** TPHRL-REQ-2097

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to view a Vehicle Inspection Centre's Booking Calendar and details of Vehicle Inspections confirmed for a particular time period e.g. per day, per week etc.</p> <p>The Authorised User shall be able to filter and drill-down on a Vehicle Inspection Centre's Booking Calendar by defined parameters e.g.</p> <ul style="list-style-type: none"> <li>• per time period e.g. day, week, month etc. (both in the past and the future)</li> <li>• per Vehicle</li> <li>• per Vehicle type (i.e. Private Hire Vehicle and Taxi)</li> <li>• per Vehicle Inspection Type/reason (e.g. Renewal, retest, accident/damage etc.)</li> <li>• per sample Quality Assurance check parameters (e.g. Vehicles that require a rolling road check)</li> </ul>
<p>Rationale:</p>	<p>Dependent on roles and permissions, the Authorised User here could be an Inspector at a site.</p> <p>This requirement will allow a centre plan and prepare for inspections at their centres on a day to day basis.</p>

### Assign Individual Vehicle to a Block Booking Slot

**Requirement ID:** TPHRL-REQ-3218

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer to assign a Vehicle to a particular Timeslot that is part of a Block Booking.</p>
<p>Rationale:</p>	<p>N/A</p>

### Release of Block Booking Slots

**Requirement ID:** TPHRL-REQ-4581

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to ensure that any Vehicle Inspection Timeslots that are reserved for Block Bookings and are subsequently not used by the Customer, are automatically released for general availability within a specified time period. Timescales to be agreed with TfL during the Design and Development Phase.</p>
<p>Rationale:</p>	<p>N/A</p>

### Book a Retest

**Requirement ID:** TPHRL-REQ-3227

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to book a Vehicle Re-Test.</p> <p>The Service System shall enable a Customer to book a Vehicle Re-Test via any of the relevant channels, including but not limited to the Online Portal, telephone, onsite at the Inspection Centre etc.</p> <p>Refer to TPH – Business Rules 10 - Vehicles</p>
Rationale:	N/A

### Perform a Retest

**Requirement ID:** TPHRL-REQ-3229

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to perform a Vehicle Re-Test on a Vehicle.</p> <p>The Service System shall enable an Authorised User to perform a Vehicle Re-Test against the failure points noted in the Vehicle Inspection Report.</p> <p>Refer to TPH – Business Rules 10 - Vehicles</p>
Rationale:	N/A

### Capture Outcome of Retest

**Requirement ID:** TPHRL-REQ-3230

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record the outcome of a Vehicle Re-Test Inspection.</p> <p>A Vehicle can fail or pass a Vehicle Re-Test.</p> <p>The Service System shall provide the capability to issue a Vehicle Inspection Report, and record any reasons for failure (if the Vehicle Re-Test is failed).</p> <p>Refer to requirements TPHRL-REQ-2103, TPHRL-REQ-3197</p> <p>Refer to TPH – Business Rules 10 - Vehicles</p>
Rationale:	N/A

## Maintain Vehicle Identity

**Requirement ID:** TPHRL-REQ-4569

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to maintain the true identify of a Vehicle regardless of changes to it's VRM (e.g. if the VRM changes to a personalised one).</p> <p>This ensures that we can see the true history of the Vehicle where there has been a change of details. Any searches of the previous VRM will identify the new or current record and highlight the link.</p>
Rationale:	N/A

### Performing Inspections with Handheld Devices

In order for the Lot 2 Supplier to perform effective and efficient Vehicle Inspections they require direct access into the Service System in order to undertake the most efficient Vehicle Inspection process. The Lot 2 Supplier shall provide Handheld Devices (HHDs) for this purpose.

The HHDs shall follow the Vehicle Inspection Manual routines (refer to Appendix – Vehicle Inspection Manual for more information), which, as a minimum, require the ability to:

- View Vehicle details
- Update Inspection Outcome (pass / fail / advisories)
- Scan / photograph / upload of supporting documentation attachments
- Taking and attaching photos / video directly from the HHD
- Confirm if additional tests are required

The Supplier shall provide suitable access to the Service System using a HHD. Refer to the requirements within this section for more details.

The intention is that the HHD should be an enabler to efficient Inspections and not in any way impede the day-to-day operations of the Vehicle Inspection Centres. Whilst the HHD is intended to be the most efficient method of performing an Inspection, Authorised Users shall also be able to perform Inspections using a web browser on a desk top computer or other suitable device in the event that the HHD is unavailable.

The requirements described in the Vehicle Licensing section relate to the core functionality expected of the Service System that shall be available to the Lot 2 Supplier.

### Perform Vehicle Inspection (Mobile Optimised)

**Requirement ID:** TPHRL-REQ-4516

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to perform a Vehicle Inspection on a HHD via a mobile optimised web browser view.</p> <p>The HHDs shall follow the Vehicle Inspection Manual routines (refer to Appendix – Vehicle Inspection Processing) for more information), which as a minimum, will provide the ability to:</p> <p>View Vehicle details</p> <ul style="list-style-type: none"> <li>• Update Inspection Outcome (pass / fail / advisories)</li> <li>• Scan / photograph / upload of supporting documentation attachments</li> <li>• Taking and attaching photos / video directly from the HHD</li> <li>• Confirm if additional tests are required</li> </ul> <p>Refer to TPH - Appendix 17 - Policy - Vehicle Licensing Inspection Manual.</p>
Rationale:	N/A

### Perform Vehicle Inspection (Mobile App)

**Requirement ID:** TPHRL-REQ-3515

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to perform a Vehicle Inspection via a Mobile App.</p> <p>The HHDs shall follow the Vehicle Inspection Manual routines (refer to Appendix – Vehicle Inspection Processing) for more information), which as a minimum, will provide the ability to:</p> <ul style="list-style-type: none"> <li>• View Vehicle details</li> <li>• Update Inspection Outcome (pass / fail / advisories)</li> <li>• Scan / photograph / upload of supporting documentation attachments</li> <li>• Taking and attaching photos / video directly from the HHD</li> <li>• Confirm if additional tests are required</li> </ul>
Rationale:	N/A

### Search Licence Record (Scanning)

**Requirement ID:** TPHRL-REQ-3518

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to search for a Licence Record by scanning a Unique Identifier from a Licence document with a HHD or manually entering a Unique Identifier reference. Unique Identifier(s) to be defined during the Design and Development Phase.</p>
Rationale:	N/A

### Capture Inspection Images

**Requirement ID:** TPHRL-REQ-3516

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to capture an image or video via a HHD and record this directly against the Vehicle Inspection Record.</p> <p>The Service System shall enable the recording to be done as an embedded functionality within a mobile optimised web portal and/or via a Mobile App</p>
Rationale:	N/A

### Perform Offline Inspection

**Requirement ID:** TPHRL-REQ-3517

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to carry out a Vehicle Inspection via a HHD when no connection to the Service System is available i.e. offline Inspection. The Service System shall ensure that all Data required as part of a Vehicle Inspection is captured offline and shall be automatically recorded against the relevant Licence Record once a connection has been restored.</p>
Rationale:	N/A

### Compatibility with Hand-Held Devices

**Requirement ID:** TPHRL-REQ-4840

**Priority:** Must have

Description:	<p>The Supplier shall ensure that the Service System is compatible with the Hand-Held Devices (HHDs) supplied by the Lot 2 Supplier, for the purposes of recording the results of Vehicle Inspections.</p> <p>The Supplier shall work with the Lot 2 Supplier throughout the design, build and test of the Service System to ensure that the Service System is compatible with the HHDs.</p>
Rationale:	

## Operator Licensing

### Operator Licensing

The requirements below describe the expected functionality required to support making an Application to obtain and maintain an Operator Licence.

An Operator is expected to make an Application in order to obtain a Private Hire Operator Licence via their Online Portal. Applications can also be done via post, by requesting an Application Form after answering mandatory questions over the telephone. For Renewals of an Operator Licence, this can also be done via the two channels listed above. However for the postal route a Renewal Application Pack shall be sent to the Customer prior to Licence Expiry, rather than them having to request it. They will also have the ability to Renew their Licence online via their Online Portal.

There are currently three different (paper) Forms that an Operator has to submit in order to initiate their Application process:

- PHV/101 Application Form – Operator Licence
- PHV/103 Personal Declaration Form (one required for each operational person associated with the Business )
- PHV/108 Operator Centre Information Form (one required for each Operator Centre associated to the Business)

Supplementary documentation may be required on a case by case basis.

The Online Portal should intuitively guide a Customer through the Application process by asking appropriate questions to determine their Operating Model, Operating Centres, and people involved in their Operations . The Customer and Operational Persons shall then be able to provide details and signed declarations of the specific people and centres, depending on the number indicated. The Service System should then save Records relating to people and centres.

### **Who is an Operator?**

According to the Private Hire Vehicles (London) Act 1998, TfL as the licensing authority, is tasked with the licensing and regulation of Private Hire Vehicles (PHVs), and the Drivers and Operators of such Private Hire Vehicles.

As an Operator cannot accept fares without a booking being made (as opposed to a Taxi), these bookings can be made through various means - in person, via telephone or more recently, via an app.

The TfL has to be able to License and ensure compliance of varying Operator Types.

### **Operator Types**

An Operator could be either a:

- Sole Trader
- Partnership
- Limited Company

Where an Application is successful and the organisation is:

- a sole trader, the Licence will be issued in the name of the organisation that applied for it
- an 'ordinary' partnership, the licence will be issued in the name of the organisation as specified in its application
- a limited liability company or LLP, the licence will be issued in the company's / LLP's registered name.

The Service System therefore needs to enable TfL to achieve this outcome.

### **Data Association**

There is also a unique relationship between an **Operator, the Driver and the Vehicles**. The Records of these entities are linked during the Application process, or as a business as usual activity through Compliance and data uploads.

### **Objective of Licensing Activities**

The purpose of regulation is to give Londoners confidence, when they use a Licensed Operator, that they are using the services of an honest, professional organisation with safe Private Hire Drivers and Vehicles.

The key objective for TfL with regards to Operator Licensing is to ensure that the Operator is fit and proper and able to discharge bookings to available Licensed Drivers and Vehicles in accordance with the necessary regulations.

In order to achieve this objective, TfL assesses the components of an Operator's business. These include but are not limited to the following:

- The person/individual
- The company, and
- The premises

The prospective Operator is required to provide information around the following areas:

- Convictions
- Bankruptcy
- Company directorship (any disqualification orders must be declared)
- Health and safety
- Accounts if required,
- Insurance
- Planning permission applicants must provide proof that the Operating Centre complies with local planning regulations.
- Right of abode and to work
- Previous applications
- DBS disclosure may be required for all Operational Persons, including those with access to Customer Personal Data

TfL work to confirm that the Operator is aware of their obligations in relation to Drivers and Vehicles available to them. This includes the regular upload of Driver and Vehicle information, but also includes record keeping requirements.

### **Submit Application**

#### **Submit Application (Online)**

This section includes the specific requirements that are unique to submitting an Operator Licence via the Online Portal, including but not limited to, triggering Applications for Operational Person(s) (i.e. persons nominated by an Customer applying for an Operator Licence who hold key roles within their operations who will be required to fill in a PHV/103 Personal Declaration Form as part of the Application process)

General Requirements relating to submitting an Application for an Operator Licence via the Online Portal are in the following sections - "Complete Application (Online)" and "Submit Application (Online)". This section includes but is not limited to:

- Completing an Application online
- Auto-populating Customer Details
- Viewing a progress tracker
- Completing declaration 1uestions
- Uploading supporting Documents
- Making Fee Payments
- Validating data requirements
- Validating mandatory requirements
- Saving Applications
- Submitting Applications

#### Answer Mandatory Questions (Online)

**Requirement ID:** TPHRL-REQ-3325

**Priority:** Must have

**Description:** The Service System shall enable a Customer to answer mandatory questions concerning an Operator Licence Application via their Online Portal, including but not limited to:

- Operator contact details
- Operating Model
- Licence Tier
- Operating Centres (for which PHV/108 Operating Centre Information Form will be required per location)
- Operational Persons (that will each be required to submit a PHV/103 Personal Declaration Form)

**Rationale:** N/A

### Request Postal Application Pack (Online)

**Requirement ID:** TPHRL-REQ-3358

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable a Customer to complete the set mandatory questions and request a postal Application Pack, subject to Business Rules. This shall include confirming details of the Operating Persons and Operating Centres for their Operator Licence Application, to ensure that the correct number of Forms are issued to the Customer.</p> <p>Business Rules include but are not limited to payment requirements before a postal Application Pack containing all of the required Forms, can be created.</p> <p>Refer to TPH – Business Rules 03 - Customer Account</p> <p>Refer to TPH - Business Rules 11 - Operator</p>
<b>Rationale:</b>	N/A

### Send Personal Declaration Notifications

**Requirement ID:** TPHRL-REQ-3319

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall provide the capability to automatically send Notifications to specified Operational Persons via email addresses provided, to complete PHV/103 Personal Declaration Forms. These Operational Persons shall be specified by a Customer in their Operator Licence Application.</p>
<b>Rationale:</b>	N/A

### Send Personal Declaration Reminder Notifications

**Requirement ID:** TPHRL-REQ-3324

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall provide the capability to automatically generate Reminder Notifications to the Customer who originally applied for a Licence and specified Operational Persons required to complete PHV/103 Personal Declaration Forms as part of an Operator Licence Application, subject to Business Rules. Notifications shall be sent via the Customer's Preferred Method of Communication (Preferred Method of Communication).</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
<b>Rationale:</b>	N/A

### Submit Personal Declaration Form (Online)

**Requirement ID:** TPHRL-REQ-3356

**Priority:** Must have

Description:	The Service System shall enable an Operational Person to submit a PHV/103 Personal Declaration Form online, against a valid Operator Licence Application. The Operational Person shall be able to attach supporting Documentation to their submission.
Rationale:	N/A

### Display Personal Declaration Submission Status

**Requirement ID:** TPHRL-REQ-3327

**Priority:** Must have

Description:	The Service System shall enable a Customer who is in the process of submitting or has submitted an Operator Licence Application to view the submission status of PHV/103 Personal Declaration Forms, via their Online Portal.
Rationale:	N/A

### Specify Additional Operational Persons (Online)

**Requirement ID:** TPHRL-REQ-3376

**Priority:** Must have

Description:	The Service System shall enable a Customer to specify additional Operational Persons required to complete PHV/103 Personal Declaration Forms via the Online Portal, prior to an Application being submitted.
Rationale:	N/A

### Prevent Application Submission

**Requirement ID:** TPHRL-REQ-3326

**Priority:** Must have

Description:	The Service System shall provide the capability to prevent the final submission of an Operator Licence Application until the respective Forms (and supporting documentation, where applicable) related to Operating Centres and Operating Person(s) have been received, subject to Business Rules.  Refer to TPH - Business Rules 11 - Operator
Rationale:	N/A

### Submit Application (Post)

This section includes the specific requirements that are unique to submitting an Operator Licence Application via post, including but not limited to, triggering reminders to be sent to Operational Person(s) (i.e. persons nominated by an Operator Licence Customer who hold key roles within their operations who will be required to fill in a PHV/103 Personal Declaration Form as part of the Application process)

General Requirements relating to submitting an Application via post are in the following section - Submit Application (Post) This section includes but is not limited to:

- Scan postal Application
- Take Payment (Scan Partner)
- Redact Customer Data
- Maintain document processing time stamp

<b>Capture Mandatory Question Responses</b>	
<b>Requirement ID:</b> TPHRL-REQ-3361	
<b>Priority:</b> Must have	
Description:	The Service System shall enable an Authorised User to capture Customer responses to mandatory questions concerning an Operator Licence Application, including but not limited to: <ul style="list-style-type: none"> <li>• Operator contact details</li> <li>• Operating Model</li> <li>• Licence Tier</li> <li>• Operating Centres (for which PHV/108 Operating Centre Information Form will be required per location)</li> <li>• Operational Persons (that will each be required to submit a PHV/103 Personal Declaration Form)</li> </ul>
Rationale:	N/A

<b>Generate Application Pack Based on Operator Responses (Authorised User)</b>	
<b>Requirement ID:</b> TPHRL-REQ-3316	
<b>Priority:</b> Must have	
Description:	The Service System shall enable an Authorised User to generate an Operator Licence Application Form based on responses to mandatory questions, and trigger a request to the Print Provider to produce the Application Pack, subject to Business Rules.  Mandatory question responses to how many Operational Persons and Operating Centres the Operator has shall determine how many PHV/103 Personal Declaration Form and PHV/108 Operating Centre Information Forms are sent out as part of the Application Pack.
Rationale:	N/A

### Trigger Application Update Notifications

**Requirement ID:** TPHRL-REQ\_RVW-22

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to notify a Customer (via Preferred Method of Communication) of an update on the progress of their Application, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Application received</li> <li>• Application being reviewed</li> <li>• Application Payment required / or made</li> <li>• Initial Application review complete and pending inspection(s)</li> <li>• Inspections booked</li> <li>• Inspections completed</li> </ul>
--------------	---

**Rationale:** N/A

### Review Application

This section includes specific requirements for Operator Licence Application reviews concerning additional Fee Payments or Refunds required.

General Requirements relating to Reviewing Applications is covered in the following sections - "Review Application". This section includes but is not limited to:

- Trigger Workflows
- View Application
- Request additional Application information
- Review Application
- Update Application Status
- Send Application outcome notification

### Validate Persons against Companies House Records (Manual)

**Requirement ID:** TPHRL-REQ-3442

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually validate Operational Person(s) details submitted against an Operator Licence Application against Companies House information. The purpose of the validation shall be to check and confirm the presence of the Operational Person(s) against the relevant Companies House record and check whether any of the Operational Person(s) have been disqualified or are subject to impending actions.</p>
--------------	--

**Rationale:** N/A

### Validate Persons against Companies House Records (Automated)

**Requirement ID:** TPHRL-REQ\_RVW-35

**Priority:** Must have

Description:	The Service System shall provide the capability to validate Operational Person(s) details submitted against an Operator Licence Application against Companies House information, via an automated interface to Companies House. The validation shall check and confirm the presence of the Operational Person(s) against the relevant Companies House record and check whether any of the Operational Person(s) have been disqualified or are subject to impending actions.
Rationale:	N/A

### Calculate Operator Payments/Refunds

**Requirement ID:** TPHRL-REQ-3379

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically calculate Fee Payments or Refunds due from/to an Operator based on their answers to mandatory questions which will determine their applicable fee, and any Payments already made against the Licence Application, subject to Business Rules.  Refer to TPH – Business Rules 11 - Operators
Rationale:	N/A

### Issue Operator Invoice

**Requirement ID:** TPHRL-REQ-3380

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically issue an invoice to Operators when Payment is due, subject to Business Rules. Operators shall receive invoices against specified Licence Tiers.  Refer to TPH - Business Rules 10 - Operators
Rationale:	N/A

### Perform Inspection(s)

This section contains requirements that specifically relate to Operator Licensing Inspections, including Compliance Inspections and Technical Reviews.

There are a number of instances when an Inspection may be required, these include, but are not limited to:

- Pre-Licensing Inspection (for all new Applications)
- Renewal Inspection (for all Renewal Applications)
- Variation Inspection (for changes in Operating Centres)
- Technical Review (where an App is used by the Operator)

- Post-Licensing Inspection (for ad-hoc Compliance reviews)

General requirements relating to the interface between the CPOS System and the Service System are defined within the "Manage Compliance Activities" section. This includes but is not limited to:

- Creation and Configuration of Inspection questionnaires
- Sending and receiving Data between the CPOS System and the Service System
- Prioritisation of Inspections
- Associating Inspections with Customer Records.

### **Pre-Licensing Inspections**

Prior to making a Licensing decision for or against an Operator Licence Application, TfL instructs an Inspection to be carried out on all named Operating Centres in the Operators Licence Application, to be carried out by Compliance Officers.

### **Technical Review**

#### **Background**

A Technical Review is required for Operators intending to use an smartphone App for their day to day operations. Operator smartphone Apps typically have different interfaces for the Customers, separate from the Drivers, with a back office functionality managed by the prospective Operator.

Technical Reviews shall be initiated based on Operator responses to mandatory questions as part of the new or Renewal Application process, or as a result of changes to an Operator Licence where they begin using a smartphone App during the period of their Licence.

The review is intended to establish that the Operator has the necessary infrastructure to support handling Customer information safely, and they are able to communicate adequately with their customers, details related to their journey booking.

During the review, the prospective Operator attends a demonstration organised by TfL, with the intention to fully demonstrate, using their systems (databases, back end log files and administrative systems), key scenarios that illustrate clearly the ability to meet Section 2 of the Private Hire (Vehicles) London Act 1998.

The requirements below describe the expected system behaviour required to support the review of an Operator's smartphone App capabilities/features.

### Identify Applications Requiring Inspection(s) (Automated)

**Requirement ID:** TPHRL-REQ-2323

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically identify and flag Operator Licence Applications requiring Compliance and/or Technical Review(s), based on Customer responses to mandatory Application questions, subject to Business Rules.</p> <p>Compliance Inspections are required for all Operating Centres used by a PHV Operator, as specified on their Licence Application.</p> <p>Technical Reviews may be required in situations including but not limited to: an Operator that has indicated on their Application that they use or intend to use a smartphone App for the purpose of carrying out some or all parts of their operations.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Identify Applications Requiring Inspection(s) (Manual)

**Requirement ID:** TPHRL-REQ-3384

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually identify an Operator Licence Application that requires Compliance and/or Technical Review(s), based on Customer responses to mandatory Application questions, subject to Business Rules.</p> <p>Compliance Inspections are required for all Operating Centres used by a PHV Operator, as specified on their Licence Application.</p> <p>Technical Reviews may be required in situations including but not limited to: an Operator that has indicated on their Application that they use or intend to use a smartphone App for the purpose of carrying out some or all parts of their operations.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Create Compliance Inspection Activity

**Requirement ID:** TPHRL-REQ-3365

**Priority:** Must have

Description:	<p>The Service System shall provide the capability for Compliance Inspection(s) to be created automatically or manually by an Authorised User based on the details specified within the Operator Licence Application. Details include but are not limited to: Operating Centres, use or intent to use a smartphone App, Licence Tier etc.</p>
Rationale:	N/A

### Record Specific Compliance Inspection Requirements

**Requirement ID:** TPHRL-REQ-3296

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to record specific details of the Compliance Inspection(s) required to be completed by CPOS and other TfL representatives (where applicable). The Service System shall provide free text fields for Authorised User input, and the ability to upload supporting documents.</p> <p>Inspection requirements may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Highlighting key data items that a CPOS Compliance Officer will need to check as part of the Inspection(s);</li> <li>• Attaching any documentation that the CPOS Compliance Officer may need to check as part of carrying out the Inspection(s);</li> <li>• Attaching any documentation that may assist the CPOS Compliance Officer in carrying out the Inspection(s).</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

### Send Compliance Inspection Request

**Requirement ID:** TPHRL-REQ-2217

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to send a notification to the CPOS team, via an external interface to the CPOS System, when Compliance Inspection(s) are required. The request shall include details including but not limited to:</p> <ul style="list-style-type: none"> <li>• Operator location(s)</li> <li>• Inspection summary details (including specific comments from a TfL representative on items of particular attention)</li> <li>• Inspection type(s) required (including whether a Technical Review is required by TfL Technology and Data)</li> <li>• Inspection questionnaire to be completed (selected from a pre-defined set of questionnaires)</li> <li>• Additional questions or requests as specified by TfL, where applicable</li> <li>• Operating Model provided by the Operator</li> <li>• Attachments of any documentation to be reviewed as part of the Inspection(s)</li> <li>• Attachments of any reference documentation submitted as part of the Licence Application.</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

### Record Technical Review Outcome

**Requirement ID:** TPHRL-REQ-3297

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record details of a Technical Review performed against an Operator Licence Application Record, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Review outcome</li> <li>• Review details</li> <li>• Upload of supporting documentation</li> </ul>
Rationale:	N/A

### View Compliance Inspection Details

**Requirement ID:** TPHRL-REQ-3267

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view all current and historic Compliance Inspection details against a Operator Licence Record, for every Operating Centre.</p> <p>Details shall include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Review status/outcome</li> <li>• Review details including comments</li> <li>• Responses to Compliance Inspection questionnaire</li> <li>• Operating Centre</li> <li>• Date and time of Compliance Inspection</li> <li>• Attachments / evidence gathered</li> <li>• Further actions required</li> <li>• Next scheduled Inspection</li> </ul> <p>All information shall be stored according to Data Retention rules.</p> <p>Refer to TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy.</p>
Rationale:	Operators may have multiple operating centre locations. Inspection outcomes shall be linked to the Operator Licence Application and operating centre.

## Receive Compliance Inspection Notifications

**Requirement ID:** TPHRL-REQ-3268

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall provide the capability to receive notifications of Compliance Inspection activities performed by the CPOS team from the CPOS System against an Operator Licence Record.</p> <p>The notification shall contain details including but not limited to: outcome or status update (e.g. completed, booked, declined etc.), Operating Centre details, supporting documentation, Compliance Officer(s) that are assigned to the Inspection, Drivers/Vehicles observed, location information etc.</p>
<p><b>Rationale:</b></p>	<p>Operators may have multiple operating centre locations. Inspection outcomes shall be linked to the Operator Licence Application and operating centre.</p>

## Issue Licence

This section includes the specific requirements that are unique to Issuing an Operator Licence.

Licence Materials:

When Licensed, each PHV Operator receives two parts of a Licence:

- Part A – the Operator will be issued one copy of this part of the Licence
- Part B – the Operator will be issued a Licence for every Operating Centre that has satisfied the criteria in order to be Licensed and is listed as active against their Record

The Service System shall have the ability upon request to issue Licence parts in all scenarios - for all new, Renewal and Variation processes and work out the correct part to be issued.

The Service System shall have the ability to identify the correct information (including but not limited to organisation name, trading names, address details, Warnings, Licence Number, Conditions, and Operating Centre details) that needs to be populated on each part of the Licence part.

Prior to Issuing an Operator Licence an additional Payment may be required to be taken, subject to Licence Type/Tier. For requirements relating to this Payment see the 'Review Application' section above. An Operator may also be given the ability to pay for their Licence in instalments or scheduled Payments.

For general Payments requirements, refer to the 'Payments' section. This section includes but is not limited to:

- Making Payments
- Taking Payments
- Payment Reminder Notifications
- Issuing Receipts
- Configuring Payment Fees

General Requirements relating to issuing Licence Materials are in the following section - "Issue Licence Materials". This section includes but is not limited to:

- Prevent Invalid Licence Issue
- Create Print Request
- Track Delivery Status

#### Request Scheduled or Instalment Payments

**Requirement ID:** TPHRL-REQ-3387

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to request for selected Payment Fees to be made via scheduled instalments, via the Online Portal, subject to Business Rules.</p> <p>This shall only apply to Grant of Licence Fee Payments. Application Fees must be paid in full when submitting an Application.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

#### Set-up Scheduled or Instalment Payments

**Requirement ID:** TPHRL-REQ-3388

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to set up scheduled instalments for Grant of Licence Fees for Operator Licences, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

#### Send Payment Notifications

**Requirement ID:** TPHRL-REQ-3386

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically send Payment notifications, including but not limited to Payments due and reminders, to Operators via their Preferred Method of Communication (Preferred Method of Communication).</p>
Rationale:	N/A

### Configure Find-a-Ride Details (Online)

**Requirement ID:** TPHRL-REQ-3391

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer with an active Operator Licence to publicise their services using specific data fields within their Operator Licence, also known as 'Find-a-Ride'. A Customer shall be able to maintain details against their Operator Licence Record via the Online Portal.</p> <p>Find-a-Ride details include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Opening hours</li> <li>• Contact information</li> <li>• Accessibility information</li> <li>• Areas covered</li> </ul>
Rationale:	N/A

### Configure Find-a-Ride Details (Authorised User)

**Requirement ID:** TPHRL-REQ-3392

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure specific data fields within a Customer's Operator Licence, that will be publically available via the 'Find-a-Ride' service.</p> <p>Find-a-Ride details include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Opening hours</li> <li>• Contact information</li> <li>• Accessibility information</li> <li>• Areas covered</li> </ul>
Rationale:	N/A

### Renew Licence

This section includes the specific requirements that are unique to Renewing an Operator Licence, including but not limited to, sending Renewal Notifications to Customers, and changing Customer Licence specifications as part of issuing a Renewal Application Pack to Customers

Once an Operator Renewal Application is submitted by a Customer, it follows the same review and Compliance Inspection steps as it would for a new Application. Therefore please refer to the sections above on submit, review, Compliance Inspections, and issuing Operator Licences.

### Renew Operator Licence - Background

An Operator Licence must be Renewed at least every 5 years, subject to Business Rules. There are several reasons why an Operator may choose not to Renew an existing Licence e.g. retirement.

However, if the Operator intends to keep trading, the requirements below describe the expected system behaviour required to support the Renewal activity.

The steps for Renewing an Operator Licence are similar to applying for a new one, with the exception of the following:

- Renewal Reminder Notifications are sent to the Operator prior to the Licence Expiring
- Ability to Renew online becomes available within the renewal period, subject to Business Rules
- Renewal Packs (postal) can be triggered (subject to Business Rules) prior to the Licence expiring
- Renewal inspections are carried out prior to a Licensing decision being made on the Operator Licence

<b>Send Reminder Notifications</b>	
<b>Requirement ID:</b> TPHRL-REQ-2228	<b>Priority:</b> Must have
<b>Description:</b>	<p>The Service System shall provide the capability to send reminder notifications to a Customer regarding various statuses of their Licence, subject to Business Rules.</p> <p>Notifications may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Renewal Notification reminders [x] days/months before their Licence is due to Expire*</li> <li>• Reminders to Operational Persons regarding outstanding Forms to be submitted</li> <li>• Expiry reminders [x] days/months before their Licence is due to Expire*</li> <li>• Expiry Notification when their Licence has Expired</li> <li>• Re-confirm 'Find-a-Ride' details, and how to maintain via the Online Portal</li> </ul> <p>The reminder notifications shall be capable of being sent via a Customer's Preferred Method of Communication (Preferred Method of Communication) held against their Customer Account.</p> <p>Refer to TPH – Business Rules 04 - New Driver and Renewals, and TPH – Business Rules 11 - Operators.</p> <p>*Frequency and timing of reminder notifications shall be Configured in accordance with Business Rules.</p>
<b>Rationale:</b>	N/A

### Configure Reminder Notifications

**Requirement ID:** TPHRL-REQ-3353

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Operator reminder notices to Customers.</p> <p>The Service System shall enable an Authorised User to Configure Licence notifications to be sent to Customers, including but not limited to: contents, frequency, applicable Licence Type(s), timelines for triggering prior to Licence Expiry, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Pre-Populate Renewal Pack (Post)

**Requirement ID:** TPHRL-REQ-2317

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to pre-populate an Operator Licence Renewal Pack with the details recorded against a Customer's existing Operator Licence or updated as a result of information provided following a Renewal Reminder Notification.</p> <p>Renewal Packs shall include the number of Forms according to details held regarding number of Operational Persons, and number of Operating Centres against the existing License Record. All Forms shall be pre-populated with existing details held against the existing Licence Record.</p>
Rationale:	N/A

### Create Renewal Application Pack (Post)

**Requirement ID:** TPHRL-REQ-2230

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall create a Renewal Pack for a Customer at a Configured period before the Licence is due to Expire, when the Customer's Preferred Method of Communication is via the postal Communication Channel, subject to Business Rules*. The creation of the Renewal Pack shall prompt a Workflow task for the Print Supplier to send the Renewal Pack to the Customer.</p> <p>Pre-populated Declaration Forms (PHV/103 Personal Declaration Forms and PHV/108 Operating Centre Information Forms) shall be created for Renewal Applicants and other Operating Person(s), using the contact details held against the Operator Licence Record.</p> <p>Refer to TPH – Business Rules 11 - Operators.</p> <p>*Frequency and timing of Renewal notifications shall be Configured in accordance with Business Rules.</p>
<p>Rationale:</p>	<p>Postal packs to be optional, and not the preferred method of Renewing a Licence. Online Portal is the preferred method, and will be promoted within the Business.</p>

### Pre-Populate Renewal Application (Online)

**Requirement ID:** TPHRL-REQ-3329

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to pre-populate an Operator Licence Renewal Application via the Online Portal, with the details recorded against a Customer's existing Operator Licence, or updated as a result of information provided following a Renewal Reminder Notification.</p> <p>Renewal Application Forms shall include the number of Forms according to details held regarding number of Operational Persons, and number of Operating Centres against the existing Licence Record. Forms shall be pre-populated with existing details held against the existing Licence Record.</p> <p>Pre-populated PHV/103 Personal Declaration Forms and PHV/108 Operating Centre Information Forms shall be made available to Renewal Applicants and other Operating Person(s), via the contact details held against the Operator Licence Record.</p>
<p>Rationale:</p>	<p>N/A</p>

### Re-Confirm Operator Details (Online)

**Requirement ID:** TPHRL-REQ-2238

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer to complete a Renewal Application Form, via the Online Portal.</p> <p>The Customer shall be able to confirm if existing details held have not changed since their last Application, and are still valid for the future Licensing period.</p>
<p>Rationale:</p>	<p>The Service System shall aim to simplify the Renewals process for Operators whose operating model/centres/people have not changed since their last Licence Application.</p>

### Licence Changes and Variations

An Operator is Licensed on the basis of information provided regarding the:

- company,
- individuals responsible for the organisation, as well as
- all the Operating Centres the Operator intends to operate from
- Licensing Tier

Any modifications or changes to these four key areas need to be notified to TfL, in order to either:

- make an update/amendment to the existing Licence, or
- require a new Licence Application.

Currently, changes to an Operating Centre are classified as a **Variation**. This includes:

- Adding an Operating Centre
- Removing an Operating Centre
- Change to an Operating Centre (e.g. changing location)

Examples of other types of change are classed as **Changes**. This includes:

- Change to company structure
- Addition or removal of a named director
- Change in circumstances in relation to existing Operational Person(s) e.g. bankruptcy, criminal convictions etc.
- Operator has more or less Vehicles/Drivers available to them (this impacts the Tier the Operator is Licensed for) etc.
- Amendments to trading names (up to a maximum of 5)

This section describes the functionalities required to support a Customer notifying TfL of a Change or Variation to their Licence as well as the functionality required for TfL to respond to and effect the Changes and/or Variations.

### Request Change/Variation

**Requirement ID:** TPHRL-REQ-2253

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to request a Change or Variation of one or more details of an existing Licence via any of the relevant contact Channels e.g. via Contact Centre, Online Portal etc.</p> <p>The Customer shall be able to indicate, from a pre-defined list, what aspect of their Licence detail requires a Change or Variation.</p>
Rationale:	N/A

### Specify Change/Variation Reason(s)

**Requirement ID:** TPHRL-REQ-2255

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer or an Authorised User to specify the reason(s) why Change or Variation of an Operator Licence is required. Reason(s) may be selected from a configured list, or entered as free text when selecting an 'other' option.</p> <p>If there are multiple Changes or Variations required to the Licence, the Service System shall enable the Customer or Authorised User to record multiple reasons for the Change or Variation.</p>
Rationale:	N/A

### Configure Reasons for Changes/Variations

**Requirement ID:** TPHRL-REQ-3342

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure a list of options available to a Customer to select from when requesting a Change or Variation in their Operator Licence. Configurable details shall include, but are not limited to: Change/Variation type, Change/Variation details, whether a free text option is permitted, any supporting documentation required with a request, etc.</p>
Rationale:	N/A

### Display Documents Required

**Requirement ID:** TPHRL-REQ-2254

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to view a list of all documents required in support of their Licence Change/Variation request.</p> <p>The list of documents displayed to the Customer shall vary depending on the Change/Variation type they have indicated.</p>
Rationale:	N/A

### Validate Request Details/Documents

**Requirement ID:** TPHRL-REQ-2256

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to validate the details or Documents submitted by a Customer in support of their Change or Variation request.</p> <p>Validation rules shall be defined within the Design and Development Phase.</p> <p>Refer to TPH - Business Rules 11 - Operators.</p>
Rationale:	N/A

### Submit Request

**Requirement ID:** TPHRL-REQ-2257

**Priority:** Must have

Description:	<p>The Service System shall enable the Customer to submit a Request that has been successfully validated, including but not limited to: field completeness, additional documentation attached, allow permitted Changes and direct Customer to Application Forms where required e.g. Variations PHV/106. etc</p>
Rationale:	N/A

### Track Request Status

**Requirement ID:** TPHRL-REQ-2258

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to track the status of their Request via the Online Portal, subject to Business Rules (e.g. Customer is able to track status of the Request online, if the Request was submitted online).</p> <p>Refer to TPH – Business Rules 03 - Customer Account</p> <p>Refer to TPH - Business Rules 11 - Operator</p>
Rationale:	N/A

### Review Request

**Requirement ID:** TPHRL-REQ-2259

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to complete defined review actions in support of a Customer's Request.</p> <p>The Authorised User shall be able to add review comments and view previous comments added to the Customer Account.</p>
Rationale:	N/A

### Respond to Request

**Requirement ID:** TPHRL-REQ-2260

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to respond to a Request raised by a Customer.</p> <p>The Authorised User shall be able to trigger a response via the Customer's Preferred Method of Communication, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 03 - Customer Account.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Update Licence Record

**Requirement ID:** TPHRL-REQ-2262

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to update existing Operator Licence details, subject to Business Rules e.g. update named director details.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Record Review Outcome

**Requirement ID:** TPHRL-REQ-2264

**Priority:** Must have

Description:	<p>The Service System shall enable the Authorised User to record a review outcome, based on the request raised by the Customer.</p> <p>Possible outcomes include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Change to existing Licence Record</li> <li>• Variation to existing Licence Record</li> <li>• No further action required.</li> </ul>
Rationale:	N/A

### Identify Payment Required

**Requirement ID:** TPHRL-REQ-3397

**Priority:** Must have

**Description:** The Service System shall provide the capability to identify where a Payment is required against a request for Change or Variation, based on the type selected, subject to Business Rules.

Refer to 'Payments' section on making and taking Payments.

Refer to TPH – Business Rules 12 - Payments and Refunds

**Rationale:** N/A

### Submit Adverse Information (Online)

**Requirement ID:** TPHRL-REQ-3440

**Priority:** Must have

**Description:** The Service System shall enable an Operator to notify TfL of any adverse information related to a Driver or Vehicle. This may include but is not limited to: Complaints, dismissals, collisions, police intelligence etc.

The Service System shall enable a submission to be completed via their Online Portal. This shall include the ability to submit a PHV/105 Notification of Driver Dismissal Application Form.

Once received, the Service System shall:

- Identify the relevant Driver/Vehicle and index a copy of the data against the relevant Licence Record
- Initiate a Workflow process, subject to Business Rules
- Prioritise any notification that may cause an immediate public safety risk

Refer to TPH – Business Rules 11 - Operators

**Rationale:** N/A

### Submit Adverse Information (Post)

**Requirement ID:** TPHRL-REQ-3441

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Operator to notify TfL of any adverse information related to a Driver or Vehicle. This may include but is not limited to: complaints, dismissals, collisions, police intelligence etc.</p> <p>The Service System shall enable a submission to be completed via a postal request. This shall include the ability to submit a PHV/105 Notification of Driver Dismissal Application Form.</p> <p>Once received, the Service System shall:</p> <ul style="list-style-type: none"> <li>• Identify the relevant Driver/Vehicle and index a copy of the data against the relevant Licence Record(s)</li> <li>• Initiate a Workflow process, subject to Business Rules</li> <li>• Prioritise any notification that may cause an immediate public safety risk</li> </ul> <p>Refer to TPH – Business Rules 11 - Operators</p>
<p>Rationale:</p>	<p>N/A</p>

### User Permissions

There are a number of User Roles that can be assigned to Operator representatives. These roles and their permissions shall vary based on the function of the role. User Permissions shall be Configured by Authorised Users. User Access shall be managed either by Nominated Representatives, or by Authorised Users.

The User Roles and their descriptions include, but are not limited to:

- Operator Licensee – This is the person that is the official holder of the Operator Licence. Where the Operator is a sole trader, that person will also be the Operator Licensee. This is the person that is deemed ultimately responsible for the Operator Licence (and any future actions in respect to the Operator Licence). They may nominate other persons to carry out functions on their behalf. For example: In the case of a limited company or LLP (limited liability partnership), the Operator Licence may be issued in the name of a company/partnership. That company/partnership may have multiple directors/partners. They may nominate one person to be the Operator Licensee. They may then nominate someone else to be the Nominated Representative.
- Nominated Representative – This is the person that will have day to day responsibility for the running of the private hire operation. An Operator can only have one Nominated Representative.
- Director – This person is legally responsible for the running of the limited company and making sure company accounts and reports are prepared.
- Company Secretary – This person is appointed by a director to assist in the running of a limited company and may take on some of the director's responsibilities.

- Partner – This person is responsible for the running of the partnership and making sure any accounts and reports are prepared.
- Sole Trader – This is the person that will be the official holder of the Operator Licence. This person will also have day to day responsibility for the running of the private hire operation and so is also the Nominated Representative.
- Operations Admin/Lead – This person has been assigned by the Licensee/Nominated Representative to undertake some operational activities on their behalf and in relation to the Operator Licence.
- Upload Admin/Lead – This person has been assigned by the Licensee/Nominated Representative to undertake Operator Upload activities on their behalf and in relation to the Operator Licence.

### **Nominated Representatives:**

The purpose of the Nominated Representative role is so that TfL can identify the person responsible for the day-to-day running of the private hire operation.

Key features of the Nominated Representative role:

- Each Operator must have only one Nominated Representative.
- They are the main contact point for the business, and someone who has the authority to liaise and provide information to TfL.
- In instances where more than one person is making up the application e.g unregistered partnerships and limited liability companies, one individual must be identified for this function.
- They shall have elevated access permissions above other Operator users, and shall have the ability to assign User Roles as part of their User Permissions.
- They shall be able to be changed by an Authorised User upon instruction from the Operator, and their User Permissions transferred to the new Nominated Representative.

### **User Access**

All Users must have a Customer Account, but a single User may be able to perform different roles for different operators, e.g. User 1 has been assigned to do the upload tasks for Operator A, but for Operator B, they only do admin tasks. The Service System must therefore recognise this and allow the User to carry out tasks they are required to do for Operators and without giving that User any access to permissions they should not have for a particular Operator.

User Roles and permissions must be compliant with all GDPR specifications.

### Configure Operator User Roles and User Permissions

**Requirement ID:** TPHRL-REQ-2189

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure a Customer Account with specific User Permissions relating to an Operator, including but not limited to:

- Licensee
- Nominated Representative (Super User)
- Director
- Company Secretary
- Partner
- Sole Trader
- Operations Admin/Lead
- Upload Admin/Lead

**Rationale:** N/A

### Assign Defined User Roles (Nominated Representative)

**Requirement ID:** TPHRL-REQ-2190

**Priority:** Must have

**Description:** The Service System shall enable a Customer with Nominated Representative permissions to assign, re-assign, and remove defined User Roles to named Operator individuals based on configured User Roles and User Permissions, subject to Business Rules. All Users must hold active Customer Accounts in order to be assigned.

Refer to TPH – Business Rules 11 - Operators

**Rationale:** N/A

### Assign Defined User Roles (Authorised User)

**Requirement ID:** TPHRL-REQ-3312

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to assign (and re-assign) defined User Roles to named Operator individuals based on configured User Roles and User Permissions, subject to Business Rules. All Operator individuals must hold active Customer Accounts in order to be assigned.

Refer to TPH – Business Rules 11 - Operators

**Rationale:** N/A

## Permit Multiple User Roles

**Requirement ID:** TPHRL-REQ-3369

**Priority:** Must have

Description:	The Service System shall enable a Customer to hold Operator User Roles across different Operator Licence Records, subject to Business Rules.  Refer to TPH – Business Rules 11 - Operators
Rationale:	N/A

### Examples of an Operator Licence

#### Examples of an Operator Licence

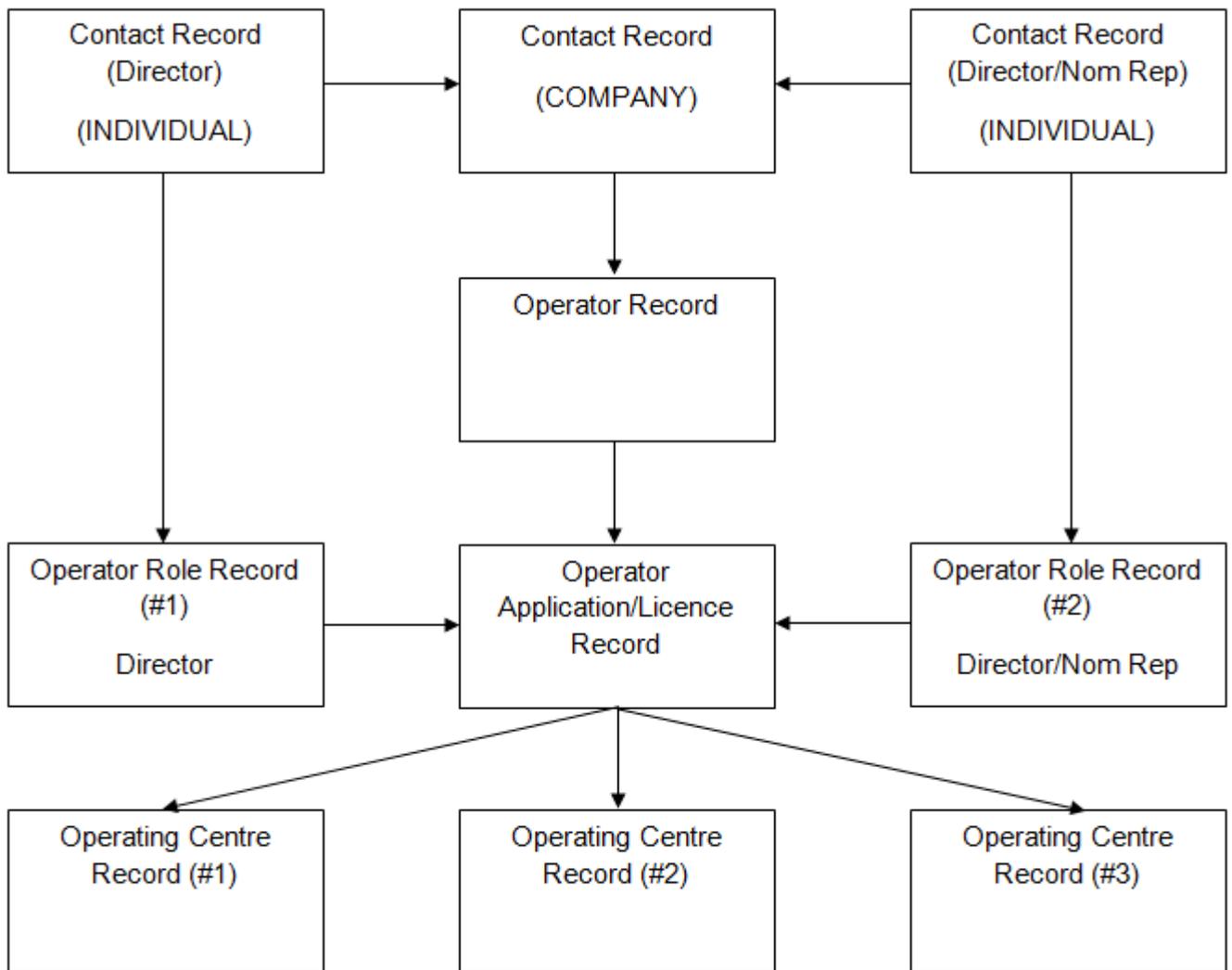
(Based on the structure in the Existing Service System)

**Limited Company:** A limited company would have the Operator Licence issued in the name of a company, e.g. Michael Cars Limited, and not a named individual. The company may have two directors, one of which is identified as just being a director, with the other being identified as the Nominated Representative (Nom Rep). As it is a company, a Contact Record needs to be set-up in the name of the company to form the basis of the Operator details in the Service System. As one of the directors has been identified as the Nom Rep, they will need to have their own individual Contact Record linked to the 'company' Contact Record.

An Operator Record is created to ensure any and all data relevant to the Operator is captured and recorded against it. An Operator Licence Record is created to ensure that any and all Data relevant to the Application/Licence is captured and recorded against it.

As there are 2 individuals in the company, an Operator Role Record is created for each of these according to the roles they are going to undertake. These roles are then linked to their respective Contact Records and the Operator Application/Licence Record.

An Operator may have multiple Operating Centres and so an Operating Centre Record is created for each of the Operating Centres so any and all Data relevant to the Operating Centre (e.g. Compliance Inspection data) is captured and recorded against each Operating Centre. The Operating Centres are linked to the Operator Licence Record.

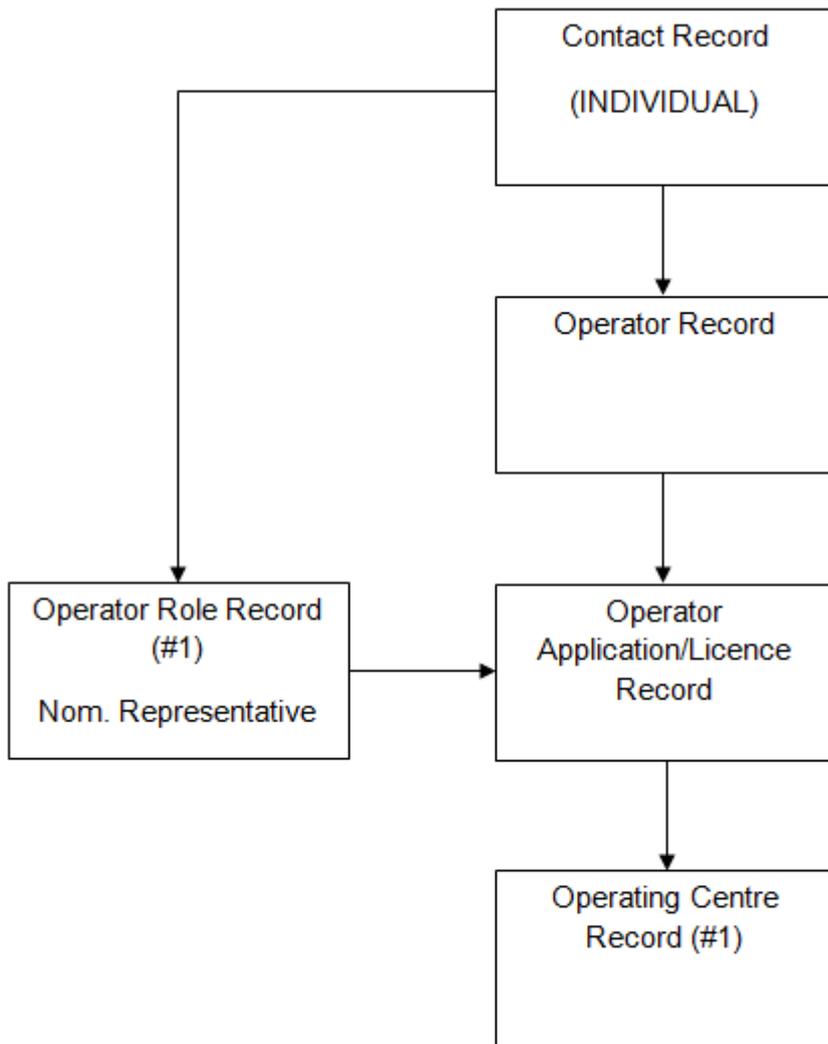


**Sole Trader:** A sole trader would only have the Operator Licence issued in the name of the individual that has applied for a Licence, e.g. Michael Stack. That person would be classified as the Licensee and Nominated Representative. As they are an individual who will be trading, a Contact Record needs to be set-up in the name of the individual who will be trading.

An Operator Record is created to ensure any and all Data relevant to the Operator is captured and recorded against it. An Operator Licence Record is created to ensure that any and all Data relevant to the Application/Licence is captured and recorded against it.

As there is only one individual named on the Licence, an Operator Role record is created for the role(s) they are going to undertake. The role is then linked to their respective Contact Record and the Operator Application/Licence Record.

An Operator may have multiple Operating Centres and so an Operating Centre Record is created for each of these Operating Centres so any and all Data relevant to the Operating Centre (e.g. Compliance Inspections Data) is captured and recorded against each Operating Centre. For most Sole Traders, they only have one Operating Centre.



## Manage Operator Upload

All Operators are required to provide the details of the **Vehicles** and **Drivers** that have been **available/used** to fulfil bookings on a periodic basis as part of the Operator Upload.

The Operator Upload is the responsibility of each Operator, and they are required to provide previous reporting periods (currently weekly) data for the purpose of regular reporting.

TfL requires Operator Upload Data in a prescribed format analytical purposes as well as for compliance purposes.

The requirements described below specify the functionality required to support an Operator providing the required Upload Data to TfL, and for TfL to view and perform analysis on the Operator Upload Data.

## Configure Operator Preferences

### Configure Submission Timelines

**Requirement ID:** TPHRL-REQ-2302

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the timelines for Customers to provide an Operator Upload.</p> <p>The Uploads can be daily, weekly or any other time periods as Configured by the Authorised User.</p>
Rationale:	N/A

### View Operator Upload Submission Timelines

**Requirement ID:** TPHRL-REQ-2284

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to view the time period(s) for which an Operator Upload is due to be provided against a Customer Account.</p> <p>This is subject to defined Business Rules (e.g. time periods, status of an Operator Licence requiring an Upload etc.)</p> <p>Refer to TPH – Business Rules 11 - Operators</p> <p>Refer to TPH - Appendix 27 - Business Function Summary - Operator Licensing Upload</p>
Rationale:	N/A

### Taking Action on Behalf of Customer (Authorised User)

**Requirement ID:** TPHRL-REQ-2305

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to take any action on behalf of a Customer in relation to an Operator Upload, subject to Business Rules. This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Upload Operator Data</li> <li>• Resubmitting Upload Data</li> <li>• Rectifying errors</li> <li>• Resetting time periods for Operator Uploads</li> </ul> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	<p>This will allow an Authorised User to act on behalf of a Customer who is unable or unwilling to access/use their Customer Account (e.g. when the data is submitted via email)</p>

## Upload Operator Data

### Provide Operator Upload Data

**Requirement ID:** TPHRL-REQ-3252

**Priority:** Must have

Description:	<p>The Service System shall provide the capability for a Customer to submit data for an Operator Upload via their Customer Account. This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Details of Vehicles used and/or available within a defined period</li> <li>• Details of Drivers used and/or available within a defined period</li> </ul>
Rationale:	N/A

### Automatically Determine Operator Upload Format

**Requirement ID:** TPHRL-REQ-3372

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically determine the Upload format for a Customer during an Operator Upload, subject to Business Rules. (e.g. Operators with 0 - 10 Vehicles = web form, Operators with 10+ Vehicles = .csv upload doc)</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Submit Driver Details

**Requirement ID:** TPHRL-REQ-2285

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to submit details for the Drivers that were available/used within a specified time period.</p> <p>The Customer will provide the following details for each Driver, including but not limited to-</p> <ul style="list-style-type: none"> <li>• Private Hire Driver Licence Number (including Issue Number)</li> <li>• All given names- forename(s), middle name(s), surname(s)</li> <li>• Confirmation of whether bookings were undertaken</li> <li>• Date available/used</li> </ul> <p>Refer to TPH - Business Rules 11 - Operator</p>
Rationale:	N/A

### Submit Vehicle Details

**Requirement ID:** TPHRL-REQ-2286

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to submit details for the Vehicles that were available/used within a specified time period.</p> <p>The Service System shall enable a Customer to provide the following details, (including but not limited to each Vehicle):</p> <ul style="list-style-type: none"> <li>• Vehicle Licence Number (including Issue Number)</li> <li>• Vehicle Registration Mark</li> <li>• Vehicle make</li> <li>• Confirmation of whether Bookings were undertaken</li> <li>• Date available/used</li> </ul> <p>Refer to TPH - Business Rules 11 - Operator</p>
Rationale:	N/A

### Upload Operator Data (Customer)

**Requirement ID:** TPHRL-REQ-2294

**Priority:** Must have

Description:	The Service System shall enable a Customer to submit Driver and Vehicle Operator Upload Data simultaneously as part of the Operator Upload process.
Rationale:	N/A

### Display Upload Warning Message

**Requirement ID:** TPHRL-REQ-3246

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to display on-screen warning messages to a Customer during the Upload process (e.g. invalid file format, invalid column structure, file exceeds upload size restrictions etc), subject to Business Rules.</p> <p>The warning may be shown to the Nominated Representative or a delegate completing the Upload.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Configure Validation Checks

**Requirement ID:** TPHRL-REQ-3315

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure validation checks required for the data submitted by a Customer as part of their Operator Upload. This includes and is not limited to:

- File format
- Completeness
- Field format
- Pattern matching

**Rationale:** N/A

### View Progress Indicator (Customer)

**Requirement ID:** TPHRL-REQ-3301

**Priority:** Must have

**Description:** The Service System shall provide the capability for a Customer to view an on-screen progress indicator during Operator Uploads, subject to Business Rules. (e.g. due, submitted, received, awaiting validation, complete)

Refer to TPH – Business Rules 11 - Operators

**Rationale:** N/A

### View Overall Progress Indicator

**Requirement ID:** TPHRL-REQ-3355

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view the status of all Operator Uploads made from the start date of a Licence to the current date, including details of any outstanding updates and Operator Uploads (e.g. summary of the total Operator Uploads requested versus total Operator Uploads received/completed).

**Rationale:** N/A

### View Customer Progress Indicator (Authorised User)

**Requirement ID:** TPHRL-REQ-3328

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view a progress indicator for a Customer's Operator Upload against a Licence Record. (e.g. due, submitted, received, awaiting validation, complete)

**Rationale:** N/A

### Indicate Changes since Last Submission

**Requirement ID:** TPHRL-REQ-3314

**Priority:** Must have

Description:	<p>As an alternative to providing an Upload, the Service System shall enable a Customer to indicate if there have been no changes since their last submission (i.e. Driver and Vehicle data) during the Operator Upload process, subject to Business Rules.</p> <p>The previous submission will be duplicated and submitted as the Operator Upload for that period.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	<p>If there are no changes since their last submission, then the Upload Data from the last submission could be used.</p> <p>The intention is to simplify the Operator Upload process by not making them submit data again (e.g. sole trader). This may be for a limited number of updates when the Customer will have to submit again to ensure it's accuracy.</p>

### Operator Data Interfaces

**Requirement ID:** TPHRL-REQ-4517

**Priority:** Must have

Description:	<p>The Service System shall be able to send and receive automated data feeds from Operator Licensees for the purposes of monitoring and analysing Driver, Vehicle and Operator activity.</p> <p>This may include, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Vehicle telematics</li> <li>• Driver activity</li> </ul>
Rationale:	<p>This is currently not part of Licensing activity but may be required subject to future operational or legislative decisions.</p>

### Non Upload Periods

#### Indicate Non Trading Periods (Customer)

**Requirement ID:** TPHRL-REQ-2298

**Priority:** Must have

Description:	<p>As an alternative to providing an Operator Upload, the Service System shall enable a Customer to indicate a period or periods where they have not traded and will not be trading.</p>
Rationale:	<p>This will prevent the Service System from sending outstanding reminders of Operator Uploads due.</p>

### Indicate Non Trading Periods (Authorised User)

**Requirement ID:** TPHRL-REQ-3350

**Priority:** Must have

**Description:** As an alternative to providing an Operator Upload, the Service System shall enable an Authorised User to indicate a period or periods where a Customer has not traded or will not be trading.

**Rationale:** This will prevent the Service System from sending outstanding reminders of Operator Uploads due.

### Provide Reason for Non Upload (Customer)

**Requirement ID:** TPHRL-REQ-2300

**Priority:** Must have

**Description:** The Service System shall enable a Customer to provide a reason for not submitting an Operator Upload, subject to Business Rules.

Refer to TPH – Business Rules 11 - Operators

**Rationale:** N/A

### Provide Reason for Non Upload (Authorised User)

**Requirement ID:** TPHRL-REQ-3349

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to provide a reason for a Customer not submitting an Operator Upload, subject to Business Rules.

Refer to TPH – Business Rules 11 - Operators

**Rationale:** N/A

### Restrict Operator Upload for a Customer

**Requirement ID:** TPHRL-REQ-2299

**Priority:** Must have

**Description:** The Service System shall provide the capability to confirm dates in which an Operator Upload is not seen as due. (e.g. Christmas day)

Any notifications will also not be sent to the Customer for the relevant dates.

**Rationale:** N/A

### Configure Reasons for Non Upload

**Requirement ID:** TPHRL-REQ-2307

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure reasons for a Customer not requiring an Operator Upload for a specific period, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Reminder Notifications

#### Send Reminder Notifications

**Requirement ID:** TPHRL-REQ-2314

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to send reminders to a Customer in relation to an Operator Upload.</p> <p>The reminders shall also be in line with defined Business Rules.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

#### Configure Reminder Notifications (Authorised User)

**Requirement ID:** TPHRL-REQ-3291

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure reminders to be sent to the Customer, subject to Business Rules. This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Content</li> <li>• Time periods</li> <li>• Frequency</li> <li>• Recipients</li> </ul> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Display Reminder Notifications to Customers

**Requirement ID:** TPHRL-REQ-3240

**Priority:** Must have

**Description:** The Service System shall provide the capability to display reminder notifications to a Customer, subject to Business Rules. This includes but is not limited to-

- Operator Upload due
- Changes to Operator Upload period
- Failing to upload an Operator Upload on time
- Outstanding Operator Uploads
- Beginning of a non trading period
- Non trading period coming to an end

Refer to TPH – Business Rules 11 - Operators

**Rationale:** N/A

### Link Reminder Notifications to Customer Account/Licence Record

**Requirement ID:** TPHRL-REQ-3251

**Priority:** Must have

**Description:** The Service System shall provide the capability to link reminder notifications to a Customer Account and/or Licence Records.

**Rationale:** N/A

### View Linked Reminder Notifications

**Requirement ID:** TPHRL-REQ-3374

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view linked reminder notifications against a Customer Account and or a Licence Record.

**Rationale:** N/A

### Separation of Operator Upload Notifications

**Requirement ID:** TPHRL-REQ-3399

**Priority:** Must have

**Description:** The Service System shall provide the capability for Operator Upload notifications to be stored and viewed separately compared to general Operator notifications.

**Rationale:** Given the volume of notifications to be sent, this will enable an Authorised User to easily search and find any notifications.

### Separation of Operator Upload Links

**Requirement ID:** TPHRL-REQ-3400

**Priority:** Must have

Description:	The Service System shall provide the capability for Operator Upload links to be stored and viewed separately within Driver Records, Vehicle Records, and Licence Records.
Rationale:	N/A

### Upload Validation

#### Automatically Validate Operator Upload Data

**Requirement ID:** TPHRL-REQ-2287

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to validate in real time Operator Upload data in the following areas, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Completeness (e.g. all mandatory fields are completed, no missing or incomplete data in any row of data or against any data headers, submissions existing for both Driver and Vehicle, for every time period)</li> <li>• Field format</li> <li>• File format (e.g. CSV, PDF)</li> <li>• Pattern match</li> <li>• Vehicle Licence details</li> <li>• Driver Licence details</li> </ul> <p>Refer to TPH - Appendix 27 - Business Function Summary - Operator Licensing Upload</p>
Rationale:	The purpose of the validation check is to confirm the correct format of the data provided and to identify any Drivers/Vehicles or data that are not licenced for the period in question

### Configure Data Validation Outcomes

**Requirement ID:** TPHRL-REQ-2309

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure a list of data validation outcomes.
Rationale:	N/A

### Viewing Outcome of Validation Check (Customer)

**Requirement ID:** TPHRL-REQ-3318

**Priority:** Must have

**Description:** The Service System shall provide the capability for a Customer to view the outcome of the validation checks performed automatically after the Operator Upload process has been completed.

Refer to TPH - Appendix 27 - Business Function Summary - Operator Licensing Upload.

**Rationale:** N/A

### Viewing Outcome of Validation Check (Authorised User)

**Requirement ID:** TPHRL-REQ-3253

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view the outcome of validation checks.

Refer to TPH - Appendix 27 - Business Function Summary - Operator Licensing Upload

**Rationale:** N/A

### Link Outcome to Customer Account/Licence Record

**Requirement ID:** TPHRL-REQ-3344

**Priority:** Must have

**Description:** The Service System shall provide the capability (following validation) to link submissions and outcome(s) of an Operator Upload to a relevant Licence Record including but not limited to:

- Outcome against each Operator Licence Records to confirm Operator Uploads successfully completed
- Updates made to the Driver Licence Records to show the Operators that have uploaded their details within a specified period (there may be multiple entries for specified periods)
- Updates made to the Vehicle Licence Records to show the Operators that have uploaded their details within a specified period (there may be multiple entries for specified periods)

**Rationale:** N/A

## Flagging Instances

### Automatically Flag Instances

**Requirement ID:** TPHRL-REQ-3362

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically flag Instances for further action, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Unlicensed Driver Licence and/or Vehicle Licence details</li> <li>• Unmatched Vehicle Licence details</li> <li>• Variances in data submitted (e.g. upload of most recent submission varying significantly from the previous submission)</li> <li>• Invalid Vehicle Licence details</li> <li>• Licences nearing Expiry</li> <li>• Recent changes and/or notifications within a specified period (e.g. change of address), subject to Business Rules. Changes of address can be identified with different versions of the Licence.</li> </ul> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Link Flagged Instances to Customer Account/Licence Record

**Requirement ID:** TPHRL-REQ-3375

**Priority:** Must have

Description:	The Service System shall provide the capability to link flagged Instances to a Customer Account and or a Licence Record.
Rationale:	N/A

### Viewing Flagged Instances (Authorised User)

**Requirement ID:** TPHRL-REQ-3360

**Priority:** Must have

Description:	<p>The Service System shall provide the capability for the Authorised User to view and action flagged Instances, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Unlicensed Driver Licence and/or Vehicle Licence details</li> <li>• Unmatched Driver Licence and/or Vehicle Licence details</li> <li>• Variances in data submitted (e.g. upload of most recent submission varying significantly from the previous submission)</li> <li>• Invalid Vehicle Licence details</li> <li>• Breach of Licensed Tier</li> </ul>
Rationale:	N/A

### Viewing Flagged Instances (Customer)

**Requirement ID:** TPHRL-REQ-3364

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to view flagged instances against their Operator Upload, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Unlicensed Driver Licence and/or Vehicle Licence details</li> <li>• Unmatched Driver Licence and/or Vehicle Licence details</li> <li>• Variances in data submitted (e.g. upload of most recent submission varying significantly from the previous submission)</li> <li>• Invalid Vehicle Licence details</li> <li>• Breach of Licensed Tier</li> </ul>
Rationale:	N/A

### View Operator Upload Data

#### View Operator Upload Data within Operator Licence Record (Authorised User)

**Requirement ID:** TPHRL-REQ-3295

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view Operator Upload data that has been successfully uploaded against the Operator Licence Record.</p>
Rationale:	N/A

#### View Operator Upload Data within Driver Licence Record (Authorised User)

**Requirement ID:** TPHRL-REQ-3401

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view Operator Upload data that has been successfully uploaded against the Driver Licence Record. Data to include but not limited to:</p> <ul style="list-style-type: none"> <li>• Operator Licence Number</li> <li>• Operator name</li> <li>• Periods in which the Drivers were available</li> <li>• Period used</li> <li>• Validation outcome</li> </ul> <p>For awareness, Drivers may appear on multiple Operator Uploads for the same specified time period.</p>
Rationale:	N/A

### View Operator Upload Data within Vehicle Licence Record (Authorised User)

**Requirement ID:** TPHRL-REQ-3402

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to view Operator Upload data that has been successfully uploaded against the Vehicle Licence Record. Data to include but not limited to:</p> <ul style="list-style-type: none"> <li>• Operator Licence Number</li> <li>• Operator name</li> <li>• Periods in which the Vehicles were available</li> <li>• Period used</li> <li>• Validation outcome</li> </ul> <p>For awareness, Vehicles may appear on multiple Operator Uploads for the same specified time period.</p>
<p>Rationale:</p>	<p>N/A</p>

### View Operator Upload Data (Customer)

**Requirement ID:** TPHRL-REQ-3300

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable a Customer to view Operator Upload data that has been successfully uploaded against their Driver Licence Record and/or /Vehicle Licence Record in their Customer Account. Data to include but not limited to:</p> <ul style="list-style-type: none"> <li>• Operator Licence Number</li> <li>• Operator name</li> <li>• Periods in which available</li> <li>• Period used</li> <li>• Validation outcome</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

## Workflows

### Automatically Trigger Workflows

**Requirement ID:** TPHRL-REQ-3341

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically trigger Workflows based on the following but not limited to:</p> <ul style="list-style-type: none"> <li>• Investigation required (e.g where unlicensed Vehicle and Driver details have been identified)</li> <li>• Failure to provide an Operator Upload</li> <li>• Licensing action required</li> </ul> <p>Investigations will be carried out by the CPOS team. Refer to requirements in section 'Manage Compliance Activity' for details of the interface to the CPOS System.</p> <p>Refer to TPH – Business Rules 11 - Operators</p>
Rationale:	N/A

### Dispute Validation Errors

**Requirement ID:** TPHRL-REQ-3359

**Priority:** Must have

Description:	<p>The Service System shall enable a Nominated Representative, a holder of a Driver Licence or a holder of a Vehicle Licence to trigger a dispute Workflow to an Authorised User, and select validation errors to be disputed. Validation errors refer to errors within Operator Upload Data for a respective Operator licensee.</p>
Rationale:	N/A

### Record Disputes on a Licence Record

**Requirement ID:** TPHRL-REQ-3403

**Priority:** Must have

Description:	<p>The Service System shall enable a record to be kept on a relevant Licence Record on which a dispute has been made.</p>
Rationale:	N/A

## Audit Functionality

### Viewing Customer Submission History

**Requirement ID:** TPHRL-REQ-3313

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to view all Operator Upload submissions and notifications for a specified period against the Operator Licence Record.  This will also include confirmation from the Operator of no changes from the previous Operator Upload.
Rationale:	N/A

## Accident Reporting

Private Hire Vehicles Drivers are required to report instances of an Accident to their Vehicle within a specified timeframe, subject to Business Rules. Taxi Drivers are not subject to a mandatory requirement to report Accidents however they can also follow this process should they wish to do so. Once notified, an Authorised User can initiate activities or processes, where required, to ensure the Vehicle is fit before it is allowed to go back on the road, including but not limited to: Vehicle Inspections.

These requirements describe the expected system behaviours in support of this process.

Where an Accident is reported by an individual who is not a Licensee (e.g. members of the general public), this shall be classified as intelligence and be handled as part of the Licence Suspension and/or Licence Revocation investigation process.

### Raise Accident Notification (Customer)

**Requirement ID:** TPHRL-REQ-2144

**Priority:** Must have

Description:	The Service System shall enable a Customer to raise an Accident Notification via their Online Portal.
Rationale:	N/A

### Raise Accident Notification (Authorised User)

**Requirement ID:** TPHRL-REQ-2145

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to raise an Accident Notification of an Accident based on details provided by a Customer or any other Third Party.
Rationale:	N/A

### Capture Accident Details

**Requirement ID:** TPHRL-REQ-3591

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to capture details of the Accident, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Date of Accident</li> <li>• Date Accident reported</li> <li>• The status of the Accident</li> <li>• Damage information (e.g. internal or external of Vehicle, or both; Vehicle is/isn't roadworthy), including free text details</li> <li>• Whether a Vehicle Inspection is required</li> <li>• Vehicle Inspection result</li> <li>• The date that the Accident is deemed as resolved by either Supplier Personnel or TfL Personnel e.g. as a result of a successfully passed Vehicle Inspection</li> <li>• Upload supporting documentation (i.e. images)</li> <li>• Any remedial work carried out following the Accident</li> </ul>
Rationale:	N/A

### Auto-Populate Details

**Requirement ID:** TPHRL-REQ-3622

**Priority:** Must have

Description:	The Service System shall provide the capability to auto-populate details against the Accident Record, based on existing Vehicle Licence data held.
Rationale:	N/A

### Assess Accident Details (Automated)

**Requirement ID:** TPHRL-REQ-3631

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically assess the details provided in an Accident Report and trigger a pre-defined action, including but not limited to: review Workflow, Vehicle Inspection Notification etc.
Rationale:	N/A

## Review Accident Record

**Requirement ID:** TPHRL-REQ-2147

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to review the Accident Record, add review comments and/or recommend follow up actions.</p> <p>A possible follow up action includes ensuring a Vehicle is booked in for a Vehicle Inspection.</p>
Rationale:	N/A

## Enquiries and Complaints

This section concerns the requirements relating to the ability of a member of the public or a Customer to make an Enquiry or Complaint to TfL via their Online Portal, a Web Form, or via a Contact Centre (either the TfL Central Complaints Team Contact Centre, or the TfL Contact Centre), if the information available to them Online is not sufficient.

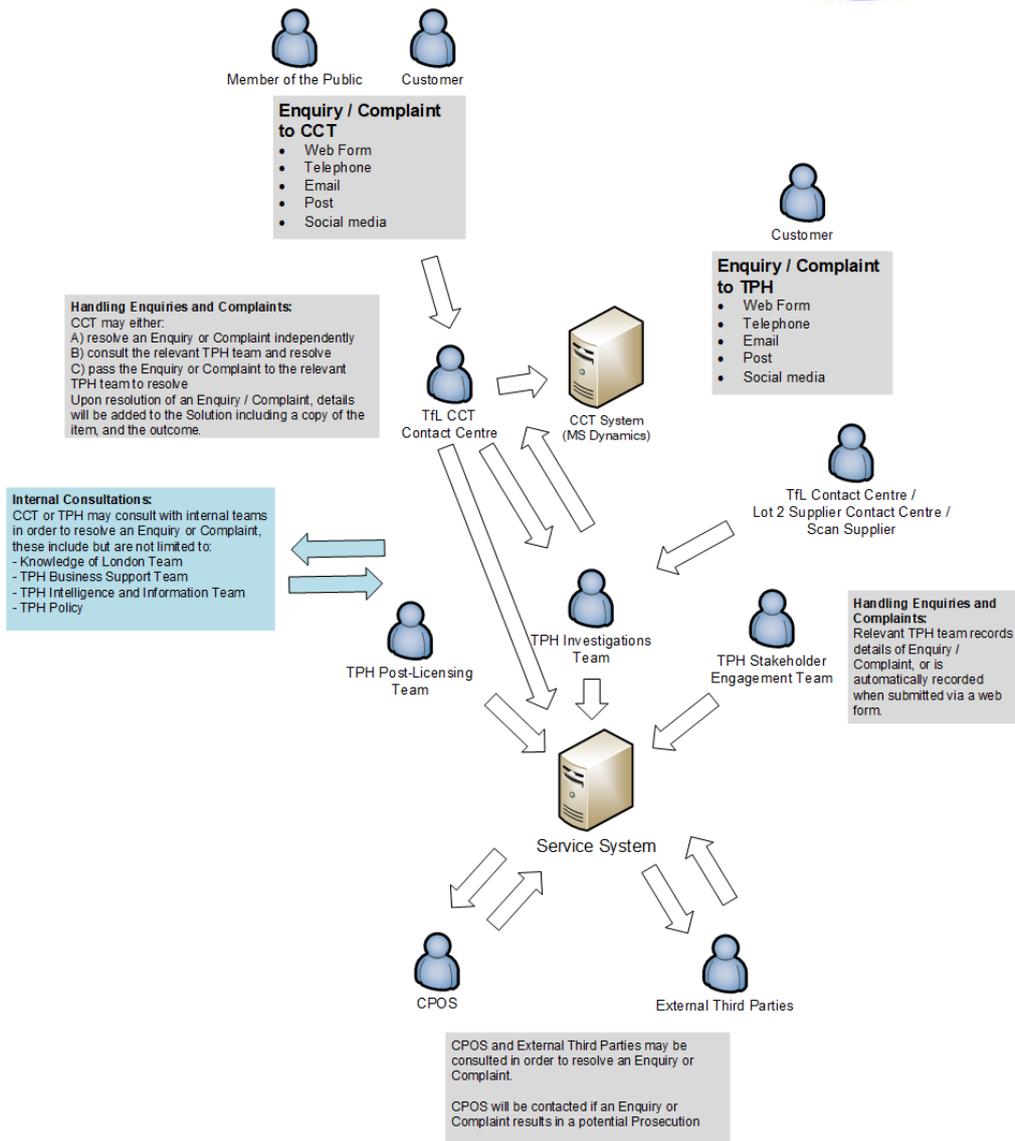
The key process steps and differentiation between the TfL Central Complaints Team (or CCT) and TfL teams are set out below.

Enquiries and Complaints can be submitted to TfL using a number of methods.

Members of the public should submit all Taxi Private Hire related Enquiries and Complaints to the TfL Central Complaints Team Contact Centre, who record an item against a Contact Record, triage the items and handle any general enquiries regarding Taxi Private Hire (however a Member of the Public may contact the TfL Contact Centre directly). This may involve consulting Taxi Private Hire team(s) in order to be able to respond. Any items that they are unable to resolve are passed to a Taxi Private Hire team (see the diagram below for more details of the internal teams involved).

Customers should send Enquiries and Complaints directly to TfL (however a Customer may contact the TfL Central Complaints Team Contact Centre directly). Taxi Private Hire teams and the TfL Central Complaints Team also perform monitoring of specific social media platforms to pick up Complaints.

This section of requirements includes the Service System requirements relating to all Taxi Private Hire handling of Enquiries and Complaints within the Service System. Not in scope is the handling or Enquiries and Complaints by the TfL CCT within the CCT System (Microsoft Dynamics).



## Enquiries and Complaints

### Create Enquiry/Complaint

#### Create Enquiry/Complaint (Online Portal)

**Requirement ID:** TPHRL-TPHRL\_EC-7

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable a Customer to create an Enquiry and/or Complaint via their Online Portal. The Customer shall be able to specify details including but not limited to:</p> <ul style="list-style-type: none"> <li>• Category (e.g. Enquiry, Complaint)</li> <li>• Type (e.g. general query, Freedom of Information request, safety issue etc.)</li> <li>• Relevant Licensee(s) involved in the Enquiry/Complaint (including Driver/Vehicle/Operator/App that a booking was made with, where applicable)</li> <li>• Free text narrative</li> <li>• Upload attachments</li> <li>• Contact details</li> <li>• Preferred Method of Communication for responses</li> </ul>
<b>Rationale:</b>	N/A

#### Create Enquiry/Complaint (Authorised User)

**Requirement ID:** TPHRL-TPHRL\_EC-8

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable an Authorised User to create an Enquiry/Complaint on behalf of a Customer or upon receipt of details received from the CCT.</p> <p>The Authorised User shall be able to specify details including but not limited to:</p> <ul style="list-style-type: none"> <li>• Category (e.g. Enquiry, Complaint)</li> <li>• Type (e.g. general query, Freedom of Information request, safety issue etc.)</li> <li>• Relevant Licensee(s) involved in the Enquiry/Complaint (including Driver/Vehicle/Operator/App that a booking was made with, where applicable)</li> <li>• Free text narrative</li> <li>• Upload attachments</li> <li>• Contact details</li> <li>• PMOC for responses</li> </ul>
<b>Rationale:</b>	N/A

### Validate Enquiry/Complaint Details

**Requirement ID:** TPHRL-TPHRL\_EC-11

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically validate an Enquiry or Complaint form entries, including but not limited to: field format checks, completeness checks etc.

**Rationale:** N/A

### Receive Enquiry/Complaint

#### Assign Enquiry/Complaint (Automated)

**Requirement ID:** TPHRL-TPHRL\_EC-10

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically assign an Enquiry or Complaint via a Workflow to an applicable team or individual for review, based on the details of the Enquiry or Complaint submitted.

**Rationale:** N/A

#### Assign Enquiry/Complaint (Manual)

**Requirement ID:** TPHRL-TPHRL\_EC-43

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to manually assign an Enquiry or Complaint via a Workflow to an applicable team or individual for review.

**Rationale:** N/A

### Escalate Enquiry/Complaint

**Requirement ID:** TPHRL-TPHRL\_EC-36

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to escalate an Enquiry or Complaint to an alternative Authorised User by Workflow for it to be resolved.

Examples of scenarios where this may occur include but are not limited to:

- Complex issues requiring senior input
- Prosecutions to be handled by CPOS team
- Complaints that may result in Post-Licensing Activities being taken.

**Rationale:** N/A

### Link Enquiry/Complaint to Customer Accounts/Licence Records

**Requirement ID:** TPHRL-TPHRL\_EC-15

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to link an Enquiry or Complaint to one or more Customer Accounts and/or Licence Records. This may include links to Driver Licences, Vehicle Licences, and/or Operator Licences. These links shall not be visible to Customers.
Rationale:	Whilst the Enquiry or Complaint is about a specific Driver, multiple Complaints may suggest that there is an underlying issue with the Operator that may require licensing action.

### Link Enquiry/Complaint to Originators Customer Account/Licence Record

**Requirement ID:** TPHRL-TPHRL\_EC-44

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to link an Enquiry or Complaint to the originators Customer Account and/or Licence Record. These links shall not be visible to Customers, and shall be reportable.
Rationale:	N/A

### Create Record For Enquiry/Complaint

**Requirement ID:** TPHRL-TPHRL\_EC-34

**Priority:** Must have

Description:	The Service System shall provide the capability to create a Record for a Customer without a Customer Account for an Enquiry or Complaint.
Rationale:	N/A

### Configure Enquiry/Complaint Categories

**Requirement ID:** TPHRL-TPHRL\_EC-12

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure a list of categories available to select from when creating an Enquiry or Complaint
Rationale:	N/A

### Assign Unique Reference

**Requirement ID:** TPHRL-TPHRL\_EC-13

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically assign a unique reference against an Enquiry or Complaint submitted.
Rationale:	N/A

### Assign Reference Details

**Requirement ID:** TPHRL-TPHRL\_EC-45 **Priority:** Must have

**Description:** The Service System shall enable an Authorised User to manually add details of a reference to another information source, including but not limited to: CCT MS Dynamics reference, solicitors reference etc.

**Rationale:** N/A

### Send Contact Details to TfL Central Complaints Team System

**Requirement ID:** TPHRL-TPHRL\_EC-46 **Priority:** Must have

**Description:** The Service System shall provide the capability to automatically send all Customer Account contact details as a bulk file to the TfL Central Complaints Team System on a periodic basis, as Configured by an Authorised User.

**Rationale:** The CCT require the ability to search for up-to-date contact details for Licensees, and therefore require access to data from the Service System. They shall be able to extract this manually, however TfL would invite the Supplier to respond on the feasibility of an automated interface to the TfL Central Complaints Team System in order to remove human intervention.

### Outcome

#### Record Outcome against Customer Account/Licence Record

**Requirement ID:** TPHRL-TPHRL\_EC-39 **Priority:** Must have

**Description:** The Service System shall enable an Authorised User to record an outcome against an Enquiry or Complaint against a Customer Account and or Licence Record. This includes but is not limited to:

- Outcome
- Reason for outcome
- Free text comments
- Upload attachments

**Rationale:** N/A

#### Notify Customer of Outcome

**Requirement ID:** TPHRL-TPHRL\_EC-40 **Priority:** Must have

**Description:** The Service System shall provide the capability to send notifications to Customers to inform them of the outcome of their Enquiry or Complaint. Notifications shall be sent for all Enquiries and Complaints resolved by Taxi and Private Hire Operations. Notifications shall be sent via the Customer's Preferred Method of Communication.

**Rationale:** N/A

## Information Requests

### Create Data Subject Access Request (Online Portal)

**Requirement ID:** TPHRL-TPHRL\_EC-5

**Priority:** Must have

Description:	<p>The Service System shall enable a Customer to create a Data Subject Access Request (DSAR) via their Online Portal. The DSAR shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• DSAR Form</li> <li>• Proof of identity</li> <li>• Proof of address</li> </ul>
Rationale:	N/A

### Create Data Subject Access Request (Authorised User)

**Requirement ID:** TPHRL-TPHRL\_EC-6

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to create a Data Subject Access Request (DSAR) on behalf of a Customer. The DSAR shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• DSAR Form</li> <li>• Proof of identity</li> <li>• Proof of address</li> </ul>
Rationale:	N/A

### Create DSAR Response (Authorised User)

**Requirement ID:** TPHRL-TPHRL\_EC-2

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to create a Data Subject Access Request Report of details and documents relating to a specified set of criteria or selections, for the purpose of a Subject Access Request (DSAR) request.</p> <p>The criteria and selections shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• Select specific records and documents</li> <li>• Select the relevant time period</li> <li>• Order of records displayed (e.g. oldest first)</li> </ul>
Rationale:	N/A

### Redact Specified Details

**Requirement ID:** TPHRL-TPHRL\_EC-4

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to redact specified details from a Data Subject Access Request Report prior to it being exported from the Service System.

**Rationale:** N/A

### Issue DSAR Response

**Requirement ID:** TPHRL-TPHRL\_EC-3

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to issue a Data Subject Access Request Report response, and either send to an email recipient or save locally.

**Rationale:** N/A

## Obtain Intelligence

Intelligence refers to a report, notification or complaint regarding a Customer (i.e. Driver, Operator and/or Vehicle, both active and non-active). Sources of Intelligence include but are not limited to:

- Social media
- General public
- Complaints
- Drivers
- Operators
- CPOS
- Police
- Other Licensing Authorities
- Central Government (HMRC, Home Office etc.)
- Insurance companies

The requirements under this category describe the expected system behaviour to support the receipt, categorising, prioritising and storage of Intelligence.

### Receive Intelligence

**Requirement ID:** TPHRL-REQ-2059

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to receive and store Intelligence from multiple sources, against a Customer Account and / or Licence Records.

Sources of the Intelligence shall be clearly marked on the Intelligence Item.

**Rationale:** N/A

### Capture Intelligence Details

**Requirement ID:** TPHRL-REQ-2058

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record details of Intelligence received, and initiate a Workflow process, subject to Business Rules. Details should include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Source (e.g. Operator)</li> <li>• Type (e.g. Dismissal)</li> <li>• Nature (e.g. Customer complaints, medical issues)</li> <li>• Narrative/Comments (e.g. Inappropriate behaviour)</li> <li>• Crime reference (if any)</li> <li>• Setting up or allocation of the priority</li> </ul> <p>Refer to TPH – Business Rules 13 - Post Licensing</p>
Rationale:	N/A

### Intelligence Formats

**Requirement ID:** TPHRL-REQ-2057

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to receive and store Intelligence of varying formats. Formats expected include but are not limited to emails, documents, voice notes, videos, pictures etc. In addition, these formats may be provided by CPOS via their external interface.</p>
Rationale:	N/A

### Store Intelligence Content

**Requirement ID:** TPHRL-REQ-3623

**Priority:** Must have

Description:	<p>The Service System shall allow an Authorised User to download and store any social media posts or web links (hyperlink) content that may be contained in received Intelligence. The stored Intelligence shall be easily accessible to view by Authorised Users.</p>
Rationale:	N/A

## Manage Investigation

When Intelligence is received, it needs to be assessed in order to determine if further action is required (i.e. investigations leading to a decision e.g. refusal, Suspension/Revocation or Warning) or if the Intelligence can simply be stored and no further action required.

An investigation refers to the interaction with multiple sources in order to investigate/gather evidence relating to an Intelligence received. Sources can include but are not limited to:

- Police
- Direct from the general public
- Other Licensing Authorities
- Home Office
- Compliance history from the known Operators that the Driver has been available to
- Social media

A decision is made based on the recommendations of the investigation.

The management of the investigation process will be handled and dealt with by CPOS entirely and they will be a key source of Intelligence. Intelligence received from CPOS can also create a Workflow action which TfL will have to act on.

These set of requirements describe the expected system behaviour necessary to support investigations of Compliance, medical issues or any other issues that impact the ability of a Licensee to continue operating their Licence.

**Compliance Activities:**

The Compliance Activity is scheduled and fulfilled by a different arm of TfL called Compliance, Policing and On Street Services (CPOS). This part of TfL's operation looks after on-street Compliance Activities, revenue protection, TPH Compliance, responding to Appeals from impacted Customers, and several others.

This is achieved by:

- Deploying Compliance Officers on the street to monitor and assure compliance
- The use of the CPOS System which will interface with the Service System to feed real time updates of Compliance Activity performed by Compliance Officers.

Requirements relating to the creation of Compliance Activities, Receiving of Updates on Compliance Activities, and Configuring the interfaces to CPOS, can be found in the 'Manage Compliance Activity' section.

<b>Set Investigation Status (Manual)</b>	
<b>Requirement ID:</b> TPHRL-REQ-3580	<b>Priority:</b> Must have
<b>Description:</b>	The Service System shall enable an Authorised User to set an investigation status manually against an investigation Record, subject to Business Rules. Statuses shall be selected from a pre-defined list that shall be Configurable by an Authorised User.  Refer to TPH – Business Rules 14 - Appeals
<b>Rationale:</b>	N/A

### Set Investigation Status (Automated)

**Requirement ID:** TPHRL-REQ-3624

**Priority:** Must have

Description:	The Service System shall have the capability to automatically set a status against an investigation record, based on the stage of the investigation/activity performed, subject to Business Rules.  Refer to TPH – Business Rules 14 - Appeals
Rationale:	N/A

### Assign Intelligence

**Requirement ID:** TPHRL-REQ-2046

**Priority:** Must have

Description:	The Service System shall have the capability to use Workflow to allocate and re-allocate Intelligence received across team resources as necessary e.g. ability to re-allocate work in the instance of a team member falling ill.
Rationale:	N/A

### Prioritisation and Allocation of Intelligence (Manual)

**Requirement ID:** TPHRL-REQ-2062

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to assess Intelligence received, and select from a pre-defined list of attributes such as severity and priority, taking into account the source of the Intelligence, subject to defined Business Rules.  Refer to TPH – Business Rules 14 - Appeals
Rationale:	N/A

### Prioritisation and Allocation of Intelligence (Automated)

**Requirement ID:** TPHRL-REQ-3653

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically assess Intelligence received, and allocate a severity and priority based on a pre-defined set of rules, subject to defined Business Rules.  Examples include but are not limited to: allocating a 'high' rating to Intelligence received from the police or the Home Office.  Refer to TPH – Business Rules 14 - Appeals
Rationale:	N/A

### Configure Intelligence Assessment Statuses

**Requirement ID:** TPHRL-REQ-3654

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure a pre-defined list of severity and priority statuses that can be manually or automatically allocated to an item of Intelligence. The Configuration shall include but not be limited to: list of statuses, description of statuses, rules where statuses can be automatically allocated e.g. based on source of Intelligence.
Rationale:	Certain Intelligence may identify an immediate safety risk that will need to be dealt with promptly. The Service System will need to ensure that the outstanding action is highlighted to an Authorised User.

### Record Outcome of Intelligence Assessment

**Requirement ID:** TPHRL-REQ-3553

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to record the outcome of assessing the Intelligence e.g. whether to investigate, any action taken, or if no further action is required.
Rationale:	N/A

### Manage Intelligence via Workflow

**Requirement ID:** TPHRL-REQ-2060

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to send requests for additional information to a Customer using their Preferred Method of Communication, or Third Party using an appropriate Communication Channel.</p> <p>The Intelligence shall be managed via Workflow including Intelligence from request, to be assigned, and updated.</p> <p>The Service System shall record copies of correspondence sent regarding Intelligence, and any responses received, against the Customer Record/Licence Record(s).</p> <p>Refer to TPH – Business Rules 14 - Appeals</p>
Rationale:	N/A

## Make Licensing Decisions

A Licensing Decision can be made by an Authorised User (based on their User Role) of the Service System following the consideration of an Application for a Licence, or after a Licence has been granted. There are various Licensing Decisions that can be made in order to manage public safety or following concerns being raised with respect to an existing Licensee's suitability to remain licensed. Concerns about the suitability of a Licensee could be raised through routine Compliance checks, following receipt of information/Intelligence from a variety of sources or due to the outcome of checks conducted by TfL on the Licensee, for example medicals checks.

The Licensing Decisions that could be made are:

- Grant a Licence. Where a Licence is granted, this could be with a Warning and/or subject to Conditions and/or Exemptions;
- Refuse an Application for a Licence;
- Issue an Advisory Notice or Warning to an existing Licensee;
- Suspend an existing Licence (for a defined period);
- Revoke an existing Licence;
- Impose a Variation to a Licence (Operator Licences only).

With the exception of a decision to grant a Licence and the issuing an Advisory Notice or Warning to an existing Licensee, all other Licensing Decisions would be subject to an Appeal being lodged by the Customer against the Licensing Decision that has been made. There are statutory time periods following a Licensing Decision being made for a Customer to lodge an Appeal and these time periods do differ depending on the type of Licence applied for, as does the type of Appeal that may be lodged by the Customer:

For a PHV Licence:

A Customer has 21 days following a Licensing Decision to lodge an Appeal with the Magistrates Court. Should their Appeal be dismissed at the Magistrates Court, they then have 21 days following that decision to lodge an Appeal with the Crown Court.

For a Taxi Licence:

A Customer has 28 days following a Licensing Decision to lodge an Appeal with either TfL (referred to as a 'reconsideration hearing') or the Magistrates Court. Should they request a 'reconsideration hearing' and their Appeal is dismissed by TfL, they then have 28 days following that decision to lodge an Appeal with the Magistrates Court.

When a Licensing Decision is taken to Suspend or Revoke an existing Licence (or impose a Variation), this Licensing Decision could be made with or without immediate effect. A Licensing Decision made with immediate effect is made due to concerns about public safety and means that, regardless of any right of Appeal the Licensee has, they are not able to continue working/trading while any statutory right of appeal against the decision is concluded. A decision that is made not with immediate effect means that the Licensee is able to continue working/trading while any statutory right of appeal against the decision is concluded.

A decision that is made with immediate effect will also dictate when all of the relevant Licence Materials held by the Licensee are required to be Surrendered in acceptance of the Licensing Decision. All Licence Materials would be required to be Surrendered immediately for decisions made with immediate effect. A decision made not with immediate effect means that the Licensee would have 21 (Private Hire Vehicle) or 28 (Taxi) days following the decision being made to Surrender their Licence Materials in acceptance of the Licensing Decision. Where a Licensee is required to immediately Surrender their Licence Materials or does not surrender all of them when required to, then this triggers an activity for the Licence Materials to be retrieved by the CPOS team.

Following any Licensing Decision being made, including the outcome of an Appeal against a Licensing Decision, there is the possibility that a Licensing Decision may then be overturned or varied (changed). For example: a decision is made to Revoke a Licence, but upon Appeal, this is varied to be a Suspension.

TfL require the capability to Configure and modify the rules around the making of any of Licensing Decisions. The Service System must therefore enable an Authorised User to make any Licensing Decision on a Licence Record(s) and have the capability to record all relevant details about that Licensing Decision (including, but not limited to relevant dates/reasons for Licensing Decision) against the relevant Record(s).

This section covers the expected system behaviour required to facilitate and support any Licensing Decisions made.

These requirements apply to all Licence types: Driver, Operator and Vehicle.

<b>Configure Licence Decisions</b>	
<b>Requirement ID:</b> TPHRL-REQ-2066	<b>Priority:</b> Must have
<b>Description:</b>	<p>The Service System shall enable an Authorised User to Configure a list of possible Licensing Decisions that can be applied to an existing Licence, in order to manage public safety, respond to Compliance issues/concerns, and any other business process requirements.</p> <p>Examples of current Licensing Decisions include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Grant a Licence. Where a Licence is granted, this could be with a Warning and/or subject to Conditions and/or exemptions;</li> <li>• Refuse an Application for a Licence;</li> <li>• Issue an Advisory Notice or warning to an existing Licensee;</li> <li>• Suspend an existing Licence (for a defined period);</li> <li>• Revoke an existing Licence;</li> <li>• Impose a Variation to a Licence (Operator Licences only).</li> </ul>
<b>Rationale:</b>	N/A

### View Decision History

**Requirement ID:** TPHRL-REQ-3671

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to view Licensing Decision history including but not limited to ;</p> <ul style="list-style-type: none"> <li>• Licensing Decision reason(s)</li> <li>• Specific dates and times</li> <li>• Licensing Decision maker</li> <li>• Warnings, Conditions and exemptions</li> </ul> <p>All historical Licensing decision details should be easily viewable against the relevant Licence Record.</p>
<p>Rationale:</p>	<p>N/A</p>

### Configure Decision Reasons

**Requirement ID:** TPHRL-REQ-3559

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to Configure the reasons available to select when applying a Licence Decision. Reasons shall be defined subject to Business Rules.</p> <p>This shall include list of reasons for the Licensing Decision including but not limited to the following reasons for refusal:</p> <ul style="list-style-type: none"> <li>• Age related medical (not returned)</li> <li>• Arrested/charged (serious offence)</li> <li>• Complaints - abuse/behaviour towards passenger (non sexual)</li> <li>• Dishonesty</li> <li>• Driving disqualification - causing death/dangerous driving</li> <li>• Drugs</li> <li>• Plying for hire - caution</li> <li>• Violence - serious</li> <li>• Visa issues (right to work)</li> </ul> <p>Refer to TPH – Business Rules 13 - Post Licensing.</p>
<p>Rationale:</p>	<p>N/A</p>

### Apply Licence Decision

**Requirement ID:** TPHRL-REQ-2064

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to apply or amend a Licensing Decision to an existing Licence Record, subject to Business Rules.</p> <p>Changing a Licensing Decision shall automatically update the Licence Status accordingly.</p> <p>Refer to TPH – Business Rules 13 - Post Licensing.</p>
Rationale:	Any changes to a decision must be fully auditable.

### Impacted Licences

**Requirement ID:** TPHRL-REQ-2068

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically inform an Authorised User of any other linked Licences or pending Applications that are linked to the same Licensee, when making a Licensing Decision. The Service System shall require them to select whether the Licensing Decision applies to these linked Licences (e.g. applying a Licensing Decision to a linked Vehicle Licence or Operator Licence if the Driver Licence is Suspended or Revoked).</p>
Rationale:	To prevent duplication of effort in reviewing multiple licences that are linked to the same customer account

### Update Review Checklists

**Requirement ID:** TPHRL-REQ-2067

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to complete a checklist in order to determine a Licensing Decision, prior to making a Licence Decision against a Licence.</p> <p>This would be used to create a referral notice which is a recommendation to make a certain Licensing Decision.</p>
Rationale:	To inform correct licensing decision and ensure checks are made. The Service System will propose a recommended decision based on the completed checklist.

### Capture Decision Reason

**Requirement ID:** TPHRL-REQ-2065

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record one or more reasons for applying a Licensing Decision against a Licence Record(s). Reasons shall be Configured in a pre-defined list. The Authorised User shall also be able to record free text comments against a Licensing Decision.</p>
Rationale:	N/A

### Apply Appeal Validity Period

**Requirement ID:** TPHRL-REQ-3708

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically calculate the applicable Appeal Validity Period against a Licence Record based on a Licensing Decision made and the type of Licence held. Appeal Validity Periods shall be Configured by Authorised Users, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 13 - Post Licensing.</p>
Rationale:	<p>The appeal period applied to a Licence will allow the Licensee to apply to Appeal on time during that period only. Once the Appeal period has ended the Licence status should automatically update accordingly.</p>

### Set Appeal Validity Period

**Requirement ID:** TPHRL-REQ-3564

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually set the Appeal Validity Period within which a Customer is permitted to Appeal against a Licensing Decision, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 14 - Appeals.</p>
Rationale:	<p>This provides the ability to process an out of time appeal request.</p>

### Create Outcome Notification

**Requirement ID:** TPHRL-REQ-3672

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically generate an outcome Licensing Decision notification document.</p>
Rationale:	<p>To prevent duplication of effort in re-entering the same information added in previous documents.</p>

### Define Suspension Period

**Requirement ID:** TPHRL-REQ-2069

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to define and apply a time period for a Suspension decision to be applied.</p> <p>This includes but is not limited to such details as:</p> <ul style="list-style-type: none"> <li>• Valid from</li> <li>• Valid to</li> <li>• Appeals window etc.</li> </ul>
Rationale:	<p>Set or Amend suspension period is the rationale as a result of an appeals decision.</p>

### Notify Customer of Decision

**Requirement ID:** TPHRL-REQ-3555

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to notify a Customer through various communications channels according to the Customers Preferred Method of Communication of a Licensing Decision made. This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Immediate Suspension or Revocation</li> <li>• Non-immediate Suspension or Revocation</li> </ul> <p>Communication channels include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Email</li> <li>• Post</li> <li>• Online Portal</li> </ul> <p>Refer to TPH - Appendix 04 - Information - Communication Channels</p>
Rationale:	Issue formal documentation by post where necessary.

### Retrieve Licence

Once a Licensing Decision is made regarding a Licence to Suspend or Revoke, the Authorised User will initiate a process to retrieve the Licence Materials.

Primarily, requests are made to the Customer via their Preferred Method of Communication to Surrender their Licence Materials. However on a case by case basis, based on priority and/or risk, TfL representatives are instructed to attend the Customer's address to retrieve the Licence Materials. For high priority retrievals or where the risk is high this will involve Compliance Officers.

These sets of requirements describe the functionalities necessary to request and retrieve one or more Licence Materials, at any point during the Licence lifecycle, subject to Business Rules.

### Retrieve Licence Materials

**Requirement ID:** TPHRL-REQ-3551

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to notify CPOS to retrieve Licence Materials from a Customer based on the outcome of the investigation. Notifications should only be sent when a Licence has not yet been fully Surrendered/retrieved, and it must specify which Licence Material is required. Outcomes include but not limited to:</p> <ul style="list-style-type: none"> <li>• Immediate Revocation</li> <li>• Immediate Suspension</li> <li>• Non-immediate Revocation (after Appeal period has passed)</li> <li>• Non-immediate Suspension (after Appeal period has passed)</li> </ul>
Rationale:	N/A

### Prevent Invalid Retrieval Request

**Requirement ID:** TPHRL-REQ-3674

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to prevent an invalid retrieval request to be sent by an Authorised User to retrieve Licence Materials from a Customer which has already been returned.</p> <p>The Service System shall highlight what Licence Materials have/have not been Surrendered to ensure CPOS are aware of what Licence Material is outstanding.</p>
Rationale:	N/A

### Trigger Workflow to Compliance

**Requirement ID:** TPHRL-REQ\_DCA-17

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to trigger a Workflow request to the CPOS System in order to carry out a site visit and retrieve Licence Materials from a Customer subject to Business Rules. Refer to requirements, TPHRL-REQ-3656 and TPHRL-REQ-3655 for details of creating Compliance Activities.</p> <p>The Renewal Number and Issue Number of the Licence Materials has to be recognised.</p> <p>Refer to TPH – Business Rules 13 - Post Licensing.</p>
Rationale:	N/A

### Request Licence Materials

**Requirement ID:** TPHRL-REQ-2042

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to request Licence Materials from a Licensee, at any point , subject to Business Rules.</p> <p>The request shall be raised via any of the applicable channels.</p> <p>Refer to TPH – Business Rules 13 - Post Licensing.</p>
Rationale:	N/A

### Set Retrieval Status

**Requirement ID:** TPHRL-REQ-2043

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to set and modify the retrieval status for each component of the Licence, in order to be able to track and confirm when the Licence Materials have been retrieved. This includes, but not limited to, the Licence Status and the status of each component and component version associated to that particular Licence.
Rationale:	It may be necessary for CPOS to carry out multiple visits in order to retrieve all Licence materials before the action can be closed.

### Record Outcome of Retrieval Request

**Requirement ID:** TPHRL-REQ-3675

**Priority:** Must have

Description:	The Service System shall enable the capability to record the outcome of the Retrieval request. This could be to record that all or partial Licence Materials have been retrieved or to record that an attempt was made but was unsuccessful. This will then need the capability to receive photographic evidence provided by the CPOS interface.
Rationale:	N/A

## Manage Appeals

An Appeal refers to the process of a Customer applying for a review of a Licensing Decision that has been made, this could include but is not limited to the Suspension/Revocation of an active Licence and refusal of a Licence Application.

The Appeals Types may include:

- an internal reconsideration to TfL (this Appeal type is currently only available to Licensees of a Taxi)
- a court proceeding (a Customer can only Appeal in a court within the defined Appeals Validity Period)

Both Appeal Types are dependent on the Licensing Decision and Licence Type.

These requirements refer to the Service System behaviours required to support the process and outcome of an Appeal. A Customer has the right to Appeal a Suspend/Revoke decision made against their Licence, regardless of the circumstances of the decision. Types of Appeal and the time periods within which a Customer can Appeal a decision are defined within the Business Rules.

This section of requirements relates to the Service System requirements which involve the requesting of a Reconsideration Hearing by a Licensee, the visibility of an Appeal managed by CPOS in the CPOS System.

## Create Appeal

### Create Internal Reconsideration Hearing

**Requirement ID:** TPHRL-REQ-3681

**Priority:** Must have

**Description:** The Service System shall enable a Customer to request a Reconsideration Hearing via their Online Portal. The Customer shall be able to specify details including but not limited to: appeal reason, comments, attach any supporting evidence, representative contact details (i.e solicitors, trade rep) etc.

A Reconsidering Hearing can be requested within the stipulated Appeal Validity Period, subject to the Licence Type and Licensing Decision.

Reconsideration Hearings shall be requested subject to TPH - Business Rules 14 - Appeals.

**Rationale:** N/A

### Check Validity of Reconsideration Appeal Hearing Request

**Requirement ID:** TPHRL-REQ-3717

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically check the validity of a Customer request for a Reconsideration Hearing. The validity check will be made against a pending Licensing Decision held on the Customer(s) Licence Record. The outcome of the validity check shall be recorded against the Customer Account and/or Licence Record.

**Rationale:** N/A

### Receive Court Appeal Notifications (CPOS Interface)

**Requirement ID:** TPHRL-REQ-4524

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically receive notifications of Court Appeals lodged with CPOS in the CPOS System in real time as actions are carried out on that task, and record these against the correct Customer Account and/or Licence Record.

Details included in the notifications shall include but not be limited to:

- Linked Licence Record(s)
- Description of Appeal
- Status
- Hearing date(s)
- Actions required

**Rationale:** N/A

### Create Appeal (Authorised User)

**Requirement ID:** TPHRL-REQ-3663

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to create an Appeal on behalf of a Customer. The Authorised User shall be able to specify details including but not limited to: Appeal Type, comments, attach any supporting evidence, representative contact details (i.e solicitors, trade rep) etc.
Rationale:	N/A

### Auto-populate Appeal Details

**Requirement ID:** TPHRL-REQ-3566

**Priority:** Must have

Description:	The Service System shall provide the capability to auto-populate all fields relating to the Customer Account and/or Licence Record into an Appeal Record.
Rationale:	N/A

### Add Court Appeal Details (Manual)

**Requirement ID:** TPHRL-REQ-3682

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually update a Customer Record as a result of receiving a notification of an Appeal raised, to be heard in a court proceeding. The Authorised User shall be able to update the Customer Record with details including but not limited to: Appeal reason, comments, attach any supporting evidence, representative contact details (i.e solicitors, trade rep) etc.</p> <p>An Appeal can be requested within the stipulated Appeal Validity Period, subject to the Licence Type and Licensing Decision.</p>
Rationale:	N/A

### Record Appeal Details

**Requirement ID:** TPHRL-REQ-2070

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to record details (including free text comments) against any stage of an Appeal, including but not limited to: the Appeal Type (e.g. Reconsideration Hearing), dates of court appearances, upload audio recordings etc. All details shall be recorded against applicable Customer Account(s) and/or Licence Record(s).
Rationale:	N/A

### Update Licence Status

**Requirement ID:** TPHRL-REQ-3676

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to update a Licence Status as a result of an Appeal being lodged with a view to the final outcome to be made.
Rationale:	N/A

### Send Appeal Notification

**Requirement ID:** TPHRL-REQ-3640

**Priority:** Must have

Description:	<p>The Service System shall have the capability to automatically send a Reconsideration Hearing request and /or Appeal notification request received to the relevant team via Workflow. This may include sending a request for a Compliance Activity via an external interface to the applicable CPOS team to manage the Appeal request.</p> <p>For more details on the sending and receiving of Compliance Activities, refer to the requirements within the TPH/CPOS Integration section.</p>
Rationale:	The scheduling of an Appeal will be handled on the CPOS system.

### Process/Update Appeal

#### Link Appeal to Multiple Records

**Requirement ID:** TPHRL-REQ-3565

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to link the details of an Appeal across multiple associated Licence Records .</p> <p>Any updates to an Appeal will also be applied across those Licence Records.</p>
Rationale:	This is done so that there is no need to recreate details and re-key. This will allow a single update to be linked to all records applicable.

#### Link Correspondence to Appeal

**Requirement ID:** TPHRL-REQ-3571

**Priority:** Must have

Description:	The Service System shall provide the capability to link correspondence sent or received via all applicable channels to a Licence Record(s).
Rationale:	N/A

### Create Case History (Legal Bundle)

**Requirement ID:** TPHRL-REQ-2036

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to highlight records/documents linked to the Licence Record and create a case history. This case history can then be exported, as a legal bundle, in order to support an Appeal.</p> <p>The Service System shall enable an Authorised User to specify conditions including but not limited to:</p> <ul style="list-style-type: none"> <li>• Select specific records and documents</li> <li>• Select the relevant time period</li> <li>• Order of records displayed (e.g. oldest first)</li> <li>• Chronology</li> </ul> <p>The export shall also allow pagination and collation.</p>
Rationale:	N/A

### Print Case History

**Requirement ID:** TPHRL-REQ-3570

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to print a case history file, in order to support an Appeal. The export shall allow pagination and collation.
Rationale:	N/A

### Manage Appeal Escalation

**Requirement ID:** TPHRL-REQ-3677

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to manage the escalation of an Appeal Outcome to the relevant party, depending on the type of Appeal or decision.
Rationale:	This will enable TPH to handle the recording of the hearing and any subsequent appeal to be managed by TPH against the outcome.

### Record Appeal Status

**Requirement ID:** TPHRL-REQ-3590

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to record the status of an Appeal at various stages within the Appeal process. Statuses shall be available in a configurable pre-defined list.
Rationale:	N/A

### Record Appeal Outcome

**Requirement ID:** TPHRL-REQ-3666

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record an Appeal Outcome against an Appeal Record. Appeal Outcomes include but are not limited to: dismissed, allowed, varied, withdrawn, adjourned, Appeal Costs awarded and Appeal Costs against.</p> <p>The recorded Appeal Outcome may start a new Appeal Validity Period if allowed by the court.</p>
Rationale:	N/A

### Receive Appeals Compliance Activity Updates

**Requirement ID:** TPHRL-REQ-4525

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically receive published updates and outcomes of Compliance Activities with respect to Appeals from the CPOS Service System in real time as actions are carried out on that task, including actions and activities carried out on HHDs.</p> <p>Examples of intended details include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Hearing(s) scheduled (including date and time)</li> <li>• Licensee responses received</li> <li>• Court responses</li> <li>• Hearing outcome(s)</li> <li>• Appeal Status</li> </ul> <p>Refer to TPH – Business Rules 14 - Appeals.</p>
Rationale:	N/A

### Notify Customer of Appeal Outcome

**Requirement ID:** TPHRL-REQ-3572

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to notify a Customer of an Appeal Outcome, via their Preferred Method of Communication, subject to Business Rules and legal obligations, with a copy of the letter being held against the Licence Record.</p> <p>This can include a request for an additional payment to be made to TfL, an agreed payment plan or a cheque payment etc.</p> <p>Refer to TPH – Business Rules 14 - Appeals.</p>
Rationale:	N/A

### Cost Recovery

Appeals Cost Recovery is currently managed within the CPOS System, with all funds recovered sent to TfL and reconciliation performed by TfL Finance. As part of a parallel project that CPOS are running to replace their legacy system TfL is considering whether Appeals Costs should be managed within the Service System. Both business areas (Taxi Private Hire and CPOS) are considering the options and relative benefits of each system. However as a baseline the current expectation is that Appeals Costs will continue to be managed by CPOS within the CPOS System, and TfL shall receive updates via an interface, when Appeal Costs are recorded and recovered.

Therefore, as a minimum, the Service System shall be expected to receive all updates of Cost Recovery activities and display against Customer Accounts and Licence Records. Real time Payment status is required to enable certain functionality within the Service System e.g. preventing Application processing where there is a debt against the Customer Account and/or Licence Record. This is reflected in the requirement below:

- Receive Appeals Cost Recovery Details

However, if a decision is taken to manage all Appeals Costs and Payments within the Service System, then a number of areas of 'Must have' functionality from the Payments set of requirements are expected to be utilised to manage Appeal Cost Recovery, as a minimum they include the items below. The Parties acknowledge that the functionality developed in response to these requirements could be utilised for the purpose of Appeal Cost Recovery where required, however this is to be discussed further and agreed with TfL for a final decision to be made prior to Achievement of Milestone MS2B (Detailed Design Complete).

<b>Payments Requirements</b>	<b>Manage Appeals Cost Recovery Specific Requirements</b>
Make Payment (Online) - TPHRL-REQ_PYM-3	Record Appeal Payments - TPHRL-REQ-4527
Take Payment - TPHRL-REQ_PYM-10	
Set-Up Scheduled or Instalment Payments - TPHRL-REQ_PYM-51	
Process Scheduled or Instalment Payments - TPHRL-REQ_PYM-103	
Issue Payment Receipt - TPHRL-REQ_PYM-9	
Send Payment Notifications - TPHRL-REQ_PYM-107	

### Receive Appeals Cost Recovery Details

**Requirement ID:** TPHRL-REQ-4526

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically receive details of Appeals Cost Recovery from the CPOS System in real time as actions are carried out on specific tasks. All Appeals Costs shall be linked to a specific Appeal Record against a Customer Account and Licence Record.</p> <p>Details shall include but not be not limited to:</p> <ul style="list-style-type: none"> <li>• Amount awarded</li> <li>• Amount recovered to date</li> <li>• Debt status (e.g. 'Payment Plan Agreed'. Note: this shall be taken into Account when an Application is being processed, and may not prevent the Licence being issued. Whereas an outstanding debt would prevent the Licence being issued)</li> <li>• Transaction details</li> </ul> <p>Refer to TPH – Business Rules 14 - Appeals.</p>
Rationale:	N/A

### Record Appeal Payments

**Requirement ID:** TPHRL-REQ-4527

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually record a Payment due or made for an Appeal Cost against a Customer Account and/or Licence Record.</p>
Rationale:	N/A

### Controls and Configuration

#### Configure Appeal Validity Periods

**Requirement ID:** TPHRL-REQ-3563

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Appeal Validity Periods (according to Licence Type) within which a Customer is permitted to Appeal a Licensing Decision, subject to Business Rules.</p> <p>Refer to TPH – Business Rules 14 - Appeals.</p>
Rationale:	N/A

### Configure Appeal Rules

**Requirement ID:** TPHRL-REQ-4599

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the types of Appeals available to a Customer, and the parameters within which a Customer can Appeal a Licence Decision.</p> <p>The Configuration required includes but shall not be limited to:</p> <ul style="list-style-type: none"> <li>• type of Appeals permitted, based on the Licence Type held</li> <li>• how many times a Customer can Appeal a Licence Decision</li> </ul>
Rationale:	N/A

### Customer Activity During Active Appeal

**Requirement ID:** TPHRL-REQ-3581

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to recognise when a Licence Record has an active Appeal in progress. This may then limit the Customer's ability to perform activities against their Application/Licence, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Requesting new/replacement Licence Materials;</li> <li>• Applying to Renew a Licence;</li> <li>• Requesting a change of details for a Licence.</li> </ul> <p>The Licence Status of a Licence Record(s) may also need to be extended beyond the set Expiry Date in order to allow the Customer to continue trading while an Appeal is in progress. This would be subject to Business Rules.</p> <p>Refer to TPH – Business Rules 14 - Appeals.</p>
Rationale:	<p>When a licensing decision is made and an appeal is lodged against that decision, this may prevent a Licensee from performing certain activities. However, depending on the licensing decision that has been made, the Licensee may be entitled to continue to trade while the appeal is heard. This is defined as a requirement within Taxi and Private Hire legislation. The Service System will therefore need to be capable of recognising the different scenarios relating to licensing decisions and appeals lodged.</p>

### Prevent Application if Costs Outstanding

**Requirement ID:** TPHRL-REQ-3627

**Priority:** Must have

Description:	The Service System shall have the capability to prevent any future Applications being processed if Appeal Costs are outstanding from a previous Appeal subject to Business Rules.  Refer to TPH – Business Rules 14 - Appeals.
Rationale:	N/A

### Surrender / Withdraw Licence

A Customer may voluntarily withdraw or be asked to Surrender a Licence for different reasons, examples include but are not limited to the following:

- Failure of Medical Assessment
- Retirement (for age or other reasons)
- Death
- Compliance Activity
- Renewal/replacement of Licence Materials

A Surrender of a Licence can be triggered by TfL or by a Customer. This could also happen during an Inspection, with the Licence Surrendered to a Compliance Officer.

These requirements describe the expected system behaviours required to support the ability to request Licence Material surrender from a Customer, or to receive Licences which have been Surrendered by a Customer.

### Surrender Licence

#### Surrender Licence (Online Portal)

**Requirement ID:** TPHRL-REQ-3678

**Priority:** Must have

Description:	The Service System shall enable a Customer to notify TfL that they wish to Surrender their Licence via their Online Portal.  The request shall include reasons for Licence to be withdrawn e.g. for Drivers - change in medical circumstances, retirement, for Vehicles - change in ownership, for Operators - ceasing trading.
Rationale:	N/A

## Request Licence Surrender

### Request Customer To Surrender Licence

**Requirement ID:** TPHRL-REQ-2053

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to request for a Licence to be Surrendered by a Customer, via any of the applicable contact channels and Preferred Methods of Communication.</p> <p>The request shall include reasons for Licence to be Surrendered e.g. failure of Medical Assessment, Compliance etc.</p>
Rationale:	N/A

### Configure Surrender Reasons

**Requirement ID:** TPHRL-REQ-3550

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the reasons available to select when Surrendering a Licence. Reasons shall be defined as per Business Rules.</p> <p>Refer to TPH – Business Rules 13 - Post Licensing.</p>
Rationale:	N/A

## Process Licence Surrender

### Capture Surrender Reason

**Requirement ID:** TPHRL-REQ-2071

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to capture the reason for the Surrender or Partial Surrender of a Licence.</p> <p>This field shall be capable of being reported on, as well as Configurable.</p>
Rationale:	N/A

### Update Licence (Manual)

**Requirement ID:** TPHRL-REQ-2109

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to manually update an existing Licence Status.</p>
Rationale:	N/A

### Update Licence Status (Automated)

**Requirement ID:** TPHRL-REQ-3628

**Priority:** Must have

**Description:** The Service System shall have the capability to automatically update an existing Licence Status.

**Rationale:** N/A

### Trigger Retrieval Workflow

**Requirement ID:** TPHRL-REQ-3556

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to trigger the creation of a Workflow to Retrieve Licence Materials, specific to individual materials in cases where there is a Partial Surrender.

**Rationale:** N/A

### Record Licence Surrender

**Requirement ID:** TPHRL-REQ-2052

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to capture the details of a Licence that has been Surrendered, details including but not limited to;

- reasons for Surrendering
- date of Surrender
- additional fields required conditional on the reason for Surrender
- the status of each component version associated to that Licence

**Rationale:** N/A

### Record Licence Materials Received

**Requirement ID:** TPHRL-REQ-3639

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to record the receipt of Licence Materials received on the Licence Record for a Customer. This shall also include updates for each Licence component and recording the end date and reason for each component.

**Rationale:** N/A

## Manage Compliance Activity

### Background:

The CPOS directorate performs several activities across TfL. These include the following:

- Parking and Red Route Traffic violations on the TLRN
- Enforceable moving violations (Enforced by the Police)
- Crime on the Transport Network
- Fare Evasion
- Appeals and Prosecutions
- Operational Security for Surface Transport
- On-street compliance
- Revenue protection
- Road network compliance
- Policing and Community Safety
- TPH Compliance

CPOS are under-going a re-let of their legacy system - Mercury. This new CPOS System will be responsible for recording contraventions on the transport network as well as enforcing regulations through prosecutions and Advisory Notices through a case management system. The objective of the procurement exercise is to source the best digital system for reporting irregularities and back office systems to enable enforcement, prosecutions and Appeals. The new service will also provide ancillary business services such as identity checking.

Given the relationship and the dependency between these two business areas, it is important that we:

- Define the boundaries between the Service System and the CPOS System
- Understand the scope of data flows required for both the Service System and the CPOS System to work cohesively

The requirements below describe the expectation of the Service System's interactions with the CPOS System that are required to support the Compliance Activities for TfL. This includes all the Compliance Activities impacting Drivers, Vehicles and Operators.

### CPOS Interface Overview:

Compliance Activities can be initiated either by TfL or CPOS.

Activities within the CPOS System are out of scope of this Contract. This section of the requirements will describe the business expectation of the Service System with relation to these Compliance Activities, the interaction between the Service System and the CPOS System, and the interfaces needed to support them.

There are a number of interactions between CPOS and Taxi and Private Hire that shall be required in order to carry out Licensing activity and Compliance Activities. The lists below attempts to provide an overview of the key flows of information between the two business functions. The Supplier shall be expected to work together with TfL, CPOS, and the future CPOS System Supplier to design and deliver robust and complete interfaces during the Design and Development Phase. For more details of the Supplier obligations refer to TPH - Schedule 6.5 - Systems Integration.

Send requests from TfL to CPOS, and receive updates for:

- Compliance Inspections (various types)
- Licence Retrievals
- Appeals against Licensing Decisions

Updates may include but not be limited to: Booking of Compliance Inspections, responses from Court officials, outcomes of Compliance Inspections. Updates from CPOS may result in triggering Workflow activities on the part of TfL, subject to Service System Configuration.

Receive notifications from CPOS to TfL for:

- On-street inspections of Driver/Vehicle Licensees
- Intelligence/complaints Received

Above all, TfL expect to have the capability to have ready access to critical Customer information in real-time from the Service System to the CPOS System, and vica-versa.

### Create/Update Compliance Activities

#### Create Compliance Activity (Automated)

**Requirement ID:** TPHRL-REQ-3656

**Priority:** Must have

Description:

The Service System shall provide the capability to automatically create a Compliance Activity based on pre-defined criteria as Configured by TfL. The Compliance Activity will be sent to the CPOS team, via an external interface to the CPOS System. All Compliance Activities shall be linked by Workflow to relevant Customer Account and/or Licence Record.

Compliance Activities include but are not limited to :

- Inspection
- Licence retrieval
- Appeal hearings etc.

The Service System shall provide the capability to create a Compliance Activity to investigate the following but not limited to:

- Drivers
- Vehicles
- Operators

	<p>A request shall include a number of details about the activity, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Details required to support the prioritisation, scheduling, allocation and completion of task e.g (Unique Identifier, task category ,task priority, risk assessment , number of Vehicles (in the case of an Vehicle Inspection),task details, Warnings, Conditions etc .)</li> <li>• Any relevant Licence history</li> <li>• Customer details (e.g. Driver, Vehicle, or Operator)</li> <li>• Inspection summary details (including specific comments from a TfL representative on items of particular attention)</li> <li>• Inspection type(s) required (for Operators, including whether a technical Inspection is required by TfL Technology and Data)</li> <li>• Inspection questionnaire to be completed (selected from a pre-defined set of questionnaires)</li> <li>• Additional questions or requests as specified by the TfL team, where applicable</li> <li>• Attachments of any documentation to be reviewed as part of the Inspection(s)</li> <li>• Attachments of any reference documentation submitted as part of the Licence Application</li> <li>• Any details specific to Operators (e.g. Operator location(s), Operating Model provided by the Operator, Operator Upload.</li> </ul> <p>Refer to TPH – Business Rules 11 - Operators, and TPH – Business Rules 13 - Post Licensing.</p>
Rationale:	N/A

### Create Compliance Activity (Manual)

**Requirement ID:** TPHRL-REQ-3655

**Priority:** Must have

**Description:**

The Service System shall enable an Authorised User to manually create a Compliance Activity, that will be sent to the CPOS team, via an external interface to the CPOS System. All Compliance Activities shall be linked by workflow to relevant Customer Account and/or Licence Record.

Compliance activities include but are not limited to :

- Inspection
- Licence retrieval
- Appeal hearings etc.

The Service System shall provide the capability to create a Compliance Activity to investigate the following but not limited to:

- Drivers
- Vehicles
- Operators

An Authorised User shall be able to specify a number of details about the Compliance Activity, including but not limited to:

- Details required to support the prioritisation, scheduling, allocation and completion of task e.g (Unique Identifier, task category ,task priority, risk Assessment , number of Vehicles (in the case of an operator inspection),task details, Warnings, Conditions etc.)
- Any relevant Licence history
- Customer details (e.g. Driver, Vehicle, or Operator)
- Inspection summary details (including specific comments from a TfL representative on items of particular attention)
- Inspection type(s) required (for Operators, including whether a technical Inspection is required by TfL Technology and Data)
- Inspection questionnaire to be completed (selected from a pre-defined set of questionnaires)
- Additional questions or requests as specified by the TfL team, where applicable
- Attachments of any documentation to be reviewed as part of the Inspection(s)
- Attachments of any reference documentation submitted as part of the Licence Application.
- Any details specific to Operators (e.g. Operator location(s), Operating Model provided by the Operator, Operator Upload

**Rationale:**

N/A

### Send Compliance Activity Request (Automated)

**Requirement ID:** TPHRL-REQ-3658

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically send a Compliance Activity request notification to the CPOS team, via an external interface to the CPOS system, subject to Business Rules.</p> <p>These requests can include, but are not limited to Inspections, Retrievals, ad-hoc tasks, investigations, Appeals etc.</p> <p>Refer to TPH – Business Rules 14 - Appeals</p>
Rationale:	N/A

### Send Compliance Activity Request (Manual)

**Requirement ID:** TPHRL-REQ-3521

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to send a Compliance Activity request notification to the CPOS team, via an external interface to the CPOS System, subject to Business Rules.</p> <p>These requests can include, but are not limited to Inspections, Retrievals, ad-hoc tasks, investigations, Appeals etc.</p> <p>Refer to TPH – Business Rules 14 - Appeals</p>
Rationale:	N/A

### Create Summary Document

**Requirement ID:** TPHRL-REQ-3311

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to create a summary document that may be attached to a Compliance Activity task request and linked to a Licence Record.</p>
Rationale:	<p>This document will enable Compliance Officers to have a better understanding of the context and background around the Compliance Activity task request as well as the reasons for the request. It may contain supporting information relating to the Operator, a Driver or Vehicle, and will enable a more accurate outcome.</p>

### Prioritise Compliance Activity

**Requirement ID:** TPHRL-REQ-3074

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to set the priority of a Compliance Activity (e.g. urgent, emergency etc.)

**Rationale:** The priority assigned to a Compliance Activity will assist in the scheduling of compliance tasks by CPOS and escalate when not completed within agreed timeframes.

### Calculate and Display Customer Compliance Risk

**Requirement ID:** TPHRL-REQ-3077

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to calculate and record a compliance risk rating against a Customer, based on defined Business Rules and other factors e.g. outcome of previous Inspection(s), Compliance Activity outcomes etc.

The Service System shall provide the capability to weigh and score a Customer against assessed compliance risk.

The assessed compliance risk shall be available to view (pictorial e.g. red/amber/green status, and textual e.g. high, medium, low) on the Customer Account and/or Licence Record.

Refer to TPH – Business Rules 11 - Operators

Refer to TPH – Business Rules 13 - Post Licensing

Refer to TPH – Business Rules 14 - Appeals

**Rationale:** N/A

### Configure Compliance Activity Task

**Requirement ID:** TPHRL-REQ-3064

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to Configure an existing Compliance Activity task, subject to Business Rules. Any such Configuration should be captured in the Audit Log including (but not limited to) details of changes, author, time, date etc.).</p> <p>Refer to TPH – Business Rules 11 - Operators .</p> <p>Refer to TPH – Business Rules 13 - Post Licensing</p> <p>Refer to TPH – Business Rules 14 - Appeals</p>
<p>Rationale:</p>	<p>This allows the ability to make changes to a compliance activity that has already been sent to CPOS. All changes must be flagged to CPOS via the external interface.</p>

### Cancel Compliance Activity Task

**Requirement ID:** TPHRL-REQ-3078

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to cancel an existing Compliance Activity task, subject to Business Rules. The Authorised User must record a reason for the cancellation. Any such cancellation should be captured in the audit history including (but not limited to) details of cancellation, author, time, date etc.).</p> <p>Refer to TPH – Business Rules 11 - Operators</p> <p>Refer to TPH – Business Rules 13 - Post Licensing</p> <p>Refer to TPH – Business Rules 14 - Appeals</p>
<p>Rationale:</p>	<p>This allows the ability to make changes to a Compliance Activity that has already been sent to CPOS. All changes must be flagged to CPOS via the external interface for the cancellation or reschedule to take place in the CPOS System.</p>

## Receive Compliance Updates

### Receive Compliance Activities Updates

**Requirement ID:** TPHRL-REQ-3072

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically receive published updates of Compliance Activities from the CPOS System (based on business process and Business Rules) in real time as actions are carried out on that task, including actions and activities carried out on devices and all associated documents and files.</p> <p>Examples of intended statuses include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Activity requested</li> <li>• Activity scheduled (include date and time)</li> <li>• Activity in progress</li> <li>• Activity completed (include date and time)</li> <li>• Appeals (Reconsideration Hearings and court hearings) updates</li> <li>• Inspection and retrievals activity updates</li> </ul> <p>Refer to TPH – Business Rules 11 - Operators</p> <p>Refer to TPH – Business Rules 13 - Post Licensing</p> <p>Refer to TPH – Business Rules 14 - Appeals</p>
Rationale:	

### Receive Compliance Activity Details

**Requirement ID:** TPHRL-REQ-3347

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to receive the details of a completed Compliance Activity task from the CPOS System in real-time, including (but not limited to) all notes, questionnaires, Documents, photos, videos and any other material, relating to a Compliance Activity task, date and time of activities, Compliance Officers involved (can be multiple).</p>
Rationale:	N/A

### Receive Notification of Compliance Activity Task from CPOS

**Requirement ID:** TPHRL-REQ-3340

**Priority:** Must have

Description:	The Service System shall provide the capability for a notification to be received by the Service System when a Compliance Activity task is created by CPOS in the CPOS System. This shall be linked automatically to a corresponding Customer Account and/or Licence Record.
Rationale:	This will allow CPOS Compliance Officers to create a Compliance Activity directly from their devices without having to go through the Compliance Delivery team or other back office functions to have direct access to the Service System..

### Associate Compliance Activity with Customer Account (Manual)

**Requirement ID:** TPHRL-REQ-3079

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to manually associate all Compliance Activities (including those initiated by CPOS within the CPOS System and those created in the Service System) with a Customer Account and/or Licence Record.
Rationale:	This functionality is required so that an Authorised User can see the latest position of an activity in the Service System and depending on status, could trigger a Workflow action.

### Associate Compliance Activity with Customer Account (Automatic)

**Requirement ID:** TPHRL-REQ-3679

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically associate all Compliance Activities (including those initiated by CPOS within the CPOS System and those created in the Service System) with a Customer Account and/or Licence Record.
Rationale:	N/A

### Receive Print Instruction (CPOS)

**Requirement ID:** TPHRL-REQ-3680

**Priority:** Must have

Description:	The Service System shall provide the capability to receive print instructions from CPOS. All print instructions shall be included in scheduled print jobs processed by the Print Supplier.
Rationale:	<p>The Service System is the central repository for all Licence Data. Service System will produce all Customers correspondence to be sent by the Print Supplier or produced locally by TfL.</p> <p>e.g. Should an Unfit Notice need to be issued, a paper copy may be provided on-street by a Compliance Officer . However a formal letter will be raised via the Customer's PMOC (issued by the Print Supplier). Both the on-street letter and formal communication will be recorded in the Service System.</p>

## View Compliance Information

### View Compliance Activity Status

**Requirement ID:** TPHRL-REQ-3345

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically display the current status of a Compliance Activity task in real time (based on business process and Business Rules) so that an Authorised User can view the current status of the task. All updates to the Compliance Activity status should be recorded in the audit history.</p> <p>Examples of intended statuses include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Activity requested</li> <li>• Activity scheduled (include date and time)</li> <li>• Activity in progress</li> <li>• Activity completed (include date and time)</li> </ul> <p>Refer to TPH – Business Rules 11 - Operators</p> <p>Refer to TPH – Business Rules 13 - Post Licensing</p> <p>Refer to TPH – Business Rules 14 - Appeals</p>
Rationale:	

### View Compliance Documents

**Requirement ID:** TPHRL-REQ-3075

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to view all documents that are held in the CPOS System that were captured by a Compliance Officer during a Compliance Activity, and linked to the relevant Customer Account and/or Licence Record.</p>
Rationale:	N/A

### View Compliance Activities against Customer Account

**Requirement ID:** TPHRL-REQ-3309

**Priority:** Must have

Description:	<p>The Service System shall provide the capability for all Compliance Activities, including all associated documents and files, to be visible against the Customer Account and/or Licence Record.</p>
Rationale:	N/A

## Configure Compliance Questionnaires

### Create Compliance Questionnaire

**Requirement ID:** TPHRL-REQ-3066

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to create a compliance questionnaire. The compliance questionnaire is a set of questions that relate specifically to one or more types of Compliance Activity.
Rationale:	The questionnaires will be used during a Compliance Activity task and the questions will be answered by the Compliance Officer during the task.

### Configure Compliance Questionnaire

**Requirement ID:** TPHRL-REQ-3067

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure a compliance questionnaire(s), subject to User Permissions and specified Business Rules.</p> <p>Over time there will be the requirement to add more questions to the compliance questionnaire. Responses to these additional questions shall be required to be stored in the Service System and made available to be viewed and reported upon (must be easy to amend, subject to changes in regulations, policies etc.)</p> <p>Refer to TPH – Business Rules 11 - Operators</p> <p>Refer to TPH – Business Rules 13 - Post Licensing</p> <p>Refer to TPH – Business Rules 14 - Appeals</p>
Rationale:	N/A

## Data Interface

### Provide Customer Data via Data Interface

**Requirement ID:** TPHRL-REQ-3065

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to interface read-only access to Data in real-time to the CPOS System, in support of a Compliance Activity, subject to permission levels. The Data to be provided includes but is not limited to the following:</p> <ul style="list-style-type: none"> <li>• Operator Data (e.g. company, premises, people, Upload Data)</li> <li>• Driver Licence Data (e.g. Conditions, Alerts, Warnings etc)</li> <li>• Vehicle Licence Data</li> <li>• All reports / report Data relating to Operators, Drivers and / or Vehicles</li> <li>• Check the validity of Reconsideration Hearing or Court Appeal request</li> </ul> <p>All data fields shall be defined as part of the Design and Development Phase.</p>
Rationale:	<p>This is to ensure that the Compliance team have all the information they need to carry out their day to day activities.</p>

### Configure Data Interface Fields

**Requirement ID:** TPHRL-REQ-3651

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the Data fields that are included in the CPOS System interface.</p>
Rationale:	<p>N/A</p>

## Payments

### Core Responsibilities:

The Supplier shall be responsible for providing the functionality defined within this section, which includes providing certain functionality via the Service System and Payment Gateway to enable all Fee Payments, Refunds, Chargebacks, and Compensatory/Goodwill Payments to be made directly by the Customer (via the Online Portal or automated telephone interaction) or indirectly by TfL, the Lot 2 Supplier, and the Scan Supplier.

The Supplier shall ensure that the Service System and Payment Gateway are available and operational to the Other Suppliers and TfL to trigger Payments. The Supplier shall be responsible for investigating and resolving Service System errors regarding Financial Transactions.

Refer to the diagram below for further details of the responsibilities of each party.

### Overview:

The Service System shall provide capability to request and initiate the process to take Fee Payments from Customers and if required, issue Refunds to Customers (with the Refund being initiated by the Lot 2 Supplier).

These sets of requirements describe the Service System functionality to be used across a number of different licensing processes where Payments are involved. These may include activities including but not limited to: applying for a new Licence, Renewing an existing Licence, modifying or replacing an existing Licence. The Service System shall therefore provide the functionality to:

- Request and initiate Fee Payments to be taken from Customers
- Issue Refunds
- Manage Chargebacks
- Report on Financial Transactions
- Carry out reconciliations

**Roles and Responsibilities:**

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

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

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

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

<b>Operational Activity – Financial Reconciliation</b>	<b>TfL – Taxi Private Hire</b>	<b>Lot 1 Supplier</b>	<b>Lot 2 Supplier</b>	<b>Print Supplier</b>	<b>Scan Supplier</b>	<b>Post Office</b>	<b>TfL – Finance</b>	<b>TfL – CP OS</b>
Monitor Financial Activity	R	A/R	C		C	C	A/I	
Download Bank Transaction Data		A/R						
Perform Financial Reconciliation Transaction vs Bank Rec) and Investigate and resolve system issues w.r.t. reconciliation.	I	A/R					I	
Reconciliation against payment transaction/ payment gateway reports/acquirer reports	I	A/R					I	
Perform Financial Reconciliation (Lot 2 / Scan Supplier Payment Activity vs Transactions recorded) and investigate and resolve any discrepancy with the financial reconciliation	C/I		A/R		A/R		C/I	
Produce Financial Reconciliation Reports	I	A/R	R		R		I	
Validate Finance Report	C/I	A/R	A/R		A/R		C/I	
Resolve Financial Reconciliation Issues, data and transactions	C/I	A/R	A/R		A/R	C/I	C/I	

**Key**

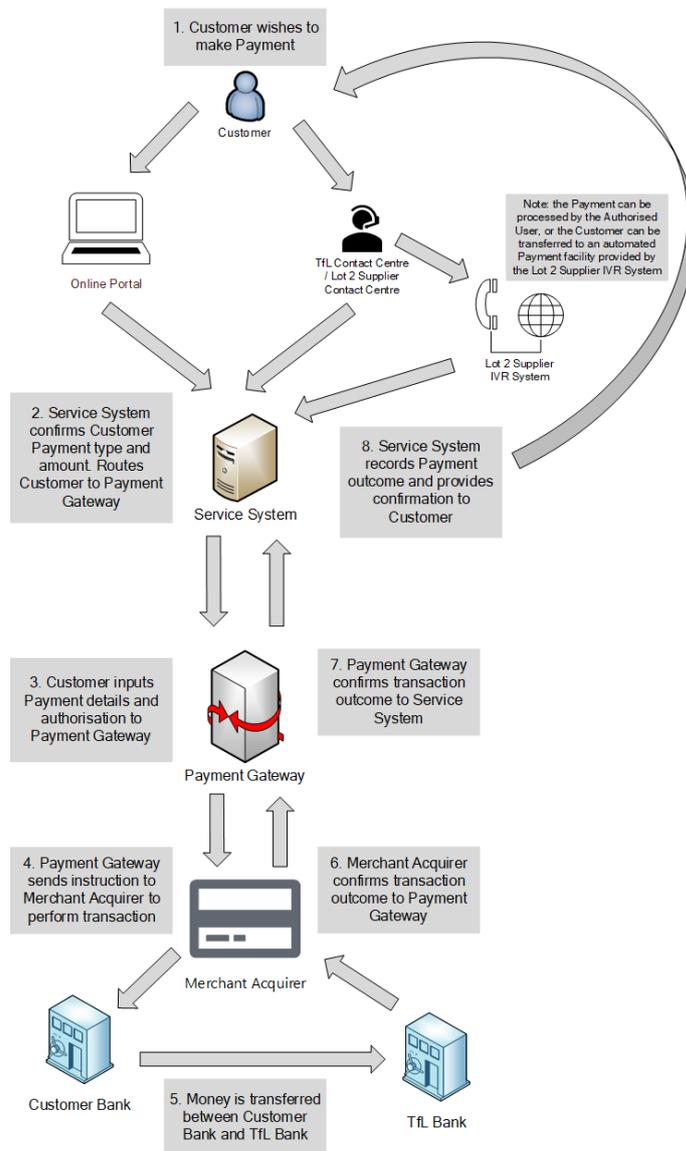
R	Responsible
A	Accountable
C	Consulted
I	Informed

## Payment Processing - Illustrative Process and Infrastructure

### Payment Processing – Illustrative Process and Infrastructure

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

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



### Provide Payment Gateway

**Requirement ID:** TPHRL-REQ\_PYM-124

**Priority:** Must have

Description:	<p>The Supplier shall provide a Payment Gateway that is interoperable with the Service System and Merchant Acquirer to enable Payments to be processed by the Merchant Acquirer in a PCI compliant manner. The Payment Gateway shall facilitate the exchange of information to the Merchant Acquirer to enable a Financial Transaction to be performed.</p> <p>The Payment Gateway shall be available to TfL, Lot 2 Supplier and Scan Supplier to perform Licensing Payments functions via the Service System.</p>
Rationale:	N/A

### Configure Payments

This section of requirements details the functionality required by TfL to Configure Payments. The functionality detailed in these requirements is expected to be utilised by Personnel from TfL, the Lot 2 Supplier, and the Scan Supplier. The configuration of Authorised User Permissions specific to their roles shall be set during the Design and Development Phase.

### Configure Fees

**Requirement ID:** TPHRL-REQ\_PYM-17

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Fees for different TfL services, including but not limited to, different Application Fees and Licence Fees, Licence Materials, Assessments, and Vehicle Inspections etc.</p> <p>These Fees cannot be changed during an individual Application process/transaction.</p> <p>The ability to Configure Fees shall be limited to Authorised Users with elevated User Permissions.</p> <p>This shall include but is not limited to the following:</p> <ul style="list-style-type: none"> <li>• Payment terms (e.g. mandatory or able to be deferred, instalments etc.)</li> <li>• Payment type (e.g. Licence Fee, Application Fee etc.)</li> <li>• Payment validity dates</li> </ul>
Rationale:	N/A

### Apply Correct Fee

**Requirement ID:** TPHRL-REQ\_PYM-122

**Priority:** Must have

Description:	The Service System shall ensure that the Payment Fees for an Application are correct at the point of Application submission. This may include but is not limited to: charging the correct Application Fee that was set at the point of Application submission, or charging the correct Grant of Licence Fee at the point of Licence approval.
Rationale:	N/A

### Identify Payment Type

**Requirement ID:** TPHRL-REQ\_PYM-23

**Priority:** Must have

Description:	The Service System shall have the capability to identify the Payment Method used to make a Fee Payment across all Payment Methods and Communication Channels.
Rationale:	N/A

### Display Fee Payment

**Requirement ID:** TPHRL-REQ\_PYM-2

**Priority:** Must have

Description:	The Service System shall provide the capability to display Fee Payments (for example, a single Fee Payment or Fee Payments in instalments) and debts required to complete an Application and/or request across all service types (for example, Licence, Application and Assessment).
Rationale:	N/A

### Identify Outstanding Debts

**Requirement ID:** TPHRL-REQ\_PYM-50

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically notify an Authorised User when an existing Customer has any outstanding debt following an Application for a Licence (for example, Taxi Licence and Operator Licence).
Rationale:	N/A

### Store Payment History

**Requirement ID:** TPHRL-REQ\_PYM-56

**Priority:** Must have

Description:	The Service System shall provide the capability to store Payment History of a Customer against the Customer Account and/or Licence Record.
Rationale:	N/A

### View Payment History

**Requirement ID:** TPHRL-REQ\_PYM-64

**Priority:** Must have

Description:	The Service System shall provide the capability to view all Fee Payments made against a Customer Account and/or Licence Record, and enable a Customer or Authorised User to select the number of transactions to view any periods when Fee Payments were made. The ability to view Payment History shall be limited by the User's role profile and access restrictions.
Rationale:	N/A

### View Payment Account

**Requirement ID:** TPHRL-REQ\_PYM-52

**Priority:** Must have

Description:	The Service System shall provide the capability for a Customer to view all financial details on their Customer Account, including but not limited to, their outstanding balance, all Fee Payments made to date, etc.  The Customer shall be able to view financial details by time periods, Licence Record, Licence Type, etc.
Rationale:	N/A

### Assign Unique Transaction References

**Requirement ID:** TPHRL-REQ\_PYM-73

**Priority:** Must have

Description:	The Service System shall provide the capability to assign unique transaction references to every Fee Payment made.
Rationale:	N/A

### Assign Unique Code to Customer Channels

**Requirement ID:** TPHRL-REQ\_PYM-78

**Priority:** Must have

Description:	The Service System shall provide the capability to assign and record a unique code to each Fee Payment made based on the channel used to make the Fee Payment (i.e. Online Portal, Post Office Check and Send Service, Lot 2 Supplier IVR System).
Rationale:	N/A

### Assign Unique Codes to Payment Methods

**Requirement ID:** TPHRL-REQ\_PYM-80

**Priority:** Must have

Description:	The Service System shall provide the capability to assign a unique code to each Payment Method, including separate codes for Refunds where appropriate.
Rationale:	N/A

### Maintain General Ledger Hierarchies

**Requirement ID:** TPHRL-REQ\_PYM-81

**Priority:** Must have

Description:	The Service System shall provide the capability to use the TfL Chart of Accounts for maintaining general ledger account hierarchies.
Rationale:	N/A

### Configure Address Verification

**Requirement ID:** TPHRL-REQ\_PYM-65

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure whether cardholder address verification is required to process Payments on an exceptional basis.
Rationale:	N/A

### Provide Reasons for Transactions

**Requirement ID:** TPHRL-REQ\_PYM-74

**Priority:** Must have

Description:	The Service System shall provide the capability to provide reason statements (for example, selected drop down) for but not limited to, - Refunds - Chargebacks
Rationale:	N/A

### Assign Debts

**Requirement ID:** TPHRL-REQ\_PYM-110

**Priority:** Must have

Description:	The Service System shall provide the capability to assign debts for Fees that have not yet been paid to a specified Customer Account and/or Licence Record, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Configure Fee Payment Reminder Notifications

**Requirement ID:** TPHRL-REQ\_PYM-106

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure automated or manually triggered Fee Payment Reminder Notifications, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Send Payment Reminder Notifications

**Requirement ID:** TPHRL-REQ\_PYM-107

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to send automated or manually triggered Payment Reminder Notifications, using a Customer's Preferred Method of Communication or Online Portal, including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Notify Customers about any outstanding debts owed</li> <li>• Notify Customers about any overdue debts owed</li> <li>• Notify Customers in recognition when any outstanding debt has been paid.</li> <li>• Notify Customers when a Fee Payment is due</li> <li>• Send notification to the Customer when the Fee Payment was successful</li> <li>• Send notification to the Customer when the Fee Payment was unsuccessful</li> <li>• Send notification to the Customer when debit / credit card is expired</li> <li>• Send notification to the Customer when a Refund has been sent</li> </ul>
Rationale:	N/A

### Store Payment Details

**Requirement ID:** TPHRL-REQ-4811

**Priority:** Must have

Description:	<p>The Service System shall securely store Payment Details in order to facilitate refunds to the original Payment Method.</p> <p>All Payment Details shall be stored in a PCI compliant manner and accessible to those with sufficient security clearance as part of their User Permissions.</p>
Rationale:	

### Make Payments

Fee Payments shall be able to be made by Customers across a variety of Payment Methods. See TPH - Appendix 06 - Information - Payments for full details of available Methods of Payment.

This section of requirements details the functionality required by TfL to allow Customers to make Fee Payments. The functionality detailed in these requirements is expected to be utilised by Personnel from TfL, the Lot 2 Supplier, and the Scan Supplier. The configuration of Authorised User Permissions specific to their roles shall be set during the Design and Development Phase.

### Select Payment Method

**Requirement ID:** TPHRL-REQ\_PYM-4

**Priority:** Must have

**Description:** The Service System shall enable a Customer to request a Payment be made in a secure manner via relevant channels, including and not limited to the Online Portal (credit and debit cards, PayPal), over the telephone (automated Payment interface), bank transfer, direct debit, Post Office (Check and Send service).

Refer to TPH - Appendix 06 - Information Payments

**Rationale:** N/A

### Make Payment (Online)

**Requirement ID:** TPHRL-REQ\_PYM-3

**Priority:** Must have

**Description:** The Service System shall enable a Customer to make a Fee Payment securely (e.g. Licence Application) via the Online Portal. This shall include but not be limited to: making Fee Payments as part of a new Application or Renewal Application, paying an outstanding Fee Payment against a Customer Account and/or Licence Record.

Refer to TPH - Appendix 06 - Information Payments.

**Rationale:** N/A

### View Outstanding Fees

**Requirement ID:** TPHRL-REQ\_PYM-128

**Priority:** Must have

**Description:** The Service System shall enable a Customer to view all outstanding Fee Payments against their Customer Account and/or Licence Record via their Online Portal.

**Rationale:** N/A

### Take Payment

**Requirement ID:** TPHRL-REQ\_PYM-10

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to initiate Fee Payments to be taken from Customers in a secure manner (PCI compliant) following an instruction from a Customer (via various channels e.g. Scan Partner, TfL Contact Centre via an automated telephone payment interface or in person), using approved Payment Methods, and record the Payment Method.

Refer to TPH - Appendix 06 - Information Payments.

**Rationale:** N/A

### Validate Payments

**Requirement ID:** TPHRL-REQ\_PYM-127

**Priority:** Must have

Description:	The Service System shall provide the capability to ensure that Fee Payments are only made for valid or outstanding Fees against a Customer Account and/or Licence Record.
Rationale:	N/A

### Reconcile Payments (Check and Send)

**Requirement ID:** TPHRL-REQ\_SUB\_APP\_POST-20

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to reconcile Fee Payments made via the Post Office Check and Send Service to a Customer's Application once the funds are transferred to the TfL bank account.</p> <p>Refer to TPH - Appendix 06 - Information - Payments</p> <p>Refer to TPH - Appendix 19 - Business Process Diagram - Post Office Check and Send</p>
Rationale:	N/A

### Process Payments via Merchant Acquirer

**Requirement ID:** TPHRL-REQ\_PYM-60

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to process all debit, credit card or other digital Payment methods (e.g. mobile device) securely (PCI compliant) via the Merchant Acquirer.</p> <p>Note - the Merchant Acquirer currently used by TfL is Barclaycard. The Supplier shall be expected to continue using the specified Merchant Acquirer. For further details refer to Schedule 2.7 - Revenue Collection and Payment.</p>
Rationale:	N/A

### Authorise Transactions via Merchant Acquirer

**Requirement ID:** TPHRL-REQ\_PYM-91

**Priority:** Must have

Description:	The Service System shall provide the capability to authorise transactions via the Payment Gateway with the Merchant Acquirer.
Rationale:	N/A

### Alternative Payment Methods (Online)

**Requirement ID:** TPHRL-REQ\_PYM-49

**Priority:** Must have

Description:	The Service System shall enable a Customer to use an alternative credit/debt card to make a Fee Payment using the Online Portal, where their initial Fee Payment is not authorised.
Rationale:	N/A

### Alternative Payment Methods (Authorised User)

**Requirement ID:** TPHRL-REQ\_PYM-95

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to use an alternative credit/debt card to make a Fee Payment when initiating the process to take a Fee Payment from a Customer, where their initial Fee Payment was not authorised.
Rationale:	N/A

### Take Scheduled or Instalment Fee Payments

**Requirement ID:** TPHRL-REQ\_PYM-103

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to initiate the process to take scheduled or instalment Fee Payments from Customers for certain services, including but not limited to: Operator Licence Fees, and Appeals Costs, subject to Business Rules.</p> <p>Customers shall be able to make instalment Fee Payments via the following Payment Methods:</p> <ul style="list-style-type: none"> <li>• Online Portal</li> <li>• Phone (automated payment line)</li> <li>• Standing order</li> </ul> <p>The Service System shall ensure that any outstanding Payment portions of a multi-year Licence paid in annual instalments are not recognised as debt.</p>
Rationale:	N/A

### Set-up Direct Debit Payments

**Requirement ID:** TPHRL-REQ\_PYM-51

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable an Authorised User to set-up scheduled or instalment Fee Payments by direct debit for certain services, including but not limited to: Operator Licence Fees, and Appeals Costs, subject to Business Rules.</p> <p>For example, the option to choose a one off Fee Payment, a Fee Payment divided over a specified period or a variable charge calculated over a defined period of time.</p> <p>The Service System shall ensure that any outstanding Fee Payment portions of a multi-year Licence paid in annual instalments are not recognised as debt.</p> <p>Refer to TPH - Business Rules 12 - Payments and Refunds</p> <p>Note - Taxi Private Hire do not take Licence Fee Payments by direct debit at present, but expect to make this Payment Method available during the life of the Lot 1 and Lot 2 Supplier Services. Direct debit method would need to be set up by the Lot 1 Supplier with TfL's sponsoring bank (HSBC), with TfL acting as a direct submitter.</p>
<b>Rationale:</b>	N/A

### Set-up Scheduled or Instalment Fee Payments

**Requirement ID:** TPHRL-REQ-4827

**Priority:** Must have

<b>Description:</b>	<p>The Service System shall enable an Authorised User to set-up scheduled or instalment Fee Payments using methods other than direct debit for certain services, including but not limited to: Operator Licence Fees, and Appeals Costs, subject to Business Rules.</p> <p>For example, the option to choose a one off Fee Payment or a Fee Payment divided over a specified period.</p> <p>The Service System shall ensure that any outstanding Fee Payment portions of a multi-year Licence paid in annual instalments are not recognised as debt.</p> <p>Refer to TPH - Business Rules 12 - Payments and Refunds.</p>
<b>Rationale:</b>	

### Display Payment Outcome (Authorised User)

**Requirement ID:** TPHRL-REQ\_PYM-6

**Priority:** Must have

Description:	The Service System shall provide the capability to display a Payment Outcome message to an Authorised User when Fee Payments are made successfully or declined.  Refer to TPH - Appendix 06 - Information Payments
Rationale:	N/A

### Display Payment Outcome (Customer)

**Requirement ID:** TPHRL-REQ\_PYM-96

**Priority:** Must have

Description:	The Service System shall provide the capability to display a Payment Outcome message to a Customer when Fee Payments are made successfully or declined via the Online Portal.  Refer to TPH - Appendix 06 - Information Payments
Rationale:	N/A

### Issue Payment Receipt

**Requirement ID:** TPHRL-REQ\_PYM-9

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically issue a receipt after each successful Fee Payment transaction (channel to be agreed by TfL).
Rationale:	N/A

### Display Warning Messages

**Requirement ID:** TPHRL-REQ\_PYM-44

**Priority:** Must have

Description:	The Service System shall have the capability to display on-screen warning messages to Authorised Users for Applications without relevant Fee Payments.  For example, this is to mitigate Licences being issued before Payment.
Rationale:	N/A

### Redact Customer Bank Account Details

**Requirement ID:** TPHRL-REQ\_PYM-115

**Priority:** Must have

Description:	The Service System shall provide the capability for an Authorised User to manually redact Customer bank account details.
Rationale:	N/A

### Calculate Licence Fee Payments

**Requirement ID:** TPHRL-REQ\_PYM-119

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically calculate Fee Payments based on a number of variables, including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Licence Tier</li> <li>• Length of Licence</li> <li>• Number of Vehicles declared as part of the new Licence Application</li> <li>• Average/maximum number of Vehicles submitted as part of an Operator Upload for a defined period</li> <li>• Number of Drivers declared as part of the new Licence Application</li> <li>• Average/maximum number of Drivers submitted as part of an Operator Upload for a defined period</li> <li>• Previous Fee Payments made against an Operator Licence Record</li> <li>• Outstanding Fee Payments due against an Operator Licence Record</li> <li>• Any instalment period agreed</li> </ul>
Rationale:	<p>TfL is currently considering their approach to Licence Fees e.g. whether a Per Vehicle/Driver fee is preferable. This is subject to consultation.</p>

### Charge Variable Licence Fees

**Requirement ID:** TPHRL-REQ\_PYM-120

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically charge variable Licence Fees based on the Licensee's activity. This shall include, but is not limited to: for Operators, the number of Vehicles operating and/or active Drivers over a defined period of time.</p> <p>Calculations shall be made using data from the respective Licensee activity, and applied to any Licence Fee Payment instalments made by the Licensee i.e. variable quarterly Payments.</p>
Rationale:	<p>TfL currently issue Licences on a defined fee structure based on Operator characteristics, including but not limited to: number of operating locations, number of Vehicles operated. In the future, TfL may consider a more flexible fee structure based on Operator activity, which may involve using Operator Upload data to vary Fees applied over the Licence period.</p>

### Payment Controls

This section of requirements details the functionality required by TfL to maintain controls over Payment processing, such as: preventing duplicate Fee Payments, and identifying fraudulent activities. It is expected that only Authorised Users from within TfL will have the ability to set Payments controls. The configuration of Authorised User Permissions shall be set during the Design and Development Phase.

### Record Accounting Entries

**Requirement ID:** TPHRL-REQ-3102

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically record Accounting Entries only after submission of an Application.
Rationale:	Currently the moment the customer starts an application process, the system creates a charge fee against the customer and it shows the customer as a debtor, even if the customer didn't complete application, i.e., stop the application half way through. This creates false debtors on the system. This requirement is to mitigate that.

### View Payment Details

**Requirement ID:** TPHRL-REQ-3135

**Priority:** Must have

Description:	The Service System shall allow an Authorised User to view details of all Payment(s) made by the Customer against their Customer Account and/or Licence Record which includes Payments taken by the Lot 2 Supplier, Scan Partner and Post Office Check and Send Service.
Rationale:	N/A

### Identify Overdue Payments

**Requirement ID:** TPHRL-REQ\_PYM-55

**Priority:** Must have

Description:	The Service System shall provide the capability to identify overdue Payments as debt for any of the services (for example, Taxi Licence and Operator Licence).  Overdue Payments shall be managed in accordance with TPH - Business Rules 12 - Payments and Refunds.
Rationale:	N/A

### Identify Applications Without Payments

**Requirement ID:** TPHRL-REQ\_PYM-123

**Priority:** Must have

Description:	The Service System shall provide the capability to identify all Applications without Payments made against them, and notify them on a periodic basis to an Authorised User for resolution. Notifications shall be Configurable by an Authorised User.
Rationale:	N/A

### Match Dishonoured Payment Transactions

**Requirement ID:** TPHRL-REQ\_PYM-59

**Priority:** Must have

Description:	The Service System shall provide the capability to match Dishonoured Payments to the source transaction(s) as listed below but not limited to, - Cheques - Chargebacks - Failed Payments
Rationale:	N/A

### Identify Fraudulent Activities

**Requirement ID:** TPHRL-REQ\_PYM-62

**Priority:** Must have

Description:	The Service System shall provide the capability to identify and log all fraudulent activities involving Payments immediately upon detection, including automatically linking the fraudulent activity to a Customer Account. Examples of fraud include but are not limited to, Chargeback, identity theft, address discrepancies, duplicate Refunds, etc.
Rationale:	N/A

### Record Partial Payments against Debts

**Requirement ID:** TPHRL-REQ\_PYM-71

**Priority:** Must have

Description:	The Service System shall provide the capability to record Partial Payments for debts against the relevant Record (Licence Records, Application Records or Assessment Records), subject to Business Rules.
Rationale:	N/A

### Allocate Income to Debtor Control Account

**Requirement ID:** TPHRL-REQ\_PYM-77

**Priority:** Must have

Description:	The Service System shall provide the capability to allocate all recognised income minus revenue from all Customers to the Debtor Control Account in the balance sheet.
Rationale:	N/A

### Provide Internal Controls

**Requirement ID:** TPHRL-REQ\_PYM-93

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to contain a system of internal controls to provide the right level of checks and balances to verify reconciliation of Financial Data, subject to Business Rules.</p> <p>Refer to TPH - Business Rules 12 - Payments and Refunds</p>
Rationale:	N/A

### Prevent Duplicate Payments

**Requirement ID:** TPHRL-REQ\_PYM-102

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically prevent duplicate Fee Payments being made against the same Licence Application within a defined time period, including but not limited to Post Office Check and Send Payments, cheques, and Online Payments, subject to Business Rules.</p> <p>Examples of duplicate Fee Payments that should be prevented include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Fee Payments for the same Application or Licence Fee on any of the different Payment Methods available to Customers, including but not limited to: online, telephone, cheque, check and send, and in person Fee Payments made to TfL.</li> <li>• Attempting to make multiple Fee Payments within a defined period e.g. month</li> </ul>
Rationale:	N/A

### Identify Reason for Outstanding Debts

**Requirement ID:** TPHRL-REQ\_PYM-70

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to identify outstanding debts against Applications and / or grant of Licences which have resulted from the following events, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Dishonoured cheques;</li> <li>• Chargebacks;</li> <li>• failed credit and debit card transactions; and</li> <li>• failed direct debit transactions.</li> </ul>
Rationale:	N/A

### Record Payment against Application

**Requirement ID:** TPHRL-REQ\_PYM-67

**Priority:** Must have

**Description:** The Service System shall provide the capability to record the receipt of Payments against a specific Application Record and / or Licence Record.

**Rationale:** N/A

### Apply Transaction Changes (Authorised User)

**Requirement ID:** TPHRL-REQ\_PYM-109

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to manually add, change, move and remove Payments against a Customer Account and/or Licence Record, subject to Business Rules.

**Rationale:** N/A

### Issue Ad-Hoc Payments to Customers

**Requirement ID:** TPHRL-REQ\_PYM-98

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to trigger the process to issue ad-hoc Payments to Customers, subject to Business Rules.

**Rationale:** N/A

### Generate Unique Cheque Numbers

**Requirement ID:** TPHRL-REQ-4825

**Priority:** Must have

**Description:** The Service System shall provide the capability to generate unique cheque numbers that shall be printed on all cheques issued by the Print Supplier.

**Rationale:**

## Refunds

This section of requirements details the functionality required by TfL to issue Refunds to Customers. The functionality detailed in these requirements is expected to be utilised by Personnel from TfL and the Lot 2 Supplier. The configuration of Authorised User Permissions specific to their roles shall be set during the Design and Development Phase.

### Refund Payments

**Requirement ID:** TPHRL-REQ\_PYM-22

**Priority:** Must have

**Description:** The Service System shall provide the capability to initiate Refunds to Customers using the original Payment Details, including any applicable administrative charges, subject to Business Rules.

Refer to TPH - Business Rules 12 - Payments and Refunds

Rationale:	N/A
------------	-----

### Request Refund (Online)

**Requirement ID:** TPHRL-REQ\_PYM-97

**Priority:** Must have

**Description:** The Service System shall provide the capability for a Customer to request a Refund against a Licence Fee via their Online Portal, subject to Business Rules.

Refer to TPH - Business Rules 12 - Payments and Refunds

**Rationale:** N/A

### Log Refund Request

**Requirement ID:** TPHRL-REQ-4808

**Priority:** Must have

**Description:** The Service System shall provide the capability for an Authorised User to log a Customer Request for a Refund against a Licence Fee via any Communication Channel other than the Online Portal, subject to Business Rules.

Refer to TPH - Business Rules 12 - Payments and Refunds

**Rationale:**

### Approve Refunds

**Requirement ID:** TPHRL-REQ\_PYM-101

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to approve or reject Refunds requested by Customers, subject to Business Rules.

Refer to TPH - Business Rules 12 - Payments and Refunds

**Rationale:** N/A

### Issue Refund

**Requirement ID:** TPHRL-REQ\_PYM-11

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to trigger the process to issue a Refund against an Application Record or Licence Record, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Issue Partial Refund

**Requirement ID:** TPHRL-REQ\_PYM-100

**Priority:** Must have

Description:	The Service System shall provide the capability to calculate and trigger the process to issue Partial Refunds based on a pro-rata basis, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Limit Refund to Original Amount

**Requirement ID:** TPHRL-REQ\_PYM-24

**Priority:** Must have

Description:	The Service System shall provide the capability to trigger the process to Refund only against the original amount paid by the Customer and shall not exceed the original amount paid.
Rationale:	N/A

### Issue Refund via Cheque

**Requirement ID:** TPHRL-REQ\_PYM-27

**Priority:** Must have

Description:	The Service System shall provide the capability to automate the issuing of Refunds to Customers via cheques, in instances where a Refund to the Customer's original Payment Details was declined, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	Cheques should only be sent in exceptional circumstances, and that refund to original payment method should always be the preferred / default Service System.

### Prevent Invalid Cheque Issue

**Requirement ID:** TPHRL-REQ\_PYM-76

**Priority:** Must have

**Description:** The Service System shall provide the capability to prevent new cheques from being issued to a Customer if a previous Cheque was issued to a Customer for that Payment, or if the previous issued cheque was not banked within six (6) months of issue, subject to Business Rules.

Refer to TPH - Business Rules 12 - Payments and Refunds

**Rationale:** N/A

### Dishonor Invalid Cheque

**Requirement ID:** TPHRL-REQ\_PYM-104

**Priority:** Must have

**Description:** The Service System shall provide the capability to mark a previously issued cheque as dishonoured upon the issue of a new cheque to a Customer for a Refund.

**Rationale:** N/A

### Prevent Refunds to Expired Cards

**Requirement ID:** TPHRL-REQ\_PYM-28

**Priority:** Must have

**Description:** The Service System shall provide the capability to prevent Refunds being issued to expired credit and debit cards, subject to Business Rules.

Refer to TPH - Business Rules 12 - Payments and Refunds

**Rationale:** N/A

### Refund Payment Methods

**Requirement ID:** TPHRL-REQ\_PYM-32

**Priority:** Must have

**Description:** The Service System shall provide the capability to trigger the process to issue Refunds to the original Payment Method via the following Payment Methods list, which includes but is not limited to:

- BACs;
- Credit and debit card;
- System cheque; and
- Manual cheque.

**Rationale:** N/A

### Issue Refund Receipt

**Requirement ID:** TPHRL-REQ\_PYM-99

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically issue a receipt for a successfully processed Refund, using the Customer's Preferred Method of Communication.</p> <p>Refund receipts must be issued within a specified period, according to Business Rules.</p> <p>Refer to TPH - Business Rules 12 - Payments and Refunds</p>
Rationale:	N/A

### Issue Refund (Invalid Original Payment Method)

**Requirement ID:** TPHRL-REQ\_PYM-117

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automate the process of issuing Refunds to Customers via cheques, when the Customer's original Payment Method is no longer valid, subject to Business Rules.</p> <p>Refer to TPH - Business Rules 12 - Payments and Refunds</p>
Rationale:	N/A

### Chargebacks

This section of requirements details the functionality required by TfL to investigate and resolve Chargebacks. The functionality detailed in these requirements is expected to be utilised by Personnel from TfL and the Lot 2 Supplier. The configuration of Authorised User Permissions specific to their roles shall be set during the Design and Development Phase.

### Receive Chargeback Notifications

**Requirement ID:** TPHRL-REQ\_PYM-42

**Priority:** Must have

Description:	The Service System shall provide the capability to receive notifications of Chargebacks from the Merchant Acquirer.
Rationale:	N/A

### Record Chargebacks against All Licence Types

**Requirement ID:** TPHRL-REQ\_PYM-43

**Priority:** Must have

Description:	The Service System shall provide the capability to record and note all Chargebacks against a specific Licence types
Rationale:	N/A

### Match Chargebacks to Original Transactions

**Requirement ID:** TPHRL-REQ\_PYM-40

**Priority:** Must have

Description:	The Service System shall provide the capability to match Chargebacks to the original transaction(s).
Rationale:	N/A

### Send Notification of Chargeback

**Requirement ID:** TPHRL-REQ\_PYM-38

**Priority:** Must have

Description:	The Service System shall provide the capability to send automated notifications to Customers regarding Chargebacks, using their Preferred Method of Communication, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Send Notification Requesting Chargeback

**Requirement ID:** TPHRL-REQ\_PYM-41

**Priority:** Must have

Description:	The Service System shall provide the capability to generate automated notifications requesting Payment to a Customer where the Customer has requested a Chargeback but not Surrendered their Licence, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Stop Sending Chargeback Notifications

**Requirement ID:** TPHRL-REQ\_PYM-39

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically recognise when a Chargeback Payment has been received by the Customer and stop automated notifications accordingly.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Identify Chargeback as Debt

**Requirement ID:** TPHRL-REQ\_PYM-112

**Priority:** Must have

Description:	The Service System shall provide the capability to recognise a successful Chargeback as debt from the relevant Application Record or Licence Record, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Operational Requirements

This section of requirements details the operational obligations expected of the Supplier by TfL regarding Payments processing.

#### Secure Payments and Refunds

**Requirement ID:** TPHRL-REQ-4354

**Priority:** Must have

Description:	The Supplier shall ensure that all Payments, Refunds and handling of Payments Data are carried out in a secure manner and environment (in accordance with PCI DSS).
Rationale:	N/A

#### Facilitate Fee Payments (Online Portal)

**Requirement ID:** TPHRL-REQ-4807

**Priority:** Must have

Description:	The Supplier shall ensure that where Fee Payments are made via the Online Portal that the Service System interfaces with the Payment Gateway in order to allow the Payment Gateway to facilitate the transaction.
Rationale:	

#### Facilitate Payments

**Requirement ID:** TPHRL-REQ-4809

**Priority:** Must have

Description:	The Supplier shall ensure that where Payments are initiated by an Authorised User using the Service System (including personnel from the Lot 2 Supplier and Scan Supplier), that the Service System interfaces with the Payment Gateway in order to allow the Payment Gateway to facilitate the transaction.
Rationale:	

### Provide Secure Methods Documentation

**Requirement ID:** TPHRL-REQ-4359

**Priority:** Must have

**Description:** The Supplier shall provide Service Documentation to Customers on all secure validation methods used in relation to Payments on the Online Portal.

**Rationale:** N/A

### Payments Processes and Controls

**Requirement ID:** TPHRL-REQ-4356

**Priority:** Must have

**Description:** The Supplier shall provide processes to ensure that the policies and controls relating to the accounts payable and Payments shall include all transactions, in line with TPH - Schedule 2.3 - Standards.

**Rationale:** N/A

### Deposit Revenue

**Requirement ID:** TPHRL-REQ-4355

**Priority:** Must have

**Description:** The Supplier shall ensure that all Revenue recorded in the Service System is deposited into the Collection Accounts.

The Supplier shall be able to trace the origin and destination of Payments at TfL's request.

**Rationale:** N/A

### Processing Payments

**Requirement ID:** TPHRL-REQ-4357

**Priority:** Must have

**Description:** The Supplier shall ensure that all debit and credit card Payments are processed through the Merchant Acquirer.

The Supplier shall retain the confirmation of receipt of the complete Association for Payment Clearing Services (APACS) file of authorisations for all transactions from the Merchant Acquirer, subject to TPH - Schedule - Records.

**Rationale:** N/A

### Identify Invalid Licenses

**Requirement ID:** TPHRL-REQ-4520

**Priority:** Must have

**Description:** The Supplier shall identify all Licenses without valid Fee Payments made against them and flag them to an Authorised User for closure.

**Rationale:** N/A

### Monitor Financial Activity

**Requirement ID:** TPHRL-REQ-4543

**Priority:** Must have

Description:	The Supplier shall monitor all financial activity performed within the Service System and immediately report any irregular, fraudulent or criminal activity to TfL.
Rationale:	N/A

### Report Identified Errors

**Requirement ID:** TPHRL-REQ-4572

**Priority:** Must have

Description:	The Supplier shall report all financial errors identified to the Lot 2 Supplier for investigation, within timescales to be agreed with TfL. Where applicable the Lot 2 Supplier shall pass errors onto TfL.  Refer to TPH - Schedule 2.2A - Performance Levels.
Rationale:	N/A

### Resolve Financial Reconciliation Issues

**Requirement ID:** TPHRL-REQ-4362

**Priority:** Must have

Description:	The Supplier shall investigate and resolve all financial reconciliation issues identified by the Supplier, or when notified by TfL or Other Suppliers, within timescales to be agreed with TfL.  The Supplier shall operate in accordance with TPH - Schedule 2.2A - Performance Levels and TPH - Schedule 2.2B - Service Management.
Rationale:	N/A

### Provide Financial Reports

**Requirement ID:** TPHRL-REQ-4544

**Priority:** Must have

Description:	The Supplier provide Financial Reports to TfL in accordance with TPH - Schedule 7.3 - Financial Reports and Audit Rights.
Rationale:	N/A

### Payment Gateway Testing

**Requirement ID:** TPHRL-REQ\_PYM-121

**Priority:** Must have

Description:	The Supplier shall provide the ability to carry out end-to-end testing of the Payments functionality of the Service System, this shall include functionality performed by the Payment Gateway and its interoperability with the Service System. This shall be available throughout development of the Service System, and after the Operational Commencement Date.
Rationale:	N/A

### Compensatory / Goodwill Payments

**Requirement ID:** TPHRL-REQ-4360

**Priority:** Must have

Description:	<p>The Supplier shall be liable for Compensatory / Goodwill Payments made to Customers, up to the limit of £5,000 per annum.</p> <p>Note: The Lot 1 Supplier shall provide this facility to TfL via an unconditional credit/ex-gratia payment of £5,000 at the beginning of each contractual year. This credit/payment would give TfL sole discretion on such Compensatory / Goodwill payments, with TfL making payments directly to Customers. The Lot 1 Supplier shall not play an operational role in the process.</p>
Rationale:	N/A

### Perform Due Diligence

**Requirement ID:** TPHRL-REQ-4522

**Priority:** Must have

Description:	The Supplier shall perform due diligence to monitor Payment transactions on a frequency specified by TfL. Any errors are to be reported/rectified immediately.
Rationale:	N/A

## Financial Reconciliation

TBC

### Record Revenue into Collection Accounts

**Requirement ID:** TPHRL-REQ\_PYM-89

**Priority:** Must have

Description:	The Service System shall provide the capability to record all Revenue deposited into the Collection Accounts.
Rationale:	N/A

### Recording Income

**Requirement ID:** TPHRL-REQ-3148

**Priority:** Must have

Description:	The Service System shall provide the capability to record Gross Income separately from any expenses and bank charges incurred by debit and credit card clearing organisations and debt collection agencies.
Rationale:	N/A

### Process Transactions in Accounting Periods

**Requirement ID:** TPHRL-REQ-3150

**Priority:** Must have

**Description:** The Service System shall provide the capability to process all Accounting Transactions in accordance within the relevant periods, as specified by TfL.

**Rationale:** N/A

### Manage Finance with General Ledgers

**Requirement ID:** TPHRL-REQ\_PYM-86

**Priority:** Must have

**Description:** The Service System shall provide the capability to manage Financial Transactions in General Ledgers.

**Rationale:** N/A

### Maintain Journal Upload Templates

**Requirement ID:** TPHRL-REQ-3142

**Priority:** Must have

**Description:** The Service System shall provide the capability to create and maintain Journal Upload Templates that are in a compatible format as listed but not limited to, TfL SAP FI/CO system.

**Rationale:** N/A

### Import Journal Entries from Templates

**Requirement ID:** TPHRL-REQ-3143

**Priority:** Must have

**Description:** The Service System shall provide the capability to import Journal Entries from a pre-defined Journal Upload Template which is at all times in the latest version of the TfL template and in a format compatible with uploading to TfL SAP FI/CO system (format to be agreed in the Design and Development Phase).

**Rationale:** N/A

### Financial Reports

**Requirement ID:** TPHRL-REQ-3144

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically or manually generate customisable Financial Reports on the areas detailed below, based on Configurable Accounting Periods, Payment types, Licence Types, Application types etc.

Areas include, but are not limited to:

- Values and volumes by Licence Type split by Application and Grant of Licence Fee, and new and Renewals;
- Trial balance;
- Control account;
- Refund details;
- Chargebacks;
- Bank Reconciliations;
- Aged debtors; and
- Bad debts.

**Rationale:** N/A

### Perform Bank Reconciliations

**Requirement ID:** TPHRL-REQ-3145

**Priority:** Must have

**Description:** The Service System shall provide the capability to perform Bank Reconciliations, and shall provide the capability to record and resolve any reconciling differences, and post any necessary Journal Entries to account for differences identified.

**Rationale:** N/A

### Generate Bank Reconciliation

**Requirement ID:** TPHRL-REQ-3146

**Priority:** Must have

**Description:** The Service System shall provide the capability to generate periodic Bank Reconciliations for each Collection Account.

**Rationale:** N/A

### Attach Statements to Bank Reconciliations

**Requirement ID:** TPHRL-REQ-3147

**Priority:** Must have

**Description:** The Service System shall provide the capability to attach an electronic copy of the relevant TfL bank statement to each Bank Reconciliation.

**Rationale:** N/A

### Configure Accounting Periods

**Requirement ID:** TPHRL-REQ-3149

**Priority:** Must have

**Description:** The Service System shall provide the capability to Configure Accounting Periods as specified by TfL.

**Rationale:** N/A

### Configure Accounting Policies

**Requirement ID:** TPHRL-REQ-3152

**Priority:** Must have

**Description:** The Service System shall provide the capability to Configure Accounting policies as required by TfL.

**Rationale:** N/A

### Recognise Income in Accounting Periods

**Requirement ID:** TPHRL-REQ-3153

**Priority:** Must have

**Description:** The Service System shall provide the capability to recognise Application Fee income in the Accounting Period that the Application is made.

**Rationale:** N/A

### Calculate Deferred Income

**Requirement ID:** TPHRL-REQ-3154

**Priority:** Must have

**Description:** The Service System shall provide the capability to calculate all Grant of Licence Fee deferred income in line with Licence Fee start and end dates.

**Rationale:** N/A

### Calculate Bad Debt Provision

**Requirement ID:** TPHRL-REQ-3155

**Priority:** Must have

**Description:** The Service System shall provide the capability to calculate the Bad Debt Provision at each Accounting Period end using a method approved by TfL.

**Rationale:** N/A

### Write-Off Bad Debts

**Requirement ID:** TPHRL-REQ-3156

**Priority:** Must have

**Description:** The Service System shall provide the capability to write-off bad debts to the Debtor Control Account in accordance with the process approved by TfL.

**Rationale:** N/A

### Identify Unbanked Refund Cheques

**Requirement ID:** TPHRL-REQ\_PYM-75

**Priority:** Must have

Description:	The Service System shall provide the capability to identify unbanked Refund cheques that are greater than six (6) months from when they were issued, subject to Business Rules.  Refer to TPH - Business Rules 12 - Payments and Refunds
Rationale:	N/A

### Bank Reconciliation Errors

**Requirement ID:** TPHRL-REQ-3036

**Priority:** Must have

Description:	The Service System shall provide the capability to notify, track and monitor the resolution of adjustments to Financial Transactions in the Service System that need to be made as a result of an error identified within Bank Reconciliation.
Rationale:	N/A

## Scanning

This section of requirements includes the Service System functionality to be provided by the Supplier for the Scan Supplier, Lot 2 Supplier and TfL Teams in order to carry out their scanning activities.

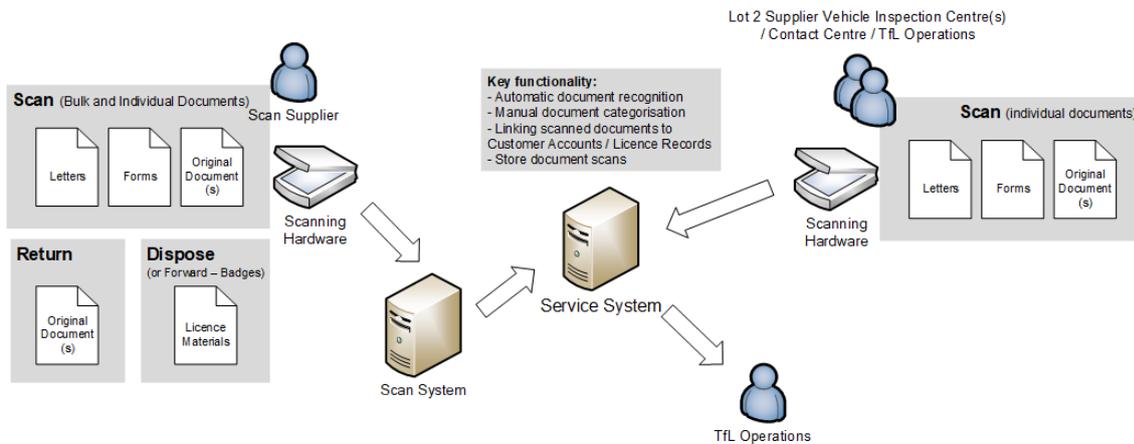
There are two core elements of scanning functionality that are required as part of Licensing operations, they are as follows:

- Bulk scanning of all correspondence received by the Scan Supplier. This is expected to include the receipt, scanning, and uploading of all documents received into the Service System. Documents shall include but not be limited to: Application Forms, other TfL related forms, letters, Licence materials etc. The Scan Supplier is expected to provide and utilise a Scan System to scan documents in bulk. The Service System shall therefore need to receive scanned document data from the Scan System.
- Local / individual document scanning shall be required by the Scan Supplier, Vehicle Inspection Centre, TfL Contact Centre, Lot 2 Supplier Contact Centre, and TfL Teams in order to process ad-hoc documentation received, or any documents that cannot be scanned in a bulk process.

It is expected that all parties shall provide their own scanning hardware that shall be compatible with the Service System. The Service System shall be able to receive scanned documents from this hardware.

The diagram below shows the key flows of information and documents expected to be scanned by the Scan Supplier, Lot 2 Supplier, and TfL Teams.

Refer to TPH - Schedule 6.5 - Systems Integration, Appendix - Interface Catalogue for full details of the Scan Supplier interface.



## Record Receipt

### Record Delivery Details

**Requirement ID:** TPHRL-REQ-3445

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to record the date and time details for a postal delivery bag that has been received.
Rationale:	Required to understand how long it takes to scan in post from the point it is received.

### Record Tracking Reference Numbers

**Requirement ID:** TPHRL-REQ-3446

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to record the postal tracking reference numbers, including but not limited to: recorded delivery references, special delivery reference, courier reference.
Rationale:	TfL need to be able to search for and identify documentation by postal reference numbers.

## Scan Documents

### Integrate with Scan System

**Requirement ID:** TPHRL-REQ-3538

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to receive scanning data from the Scan System, provided by the Scan Supplier. This shall include but is not limited to:</p> <ul style="list-style-type: none"> <li>• Individually scanned Documents</li> <li>• Bulk scanned Documents</li> </ul> <p>Refer to Interface Catalogue for full details of the Scan Supplier interface.</p>
Rationale:	N/A

### Integrate with Lot 2 Service Hardware

**Requirement ID:** TPHRL-REQ-3602

**Priority:** Must have

**Description:** The Service System shall provide the capability to receive scanning data from scanning hardware provided by the Lot 2 Supplier.

**Rationale:** N/A

### Upload Multiple Documents

**Requirement ID:** TPHRL-REQ-3467

**Priority:** Must have

**Description:** The Service System shall provide the capability to bulk upload multiple scanned Documents.

The upper and lower limits of bulk scanning shall be confirmed with the Scan Supplier during the Design and Development Phase.

Refer to TPH – Business Rules 15 - Scanning

**Rationale:** N/A

### Segregate Bulk Scanned Documents

**Requirement ID:** TPHRL-REQ-4562

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically segregate scanned Documents received through bulk uploads from the Scan Supplier, Lot 2 Supplier, or Taxi and Private Hire Operations, according to configured parameters, these include but are not limited to:

- segregation into individual Documents
- document identification and categorisation
- linking to the correct Customer Account and/or Licence Record

**Rationale:** Documents are required to be segregated with minimal manual input. Dialogue may be required to decide whether this functionality is best delivered by the Service System or by the Scan Service System.

### Configure Frequency of Bulk Upload

**Requirement ID:** TPHRL-REQ-3607

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure the frequency of uploads of scanned Documents from the Scan Supplier, this shall include but is not limited to: frequency per day/week, time of day, size of uploads etc.

**Rationale:** N/A

### Recognise TfL Documents

**Requirement ID:** TPHRL-REQ-3460

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically recognise and index TfL printed documents according to their Unique Identifiers (e.g. new Driver Application Forms, Medical Forms, Operator Forms) without human intervention.</p> <p>This shall include but is not limited to:</p> <ul style="list-style-type: none"> <li>The segregation of an Application Form into its constituent parts, and storing as individual, but linked, documents e.g. Application Forms, Medical Forms etc.</li> </ul>
Rationale:	N/A

### Recognise Standardised Documents

**Requirement ID:** TPHRL-REQ-3461

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically recognise and store standardised non-TfL Documents without human intervention, including but not limited to: passports, V5c documents, insurance certificates, road tax receipts, and Driver Licences.</p>
Rationale:	N/A

### Configure Document Naming Conventions

**Requirement ID:** TPHRL-REQ-3638

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure the standard naming conventions for recognised Documents that are scanned and uploaded into the Service System.</p>
Rationale:	N/A

### Recognise Returned Mail

**Requirement ID:** TPHRL-REQ-3604

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically recognise postal correspondence that was originally generated by the Service System and has been returned to TfL, and link it to the relevant Customer Account and/or Licence Record.</p>
Rationale:	N/A

### Configure Document Types

**Requirement ID:** TPHRL-REQ-3605

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure the Document types and specifications that can be automatically recognised by the Service System. The specifications shall include but are not limited to: Unique Identifiers, layout design, document size etc.
Rationale:	N/A

### Record Document Relationships

**Requirement ID:** TPHRL-REQ-3449

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record the parent-child relationship of Documents received.</p> <p>For example, a new Driver Application Form will have a number of supporting Documents such as: DVLA record, passport pages etc. In this case, the new Driver Application is the parent and the supporting Documents shall be considered as children.</p>
Rationale:	N/A

### Link Documents to Customer Accounts/Licence Records (Automatic)

**Requirement ID:** TPHRL-REQ-3451

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically link scanned Documents to a Customer Account and/or Licence Record. As a minimum, links shall be made by recognition of Unique Identifiers on scanned Documents printed by TfL, but may also include recognition of standardised Document details e.g. Driver Licence Number, V5c details etc.
Rationale:	N/A

### Recognise Photographs

**Requirement ID:** TPHRL-REQ-3528

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically identify photographs within defined sections of scanned Application Forms, and save them as individual items within the Service System. The photo should be automatically cropped and saved in colour.
Rationale:	These photos will be added to the Licence Record and will be used on Driver Badge and Licence when a Licence is issued.

### Recognise Document Contents

**Requirement ID:** TPHRL-REQ-3597

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically recognise the contents (e.g. character recognition) within Documents and populate their details against the relevant Customer Account and/or Licence Record. This shall be available for documents uploaded by Customers on their Online Portal, and documents scanned by the Scan Supplier.

**Rationale:** N/A

### Assign Unique Reference

**Requirement ID:** TPHRL-REQ-3465

**Priority:** Must have

**Description:** The Service System shall provide a capability to assign a unique reference to every scanned Document.

Please refer to TPH - Business Rules 15 - Scanning

**Rationale:** N/A

### Scan Documents

**Requirement ID:** TPHRL-REQ-3466

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to scan and upload documents and link them to the relevant Customer Account and/or Licence Record.

Please refer to TPH - Business Rules 15 - Scanning

**Rationale:** N/A

### Record Document Details

**Requirement ID:** TPHRL-REQ-3448

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to manually record the details for a scanned document, when automatic recognition is not possible. Details may include but are not limited to: document name, type, date/time received, relevant Customer Account and/or Licence Record etc.

Please refer to TPH - Business Rules 15 - Scanning

**Rationale:** N/A

### Link Documents to Customer Accounts/Licence Records (Manual)

**Requirement ID:** TPHRL-REQ-3450

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to manually link scanned documents to Customer Accounts and/or Licence Record, where automatic linking cannot be performed.

**Rationale:** N/A

### Prevent Document Overwriting

**Requirement ID:** TPHRL-REQ-3606

**Priority:** Must have

**Description:** The Service System shall provide the capability to prevent a stored document from being overwritten by a new document scan. All scans shall be recorded as unique documents against a Customer Account and/or Licence Record.

**Rationale:** N/A

### Document Storage

#### Store Scan Documents In Read-only Format

**Requirement ID:** TPHRL-REQ-3479

**Priority:** Must have

**Description:** The Service System shall provide the capability to store the scanned documents in a read-only format.

**Rationale:** N/A

#### Store Documents According to Standards

**Requirement ID:** TPHRL-REQ-3525

**Priority:** Must have

**Description:** The Service System shall have the capability to ensure all scanned documents are stored in accordance with BIP 0008-1:2008 standards.

**Rationale:** N/A

#### Store Scan Colour

**Requirement ID:** TPHRL-REQ-3541

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to select which documents and/or pages are scanned and stored in colour or black and white.

**Rationale:** All photographs will need to be in colour, the remaining documents should be stored in black and white, e.g. Application Forms, Medical Forms, Letters etc.

## Take Payment

### Recognise Check and Send Status

**Requirement ID:** TPHRL-REQ-3592

**Priority:** Must have

Description:	The Service System shall provide the capability to recognise where an Application has been received by the Scan Supplier using the Post Office Check and Send service, and bypass taking a Fee Payment.
Rationale:	Payment is taken via the Check and Send Service and therefore should not be processed again. The Post Office will mark each Application to confirm Payment has been taken.

### Recognise Payment Requirement

**Requirement ID:** TPHRL-REQ-3593

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically recognise where an Application has been received by the Scan Supplier that requires a Fee Payment to be taken.
Rationale:	N/A

### Recognise Correct Payment Required

**Requirement ID:** TPHRL-REQ-3473

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically recognise the correct Fee Payment to be taken based on the type of Form submitted and Customer responses within the Form. This would determine whether a Fee Payment should be taken, and the correct Fee Payment amount.</p> <p>For example, the Service System shall recognise that an Application Form for a PHV Driver has been submitted, however the Customer may select what Fees can be taken e.g. selecting to only pay the Application Fee when submitting, and pay the Grant of Licence Fee once their Licence is approved.</p>
Rationale:	Payments can only be taken up to the amount that the Customer has consented. The Service System shall prevent any incorrect or invalid Payments.

### Use Scanned Payment Details

**Requirement ID:** TPHRL-REQ-3472

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to take Payments using the Payment Details provided in the scanned document.
Rationale:	N/A

### Record Payment Outcome (Automated)

**Requirement ID:** TPHRL-REQ-3595

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically record the outcome of a Payment transaction, including but not limited to a reason for failure, and link this to a Customer Account or Licence Record.
Rationale:	N/A

### Record Payment Outcome (Authorised User)

**Requirement ID:** TPHRL-REQ-3474

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to record the outcome of a Payment transaction, including but not limited to a reason for failure, and link this to a Customer Account or Licence Record.
Rationale:	N/A

### Redact Payment Details

**Requirement ID:** TPHRL-REQ-3475

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically redact Payment Details once the Payment has been processed. This shall include Applications where Payments have been processed by the Scan Supplier, Lot 2 Supplier, and the Post Office Check and Send service (where Payment Details have not already been redacted by the post office).
Rationale:	N/A

### Return Non-Scanned Items

#### Record Items that are Unable to be Scanned

**Requirement ID:** TPHRL-REQ-3454

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to record any documents or items that are unable to be scanned. Details shall include but not be limited to: date received, date forwarded to TfL, applicable tracking numbers, applicable Customer Account and/or Licence Record, action(s) taken etc.
Rationale:	N/A

### Extract List of Items Unable to be Scanned

**Requirement ID:** TPHRL-REQ-3456

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to extract a list of items that are unable to be scanned, with relevant details.
Rationale:	A number of items that are received by the Scan Supplier are not possible to be scanned, or should be tracked to be returned to TfL. These items include Badges, taxi plates, and vehicle identifiers. Details shall be maintained and extracted in order to record what items have been returned or surrendered by Licensees.

### Return Originals

#### Record Original Documents Returned

**Requirement ID:** TPHRL-REQ-3471

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to record the details of original documents or items that have been returned to the original sender, TfL or the Lot 2 Supplier, where applicable.</p> <p>Details shall include but not be limited to: date sent, applicable tracking numbers, applicable Customer Account and/or Licence Record, action(s) taken etc.</p>
Rationale:	N/A

### Create Workflow

#### Assign Items to Workflow (Automatic)

**Requirement ID:** TPHRL-REQ-3478

**Priority:** Must have

Description:	The Service System shall provide the capability to automatically assign scanned items to a new or existing Workflow. This shall depend on the type of the scanned document.
Rationale:	N/A

#### Assign Items to Workflow (Manual)

**Requirement ID:** TPHRL-REQ-3477

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to manually assign scanned items to a new or existing Workflow, in instances where this cannot be done automatically by the Service System.
Rationale:	The Service System shall ensure that all scanned items are reviewed and actioned.

## Scanning Reconciliation

### Reconcile Documents Scanned and Received

**Requirement ID:** TPHRL-REQ-3484

**Priority:** Must have

**Description:** The Service System shall provide the capability to reconcile the number of documents and/or pages received with the number of documents and/or pages scanned, over a defined time period (e.g. per day, per week etc.).

**Rationale:** N/A

### Flag Reconciliation Anomalies

**Requirement ID:** TPHRL-REQ-3485

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically flag anomalies between the number of documents and/or pages received against the number of documents and/or pages scanned within a defined time period, to the Scan Supplier.

**Rationale:** N/A

### Maintain Metadata

**Requirement ID:** TPHRL-REQ-3486

**Priority:** Must have

**Description:** The Service System shall provide the capability to maintain metadata against each scanned record.

This includes but is not limited to:

- Technical metadata - file types, size, creation date and time, and type of compression
- Descriptive metadata - title, subject, author (created by), and creation date

**Rationale:** N/A

## Check and Send Service

### Store Check and Send Data

**Requirement ID:** TPHRL-REQ\_PYM-125

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically store all data received from the Post Office Check and Send Service against the relevant Customer Account and/or Licence Record.

**Rationale:** N/A

## Flag Check and Send Data Discrepancies

**Requirement ID:** TPHRL-REQ\_PYM-126

**Priority:** Must have

Description:	The Service System shall provide the capability to flag to an Authorised User any data received from the Post Office Check and Send Service that cannot be automatically linked to the relevant Customer Accounts and/or Licence Records.
--------------	---

Rationale:	N/A
------------	-----

## Printing

TfL requires a number of document types to be printed as part of the Taxi and Private Hire day-to-day operations. Licensing process will determine the types of documents to print for what Customers. The Service System will be used to manage these processes and generate the appropriate print instructions either to: a) the Print Supplier, who will generate the majority of printed materials for TfL, or b) locally within the Vehicle Inspection Centres, TfL Contact Centre, Lot 2 Supplier Contact Centre, or the TfL head office.

The materials to be printed shall include but not be limited to:

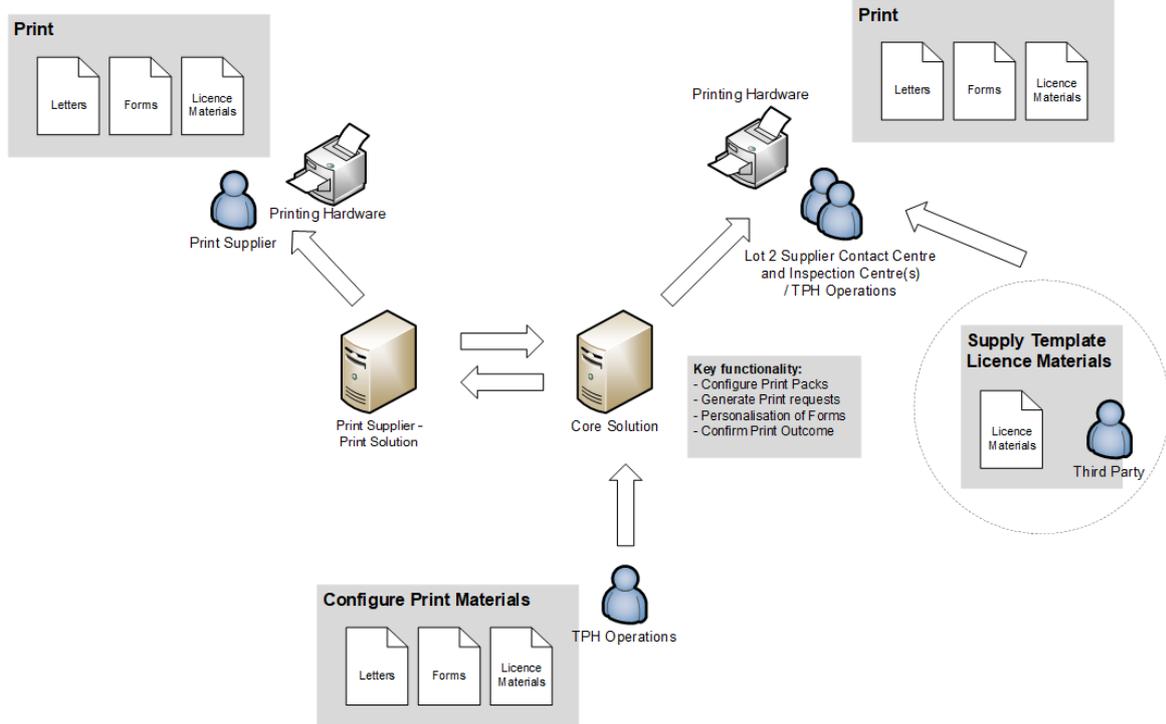
- Letters
- Packs (multiple documents collated together, e.g. an Operator Licence Application pack includes a number of Forms depending on the type of Licence and size of the Operator's operations)
- Forms
- Secure materials, Licences, Badges etc.

The Service System shall issue print materials either through-

- Ad hoc requests
- Batch requests (ad hoc)
- Scheduled Jobs
- Workflow
- Age of the Customer
- Conditions on Licence

All documents printed shall be generated according to the templates held on the Service System as Configured by Authorised Users. Documents shall be personalised with information provided by Customers according to pre-defined document standards.

The diagram below shows the key flows of information and documents expected to be printed by the Print Supplier, Lot 2 Supplier, TfL Teams and Third Parties.



## Configure Print Materials

### Configure Print Packs

**Requirement ID:** TPHRL-REQ-3533

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Print Packs, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Print Pack type</li> <li>• Print Pack name</li> <li>• Document templates included (e.g. letters, Application Packs, request Forms)</li> </ul> <p>A Print Pack refers to a group of documents that perform a specific Licensing purpose, e.g. an Operator Licence Application Pack contains a number of Forms that must be filled in relating to different types of information including key operational individuals, operating locations, and company information.</p> <p>This is subject to Business Rules.</p> <p>Refer to TPH – Business Rules 16 - Printing.</p>
Rationale:	N/A

### Configure Licence Material Design

**Requirement ID:** TPHRL-REQ-3537

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure/Personalise Licence Material design, including but not limited to:

- Engraving
- Font
- Signatures
- Colour
- Standard text
- Personalised data to be shown from the applicable Licensee

Refer to TPH - Appendix 15 - Print - Print Document Administration Catalogue

**Rationale:** N/A

### Configure Print Request

**Requirement ID:** TPHRL-REQ\_ISS-13

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to Configure a Print Request and provide data to personalise print materials for one or more (part or all) Licence Materials.

Print materials shall be requested as per specification in the Print Document Administration Catalogue. Refer to Appendix 15 for more details.

Licence Materials include but are not limited to:

**Operators:**  
Part A & Part B Licence Materials for Operators. Each part is to contain the security features embedded within it, a hologram and a unique Licence number that is specific to the Operator; Licence Type, trading names and approved centres. The details printed on the Licence will be determined by the Operator details. Conditions will need to be printed on the Licence as well as any Exemptions.

Part A – the Operator Licence for the company/entity, an Operator will be issued one copy of this part of the Licence.  
Part B – the Operator will be issued a Licence for every Operating Centre that has satisfied the criteria in order to be Licensed and is listed as active against their Record.

**Drivers:**  
Photo ID - pre-printed credit card sized photo ID card, which is personalised with a colour photograph and also contains a hologram with three variable data fields on the

	<p>front and one variable data field (serial number) on the reverse. An A4 size personalised paper Licence - which has 4 security features embedded within it, a hologram, name and address and a unique Licence number that is specific to the driver. Brass Badge and Zonal Identifiers.</p> <p>Vehicles: Bespoke Vehicle identifier signage with security features, to be personalised at Vehicle Inspection Centres. This includes Taxi plates that will be fixed to the Vehicle in a plastic casing and Private Hire Vehicle identifiers that are affixed to the front and rear windscreens. All have differing security features including a personalised barcode that is read by compliance handhelds. An A4 size personalised paper Licence - which has 4 security features embedded within it. A hologram and a unique Licence Number that is specific to the Vehicle.</p> <p>All: Bespoke Letters detailing information including but not limited to Licence Conditions, Exemptions etc.</p> <p>Refer to TPH - Appendix 17 - Policy - Vehicle Licensing Inspection Manual</p>
Rationale:	N/A

## Generate Print Request

### Issuing Licence Materials

The Service System shall enable an Authorised User to review an Application and if required issue one (or more) Licence Materials, subject to Business Rules.

For example, authorise and instruct the issuing or re-issuing of Licence Materials (i.e. printing and postage of one or more Licence Materials).

While the trigger for issuing Licence Materials will usually originate from an Authorised User, the actual print and issue action will be managed through an automatic batch interface with the Print Supplier.

These requirements are "general" in the sense that the specified functionalities shall be available at relevant points of the business process, and will be applicable to issuing new, Renewal, or lost or stolen Driver Licences, Operator Licences and Vehicle Licences.

For Vehicle Licences, the issuing of such Licences shall be partially 'local', as in at Vehicle Inspection Centre, and also through the Print Supplier.

An audit trail of the persons performing the issuing of Licence Materials shall be visible within the relevant Customer Account and/or Licence Record.

### Create Print Request

**Requirement ID:** TPHRL-REQ-3647

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to create a Print Request to be sent to the Print Supplier. The request shall include but not be limited to:

- Licence Materials
- Forms (including personalisation)
- Templates
- Letters

For full details of print materials, please refer to TPH - Appendix 15 - Print - Print Document Administration Catalogue.

**Rationale:** N/A

### Trigger Scheduled Print Jobs

**Requirement ID:** TPHRL-REQ-3649

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically trigger scheduled print jobs based on defined Licence Statuses, Licence Conditions and Customer activity or inactivity. Examples of scheduled print jobs include but are not limited to:

- Issue Medical Forms based on age of Driver
- Send Renewal Application Forms prior to Licence Expiry
- Reminders to submit evidence to support an Application and/or Licence Conditions
- Send Application Packs based on Customer Requests received

Refer to TPH - Appendix 11 - Scheduled Jobs

**Rationale:** N/A

### Create Print Materials

**Requirement ID:** TPHRL-REQ-3648

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to create print materials that can be printed locally. The materials can include but are not limited to:

- Licence Materials
- Forms (including personalisation)
- Templates
- Letters

For full details of print materials, please refer to TPH - Appendix 15 - Print - Print Document Administration Catalogue.

**Rationale:** N/A

### Generate Personalised Licence Materials

**Requirement ID:** TPHRL-REQ-4551

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to generate personalised Licence Materials in accordance with Conditions and Exemptions held against the relevant Customer Account and/or Licence Record.</p> <p>For example, a Private Hire Vehicle Driver may have be granted an Exemption not to carry an assistance dog, this may lead to additional features being added to their PHV Licence Badge.</p>
Rationale:	N/A

### Request Cheque Printing

**Requirement ID:** TPHRL-REQ-3547

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to generate a request to print a cheque with personalised information against a specific Customer Account and Licence Record.</p>
Rationale:	N/A

### Prevent Invalid Licence Issue

**Requirement ID:** TPHRL-REQ\_PYM-108

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to prevent the issuing of a Licence, subject to Licensing Status and/or Business Rules.</p> <p>Refer to TPH – Business Rules 16 - Printing</p>
Rationale:	N/A

### Select Licence Materials for Delivery

**Requirement ID:** TPHRL-REQ\_ISS-2

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to select documents, Licensing Materials and Application Packs/Licence Packs at the point of printing for delivery.</p> <p>The meta data should confirm the type of delivery required.</p>
Rationale:	N/A

### Auto-generate Licence Reference Numbers

**Requirement ID:** TPHRL-REQ\_ISS-11

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically generate Licence Materials (components) reference numbers and Issue Numbers, subject to Business Rules to be specified by TfL for both new and replacement (lost/stolen/damaged) scenarios.

Refer to TPH – Business Rules 16 - Printing

**Rationale:** N/A

### End-Date Licence Materials

**Requirement ID:** TPHRL-REQ\_ISS-4

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to amend the end-date of an existing Licence Record (Driver, Operator or Vehicle). By default all Licence validity periods are set automatically by the Service System based on configured periods, however the ability to manually amend the end-date is required.

This shall include, but not be limited to the following:

- End-date;
- End reason;
- Inactive Licence Status.

**Rationale:** N/A

### View Before Print

**Requirement ID:** TPHRL-REQ-3494

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to view the document/materials before selecting to print, in certain circumstances including but not limited to: viewing a letter prior to printing.

**Rationale:** N/A

### Display Spelling Errors

**Requirement ID:** TPHRL-REQ-3585

**Priority:** Must have

**Description:** The Service System shall provide the capability to spell check any free text input, and display on-screen error messages.

**Rationale:** N/A

### Edit Before Print

**Requirement ID:** TPHRL-REQ-3495

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to edit the document/materials before selecting to print where applicable. There will be some documents that should go out automatically.

**Rationale:** N/A

### Bulk Print Licence Materials

**Requirement ID:** TPHRL-REQ\_PYM-8

**Priority:** Must have

**Description:** The Service System shall provide the capability to send all approved Licence Materials/requests with personalised data for bulk printing, where possible.

This functionality shall be easily Configurable by an Authorised User (e.g. ability to update frequency, timing etc.)

Licence Materials and bulk printed Forms and letters to be printed in different formats include but not limited to-

- Single/double side:
- Colour
- Black & white
- Monochrome

Please refer to TPH - Appendix 15 - Print - Print Document Administration Catalogue

**Rationale:** N/A

### Select Large Print

**Requirement ID:** TPHRL-REQ-3499

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to select the printing services to print the materials in the "large print (as specified by the Royal National Institute for the Blind)" format

**Rationale:** We expect these volumes to be low, so shall be by exception only.

### Set Batch Frequency

**Requirement ID:** TPHRL-REQ-3503

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to set print Batch frequency. (e.g. the print instructions frequency shall be generated twice a day)
Rationale:	Print batches are currently processed twice daily. Response required from the Print Provider on preferred frequency of handling print Batches.

### Generate Print Batch

**Requirement ID:** TPHRL-REQ-3500

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to generate a Batch of items to be printed, according to print requests gathered. A Batch shall include but is not limited to:</p> <ul style="list-style-type: none"> <li>• Packs</li> <li>• Licence Materials</li> <li>• Letters (ad hoc and scheduled)</li> <li>• Cheques</li> </ul> <p>A Batch refers to all print requests generated over a defined period of time that are due to be sent to the Print Provider for bulk processing.</p>
Rationale:	N/A

### Configure Print Instructions

**Requirement ID:** TPHRL-REQ-3502

**Priority:** Must have

Description:	The Service System shall enable the Authorised User to Configure print instructions.
Rationale:	N/A

### Integrate with Local Printing Hardware

**Requirement ID:** TPHRL-REQ-3539

**Priority:** Must have

Description:	The Service System shall provide the capability to integrate with printing hardware, including but not limited to, hardware provided by the Lot 2 Supplier, TfL and the Print Supplier.
Rationale:	N/A

### Print in Appropriate Format

**Requirement ID:** TPHRL-REQ-3505

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to print all documents in the appropriate format, as instructed by TfL through print instructions.</p> <p>Content of the application form and the appropriate art work to be provided by TfL.</p> <p>Refer to TPH - Business Rules 16 - Printing.</p>
Rationale:	N/A

### Print Materials in Large Print Format

**Requirement ID:** TPHRL-REQ-3508

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to print the materials in the large print (as specified by the Royal National Institute for the Blind) format as per the print instructions.</p>
Rationale:	We expect these volumes to be low, so shall be by exception only.

### Print in Black and White

**Requirement ID:** TPHRL-REQ-3509

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to print in black and white, according to document specifications.</p> <p>Refer to TPH - Business Rules 16 - Printing.</p>
Rationale:	N/A

### Print In Colour

**Requirement ID:** TPHRL-REQ-3510

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to print in colour, as per document specifications.</p> <p>Refer to TPH - Business Rules 16 - Printing.</p>
Rationale:	N/A

### Print Single and/or Double Sided

**Requirement ID:** TPHRL-REQ-3512

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to print single and/or double sided, according to document specifications.</p> <p>Please refer TPH - Business Rules 16 - Printing.</p>
Rationale:	N/A

### Auto-generate Unique Identifiers for Printed Documents

**Requirement ID:** TPHRL-REQ\_ISS-14

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to automatically generate Unique Identifiers for all Customer correspondence.</p>
Rationale:	N/A

### Print Unique Identifier

**Requirement ID:** TPHRL-REQ-3511

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to print Unique Identifiers on all printed materials, including but not limited to: letters, Application Forms, Licence Materials etc.</p> <p>The Unique Identifier must be automatically identified from the Scan System and CPOS System.</p> <p>The current Unique Identifier is a barcode.</p> <p>Refer to TPH - Business Rules 16 - Printing.</p>
Rationale:	N/A

## Provide Updates

### Track Status of Print Instruction

**Requirement ID:** TPHRL-REQ-3120

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to track and monitor the status of a print instruction triggered to the Print Supplier. This includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Received</li> <li>• In progress</li> <li>• Processed</li> <li>• Error</li> <li>• Posted/picked up by the Post Office</li> </ul> <p>Refer to TPH - Business Rules 16 - Printing.</p>
Rationale:	N/A

### Confirm Print Batch Outcome

**Requirement ID:** TPHRL-REQ-3586

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to receive a notification from the Print Supplier on completion of print Batches. All statuses shall be recorded against individual Print Requests.</p> <p>Details updated against print Batches shall include but not be limited to: status, date, time.</p>
Rationale:	N/A

### Confirm Print Request Outcome (Individual Record)

**Requirement ID:** TPHRL-REQ-3587

**Priority:** Must have

Description:	The Service System shall provide the capability to confirm a Print Request outcome.
Rationale:	It should be clear in the system when a print item has been posted.

### Capture Delivery Status

**Requirement ID:** TPHRL-REQ\_RNW\_DL-13

**Priority:** Must have

Description:	The Service System shall provide the capability to capture the recorded delivery tracking reference for any print item against the relevant Customer Account and/or Licence Record and also capture the date/time posted.
Rationale:	N/A

### Maintain Audit Trail

**Requirement ID:** TPHRL-REQ\_ISS-15

**Priority:** Must have

Description:	The Service System shall automatically maintain an audit trail of all print transactions.
Rationale:	N/A

### Brass Badge Printing

All Taxi Licences correspond to a unique Licence Number that is printed on their Badge. Refer to TPH - Appendix 15 - Print - Print Document Administration Catalogue.

Currently, Badges are produced by a third party supplier, managed by the Print Supplier. The third party supplier provides them to the Print Supplier who can then allocate them to the correct Licensee.

The Service System shall provide the following functionality in order to facilitate the production of Badges:

- Produce unique Licence Numbers that can be provided to the third party supplier
- Ensure that Licence types are maintained (e.g. All London and suburban Licences)
- Prompt ordering of new Badges when stock levels are low
- Enable the Print Supplier to allocate Badges to Licensees

N.B. This is not required for PHV ID's.

### Send Badge Stock Level Notification

**Requirement ID:** TPHRL-REQ-3644

**Priority:** Must have

Description:	<p>The Service System shall provide the capability to send a notification to a specified Authorised User or Third Party when stock levels of Badges reach a pre-defined low level. The threshold for triggering a notification shall be Configurable by an Authorised User, according to defined Business Rules.</p> <p>Refer to TPH – Business Rules 16 - Printing.</p>
Rationale:	N/A

### Configure Badge Stock Thresholds

**Requirement ID:** TPHRL-REQ-3646

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to Configure the thresholds stock levels for triggering a notification to be sent to the Print Supplier and/or Third Parties, subject to Business Rules.  Refer to TPH – Business Rules 16 - Printing.
Rationale:	N/A

### Manage Badge Stock

**Requirement ID:** TPHRL-REQ-4567

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to manage stock levels of Badges. This shall include but not be limited to: recording Badges received from the Third Party supplier including the Badge Numbers, managing Badge Numbers that shall be available for future Badges.
Rationale:	N/A

### Allocate Badges to Licensees

**Requirement ID:** TPHRL-REQ-4566

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to allocate a Badge Number to a Licence Record. The Service System shall recognise that this Badge Number is no longer available for allocation to another Licensee.
Rationale:	N/A

### Prevent Badge Number Duplication

**Requirement ID:** TPHRL-REQ-4571

**Priority:** Must have

Description:	The Service System shall provide the capability to ensure that no duplicate Badge Numbers are permitted to be inputted by an Authorised User.
Rationale:	N/A

## Reporting

The Application, Licensing, and Post Licensing processes for Private Hire Drivers and Taxi Drivers, Vehicles and Operators are well developed but continuously evolving.

The business processes are data-centric, and managers, team leaders and operational managers across the business require access to Data and Reports in order to:

- **Provide information** - This is currently achieved through the use of Reports providing statistics on business success indicators and operational performance (e.g. applications

processed by type, Licences issued by type, telephone calls received, Supplier KPI's etc.) over a defined time period (e.g. daily, weekly, or monthly)

- **Provide Insight** - This is critical as the business is asking questions aimed at providing strategic direction or to solve business problems e.g. who are our Customers, how do they prefer to interact with us, why do they prefer these Channel(s) of communication. These questions can be answered using Customer segmentation analysis.
- This is also important for FoI and other published information

The TfL business requires the ability to utilise the following types of Reporting:

- **Strategic** - these types of Reports inform business strategy and help Senior Managers identify and solve business problems. Current examples of these are the ability to identify anomalies and trends within Operator Uploads
- **Operational** - these types of Reports are aimed at measuring and understanding current business performances. They come in the form of Reports aimed at monitoring Key Performance Indicators (KPIs) e.g supplier KPI monitoring Reports, weekly licensing statistics, service operations dashboard reports etc.
- **External** - TfL produces Reports in response to Third Party requests e.g. Freedom of Information (FOI) requests, Mayoral Reports, press enquiries etc.
- **Ad-hoc** - These are Reports which fall outside any of these previous classifications and may arise due to a one-off business need, or due to evolving business processes. There are several Ad-Hoc Reports currently generated within TfL.

The ability to report on, provide information or insights to Authorised Users is supported by the quality of data at all points of interaction:

### **The Management Information System (MIS)**

The Supplier is expected to provide a centralised Management Information System (or MIS), which shall provide TfL and the Other Suppliers with an end-to-end reporting function across all aspects of the Taxi Private Hire operations.

The primary method of regular reporting should be the MIS, as described within this section of requirements. However, the Service System shall also provide the capability for Authorised Users to generate live performance reporting directly from the Service System.

TfL expects the MIS to be an 'off-the-shelf' system as far as possible.

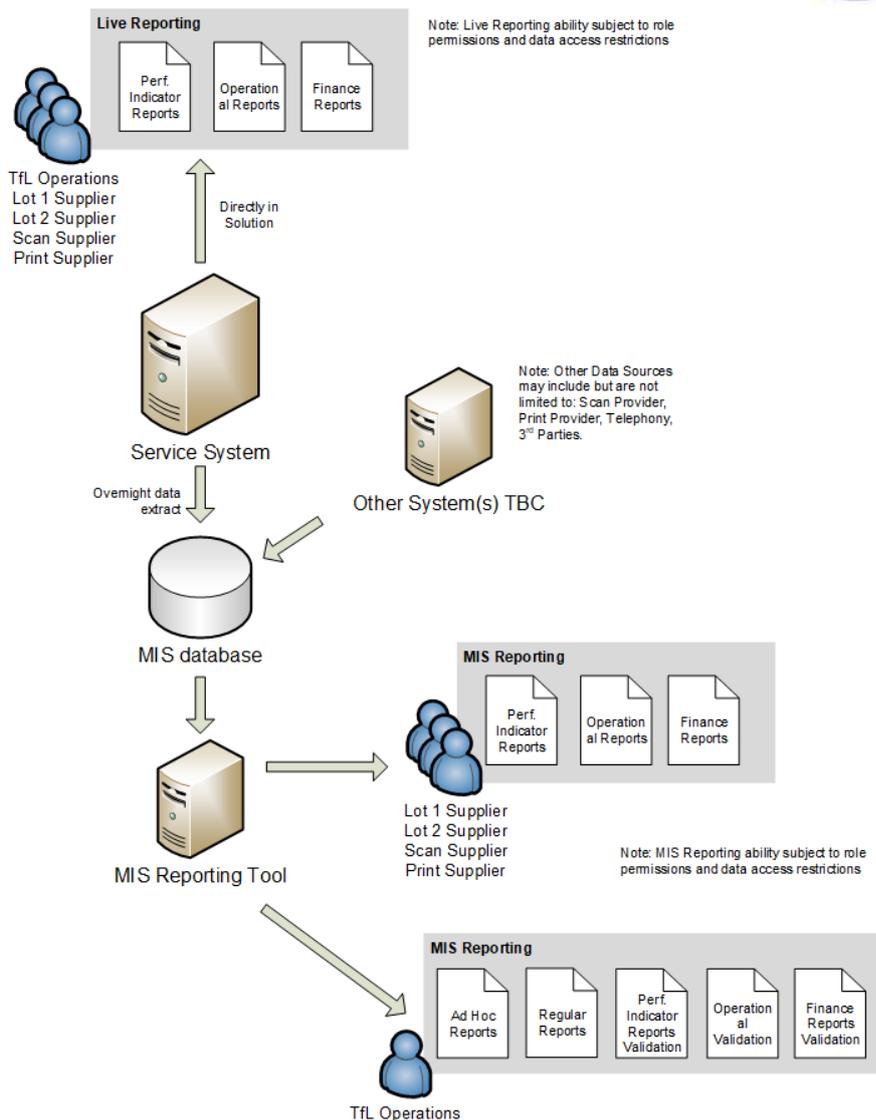
The MIS shall provide a number of core functionalities, which shall include but not limited to:

- Allow analytical queries to be produced efficiently by TfL via a secure web-based client access tool.
- Offer clearly defined Reports with appropriate supporting documentation; comprehensive enough to source all pre-defined Reports and any reasonably foreseeable Ad-Hoc Reports; flexible enough to cope with changes and additions to the TfL operations; and robust enough to provide a consistent, complete and accurate set of data on a daily basis.

- Source Data directly from the Other Systems, where required, to ensure a consistent set of Data between the front-end operational processes and the back-end reporting functions.
- The appropriate use of common identifiers and primary keys is required to ensure the MIS is stable and efficient.
- Used by the Supplier, Lot 2 Supplier, and TfL to produce defined Reports (subject to the Design and Development Phase), which shall be verifiable via the MIS by TfL, as well as allowing Authorised Users to create Ad-Hoc Reports as required (on either a regular or one-off basis).

The Supplier shall involve TfL during the early design stages of the MIS to ensure that it meets TfL's requirements. The MIS shall be fully tested and made available prior to the Operational Commencement Date for Report development purposes. During the Operational Phase, the MIS shall be appropriately maintained and supported, with prompt identification, communication and resolution of any MIS failures or inconsistencies in the Data.

An overview of the MIS and how it shall integrate with the Service System, including the live reporting functionality, is below:



## General

### Access Management Information System (MIS)

**Requirement ID:** TPHRL-REQ-3378

**Priority:** Must have

<p><b>Description:</b></p>	<p>The Service System shall enable an Authorised User to access the MIS, depending on assigned levels of access.</p> <p>Segregation of Authorised User views for certain data types shall be based on the User Permissions.</p> <p>Access to view Reports will be relevant to the service being provided.</p>
<p><b>Rationale:</b></p>	<p>Different Service System Providers will require different access to Data</p>

### All Data Fields Captured to MIS

**Requirement ID:** TPHRL-REQ-3523

**Priority:** Must have

**Description:** The MIS should have every field from the Service System available for reporting including the back ground information such as the data change/audit information.

**Rationale:** N/A

### Automatic Update To MIS Users

**Requirement ID:** TPHRL-REQ-3524

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically update applicable Authorised Users (as defined by TfL) with access to the MIS where a failure has occurred in the overnight update to the MIS, and any Scheduled Jobs should be stopped automatically to ensure incorrect Data is not generated/distributed.

**Rationale:** N/A

### Use Service System As A Single Data Source

**Requirement ID:** TPHRL-REQ-3381

**Priority:** Must have

**Description:** The MIS shall be the single integrated source of all Data for Reporting purposes.

**Rationale:** N/A

### Configure Reporting Data Feeds

**Requirement ID:** TPHRL-REQ-3394

**Priority:** Must have

**Description:** The Supplier shall provide the capability to Configure incoming Data Feeds, including but not limited to the Service System, in order to generate Reports. Additional Data Feeds (where applicable) shall be defined as part of the Design and Development Phase in order to update MIS Data.

**Rationale:** N/A

### Maintain Service System Data

**Requirement ID:** TPHRL-REQ-3383

**Priority:** Must have

**Description:** The MIS shall provide the capability to maintain (receive, store and process) all Data from the Service System.

**Rationale:** We expect the MIS to be comprehensive and all data fields are to be available including historical and migrated data.

### View Reports

**Requirement ID:** TPHRL-REQ-3389

**Priority:** Must have

Description:	<p>The MIS shall enable an Authorised User to only view Reports based on permission levels.</p> <p>Access to view Reports will be relevant to the service being provided.</p>
Rationale:	N/A

### Saving Exported Reports

**Requirement ID:** TPHRL-REQ-3426

**Priority:** Must have

Description:	<p>The MIS shall provide the capability for exported Reports to be saved directly to TfL network drives.</p>
Rationale:	N/A

### Data Export Formats

**Requirement ID:** TPHRL-REQ-2819

**Priority:** Must have

Description:	<p>The MIS shall provide the capability to produce Reports and export Data in various formats including but not limited to:</p> <ul style="list-style-type: none"> <li>• Microsoft excel</li> <li>• Comma separated values (CSV)</li> <li>• PDF documents</li> <li>• Visual Reports (e.g. charts, graphs)</li> <li>• XML</li> <li>• HTML</li> </ul> <p>The Data output formats need to be compatible with applicable versions of software used by TfL.</p>
Rationale:	N/A

### Configure Visual Analytics

**Requirement ID:** TPHRL-REQ-2805

**Priority:** Must have

Description:	The MIS shall enable an Authorised User to Configure visual based Data outputs, including but not limited to: <ul style="list-style-type: none"> <li>• Dashboards</li> <li>• Graphs</li> <li>• Charts</li> </ul>
Rationale:	This will help to process and digest complex data at a glance.

### Trigger Email Notifications

**Requirement ID:** TPHRL-REQ-2820

**Priority:** Must have

Description:	The MIS shall provide the capability to trigger an email notification (including an attached copy of the Report) automatically to an email address (or email addresses) entered by the Authorised User in a free form email address field for the following scenarios but not limited to: <ul style="list-style-type: none"> <li>• A scheduled Report has been completed</li> <li>• Any failed scheduled Reports</li> </ul>
Rationale:	N/A

### Identify Trends and Patterns

**Requirement ID:** TPHRL-REQ-2779

**Priority:** Must have

Description:	The MIS shall provide the capability for an Authorised User to identify trends and patterns (through the use of Data) over any defined period of time.  e.g. ability to identify geographical spread of new Applicants of PHV Licences, or identify trends (uptakes or down-swings) in the number of Driver Licence Applications made from drivers living outside London.
Rationale:	N/A

### Data Scalability

**Requirement ID:** TPHRL-REQ-3431

**Priority:** Must have

**Description:** The MIS shall provide the capability to incorporate new Data Sources as and when required and should not have an adverse impact on the performance of the MIS.

**Rationale:** N/A

### Extracted Data Protection

**Requirement ID:** TPHRL-REQ-2840

**Priority:** Must have

**Description:** The MIS shall provide the capability to automatically protect Reports/Data extracted from the MIS, subject to the Data classification.

For example, Reports or Data Outputs containing medical, Personal Data shall be automatically protected e.g. possible solution could be a password protect once extracted from the MIS.

**Rationale:** N/A

### Off The Shelf Reporting Tool

**Requirement ID:** TPHRL-REQ-3545

**Priority:** Must have

**Description:** The MIS shall, to the greatest extent possible, be an off-the-shelf reporting tool.

**Rationale:** N/A

### MIS Performance Impact

**Requirement ID:** TPHRL-REQ-3546

**Priority:** Must have

**Description:** The MIS should be capable of being used for Reporting analysis, without affecting adversely the performance of the Service System or Other Systems.

**Rationale:** N/A

### Data Capture

TfL as a licensing authority interacts with its Customers, the general public and third parties through various channels and using various forms.

The process of assuring the quality of Data available to build Reports on, begins at the point of when Data is captured. This Data capture entry point occurs through the contact channels, that TfL selects to utilise, when engaging with all of its stakeholders.

The requirements described below detail the functionalities required to assure that Data of the right quality and standard is collected at the point of capture.

<b>Data Sources</b>	
<b>Requirement ID:</b> TPHRL-REQ-2761	<b>Priority:</b> Must have
<b>Description:</b>	<p>The MIS shall provide the capability to receive, store and process Data from the Service System and all interfaces, including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• TfL IVR System</li> <li>• Lot 2 Supplier IVR System</li> <li>• Print System</li> <li>• Scan System</li> </ul>
<b>Rationale:</b>	N/A

<b>Master Data Management</b>	
<b>Requirement ID:</b> TPHRL-REQ-2832	<b>Priority:</b> Must have
<b>Description:</b>	<p>The MIS shall provide the capability to identify and manage all business Data (e.g. Data regarding Customers, Inspection Sites etc.), and maintain the integrity of the Data (completeness, accuracy and consistency) by automatic validation and duplicate checks in order to assure a single version of truth.</p>
<b>Rationale:</b>	N/A

### Data Storage

MIS requires access to Data stored in a database or a data warehouse.

TfL has described requirements below, expected of Data in transit and at rest.

<b>Data Storage</b>	
<b>Requirement ID:</b> TPHRL-REQ-2684	<b>Priority:</b> Must have
<b>Description:</b>	<p>The MIS shall provide the capability to ensure that all MIS Data is stored and presented in a format that enables self-service. This includes but is not limited to an Authorised Users ability to query the MIS Data and produce Reports without having to write code.</p>
<b>Rationale:</b>	N/A

### Store Structured Data

**Requirement ID:** TPHRL-REQ-2680

**Priority:** Must have

**Description:** The MIS shall provide the capability to store and process Structured Data.

The types of Structured Data include, but are not limited to :

- Customer Account information (e.g. name, address, contact details etc.)
- Driver Licence/Vehicle Licence/Operator Licence details (e.g. Licence Number, Conditions, Warnings etc)
- Operator Upload Data
- 3rd party data interface transfers

**Rationale:** N/A

### Store Unstructured Data

**Requirement ID:** TPHRL-REQ-2681

**Priority:** Must have

**Description:** The MIS shall provide the capability to store and process Unstructured Data.

This Unstructured Data includes, but is not limited to:

- Scanned documentation
- Free text entries

**Rationale:** N/A

### Change Management

**Requirement ID:** TPHRL-REQ-2777

**Priority:** Must have

**Description:** The MIS shall enable an Authorised User to design and maintain the MIS to reflect any changes to the Service System. e.g. additions of new Data fields to the Service System.

**Rationale:** N/A

### Data Security

**Requirement ID:** TPHRL-REQ-2839

**Priority:** Must have

**Description:** The MIS shall provide the capability to ensure it operates in accordance with TfL's approved security standards to safeguard all MIS Data. Refer to Schedule 2.3 - Standards for more details.

**Rationale:** N/A

## Data Processes

### Access Metadata

**Requirement ID:** TPHRL-REQ-2759

**Priority:** Must have

**Description:** The MIS shall provide the capability to access, and incorporate in reports, all metadata for all Data Items.

This includes but is not limited to the following:

- Means of creation of the Data
- Purpose of the Data
- Time and date of creation
- Creator or author of the Data
- File size
- Source of the Data
- Process used to create the Data

**Rationale:** N/A

### Display Reference Data

**Requirement ID:** TPHRL-REQ-2758

**Priority:** Must have

**Description:** The MIS shall provide the capability to display Reference Data that is maintained and managed in the Service System. The MIS shall provide the capability to embed and maintain a list of permissible values and attached textual descriptions for all Reference Data.

**Rationale:** N/A

### Consolidate Data

**Requirement ID:** TPHRL-REQ-2755

**Priority:** Must have

**Description:** The MIS shall provide the capability to integrate and consolidate Data from the Service System, and any other system used as a Data source, to be used for regular and ad-hoc Reporting.

**Rationale:** N/A

### Derive Data

**Requirement ID:** TPHRL-REQ-2763

**Priority:** Must have

**Description:** The MIS shall enable an Authorised User to derive Data by calculating and/or applying business logic to one or more Data Items.  
e.g. Calculating the number of days between 2 dates, creating dynamic calculations based on generating date of a Report etc.

**Rationale:** N/A

### Maintain Data Association

**Requirement ID:** TPHRL-REQ-2764

**Priority:** Must have

Description:	The MIS shall provide the capability to associate and maintain data associations either automatically or manually across all Data Items. This includes but is not limited to the ability to identify relationships that exists between Operator Data, Vehicle Data and Driver Data.
Rationale:	N/A

### Data Cleansing

**Requirement ID:** TPHRL-REQ-2776

**Priority:** Must have

Description:	<p>The MIS shall enable an Authorised User to identify and correct any erroneous, inaccurate, duplicate and/or incomplete Data in exceptional circumstances e.g. duplicate bulk upload of daily Data by mistake.</p> <p>The scope of cleansing the Data includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Historic Data relating to a period before implementation, or</li> <li>• Data relating to a period after implementation.</li> </ul> <p>Any changes to be performed should be authorised by TfL and logged for audit purposes. This activity is to be performed prior to and post Data Migration.</p>
Rationale:	N/A

### MIS Set Up

**Requirement ID:** TPHRL-REQ-4529

**Priority:** Must have

Description:	The MIS shall utilise Data populated from the Service System only, not from the Existing Service System. No Data Migration from the Existing MIS to the MIS provided by the Supplier shall be performed. All Data Migration shall be performed in accordance with TPH - Schedule 6.4 - Data Migration.
Rationale:	N/A

### Report Generation

#### Performance Level Management

The objective of using the MIS for Performance Management is to encourage the Supplier to meet the defined Service Levels during their operational activities, in accordance with TPH - Schedule 2.2A - Performance Levels.

The Supplier should be using the MIS to produce and provide KPI Reports to TfL. TfL shall also be able to use the MIS to validate these KPI Reports.

The reporting requirements in this section shall enable TfL to monitor and measure the performance of the Supplier.

e.g. Loading additional Data into the MIS.

### Key Performance Indicators

TfL expects to be able to define a number of Configurable Key Performance Indicators (KPIs). TfL requires access to Data that can provide insight in the effectiveness of the TfL Operations, including but not limited to:

- Channel effectiveness
- Operational performance
- Financial performance
- Operator Uploads
- Compliance Activities

To give a specific example, TfL is looking to improve the efficiency of its operations, and particularly the Customer usage of the Online channel. The channel shift aims to improve the online Customer experience and reduce back-office processing required (e.g. scanning, printing etc). Therefore TfL shall require Key Performance Indicators on Channel usage across all Customer types, Licence types etc in order to better understand opportunities for operational improvements required.

Configure Reports	
<b>Requirement ID:</b> TPHRL-REQ-3382	<b>Priority:</b> Must have
Description:	The Management Information System (MIS) shall provide the capability to be used as the sole system for producing the following Report types, including but not limited to: <ul style="list-style-type: none"> <li>· Key Performance Indicator Reports</li> <li>· Operational Reports</li> <li>· Financial Reports</li> <li>· Ad Hoc Reports</li> <li>· Workflow Management Report</li> <li>· Priced Process Reports</li> <li>· Vehicle Inspection Reports</li> <li>· Print/Scan Reports</li> </ul>
Rationale:	N/A

### Configure Key Performance Indicators

**Requirement ID:** TPHRL-REQ-3443

**Priority:** Must have

Description:	<p>The MIS shall enable an Authorised User to Configure Key Performance Indicators (KPIs) that can be used repeatably across different Reports.</p> <p>The Authorised User shall Configure the following elements, including but not limited to: KPI name, definition, Data Sources, calculations required etc.</p>
Rationale:	N/A

### Configure Generic/Scheduled Reports

**Requirement ID:** TPHRL-REQ-3393

**Priority:** Must have

Description:	<p>The MIS shall enable an Authorised User to Configure generic and/or scheduled Reports.</p> <p>Reports shall be Configurable including but not limited to:</p> <ul style="list-style-type: none"> <li>• Specification of Key Performance Indicators</li> <li>• Data filters and parameters</li> <li>• Data tables and visualisations</li> <li>• Scheduled triggering and delivery of Reports (where applicable)</li> <li>• Automated sending to specified recipients or location e.g. shared drive</li> </ul> <p>The design of the Reports will be completed as part of the Design and Development Phase.</p> <p>Examples of Reports required by TfL shall include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Operational Key Performance Indicators</li> <li>• Financial performance</li> <li>• Channel usage</li> <li>• Dropout rates</li> <li>• Email performance</li> <li>• Telephony</li> </ul>
Rationale:	N/A

### Specify Reporting Parameters

**Requirement ID:** TPHRL-REQ-2809

**Priority:** Must have

**Description:**

The MIS shall enable an Authorised User to specify and modify Reporting Parameters for a Configurable Report.

The MIS shall provide the ability to save the Reporting Parameters as re-usable variants.

Reporting Parameters include, but are not limited to:

- Searching
- Drilldowns
- Filtering.

**Rationale:** This supports the ability of the business to be able to interrogate and analyse data.

### Generate Scheduled Reports

**Requirement ID:** TPHRL-REQ-3433

**Priority:** Must have

**Description:**

The MIS shall provide the capability to automatically generate all scheduled Reports according to the specified execution timing and frequency Configured by an Authorised User.

**Rationale:** N/A

### Send Scheduled Reports

**Requirement ID:** TPHRL-REQ-4812

**Priority:** Must have

**Description:**

The MIS shall send automatically send scheduled Reports to external systems without the need for human intervention, including but not limited to by API.

This may include interfaces to add data to TfL's Open Data service, and to external parties such as the DBS Checks Service Supplier, DEFRA, and Congestion Charging and Clean Air updates.

Refer to the Interface Catalogue for more information.

**Rationale:**

### View Underlying Transactional Data

**Requirement ID:** TPHRL-REQ-3437

**Priority:** Must have

**Description:** The MIS shall enable an Authorised User to view all underlying Transactional Data from which Reports are generated e.g. Licence Fees paid by Customers recorded in the Service System.

**Rationale:** N/A

### Drill Down Functionality

**Requirement ID:** TPHRL-REQ-3413

**Priority:** Must have

**Description:** The MIS shall enable an Authorised User to drill down into Reports, including but not limited to: filters, parameters, and viewing data tables behind visual Reports.

**Rationale:** N/A

### Create Ad-Hoc Reports

**Requirement ID:** TPHRL-REQ-3434

**Priority:** Must have

**Description:** The MIS shall enable an Authorised User to create ad-hoc Reports on-demand.

**Rationale:** N/A

### Reference Ad-Hoc Data Sets

**Requirement ID:** TPHRL-REQ-3438

**Priority:** Must have

**Description:** The MIS shall enable an Authorised User to reference ad-hoc Data Sets in conjunction with MIS Data, for the purpose of generating Reports.

**Rationale:** Utilising Data from outside the Service System to enhance the Data Reporting.

### Request Additional Data Sources

**Requirement ID:** TPHRL-REQ-3435

**Priority:** Must have

**Description:** If any Data which has been agreed to not be held in the MIS is required, the ability to request that Data in exceptional circumstances by an Authorised User should be enabled by the Supplier.

In these cases, the Supplier shall create an ad-hoc Report to satisfy the Data request using alternative source(s).

**Rationale:** N/A

## MIS Design

### Configure Data Definitions

**Requirement ID:** TPHRL-REQ-2768

**Priority:** Must have

**Description:** The MIS shall provide the capability to Configure free text Data definitions against Data fields within MIS tables.

Example: if the data field is VRM the description/name associated with the data field should be clear: Vehicle Registration Mark.

**Rationale:** N/A

## Financial Reporting

### View Unique References

**Requirement ID:** TPHRL-REQ-3409

**Priority:** Must have

**Description:** The MIS shall provide the capability to make available in the MIS, the unique references assigned to financial transactions, including but not limited to: specific transaction references, Channel references etc.

**Rationale:** N/A

### Verify Financial Reports Generated

**Requirement ID:** TPHRL-REQ-3436

**Priority:** Must have

**Description:** The Service System shall enable an Authorised User to verify Financial Reports generated (with drill down facility) using the MIS.

**Rationale:** N/A

## Service Management

### Monitor MIS Activity

**Requirement ID:** TPHRL-REQ-3405

**Priority:** Must have

**Description:** The Service System shall provide the capability to automatically monitor and log all automated processes, including but not limited to the following:

- Extract Transfer and Load of Data (ETL);
- Reports; and
- Operational maintenance processes.

**Rationale:** N/A

### Service System Reconciliation

**Requirement ID:** TPHRL-REQ-2831

**Priority:** Must have

Description:	<p>The MIS shall provide the capability to identify and notify an Authorised User of any differences between the MIS and the Service System, and process/checks should be in place during the ETL to ensure reconciliation. e.g. Payments made by a Customer for a Renewal from source on a monthly basis must match what was ETL into the MIS.</p> <p>The notification shall describe the Data held in the MIS and the Service System and the specific area and type of discrepancy being reported.</p>
Rationale:	N/A

### User Requirements

#### Manage User Access

**Requirement ID:** TPHRL-REQ-3414

**Priority:** Must have

Description:	The Service System shall provide the capability to add, change or remove (manage) access to the MIS to Authorised Users, on request from TfL.
Rationale:	N/A

#### Configure User Profiles

**Requirement ID:** TPHRL-REQ-3416

**Priority:** Must have

Description:	<p>The MIS shall provide the capability to Configure MIS User Role types, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Standard User – read-only access to all underlying Transactional Data, ability to create simple ad hoc queries/regular Reports/Dashboards and the ability to schedule Reports; and</li> <li>• Advanced User – read-only access to all underlying Transactional Data, ability to create complex ad hoc queries/regular Reports/Dashboards and publish these Reports to public areas for use by other Users of the MIS, ability to schedule Reports and the ability to reference user Data Sets.</li> </ul> <p>MIS User Role profiles and permissions to be defined during the Design and Development Phase.</p> <p>User Access shall be limited by User Permissions to restricted Data Sets e.g. the Lot 2 Supplier will only be able to view Inspection Data.</p>
Rationale:	N/A

### User Licence Volumes

**Requirement ID:** TPHRL-REQ-3417

**Priority:** Must have

Description:	<p>The MIS shall provide the capability for a minimum of 25 Authorised Users with MIS Access Licences to use the MIS concurrently.</p> <p>The MIS shall provide the capability to add further Authorised Users, subject to business need.</p>
Rationale:	3rd Party service providers will have to pay for their Licence usage

### MIS Availability

**Requirement ID:** TPHRL-REQ-2824

**Priority:** Must have

Description:	<p>The MIS shall ensure that Authorised Users have access to the MIS at all times, except within the timescales stipulated and pre-agreed with TfL for the purpose of system maintenance and modification.</p> <p>The MIS availability shall comply with the Service Levels as set out in TPH - Schedule 2.2A - Performance Levels.</p>
Rationale:	N/A

### Configure Report Catalogue

**Requirement ID:** TPHRL-REQ-2780

**Priority:** Must have

Description:	<p>The MIS shall enable an Authorised User to Configure a catalogue of all regular Reports to be produced.</p> <p>These are expected to be scheduled and regular Reports, produced for TfL, to be defined and agreed on.</p> <p>Where any scheduling conflicts arise, TfL shall determine a revised schedule.</p>
Rationale:	N/A

### Maintain Business Reporting Priority

**Requirement ID:** TPHRL-REQ-2808

**Priority:** Must have

Description:	<p>The MIS shall enable an Authorised User to specify and modify the business priorities of Reports maintained in the Reporting Catalogue.</p> <p>The Authorised User shall be able to classify Reports according to a defined importance level e.g (low, medium, high).</p>
Rationale:	N/A

### Interrogate Data Sets

**Requirement ID:** TPHRL-REQ-2765

**Priority:** Must have

Description:	<p>The MIS shall enable an Authorised User to carry out statistical analysis on Data Sets available, in order to be able to carry out analysis including but not limited to:</p> <ul style="list-style-type: none"> <li>• Totals over a defined period of time (e.g. hourly, weekly, monthly) - e.g. total number of newly Licensed Taxi Drivers</li> <li>• Averages over a defined period of time (e.g. hourly, weekly, monthly) - e.g. average number of calls (telephony stats) per hour, day etc.</li> <li>• Trend analysis - e.g. forecast models for Driver and Operator Licensee volumes.</li> <li>• Top statistics - top 3 London boroughs where Private Hire Vehicle Applications originate from.</li> </ul>
Rationale:	N/A

### Live Service System Reporting

This section of requirements relates to reporting directly from the Service System for the purposes of live performance tracking on an ad-hoc basis. The primary method of regular reporting should be the MIS, as described within the majority of the Reporting Requirements section.

### Configure Live Reports and KPIs

**Requirement ID:** TPHRL-REQ-3439

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure Reports and Key Performance Indicators within the Service System using live Data.</p> <p>Examples of Reports may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Telephony intra day daily performance (e.g. call reasons, average call times etc.)</li> <li>• Vehicle Inspection intra day daily performance (e.g. number of Vehicle Inspections planned vs completed)</li> <li>• Print jobs completed</li> <li>• Web usage (e.g. live usage statistics)</li> <li>• Live Report of Payments (by exception)</li> <li>• Operational reporting/Dashboard including print/scan, Workflow and Bookings.</li> <li>• Bookings at Vehicle Inspection Centres and Assessment Centres</li> </ul>
Rationale:	<p>The purpose of live reporting would be to monitor the progression of Workflow and operational performance at a particular point of the day , e.g. number of Vehicle inspections completed on a given day.</p>

### Configure Live Reporting Notifications

**Requirement ID:** TPHRL-REQ-3532

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall enable an Authorised User to Configure live reporting notifications, including but not limited to: relevant Key Performance Indicators, performance threshold, notification recipients etc.</p> <p>Examples of notifications may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Incident Reports (e.g. failure of file transfer protocols, Service System down-time)</li> <li>• Performance Reports (e.g. Contact Centre KPIs, Vehicle Inspection Centre KPIs)</li> <li>• Print/Scan Reports</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

### View Live KPI Statistics

**Requirement ID:** TPHRL-REQ-3530

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to display live KPI statistics based on Configured KPIs set by an Authorised User.</p> <p>Examples of KPIs may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• number of Vehicles inspected per centre per day</li> <li>• number of contact centre calls answered per centre per day</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

### Trigger Live Performance Notifications

**Requirement ID:** TPHRL-REQ-3531

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall provide the capability to trigger live performance reporting notifications via email, based on Configured specifications set by an Authorised User. Reporting notifications shall be Configured including but not limited to: relevant Key Performance Indicators, performance threshold, notification recipients etc.</p>
<p>Rationale:</p>	<p>N/A</p>

### Configure Live Performance Dashboards

**Requirement ID:** TPHRL-REQ-4535

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to Configure live performance reporting Dashboards to monitor business activities and Key Performance Indicators relating to the Service System.</p> <p>Configuration shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• Key Performance Indicators to be displayed</li> <li>• types of visualisation (e.g. graphs, tables etc.)</li> <li>• filters (categories, dates etc.)</li> <li>• layout</li> <li>• User Access (by individuals or groups)</li> </ul> <p>Dashboards may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Work tray status</li> <li>• Outstanding items</li> <li>• Priority item breaches</li> <li>• Upcoming Assessment Bookings</li> <li>• Quality monitoring status</li> </ul>
Rationale:	N/A

### View Live Performance Dashboards

**Requirement ID:** TPHRL-REQ-4536

**Priority:** Must have

Description:	The Service System shall enable an Authorised User to view live performance reporting dashboards, subject to their User Role and User Permissions.
Rationale:	N/A

## Non Functional

### Availability and Capacity

#### Online Portal Availability

**Requirement ID:** TPHRL-REQ-2995

**Priority:** Must have

Description:	<p>The Online Portal for the Service System shall be available to Customers <math>\geq 99.5\%</math> per calendar month. Online Portal down time shall include scheduled maintenance windows. Any Online Portal downtime shall be managed by appropriate messages to Customers.</p> <p>Refer to Schedule 2.2B - Service Management, and Schedule 2.2A - Performance Levels.</p>
Rationale:	N/A

#### Service System Availability

**Requirement ID:** TPHRL-REQ-2997

**Priority:** Must have

Description:	<p>The Service System shall be available to Authorised Users during TfL Operational Hours, Contact Centre Operational Hours, and Vehicle Inspection Operational Hours, and <math>\geq 99.5\%</math> per calendar month. Service System down time shall include scheduled maintenance windows. Any Service System downtime shall be managed by appropriate messages to Authorised Users.</p> <p>Refer to Schedule 2.2B - Service Management.</p>
Rationale:	N/A

#### Performance

**Requirement ID:** TPHRL-REQ-3692

**Priority:** Must have

Description:	<p>The Service System shall be able to conform with pre defined/agreed Service Levels.</p> <p>Refer to Schedule TPH - Schedule 2.2A - Performance Levels.</p>
Rationale:	N/A

#### Data Backup Performance

**Requirement ID:** TPHRL-REQ-4578

**Priority:** Must have

Description:	<p>The Service System shall ensure that minimum Service Levels are maintained whilst Data Backups are being performed, in accordance with TPH - Schedule 2.2A - Performance Levels.</p>
Rationale:	N/A

### Storage Capacity

**Requirement ID:** TPHRL-REQ-4532

**Priority:** Must have

Description:	<p>The Service System shall be able to store all Application and Customer Data in accordance with volumes to be agreed with TfL.</p> <p>For reference, the Current Service System storage capacity is approximately 5TB, the new Service System shall be expected to accommodate uplifts in capacity for additional image and video storage needs.</p> <p>The size of the current transactional database, which we have defined as Customer Account data that includes Licence Records, Inspections, Bookings, and Images, is as follows:</p> <ul style="list-style-type: none"> <li>• SQL Databases size is ≈ 345 GB (W360Live 290GB + 52GB Compliance HHD + 1.5GB Bookings)</li> <li>• Image server size ≈ 4.5TB</li> </ul>
Rationale:	N/A

### Capacity

**Requirement ID:** TPHRL-REQ-2996

**Priority:** Must have

Description:	<p>The Service System shall be capable of handling and processing <math>\geq 150\%</math> of expected volumes of Data and user activity without any degradation to service and system performance at any given time (including during peak periods)</p> <p>Please note that the current volumes processed in the Existing Service System only reflect an online solution with limited functionality. Given that the intention is to drive more Customers to self-serve via the Online Portal, it is expected that the Service System will have significantly more usage both at peak and non-peak hours. As a minimum it is expected that the Service System shall be able to accommodate the volumes as detailed in TPH - Appendix 08 - Information - Volumes 2016 - 2017 to 2018 - 2019.</p> <p>The Service System shall be expected to meet the Service Level Targets defined in accordance with TPH - Schedule 2.2A - Performance Levels.</p>
Rationale:	N/A

### Failover Capability

**Requirement ID:** TPHRL-REQ-3693

**Priority:** Must have

Description:	The Service System shall be capable of failing over in the event of a Service Outage.
Rationale:	N/A

## Monitoring

### Service Management Standards

**Requirement ID:** TPHRL-REQ-3694

**Priority:** Must have

Description:	The Service System shall be able to follow ITIL Version 4 Service Management best practices.  Refer to Schedule 2.2B - Service Management.
Rationale:	N/A

### Monitoring Service System Activity

**Requirement ID:** TPHRL-REQ-3000

**Priority:** Must have

Description:	<p>The Service System shall be able to be monitored by an Authorised User in terms of Customer and Authorised User activity, and Service System Performance, that includes but is not limited to:</p> <ul style="list-style-type: none"> <li>• Viewing Customers and Authorised Users who are logged into the Service System (via the Online Portal and back-office)</li> <li>• Viewing Customers and Authorised Users that have logged off, denied access due to incorrect credentials and locked out</li> <li>• Monitoring the transactions that Customers and Authorised Users are executing</li> <li>• Event and queue monitoring</li> <li>• Performance and System usage</li> <li>• Monitoring Online Portal Performance</li> <li>• Interfaces (e.g. CPOS interface)</li> <li>• Notify Authorised Users in case there are any variations to set thresholds</li> </ul>
Rationale:	N/A

## Security and Access

### Service System Access

**Requirement ID:** TPHRL-REQ-3415

**Priority:** Must have

Description:	<p>The Service System shall enable an Authorised User to access the Service System from the following locations/methods:</p> <ul style="list-style-type: none"> <li>• All TfL offices</li> <li>• Secure remote web-based access via TfL Systems</li> <li>• Vehicle Inspection Sites</li> <li>• Lot 2 Supplier Contact Centre</li> <li>• Scan Supplier premises</li> <li>• Print Supplier premises</li> <li>• All premises used by TfL and the Supplier for business continuity purposes</li> </ul>
Rationale:	N/A

### Security Standards Compliance

**Requirement ID:** TPHRL-REQ-3696

**Priority:** Must have

Description:	<p>The Service System shall be able to comply with all TfL Security and Access Standards, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Information Access Policy</li> <li>• Information Security Policy</li> <li>• Security Logging, Monitoring and Audit Policy</li> <li>• Network Security Policy</li> <li>• Cyber Security Risk Management Policy</li> </ul> <p>Refer to Schedule 2.3 - Standards.</p>
Rationale:	N/A

### Browser Support

**Requirement ID:** TPHRL-REQ-3049

**Priority:** Must have

Description:	<p>The Service System shall be able to support the latest versions of all major internet browsers including, but not limited to:</p> <ul style="list-style-type: none"> <li>• Apple Safari</li> <li>• Microsoft Edge</li> <li>• Microsoft Internet Explorer (including TfL's corporate standard browser which is IE11)</li> <li>• Google Chrome</li> <li>• Mozilla Firefox</li> </ul>
Rationale:	N/A

### Browser Plugins

**Requirement ID:** TPHRL-REQ-3697

**Priority:** Must have

**Description:** The Service System shall be accessible by the Customers without the need for downloading additional plugins to their web browser, for example: Java, Flash etc.

**Rationale:** N/A

### Security Administration Function

**Requirement ID:** TPHRL-REQ-3050

**Priority:** Must have

**Description:** The Service System shall be able to support a Decentralised Security Administration Function by components (e.g. Licence management or booking management) and business units (e.g. department/area ).

**Rationale:** N/A

### Install Cookiebot

**Requirement ID:** TPHRL-REQ-3527

**Priority:** Must have

**Description:** The Service System shall be able to install a Cookiebot (consent management platform) across all TfL subdomains in order to achieve GDPR compliance.

Features of the Cookiebot shall include the ability to manage consent for different types of cookies, tracking how and when the user consented and an automated cookie scan that publishes the cookies in use on that site.

**Rationale:** N/A

### Single Sign-On Login

**Requirement ID:** TPHRL-REQ-3032

**Priority:** Must have

**Description:** The Service System shall be able to support single sign-on login for Authorised Users.

Note: Single sign-on for Authorised Users who are TfL employees shall be implemented via TfL's corporate identity provider (Azure AD) using SAML.

**Rationale:** N/A

### Data Storage

**Requirement ID:** TPHRL-REQ-3712

**Priority:** Must have

**Description:** The Service System shall be able to store all Sensitive Personal Data securely.  
  
Refer to Schedule 2.3 - Standards.

**Rationale:** N/A

### Design and Usability

#### User Experience

**Requirement ID:** TPHRL-REQ-3028

**Priority:** Must have

**Description:** The Service System shall be capable of providing a user experience that is intuitive, user friendly and accessible, whether accessed by a desktop computer, laptop and/or mobile device. This applies to both Customers and Authorised Users.  
  
Please refer to Schedule 2.3 - Standards.

**Rationale:** N/A

#### Navigate without Documentation

**Requirement ID:** TPHRL-REQ-3029

**Priority:** Must have

**Description:** The Service System shall enable Customers and Authorised Users to navigate the Service System without having to resort to Documentation.

**Rationale:** N/A

#### Help and Guidance Documentation

**Requirement ID:** TPHRL-REQ-3690

**Priority:** Must have

**Description:** The Service System shall enable Customers and Authorised Users to easily locate help and guidance Documentation specific to the task they are performing.

**Rationale:** N/A

### Accessibility Guidelines

**Requirement ID:** TPHRL-REQ-3008

**Priority:** Must have

Description:	<p>The Service System shall be designed to comply with Accessibility Guidelines, including but not limited to:</p> <ul style="list-style-type: none"> <li>• TfL accessibility guidelines</li> <li>• Web Content Accessibility Guidelines (WCAG) 2.1 for websites, documents and templates</li> </ul> <p>Refer to Schedule 2.3 - Standards</p>
Rationale:	N/A

### Service System Resilience

**Requirement ID:** TPHRL-REQ-3044

**Priority:** Must have

Description:	<p>The Service System shall comply with Good Industry Practice to ensure the Service System is resilient.</p> <p>Refer to Schedule 2.3 - Standards.</p>
Rationale:	N/A

### Regulatory Compliance

**Requirement ID:** TPHRL-REQ-3010

**Priority:** Must have

Description:	<p>The Service System shall be able to comply with all applicable regulatory standards, including but not limited to: Data Protection Laws, ISO regulations etc.</p> <p>Refer to Schedule 2.3 - Standards.</p>
Rationale:	N/A

### PCI Compliance

**Requirement ID:** TPHRL-REQ-3006

**Priority:** Must have

Description:	<p>The Service System shall be able to operate in accordance with PCI Compliance Regulations.</p> <p>Refer to Schedule 2.3 - Standards.</p>
Rationale:	N/A

### Financial Reporting Standards

**Requirement ID:** TPHRL-REQ-3151

**Priority:** Must have

Description:	<p>The Service System shall comply with International Financial Reporting Standards (IFRS).</p> <p>Refer to Schedule 7.3 - Financial Reports and Audit Rights.</p>
Rationale:	N/A

### Application Architecture

#### Interoperability

**Requirement ID:** TPHRL-REQ-3031

**Priority:** Must have

Description:	<p>The Service System shall be interoperable with TfL Systems or systems used by Third Parties to communicate and exchange data in support of key processes. Refer to TPH - Schedule 6.5 - Systems Integration, Appendix - Interface Catalogue for details of the Service System interoperability required. The Service System shall apply the principles, guidelines and standards laid out in the eGovernment-based Interoperability Framework (e-GIF) initiatives. This shall also include error handling capabilities in an event of failure to exchange data.</p>
Rationale:	N/A

#### Secure Data Transfers

**Requirement ID:** TPHRL-REQ-3706

**Priority:** Must have

Description:	<p>The Service System shall be able to transfer all inbound and outbound data to Other Systems and any external interface using secure methods that comply with Schedule 2.4 - Security Management.</p>
Rationale:	N/A

#### Scalability

**Requirement ID:** TPHRL-REQ-3005

**Priority:** Must have

Description:	<p>The Service System shall be scalable without disrupting the Service System Performance and availability to both Customers and Authorised Users.</p> <p>As a minimum it is expected that the Service System shall be able to accommodate the volumes as detailed in TPH - Appendix 08 - Information - Volumes 2016 - 2017 to 2018 - 2019.</p>
Rationale:	N/A

### Data Anonymisation

**Requirement ID:** TPHRL-REQ-3011

**Priority:** Must have

**Description:** The Service System shall provide the capability for Data held in a Non-Production Environment to be anonymised and have no association with the real Customers including any type of Personal Data or Sensitive Personal Data contained in the Production Environment.

**Rationale:** N/A

### Data Integrity

**Requirement ID:** TPHRL-REQ-3705

**Priority:** Must have

**Description:** The Service System shall be able to preserve Data and transaction integrity at all times.

Data must be kept free from corruption, modification, or unauthorised disclosure to ensure execution of operational/critical business processes with accuracy as well ensure the quality of the Data is consistent and accuracy is maintained.

**Rationale:** N/A

### Sensitive Personal Data Encryption

**Requirement ID:** TPHRL-REQ-3707

**Priority:** Must have

**Description:** The Service System shall be able to encrypt Sensitive Personal Data (e.g. medical information) at Rest and at Database level.

Authorised Users should be able to select the Data Items or Data fields that are to be encrypted (within Database table columns).

**Rationale:** N/A

### Encryption Keys

**Requirement ID:** TPHRL-REQ-3710

**Priority:** Must have

**Description:** The Service System shall provide the capability to use strong encryption keys.

Minimum key encryption key length requirements are:

- a) Triple – DES – 128 bits
- b) AES – 256 bits
- c) RSA – 1024 bits

**Rationale:** N/A

### Security Updates

**Requirement ID:** TPHRL-REQ-3711

**Priority:** Must have

Description:	The Service System shall be protected by Software patches and updates for Security Software on at least a daily basis. This shall include but not be limited to: antivirus, firewall, malware detection, encryption etc
Rationale:	N/A

### Service System Customisation

**Requirement ID:** TPHRL-REQ-3668

**Priority:** Must have

Description:	<p>The Service System shall be easily customisable and Configurable by an Authorised User with little or no programming expertise.</p> <p>Examples of customisation and Configuration of the Service System shall include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Adding/removing fields from an Application Form</li> <li>• Creating Alerts</li> <li>• Maintaining the look/feel of the TfL website</li> <li>• Managing Workflow rules</li> <li>• Configuring internal and external interfaces e.g. APIs</li> </ul>
Rationale:	N/A

### Service System Version Control

**Requirement ID:** TPHRL-REQ-4806

**Priority:** Must have

Description:	<p>The Lot 1 Supplier shall ensure that all changes to the Service System and its Interfaces are managed through version control. The interfaces (inbound/outbound) shall be version managed and stored in a code base.</p> <p>The Lot 1 Supplier shall ensure that the Service System has the ability to introduce new versions of certain elements of the Service System and any inbound/outbound interfaces whilst retaining other elements at earlier versions.</p> <p>The Lot 1 Supplier shall ensure that the Service System retains compatibility with any interfacing system on the deployment of any new version.</p>
Rationale:	

### Retain Customisation and Configuration

**Requirement ID:** TPHRL-REQ-3054

**Priority:** Must have

Description:	The Service System shall be able to retain all Application customisations and Configuration following any Service System update (version/patch update, process and document updates etc).
Rationale:	N/A

### Rollback Customisation and Configuration

**Requirement ID:** TPHRL-REQ-3055

**Priority:** Must have

Description:	The Service System shall be able to rollback any customisations and Configuration that have been made (version/patch updates/process and Service Documentation updates, Workflows etc.).
Rationale:	N/A

## Reporting

### Technical and User Documentation

**Requirement ID:** TPHRL-REQ-2810

**Priority:** Must have

Description:	<p>The Supplier shall provide comprehensive technical and training user Service Documentation to support the understanding and operation of the Service System and Management Information System.</p> <p>The Supplier shall ensure all evidence and Service Documentation used in the process of generating an automated Reports is available, stored and is accessible to TfL at any time.</p> <p>We can expect from the Service Documentation including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Data model</li> <li>• Data dictionary</li> <li>• Database definition document</li> <li>• Database schema</li> <li>• Data quality standards</li> <li>• User and training guides (all aspects of the MIS database and reporting front-end)</li> <li>• Reporting database environments (test and live)</li> <li>• Reporting database security profiling and access controls</li> </ul>
Rationale:	N/A

### Manage Incidents

**Requirement ID:** TPHRL-REQ-3406

**Priority:** Must have

Description:	The Supplier shall provide the capability to record, track, log, communicate and resolve Incidents relating to the MIS which should be resolved in accordance with TPH - Schedule 2.2B - Service Management.
Rationale:	N/A

### Reporting Schema and Data Dictionary

**Requirement ID:** TPHRL-REQ-2811

**Priority:** Must have

Description:	<p>The Supplier shall ensure TfL has access to a documented reporting Schema and a Data Dictionary, in order to support the use of the Service System and MIS.</p> <p>The Supplier shall ensure that the Service Documentation supporting the MIS is updated and available to TfL whenever changes are made to the MIS, if the changes are to be released into the Production Environment.</p>
Rationale:	N/A

### Data Retention

**Requirement ID:** TPHRL-REQ-2812

**Priority:** Must have

Description:	The Supplier shall retain all Data and Reports in accordance with the Data Retention Policy stated in TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy.
Rationale:	N/A

### Service Level Agreement

**Requirement ID:** TPHRL-REQ-2813

**Priority:** Must have

Description:	The MIS shall be capable of capturing, storing and processing Data and the requested outputs in accordance with the specified Service Level Targets, in accordance with TPH - Schedule 2.2A - Performance Levels.
Rationale:	N/A

### Data Replication

**Requirement ID:** TPHRL-REQ-2822

**Priority:** Must have

Description:	The MIS shall ensure that all Data replication and update from the Service System is complete from up to midnight the previous calendar day.
Rationale:	N/A

### Data Change Log

**Requirement ID:** TPHRL-REQ-2823

**Priority:** Must have

Description:	<p>The MIS shall provide the capability to record and maintain a log of all changes made to the Data within the Service System.</p> <p>This shall include but is not limited to all intra-day changes to the Data i.e. change to the status of a Licence Records, and invalid Customer login attempts.</p>
Rationale:	N/A

### Backup and Disaster Recovery

**Requirement ID:** TPHRL-REQ-2825

**Priority:** Must have

Description:	<p>The MIS shall ensure that alternative means of providing Reports are available to an Authorised User in the event of the MIS being continuously unavailable for more than 2 hours as stated in TPH - Schedule - 2.2B - Service Management.</p> <p>Refer to TPH - Appendix 10 - Information - Licensing Data Dictionary</p>
Rationale:	N/A

### Volumetrics

**Requirement ID:** TPHRL-REQ-2826

**Priority:** Must have

Description:	<p>The MIS shall provide the capability to support the volume of Data, as a minimum, associated with the Customer volumes detailed in TPH - Appendix 08 - Information - Volumes 2016 - 2017 to 2018 - 2019.</p>
Rationale:	N/A

### Testing

**Requirement ID:** TPHRL-REQ-2827

**Priority:** Must have

Description:	<p>The Supplier shall ensure that the MIS and interface to the Service System are tested in accordance with TPH - Schedule 6.2 - Testing.</p> <p>The Supplier shall remedy all software bugs, issues, errors and omissions identified during testing before any update to the MIS is released.</p> <p>Access to a MIS test environment should be provided for User Acceptance Testing before deploying to production environment and Test Data shall be created by the Supplier to enable Authorised Users to test the Reports.</p>
Rationale:	N/A

### Data Availability

**Requirement ID:** TPHRL-REQ-3428

**Priority:** Must have

Description:	The MIS shall provide the capability to ensure that by 06:00 each calendar day at the latest, the MIS accurately reflects all Data up to midnight the previous calendar day.
Rationale:	Data must be available to ensure the operational activity of TfL and each of the Other Suppliers is not disrupted.

### Incident Management

**Requirement ID:** TPHRL-REQ-3429

**Priority:** Must have

Description:	The Service System shall provide the capability to raise an Incident for any failure in the daily update process.
Rationale:	N/A

### Concurrent Access

**Requirement ID:** TPHRL-REQ-3412

**Priority:** Must have

Description:	The MIS shall provide the capability for concurrent access for all Authorised Users at all times with no performance degradation.
Rationale:	N/A

### Self-Service

**Requirement ID:** TPHRL-REQ-2806

**Priority:** Must have

Description:	<p>The MIS will be structured in a way to enable an Authorised User to self-serve across all areas of the MIS, including but not limited to:</p> <ul style="list-style-type: none"> <li>Analytics and Data preparation (drag and drop, user-driven)</li> </ul>
Rationale:	N/A

### MIS Testing Environment Availability To TfL Users

**Requirement ID:** TPHRL-REQ-3540

**Priority:** Must have

Description:	The MIS should be made available to Authorised Users prior to, and following the Operational Commencement Date, including relevant Test Data from the MIS Test Environment, to allow time for TfL to develop and test all Reports.
Rationale:	N/A

## Training

**Requirement ID:** TPHRL-REQ-3542

**Priority:** Must have

Description:	<p>Training should be provided including providing Service Documentation to Authorised Users to enable them to develop and test any required Reports prior to and during Testing of the MIS.</p> <p>Refer to TPH - Schedule 6.3 - Training.</p>
Rationale:	N/A

## Expectancy of Performance

**Requirement ID:** TPHRL-REQ-3543

**Priority:** Must have

Description:	<p>The MIS shall be designed to ensure the efficient retrieval of Data and analytics, and it is expected that complex Reports should be completed within 1 hour of executing the Report. Complex Reports shall be defined with TfL during the Design and Development Phase.</p>
Rationale:	N/A

## Send Reports Securely

**Requirement ID:** TPHRL-REQ-4816

**Priority:** Must have

Description:	<p>The MIS shall provide the capability to send scheduled reports to specified recipients and/or locations in a secure manner.</p>
Rationale:	

## Hosting

### Service System Hosting

**Requirement ID:** TPHRL-REQ-4518

**Priority:** Must have

Description:	<p>The Supplier shall host the Service System in accordance with all Service System Non-Functional Requirements and TPH - Schedule 2.3 - Standards.</p> <p>The Supplier shall provide TfL with their proposal as to how the Service System shall be hosted (e.g. on-premise, cloud-based etc), and the associated costs.</p>
Rationale:	<p>TfL is considering a range of options for hosting the Service System, this includes but is not limited to: hosted by the Supplier, hosted on TfL servers, hosted by a third party. TfL therefore requires a proposal from the Supplier of what hosting they are able to provide.</p>

### Vehicle Inspection Mobile App

The purpose of the mobile app would be to perform Vehicle Inspections at a Vehicle Inspection Centre.

### Mobile App Practices and Techniques

**Requirement ID:** TPHRL-REQ-3659

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall employ the following techniques and practices:</p> <ul style="list-style-type: none"> <li>• Use of mobile operating system vendor/OEM-provided UI elements and controls in lieu of bespoke controls where these are available. e.g. date pickers, notification alerts, sliders, tabs, soft keyboard, tool bars, navigation buttons, list pickers and similar</li> <li>• Adhere to mobile operating system vendor/OEM-defined human interface guidelines and design language</li> <li>• Provide the ability for user interface elements to be Configured by TfL per in-house design standards and direction</li> <li>• Support background operations (i.e. continue to function when not the front-most application in use)</li> <li>• Provide as an application package/bundle ready for packaging, signing and deploying by TfL staff onto the TfL corporate app catalogue via the TfL Mobile Device Management</li> <li>• Support the ability to customise help messages / help text / link to how-to guides / app overlays / provide in-app video support and similar techniques to assist users use the app</li> <li>• Support URL-schemes (for iOS apps) that provide the ability to launch, Configure and perform other actions on apps</li> <li>• Support inter-app communication / content sharing using platform provided functionality (e.g. app pickers on iOS, equivalent functionality in Android)</li> </ul>
<p>Rationale:</p>	<p>N/A</p>

### Mobile App Security

**Requirement ID:** TPHRL-REQ-3660

**Priority:** Must have

<p>Description:</p>	<p>The Service System shall not interfere with the operation of any other application, or mobile operating system feature, deployed onto the mobile device on which it is deployed unless specifically requested.</p>
<p>Rationale:</p>	<p>N/A</p>

### Mobile App Authentication

**Requirement ID:** TPHRL-REQ-3661

**Priority:** Must have

Description:	The Service System shall be able to support the authentication of Authorised Users to the mobile application. This should be supported when devices are online and offline.
Rationale:	N/A

## Part 2 - Operational Requirements

### General

#### Software Release Management Process

**Requirement ID:** TPHRL-REQ-4313

**Priority:** Must have

Description:	<p>The Supplier shall define and deploy a Software Release Management Process to be approved by TfL. Software Releases shall be performed at no cost and with minimal impact to Service.</p> <p>The Supplier's Software Release Management process for Software Releases shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• Hardware and Software changes</li> <li>• Changes to parameters and processes</li> <li>• Software bug fixes</li> <li>• Release notification plans</li> </ul>
Rationale:	N/A

#### Service System Version Releases

**Requirement ID:** TPHRL-REQ-4315

**Priority:** Must have

Description:	The Supplier shall ensure that new Service System version releases will include fixes to issues identified since the last release. The Supplier shall ensure that deployment of fixes can be prioritised via requests from Authorised Users.
Rationale:	N/A

#### Service System Changes

**Requirement ID:** TPHRL-REQ-4316

**Priority:** Must have

Description:	The Supplier shall ensure all changes to the Service System are performed in accordance with TPH - Schedule 6.2 - Testing and TPH - Schedule 8.2 - Change Control Procedure.
Rationale:	N/A

### Monitor Service System

**Requirement ID:** TPHRL-REQ-4317

**Priority:** Must have

Description:	<p>The Supplier shall ensure that the Service System is measured and monitored 24x7x365, end-to-end and at each Layer (i.e. Application Layer, Interface Layer, User Layer), for the following characteristics:</p> <ul style="list-style-type: none"> <li>- Availability</li> <li>- Performance</li> <li>- Incident Management</li> </ul> <p>The Supplier shall aim to deliver optimum Service Levels. The Supplier shall report to TfL on adherence against Service Levels on a frequency to be agreed with TfL. Refer to Schedule TPH - Schedule 2.2A - Performance Levels.</p>
Rationale:	N/A

### Service System Monitoring System

**Requirement ID:** TPHRL-REQ-4439

**Priority:** Must have

Description:	<p>The Supplier shall provide a comprehensive Service System Monitoring System with the capability to monitor the status of all components of the Service System and to raise alarms in the event of component failure, Service System performance degradation and any other potential issues that affect the operation and performance of the Service System.</p>
Rationale:	N/A

### Maintain Capacity Plans

**Requirement ID:** TPHRL-REQ-4318

**Priority:** Must have

Description:	<p>The Supplier shall provide and maintain capacity plans at intervals of 6 months, or at the request of TfL to reflect current and forecast volumes, technical or operational changes to ensure Service Level Agreements and Service Levels are met.</p> <p>This includes but is not limited to system memory, capacity, and performance.</p>
Rationale:	N/A

### Data Access

**Requirement ID:** TPHRL-REQ-4500

**Priority:** Must have

Description:	<p>The Supplier shall ensure that the Lot 2 Supplier only has access to the Data needed for operating the Vehicle Inspections, Lot 2 Supplier Contact Centre, and any other obligations stipulated under the Lot 2 Supplier contract terms.</p>
Rationale:	N/A

### Data Storage

**Requirement ID:** TPHRL-REQ-4302

**Priority:** Must have

Description:	The Supplier shall ensure that all Data storage, including the storage of any Customer Details, fully complies with the most up to date legislation, including but not limited to Data Protection Laws.
Rationale:	N/A

### Maintain Deletion Records

**Requirement ID:** TPHRL-REQ-4229

**Priority:** Must have

Description:	The Supplier shall maintain sufficient Records of Data deletions, as defined by TfL from time to time, to provide a full audit trail to meet the requirements of (but not limited to): a) The Service System(s) audit; b) TfL's external audit; c) Audit by TfL and TfL's internal auditors; d) TfL's management reporting and contract monitoring requirements as agreed with TfL; and e) Privacy and Data Protection Laws.
Rationale:	N/A

### Pro-Active Monitoring

**Requirement ID:** TPHRL-REQ-4591

**Priority:** Must have

Description:	The Supplier shall pro-actively monitor the Service System throughout the year and highlight trends and improvements that could be made to TfL for introduction, in accordance with the Schedule 2.2B - Service Management.
Rationale:	N/A

### Accessible Service

**Requirement ID:** TPHRL-REQ-4309

**Priority:** Must have

Description:	The Supplier shall ensure that people with disabilities and accessibility requirements can access the Service System, in line with the Equalities Act 2010 and TPH - Schedule 2.3 - Standards.
Rationale:	N/A

### Report Criminal Activity

**Requirement ID:** TPHRL-REQ-4310

**Priority:** Must have

Description:	The Supplier shall report any criminal activity affecting the Service, TfL or the Customers to TfL. The Supplier shall include any images relevant to the report being made, as well as relevant notes, damage reports and approximate costs of reparations, including labour.
Rationale:	N/A

### Review Fraudulent Activities

**Requirement ID:** TPHRL-REQ-4311

**Priority:** Must have

Description:	<p>The Supplier shall review all fraudulent activities identified by the Service System, and, together with TfL, put in place mitigating actions and controls.</p> <p>The Supplier shall maintain a fraudulent activities log ensuring that all fraudulent activities are recorded as soon as the fraudulent activity is detected. This log will be shared with TfL on a periodic basis.</p>
Rationale:	N/A

### Hardware and Software Compatibility

**Requirement ID:** TPHRL-REQ-4319

**Priority:** Must have

Description:	The Supplier shall ensure that all IT hardware and software provided by the Supplier is compatible and able to operate with the Service System where necessary to meet the requirements of the Services.
Rationale:	N/A

### Confidential Reporting Process

**Requirement ID:** TPHRL-REQ-4320

**Priority:** Must have

Description:	The Supplier shall ensure there is a process in place for anonymous and confidential reporting of suspected fraudulent or unsafe behaviour to TfL.
Rationale:	N/A

### Supply Data to Relevant Authorities

**Requirement ID:** TPHRL-REQ-4321

**Priority:** Must have

Description:	The Supplier shall supply all Data to the Metropolitan police and/or courts where specifically required to do so by Law. Where any such request is made direct to the Supplier this shall be immediately notified to TfL.
Rationale:	N/A

### Health and Safety

**Requirement ID:** TPHRL-REQ-4323

**Priority:** Must have

Description:	<p>The Supplier shall adhere to Health and Safety Legislation of all aspects of the operations and delivery of contractual obligations, and in accordance with TPH - Schedule 2.3 - Standards, and TPH - Schedule 12 - Contract Quality, Environmental and Safety Considerations.</p> <p>The Supplier shall allow TfL or a representative to access any Supplier Site in order to conduct health &amp; safety monitoring.</p>
Rationale:	N/A

### Integrate Printing Hardware

**Requirement ID:** TPHRL-REQ-4374

**Priority:** Must have

Description:	The Supplier shall ensure the integration of printing hardware, including but not limited to, hardware provided by the Lot 2 Supplier, Print Supplier and TfL.
Rationale:	N/A

### Schedules and Appendices

**Requirement ID:** TPHRL-REQ-4428

**Priority:** Must have

Description:	The Supplier shall deliver the Service in line with all Schedules contained within this Agreement, and according to the Business Rules and guidance set out in the Appendices, and any other relevant documents.
Rationale:	N/A

### Standards

**Requirement ID:** TPHRL-REQ-4430

**Priority:** Must have

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

### Prevent Fraudulent Activity

**Requirement ID:** TPHRL-REQ-4498

**Priority:** Must have

Description:	The Supplier shall proactively identify and prevent fraudulent activity.
Rationale:	N/A

### Complete Testing Activities

**Requirement ID:** TPHRL-REQ-4530

**Priority:** Must have

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

### Escalation Process

**Requirement ID:** TPHRL-REQ-4550

**Priority:** Must have

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

### Ad-Hoc Working at Supplier Sites

**Requirement ID:** TPHRL-REQ-4586

**Priority:** Must have

Description:	The Supplier shall provide access for TfL Personnel on an ad-hoc basis to Supplier Sites. The Supplier shall ensure that TfL Personnel have access to desks, wifi, general facilities e.g. kitchen, toilets.
Rationale:	N/A

## Audit

### Audit Co-Operation

**Requirement ID:** TPHRL-REQ-4222

**Priority:** Must have

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

### Audit Types

**Requirement ID:** TPHRL-REQ-4237

**Priority:** Must have

Description:	<p>The Supplier shall upon request from TfL, allow TfL and/or Third Parties authorised by TfL full access to conduct an audit. Areas to be audited may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Privacy (in accordance with BS10012, and guidance from the Information Commissioner's Office - ICO Guide to Data Protection Audits)</li> <li>• Procedures</li> <li>• Security (including but not limited to physical and cyber security)</li> <li>• Quality management systems</li> <li>• Health and safety</li> <li>• Payments / Finance (including but not limited to adherence to PCI DSS)</li> <li>• Data</li> </ul> <p>The Supplier shall carry out audits of their Service(s) in accordance with schedules as agreed with TfL.</p>
Rationale:	N/A

### Risk-based Audit Approach

**Requirement ID:** TPHRL-REQ-4224

**Priority:** Must have

Description:	<p>The Supplier shall use a risk-based approach to routinely carry out internal audits to provide assurance that effective controls are in place across all types of audit listed in requirement 'Audit Types'.</p>
Rationale:	N/A

### Access to Systems and Documents

**Requirement ID:** TPHRL-REQ-4225

**Priority:** Must have

Description:	<p>The Supplier shall provide access to the Service System or any other systems provided by the Supplier to TfL including any Service Documents, to TfL's internal and external auditors when requested by TfL and such access shall be provided at the Supplier's cost.</p>
Rationale:	N/A

### Allow Compliance Monitoring

**Requirement ID:** TPHRL-REQ-4226

**Priority:** Must have

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

**Rationale:** N/A

### Data Management Procedures

**Requirement ID:** TPHRL-REQ-4227

**Priority:** Must have

**Description:** The Supplier shall put in place Data Management Procedures to ensure that Data is periodically assessed for deletion in accordance with, including but not limited to, Data Protection Laws and TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy.

**Rationale:** N/A

### Submit Data Management Procedures

**Requirement ID:** TPHRL-REQ-4228

**Priority:** Must have

**Description:** The Supplier shall submit the Data Management Procedures to TfL for assurance prior to the Operational Commencement Date. Data Management Procedures shall be updated periodically in a frequency to be agreed with TfL.

**Rationale:** N/A

### Develop Audit Methodology

**Requirement ID:** TPHRL-REQ-4233

**Priority:** Must have

**Description:** The Supplier shall provide and comply with an audit methodology for monitoring and controlling all business processes and hand-offs to each business function and Other Suppliers, and shall submit their audit methodology to TfL.

**Rationale:** N/A

### Allow Audit Process Review

**Requirement ID:** TPHRL-REQ-4234

**Priority:** Must have

**Description:** The Supplier shall allow the process used for monitoring and controlling audit(s) to be subject to review as requested by TfL throughout the Term. The Supplier shall comply with all review advice provided by TfL throughout the Term.

**Rationale:** N/A

### Comply with Audit Schedule

**Requirement ID:** TPHRL-REQ-4235

**Priority:** Must have

Description:	The Supplier shall develop and comply with an audit schedule covering all audits, together with the scope of each audit, and shall submit such an audit schedule to TfL for assurance prior to the planned Operational Commencement Date.
Rationale:	N/A

### Provide Audit Results

**Requirement ID:** TPHRL-REQ-4238

**Priority:** Must have

Description:	The Supplier shall provide the results of all audits carried out to TfL, within a timeframe to be agreed with TfL prior to the Operational Commencement Date.
Rationale:	N/A

### Implement Audit Recommendations

**Requirement ID:** TPHRL-REQ-4239

**Priority:** Must have

Description:	The Supplier shall implement the recommendations from any audits within the timescales agreed with TfL.
Rationale:	N/A

## Business Continuity

### Network Volumes

**Requirement ID:** TPHRL-REQ-4246

**Priority:** Must have

Description:	The Supplier shall ensure that Network elements and transmission interconnections allow for two (2) times the initial volumetric requirements outlined in TPH - Appendix 08 - Information - Volumes 2016-17 to 2018-19
Rationale:	N/A

### Network and Service Resilience

**Requirement ID:** TPHRL-REQ-4242

**Priority:** Must have

Description:	<p>The Supplier shall ensure that it provides network resilience which prevents failures across all elements of the Service System, including but not limited to: networks, routers, switches, firewalls, transmission interconnections for both local area and wide area networks, telecommunications systems, servers and storage. This shall apply to both Production Environments and Disaster Recovery Environments.</p> <p>Refer to TPH - Schedule 8.8 - Business Continuity and Disaster Recovery</p>
Rationale:	N/A

### Standby Service System or Load Sharing

**Requirement ID:** TPHRL-REQ-4244

**Priority:** Must have

**Description:** The Supplier shall ensure that the Service System has the functionality to switch to a standby working Service System Element or load sharing, so that the failure of a single Service System Element within a group of similar Service System Elements does not cause degradation of Service i.e. all Service System Elements shall be provided in terms of n+1 redundancy.

Refer to TPH - Schedule 8.8 - Business Continuity and Disaster Recovery.

**Rationale:** N/A

### Standby Ancillary Network

**Requirement ID:** TPHRL-REQ-4245

**Priority:** Must have

**Description:** The Supplier shall ensure that the Network and the Service System have the functionality to automatically switch to standby ancillary Network working Service System Elements or load sharing, such that the failure of a single ancillary Network Service System Element within a group does not cause degradation of the Service.

**Rationale:** N/A

### Alternative Power Supply

**Requirement ID:** TPHRL-REQ-4243

**Priority:** Must have

**Description:** The Supplier shall ensure that the Service System has the functionality to switch to an alternative power supply until the primary power supply is restored, so that no degradation of the Service occurs in the event that the primary power supply is unavailable or degraded.

Refer to TPH - Schedule 8.8 - Business Continuity and Disaster Recovery.

**Rationale:** N/A

### Automatic Failovers

**Requirement ID:** TPHRL-REQ-4247

**Priority:** Must have

**Description:** The Supplier shall ensure that all automatic failovers are organised in such a manner as to prevent inappropriate failover between Production Environments and Disaster Recovery Environments.

**Rationale:** N/A

## Disaster Recovery Plan

**Requirement ID:** TPHRL-REQ-4577

**Priority:** Must have

Description:	<p>The Supplier shall ensure that a Disaster Recovery Plan is in place, in accordance with TPH - Schedule 8.8 - Business Continuity and Disaster Recovery, and should include but not be limited to the following:</p> <ul style="list-style-type: none"> <li>• Minimum failure scenarios (e.g. loss of data centres and hub buildings)</li> <li>• Common service restoration steps</li> <li>• Recovery Point Objective (RPO) and Recovery Time Objective (RTO)</li> <li>• RPO - 0 hrs and RTO - 8 hours</li> <li>• Resolver matrix</li> <li>• Business contacts</li> <li>• Service impact descriptions</li> <li>• Dependent and depending services</li> <li>• Links to design &amp; build documents</li> </ul>
Rationale:	N/A

## Continuous Improvement

### VfM Initiatives

**Requirement ID:** TPHRL-REQ-4270

**Priority:** Must have

Description:	<p>The Supplier shall proactively look for and implement VfM Initiatives.</p> <p>The Supplier shall engage in continuous improvement, including but not limited to:</p> <ul style="list-style-type: none"> <li>• make improvements which create efficiencies within TfL's internal operations;</li> <li>• reducing average handling time;</li> <li>• increasing efficiency;</li> <li>• standardising process and wording;</li> <li>• use of lean six sigma methods to improve performance;</li> <li>• streamlining workflows and processes;</li> <li>• minimising human error;</li> <li>• allowing for automated escalation and monitoring;</li> <li>• interfaces with TfL and Other Suppliers;</li> <li>• enhanced security features;</li> <li>• updated technologies</li> </ul> <p>When efficiencies are identified by the Supplier, they shall submit VfM Initiative Proposals to TfL in accordance with TPH - Schedule 7.2 - Value for Money.</p>
Rationale:	N/A

## Data Migration

### Data Migration Strategy

**Requirement ID:** TPHRL-REQ-4278

**Priority:** Must have

**Description:** The Supplier shall provide the proposed Data Migration Strategy to TfL to be approved prior to the Operational Commencement Date, and in accordance with TPH - Schedule 6.4 - Data Migration.

**Rationale:** N/A

### Data Migration Plan

**Requirement ID:** TPHRL-REQ-4279

**Priority:** Must have

**Description:** The Supplier shall submit to TfL for approval a date by which it shall provide the Data Migration Plans to TfL in accordance with the Milestones defined in TPH - Schedule 6.1 - Transition, and, once approved, deliver the Data Migration Plans on or before such approved date.

**Rationale:** N/A

### Migration for Business as Usual Operations

**Requirement ID:** TPHRL-REQ-4280

**Priority:** Must have

**Description:** The Supplier shall ensure that the proposed Data Migration Plan allows for continuity of business as usual licensing operations on the Operational Commencement Date including but not limited to the Service System and the MIS.

**Rationale:** N/A

### Data Migration Report

**Requirement ID:** TPHRL-REQ-4283

**Priority:** Must have

**Description:** The Supplier shall provide TfL with a Data Migration Report, in accordance with the timescales defined within TPH - Schedule 6.1 - Transition.

**Rationale:** N/A

### Provide Data Quality Report

**Requirement ID:** TPHRL-REQ-4284

**Priority:** Must have

**Description:** The Supplier shall analyse the Operational Data from the Existing Service System, identify Operational Data quality issues and provide a Data Quality Report to TfL that details the work required to be completed prior to, during and after Data Migration to the Service System.

**Rationale:** N/A

### Data Cleansing

**Requirement ID:** TPHRL-REQ-4285

**Priority:** Must have

Description:	The Supplier shall co-ordinate, execute, and complete Operational Data cleansing activities in accordance with the Data Migration Plan, prior to Data Migration to the Service System.
Rationale:	N/A

### Migrate Data

**Requirement ID:** TPHRL-REQ-4287

**Priority:** Must have

Description:	<p>The Supplier shall map and migrate all relevant Operational Data including historical data from the Existing Service System to the Service System. This shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• All entities defined in the logical data model;</li> <li>• All Reference Data;</li> <li>• All 'in flight' workflow activity, including online activity (i.e. advance and outstanding bookings);</li> <li>• Contents of the correspondence document management system;</li> <li>• Certifications and Data encryption;</li> <li>• Operational Data;</li> <li>• Data relating to scheme assets;</li> <li>• Outbound correspondence; and</li> <li>• Inbound correspondence; and</li> <li>• All Data captured as part of Applications and Post-Licensing Activities, including Data within Workflow process and the Online Portal.</li> </ul>
Rationale:	N/A

### Transfer Data Records

**Requirement ID:** TPHRL-REQ-4288

**Priority:** Must have

Description:	The Supplier shall transfer all Operational Data related to the service as defined by TfL from the Existing System Supplier to the Supplier.
Rationale:	N/A

### Assist Other Suppliers With Data Migration

**Requirement ID:** TPHRL-REQ-4289

**Priority:** Must have

Description:	The Supplier shall provide assistance to Other Suppliers when required, as and when instructed by TfL, to facilitate Data Migration used in the provision of Other Supplier's services.
Rationale:	N/A

### Assist With Scanned Document Data Migration

**Requirement ID:** TPHRL-REQ-4502

**Priority:** Must have

Description:	The Supplier shall provide assistance to facilitate the migration of historic scanned documents that are saved on the Existing System Supplier's system onto the relevant Customer Accounts and/or Licence Record(s), when instructed by TfL.
Rationale:	N/A

### Data Quality Actions

**Requirement ID:** TPHRL-REQ-4290

**Priority:** Must have

Description:	The Supplier shall develop and comply with a proposed set of actions necessary to resolve Data quality issues from the Existing Service System, to be agreed with TfL, and shall submit such proposed actions to TfL.
Rationale:	N/A

### Create Data Dictionary

**Requirement ID:** TPHRL-REQ-4291

**Priority:** Must have

Description:	<p>The Supplier shall create a Data Dictionary prior to the Operational Commencement Date that contains an entry for each Data Item, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Data structure (including but not limited to: size, data type, description, validation rules, maximum/minimum values);</li> <li>• Physical location of Data;</li> <li>• Processes that create the Data;</li> <li>• Processes that can edit/delete the Data;</li> <li>• Changes that have amended the format or content of the Data;</li> <li>• Applications that use the Data;</li> <li>• Owner of the Data; and</li> <li>• Actions which may be triggered by creation, modification, or deletion of such Data Items.</li> </ul>
Rationale:	N/A

### Maintain Data Dictionary

**Requirement ID:** TPHRL-REQ-4292

**Priority:** Must have

Description:	The Supplier shall maintain the Data Dictionary for the duration of the Agreement. This shall include but not be limited to: amending its contents where required after each change and release to the Service System.
Rationale:	N/A

### Data Dictionary

**Requirement ID:** TPHRL-REQ-4293

**Priority:** Must have

Description:	The Supplier shall supply the Data Dictionary in a human readable format to TfL on request and after each change and release to the Service System.
Rationale:	N/A

### Identify Data Mapping

**Requirement ID:** TPHRL-REQ-4294

**Priority:** Must have

Description:	The Supplier shall identify and document the mapping for each Data Item to be migrated from the Existing Service System to the Service System.
Rationale:	N/A

### Data Transformation

**Requirement ID:** TPHRL-REQ-4295

**Priority:** Must have

Description:	The Supplier shall identify, document and agree any transformation necessary to migrate a Data Item.
Rationale:	N/A

### Data Reconciliation

**Requirement ID:** TPHRL-REQ-4296

**Priority:** Must have

Description:	The Supplier shall carry out reconciliation for each Data Item being migrated between the Existing Service System and the Service System as part of the migration process to ensure Data accuracy, correctness and validity. The Supplier shall inform TfL of the reconciliation results prior to the implementation of the Service System, and in accordance with TPH - Schedule 6.4 - Data Migration.
Rationale:	N/A

### Maintain Migrated Data

**Requirement ID:** TPHRL-REQ-4297

**Priority:** Must have

Description:	The Supplier shall ensure that the Migrated Data is maintained in accordance with TPH - Appendix 02 - Policy - Data Retention Electronic Documents Policy.
Rationale:	N/A

### Audit Data Migration

**Requirement ID:** TPHRL-REQ-4298

**Priority:** Must have

Description:	The Supplier shall upon request by TfL, allow TfL full access to conduct an Audit, including but not limited to: <ul style="list-style-type: none"> <li>• Reconciliation of Existing Service System to Service System Data;</li> <li>• The method of report production and any Data Transformations; and</li> <li>• Queries and conditions used for Data extraction.</li> </ul>
Rationale:	N/A

### Data Processing Service Documentation

**Requirement ID:** TPHRL-REQ-4299

**Priority:** Must have

Description:	The Supplier shall maintain Service Documentation of all Data processing operations under the Supplier's responsibility, which shall be provided to TfL within five (5) days of a request from TfL or such other period as TfL may specify from time to time.
Rationale:	N/A

### Prove Data Integrity

**Requirement ID:** TPHRL-REQ-4300

**Priority:** Must have

Description:	The Supplier shall prove referential integrity, consistency and completeness of all migrated Data for approval by TfL.
Rationale:	N/A

## Data Security

### Data Security Measures

**Requirement ID:** TPHRL-REQ-4301

**Priority:** Must have

Description:	<p>The Supplier shall take all reasonable measures to ensure the security of Customer and the Service System Data in accordance with TPH - Schedule 2.3 - Standards, including, but not limited to:</p> <ul style="list-style-type: none"> <li>• Ensuring that all devices have up-to-date anti-virus software</li> <li>• Not leaving devices unattended while logged into the Service System</li> <li>• Ensuring that Supplier Personnel have the correct level of User Permissions in the Service System limited to only the Data required for their role.</li> <li>• Immediately disabling Authorised User accounts of Supplier Personnel that have ceased to be employed by the Supplier, or at TfL's request</li> <li>• Use of Biometrics where possible</li> <li>• Tracking all activity of Authorised User activity in the Service System</li> <li>• Disabling USB ports to prevent Data (including Customer Data) being extracted to external devices</li> <li>• Security arrangements need to be agreed with TfL and must be kept up to date.</li> </ul>
Rationale:	N/A

### Data Transfers

**Requirement ID:** TPHRL-REQ-4303

**Priority:** Must have

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

## Documentation

### Documentation

**Requirement ID:** TPHRL-REQ-4304

**Priority:** Must have

Description:	<p>The Supplier shall provide and keep updated operational processes, procedures, technical and training Service Documentation for all tasks to be undertaken by the Supplier or its Sub-contractors or agents from the Operational Commencement Date.</p> <p>All documentation shall be made accessible to TfL at all times, and updated as a minimum every 12 months, or upon any significant operational or technical change.</p> <p>Documentation shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• High level and detailed Service System design</li> <li>• Network architecture</li> <li>• Solution Interfaces</li> <li>• Data Dictionary and database schema</li> <li>• Service System support documentation</li> <li>• Service support and management</li> <li>• Software configuration details</li> <li>• Training and support user guides/manuals</li> <li>• Business processes and procedures</li> <li>• Security plan and design</li> </ul>
Rationale:	N/A

## Incident Management

### Provide Individuals for Incident Resolution

**Requirement ID:** TPHRL-REQ-4324

**Priority:** Must have

Description:	<p>The Supplier shall provide a named individual as a contact point for tracking incident resolution in accordance line with TPH - Schedule 2.2B - Service Management and TPH - Schedule 9.2 - Key Personnel. The individual shall be available both within and outside of TfL Operational Hours (8am - 6pm), upon agreement with TfL.</p>
Rationale:	N/A

### Investigate Errors

**Requirement ID:** TPHRL-REQ-4361

**Priority:** Must have

Description:	<p>The Supplier shall investigate all errors that occur with the Service System, coordinating with TfL and Other Suppliers as necessary, and resolve them in accordance with the timescales defined in TPH - Schedule 2.2B - Service Management.</p>
Rationale:	N/A

### Incident Management

**Requirement ID:** TPHRL-REQ-4326

**Priority:** Must have

**Description:** The Supplier shall immediately notify TfL of any actual or threatened breach in connection with the security of the Service System and the Services. The Supplier shall comply with any Information Commissioner's Office (ICO) investigations, and report related activity and outcomes to TfL without delay.

**Rationale:** N/A

### Maintenance Support

#### Maintenance Support

**Requirement ID:** TPHRL-REQ-4328

**Priority:** Must have

**Description:** The Supplier shall ensure that no Service System downtime occurs when system maintenance is undertaken, unless previously agreed and scheduled with TfL and the Lot 2 Supplier.

**Rationale:** N/A

#### Preventative Maintenance

**Requirement ID:** TPHRL-REQ-4329

**Priority:** Must have

**Description:** The Supplier shall ensure that regular preventative maintenance is carried out across the Service System.

**Rationale:** N/A

#### Preventative Maintenance Plan

**Requirement ID:** TPHRL-REQ-4330

**Priority:** Must have

**Description:** The Supplier shall maintain a plan of regular preventative maintenance activities for at least a six (6) month future period, and shall submit the plan to TfL, Lot 2 Supplier, Print Supplier, and Scan Supplier for assurance.

**Rationale:** N/A

#### Schedule Preventative Maintenance

**Requirement ID:** TPHRL-REQ-4333

**Priority:** Must have

**Description:** The Supplier shall schedule preventative maintenance to address Incidents as part of the regular maintenance plan.

**Rationale:** N/A

### Extraordinary Maintenance Activities

**Requirement ID:** TPHRL-REQ-4331

**Priority:** Must have

Description:	The Supplier shall agree with TfL, Lot 2 Supplier, Print Supplier, and Scan Supplier, any extraordinary maintenance activities that are additional to the assured plan of regular preventative maintenance with TfL at least two (2) days prior to carrying out the maintenance activities, subject to the impact of the activity and agreement with TfL.
Rationale:	N/A

### Maintain at Production Release

**Requirement ID:** TPHRL-REQ-4332

**Priority:** Must have

Description:	The Supplier shall ensure that all Hardware, Software, firmware and equipment used as part of the Service System is maintained at a supported production release at no additional cost to TfL.
Rationale:	N/A

## Organisation and Personnel

### Attend TfL Meetings

**Requirement ID:** TPHRL-REQ-4335

**Priority:** Must have

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

### Invite Sub-contractors to TfL Meetings

**Requirement ID:** TPHRL-REQ-4336

**Priority:** Must have

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

### Personnel Contact Details

**Requirement ID:** TPHRL-REQ-4338

**Priority:** Must have

Description:	The Supplier shall ensure that TfL is advised of all name(s) and contact details of the appointed person(s) responsible for the operation of the Services and shall ensure that they are available for contact by TfL during TfL Operational Hours.
Rationale:	N/A

### Organisation Chart

**Requirement ID:** TPHRL-REQ-4339

**Priority:** Must have

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

### Trained Personnel

**Requirement ID:** TPHRL-REQ-4340

**Priority:** Must have

Description:	<p>The Supplier shall be responsible for providing suitably qualified and trained Supplier Personnel to deliver, maintain and support the Services. Personnel must hold all formal qualifications required in order to perform their roles.</p> <p>TfL reserves the right to request the removal of any of the Supplier's Personnel from the provision of the Services.</p> <p>The Supplier shall declare to TfL if any of their Supplier Personnel are a holder of a Driver, Vehicle or Operator Licence.</p> <p>Refer to TPH - Schedule 6.3 - Training.</p>
Rationale:	N/A

### Job Descriptions

**Requirement ID:** TPHRL-REQ-4341

**Priority:** Must have

Description:	<p>The Supplier shall provide job descriptions for those roles identified by the Supplier to be necessary for the delivery of Services to TfL for approval as part of the Design and Development Phase. As a minimum, this shall include job descriptions for those Key Personnel outlined in TPH - Schedule 9.2 - Key Personnel.</p> <p>Job descriptions must include as a minimum, details of:</p> <ul style="list-style-type: none"> <li>• Key accountabilities;</li> <li>• Key competencies;</li> <li>• Scope of each role;</li> <li>• Clear relationships with other roles (i.e. workflow/hand-off points); and</li> <li>• Minimum qualifications and experience necessary for the individual to fulfil the role.</li> </ul>
Rationale:	N/A

### Notifications of Personnel Activity

**Requirement ID:** TPHRL-REQ-4344

**Priority:** Must have

Description:	<p>The Supplier shall ensure that TfL is notified immediately of the occurrence of any of the following, regarding the Supplier's Personnel:</p> <ul style="list-style-type: none"> <li>• Suspensions,</li> <li>• Disciplinary proceedings;</li> <li>• Dismissals;</li> <li>• Any criminal activity; and</li> <li>• Being found to be under the influence of alcohol or drugs whilst on duty.</li> </ul>
Rationale:	N/A

### Background Checks

**Requirement ID:** TPHRL-REQ-4345

**Priority:** Must have

Description:	<p>The Supplier shall ensure that background checks are performed for new Supplier Personnel prior to the commencement of their employment including, but not limited to:</p> <ul style="list-style-type: none"> <li>• Reference checks;</li> <li>• Related person(s) checks;</li> <li>• Credit checks;</li> <li>• Media checks;</li> <li>• Disclosure Barring Service checks; and</li> <li>• Right to work checks.</li> </ul>
Rationale:	N/A

### Proposed Background Checks

**Requirement ID:** TPHRL-REQ-4346

**Priority:** Must have

Description:	The Supplier shall submit to TfL for approval its proposed list of background checks for new Supplier Personnel and, when approved, implement such background checks.
Rationale:	N/A

### Alert Reputational Risks

**Requirement ID:** TPHRL-REQ-4347

**Priority:** Must have

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

### Revoke Leaver Access

**Requirement ID:** TPHRL-REQ-4348

**Priority:** Must have

Description:	The Supplier shall ensure that when a member of the Supplier's Personnel is dismissed or leaves, all property belonging to the Supplier is returned; accesses are revoked, and the individual exits the premises on their last day.
Rationale:	N/A

### Personnel Records

**Requirement ID:** TPHRL-REQ-4352

**Priority:** Must have

Description:	The Supplier shall upon request from TfL shall make available any relevant records or qualification certificates of any Supplier Personnel.
Rationale:	N/A

### Investors in People

**Requirement ID:** TPHRL-REQ-4327

**Priority:** Must have

Description:	The Supplier shall ensure that their working practices conform to TfL's commitments to the Investors in People Scheme and London Living Wage.
Rationale:	N/A

### User Access Management

**Requirement ID:** TPHRL-REQ-4540

**Priority:** Must have

Description:	The Supplier shall nominate an individual who shall be responsible for configuring all User Access to the Service System for all Supplier Personnel. This individual shall be given Super User permissions to configure User Access.
Rationale:	N/A

### System Performance

#### Manage Performance

**Requirement ID:** TPHRL-REQ-4431

**Priority:** Must have

Description:	The Supplier shall use appropriate tools to manage the Service System's Performance, including, but not limited to: <ul style="list-style-type: none"> <li>• System availability;</li> <li>• Interface performance;</li> <li>• Server load; and</li> <li>• Network load.</li> </ul>
Rationale:	N/A

#### Notify Support Personnel

**Requirement ID:** TPHRL-REQ-4433

**Priority:** Must have

Description:	The Supplier shall ensure that its support personnel are notified of alarms raised on the Service System Monitoring System.
Rationale:	N/A

#### System Incidents

**Requirement ID:** TPHRL-REQ-4434

**Priority:** Must have

Description:	The Supplier shall provide mechanisms to ensure that Incidents from the Service Monitoring System are received by the Supplier's Personnel at any Premises and at any time.
Rationale:	N/A

### Monitor Interfaces

**Requirement ID:** TPHRL-REQ-4435

**Priority:** Must have

**Description:** The Supplier shall continuously and automatically monitor all Interfaces for the following including, but not limited to:

- a) availability;
- b) throughput;
- c) performance;
- d) buffer usage;
- e) queue lengths;
- f) Hardware status;
- g) Service System Incidents and warnings; and
- h) any other diagnostic Data provided by the Supplier's implementation of the Interfaces.

**Rationale:** N/A

### Categories System Incidents

**Requirement ID:** TPHRL-REQ-4436

**Priority:** Must have

**Description:** The Supplier shall categorise System Incidents into the following categories including but not limited to:

- a) required for information;
- b) a warning;
- c) a failure; and
- d) an exception.

The Supplier shall escalate System Incidents to TfL in accordance with TPH - Schedule 2.2B - Service Management.

**Rationale:** N/A

### Prioritise System Events

**Requirement ID:** TPHRL-REQ-4437

**Priority:** Must have

**Description:** The Supplier shall ensure that the Service Monitoring System has the capability to prioritise Service System Incidents.

**Rationale:** N/A

## Training

### Provide Learning Management System

**Requirement ID:** TPHRL-REQ-4810

**Priority:** Must have

<b>Description:</b>	<p>The Supplier shall provide Authorised Users with access to a Learning Management System for the purposes of training on Service System functionality.</p> <p>The Learning Management System should be accessible by Authorised Users from TfL, the Lot 2 Supplier, Print Supplier and Scan Supplier throughout the life of the Agreement.</p> <p>Refer to Schedule 6.3 - Training, for more details.</p>
<b>Rationale:</b>	

### Training Content

**Requirement ID:** TPHRL-REQ-4440

**Priority:** Must have

<b>Description:</b>	<p>The Supplier shall ensure the content of Supplier Personnel training includes, but is not limited to, coverage of the following areas, where applicable:</p> <ul style="list-style-type: none"> <li>• Data Protection Laws;</li> <li>• FOI Legislation;</li> <li>• Health and Safety Legislation;</li> <li>• Security requirements;</li> <li>• Obligations, codes and procedures for its Supplier Personnel;</li> <li>• Environmental Information Regulations;</li> <li>• Computer Misuse Act 1990;</li> <li>• Security processes and procedure;</li> <li>• PCI DSS;</li> <li>• Fraud;</li> <li>• Continuous improvement;</li> <li>• Premises rules and regulations;</li> <li>• Methods to ensure Supplier Personnel have a clear understanding of their duties and hours;</li> <li>• Methods to ensure Supplier Personnel are competent to use all necessary equipment, Service System, and Other Systems in a safe and efficient manner; and</li> <li>• Equality and Inclusion Policies;</li> <li>• Any other requirements set out in TPH - Schedule 6.3 - Training and TPH - Schedule 2.3 - Standards.</li> </ul>
<b>Rationale:</b>	N/A

### Supply Training Materials

**Requirement ID:** TPHRL-REQ-4441

**Priority:** Must have

**Description:** The Supplier shall supply a copy of training materials to TfL upon request.

**Rationale:** N/A

### Maintain Training Matrix

**Requirement ID:** TPHRL-REQ-4442

**Priority:** Must have

**Description:** The Supplier shall supply and maintain a current matrix of training, certification, competencies and communication for all Supplier Personnel. This shall be provided to TfL annually and by request.

**Rationale:** N/A

## Reporting

### Set Up Standard Reports and Dashboards

**Requirement ID:** TPHRL-REQ-4392

**Priority:** Must have

**Description:** The Supplier shall set up standard Reports and Dashboards as agreed with TfL and Other Suppliers through the Design and Development Phase and post go-live. All Reports and Dashboards should be available prior to the Operational Commencement Date.

Report contents required by TfL shall include, but are not limited to:

- Service Levels (in accordance with Appendix 1, Schedule 2.2A - Performance Levels)
- Key Performance Indicators (in accordance with Appendix 08, Schedule 2.2A - Performance Levels)
- Financial Reports (in accordance with Schedule 7.3 - Financial Reports and Audit Rights)

**Rationale:** N/A

### Provide Financial Data

**Requirement ID:** TPHRL-REQ-4568

**Priority:** Must have

Description:	<p>The Supplier shall ensure that all Financial Data provided to TfL:</p> <ul style="list-style-type: none"> <li>• adopts the accounting codes with TfL's nominal ledger to allow for easier reconciliation;</li> <li>• identifies and corrects anomalies in the TfL bank account(s);</li> <li>• provides a breakdown of Revenue which should separate Merchant Acquirer costs by income stream (e.g. by Suppliers, Licence Types, Payment Methods etc).</li> </ul> <p>All financial reports shall be produced in accordance with TPH - Schedule 7.3 - Financial Reports and Audit Rights.</p>
Rationale:	N/A

### Update MIS

**Requirement ID:** TPHRL-REQ-4393

**Priority:** Must have

Description:	<p>The Supplier shall update the MIS in the event that Data fields are added, updated or removed from the Service System, in order to be able to report on all Data within the Service System. The Supplier shall perform the updates at no additional cost to TfL.</p>
Rationale:	N/A

### Provide Escalation Point

**Requirement ID:** TPHRL-REQ-4394

**Priority:** Must have

Description:	<p>The Supplier shall provide an escalation point to resolve issues with MIS Reports.</p>
Rationale:	N/A

### Export Data to MIS

**Requirement ID:** TPHRL-REQ-4395

**Priority:** Must have

Description:	<p>The Supplier shall ensure that all additional data from any System other than the Service System (e.g. Lot 2 Supplier IVR System, Print System, Scan System) is exported to the MIS in sufficient time for the MIS to be fully updated by 06:00 each calendar day.</p>
Rationale:	N/A

### Provide Agreed Reports

**Requirement ID:** TPHRL-REQ-4521

**Priority:** Must have

Description:	The Supplier shall provide agreed Reports at the frequency/format specified by TfL.
Rationale:	N/A

### Provide KPI Functional Specifications

**Requirement ID:** TPHRL-REQ-4537

**Priority:** Must have

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

### Provide Financial Report Functional Specifications

**Requirement ID:** TPHRL-REQ-4538

**Priority:** Must have

Description:	The Supplier shall provide functional specification Service Documentation for all Financial Reports provided to TfL and/or Other Supplier, upon request from TfL and at no additional cost. All Financial Reports shall be produced in accordance with TPH - Schedule 7.3 - Financial Reports and Audit Rights.
Rationale:	N/A

### Provide Complete and Accurate Reports

**Requirement ID:** TPHRL-REQ-4594

**Priority:** Must have

Description:	The Supplier shall ensure that all Reports provided to TfL are a complete and accurate reflection of the Supplier activity in the Service System. The Supplier shall be responsible for cleansing the Data held within the Service System where any issues are found.
Rationale:	N/A



## **Appendix 09 – Warnings, Non-Standard Licences and Conditions**

## Table of Contents

<u>1</u>	<u><a href="#">Purpose of the Document</a></u> .....	385
<u>2</u>	<u><a href="#">Types of licence – drivers and operators</a></u> .....	385
<u>3</u>	<u><a href="#">Standard licence with warning</a></u> .....	386
<u>4</u>	<u><a href="#">Non–standard licences</a></u> .....	387
<u>5</u>	<u><a href="#">Licence with conditions</a></u> .....	390
<u>6</u>	<u><a href="#">Table of Driver licence conditions</a></u> .....	392
<u>7</u>	<u><a href="#">Licence with exemptions</a></u> .....	396
<u>8</u>	<u><a href="#">Table of Driver licence exemptions</a></u> .....	398
<u>9</u>	<u><a href="#">Table of Operator licence conditions</a></u> .....	398

## **1 Purpose of the Document**

- 1.1 When an applicant for a London Private Hire or Taxi driver licence meets all the required criteria for licensing and a licence can be granted, a licence is usually issued for 3 years. Similarly, when an application for a London Private Hire Vehicle Operator's licence meets all the relevant criteria for licensing, a licence can be granted for 5 years.
- 1.2 There can be exceptions to this with a licence being issued for shorter terms (non-standard licence), with conditions attached, or with a warning or both conditions and a warning. The purpose of this documentation is to provide guidance on when it is applicable to issue a warning letter with a standard licence, or a non-standard licence, or a standard licence with conditions
- 1.3 The examples provided are not exhaustive and can be liable to further revisions or scenarios being added.
- 1.4 In all scenarios the applicant must be made fully aware of the reasons why a standard, 3 or 5 year licence has not been issued and that they are provided with clear guidance on how they can then be issued with a licence for the full term. This would include clear instructions as to how they can address any particular condition of their licence.
- 1.5 It should also be noted that each section should not be read in isolation. For example, it is possible that a warning letter can be issued with a non-standard licence or a licence that has been issued with conditions. Similarly, it is possible to issue a non-standard licence with conditions.
- 1.6 A licence can also be issued where an exemption from certain regulatory requirements has been applied for and then granted. This does only apply to driver licences.

## **2 Types of licence – drivers and operators**

- 2.1 A licence can be issued for the full licence term, 3 years for drivers or 5 years for operators. This is currently referred to as a 'standard' licence.
- 2.2 A licence can also be issued for a shorter licence period, i.e. less than the 3 years for drivers or 5 years for operators. This is currently referred to as a 'non-standard' licence.
- 2.3 There are two (2) types of 'non-standard' licence:
  - 2.3.1 A non-standard licence that is issued for shorter duration due to a particular condition on the licence that restricts the expiry date that can be set for the licence, e.g. leave status restrictions such that a person's right to work and reside in the UK is only permitted to a certain date in time (see conditions ID's 5 and 5 in table of driver conditions). In these instances, a licence can only be issued to the date that the leave status expires.

2.3.2 A non-standard licence that is issued for shorter term duration that is not linked to a particular condition on the licence, but due to a licensing decision to issue a short-term licence, e.g. issues identified with the ‘character’ of the licensee that merit a shorter term licence to prove that they are ‘fit and proper’ to be licensed.

2.4 A standard or non-standard licence can be issued with or without either of the following:

2.4.1 A warning

2.4.2 Condition(s)

2.4.3 Exemption(s)

2.5 The Service System will need to be able to recognise the different types of licence that can be issued (standard or non-standard), as well as any that are issued with warnings. Conditions and/or exemptions.

2.6 The Service System will need to be able to ensure that any actions required to be taken with respect to a licence being issued (standard or non-standard) with warnings, conditions and/or exemptions, can be carried out and recorded against the relevant Licence Record.

### **3 Standard licence with warning**

1.7 A standard licence is a licence that is issued for the full 3 years for drivers or 5 years for operators.

1.8 A standard licence can be issued with or without either of the following:

1.8.1 A warning

1.8.2 Condition(s)

1.8.3 Exemption(s)

1.9 A standard licence can be issued subject to a warning being issued in respect to the applicant’s future conduct.

1.10 This is typically done when an applicant has a criminal history, but has been deemed to meet the ‘fit and proper’ person criteria for licensing.

1.11 A warning is issued to confirm that their previous history has been taken into consideration when assessing their suitability to hold a licence and they should be made aware that any further incidents will lead to the re-consideration of their suitability to retain a licence.

1.12 Example wording is as follows:

**4** *After careful consideration, TfL has decided to grant you a London taxi/private hire driver licence. However, you should be made aware that convictions/cautions/incidents of this nature are not deemed as acceptable conduct for a licensed driver. Therefore, please be advised that you are hereby **warned** that should you come to adverse attention in the future for any reason, this would again call your fitness to hold a private hire driver’s licence into question. Furthermore, any subsequent review of your fitness would include reference to this consideration.*

1.13 The warning should be incorporated into the content of the letter confirming that the licence has been issued. The warning is not noted on the licence itself.

1.14 The following are examples of when it is appropriate to issue a licence with a warning. Please note that this is not an exhaustive list of scenarios:

- An applicant has only just met the applied minimum time periods free from conviction for their known criminal history.
- An applicant almost meets the applied minimum time periods free from conviction for their known criminal history and the nature of the offence(s) identified are not deemed serious enough to warrant refusing the application. “Almost meets” would be within 3 months of time of the final consideration of the application.
- A warning can also be issued to a licensed driver who has incurred a conviction during the currency of their licence, but the nature of the offence(s) is not deemed as serious enough to warrant formal suspension or revocation action being taken in respect to the licence.

1.15 For a standard licence, issued with or without a warning, the time period for a renewal reminder pack being sent is calculated from the licence expiry date.

1.16 A standard licence can be issued with a warning but, can also be issued with conditions and/or exemptions. The Service System would therefore need to enable this to occur and record any such items against the relevant Licence Record.

## **5 Non-standard licences**

1.17 A non-standard licence is a licence that is not issued for the full 3 years for drivers or 5 years for operators.

1.18 A non-standard licence can be issued with or without either of the following:

- 1.18.1 A warning
- 1.18.2 Condition(s)
- 1.18.3 Exemption(s)

1.19 There are ultimately two (2) types of non-standard licence:

- 1.19.1 A non-standard licence that is issued for shorter duration due to a particular condition on the licence that restricts the expiry date that can be set for the licence, e.g. leave status restrictions such that a person's right to work and reside in the UK is only permitted to a certain date in time (see condition ID's 5 and 6 in table of driver conditions). In these instances, a licence can only be issued to the date that the leave status in the UK expires.
- 1.19.2 A non-standard licence that is issued for shorter term duration that is not linked to a particular condition on the licence, but due to a licensing decision to issue a short-term licence, e.g. issues identified with the 'character' of the licensee that merit a shorter term licence to provide that they are 'fit and proper' to be licensed.
- 1.20 A non-standard licence typically issued under 3.2.1 is when an applicant has a Residence Permit to confirm the date that their leave to remain has been granted until. The date of expiry of their leave status is less than the full licence term. In these cases, a licence is issued to the date that the leave to remain in the UK expires. However, non-standard licences are not limited to these circumstances.
- 1.21 The letter confirming that the licence has been issued should include reference to the fact that the licence has not been issued for the full 3 years. Example wording used:
- The Home Office document you submitted in support of your application confirms your right to reside and work in the UK is time-limited and as such, does not cover the full 3 year term of a London private hire driver licence. Your licence has therefore been issued up to the expiry of your current leave to remain in the UK.*
- 1.22 In order for a non-standard issued under 3.2.1 to be extended up to the maximum licence term from when the licence was first issued, the applicant will be required to produce further evidence to prove that they have been granted either indefinite leave to remain in the UK or further continued leave to reside and work in the UK. In these cases, i.e. where a non-standard licence has been issued on the basis of a condition for restricted leave to remain in the UK, it is necessary for the Service System to issue a reminder to the licensee prior to the expiry of the licence and **not** a renewal application pack. This is to offer them the opportunity to provide the necessary documentation to prove that the non standard licence should be extended to the full licence term.
- 1.23 The Service System will need to be able to allow an Authorised User to 'extend' a non standard licence issued under 3.2.1 up to the full licence term. Any extension up to the full licence term could be done via a number of extensions being made to the licence. For example:
- 1.23.1 A driver may only be granted limited to leave to remain in the UK until 31/03/2020. A licence is issued on 01/01/2020, but can only be issued up until that date via a non-standard licence. This means the Licence Start Date would be set as 01/01/2020 and the Licence Expiry Date would need to be set as 31/03/2020.

- 1.23.2 After receiving a reminder about the expiry of their non-standard licence, the driver has the opportunity to ‘extend’ their licence. They provide evidence of their leave to remain in the UK being valid until 31/12/2020. A further non-standard licence would need to be issued with the Licence Expiry Date needing to be set as 31/03/2020.
- 1.23.3 At that time, after receiving a reminder about the expiry of their non-standard licence, the driver has the opportunity to ‘extend’ their licence. They then provide further evidence of their leave to remain in the UK being issued. There are no restrictions on their leave status. A further non-standard licence would then need to be issued up until the maximum licence term, i.e. 3 years from the initial start date of their licence on 01/01/2020. The Licence Expiry Date would be set as 31/12/2023.
- 1.23.4 At that time, the driver would need to receive a renewal application pack at the appropriate time in advance of the expiry of their licence to allow them to renew their licence (currently set at 128 days before licence expiry), should they wish to do so.
- 1.24 Should a licensee choose not to extend a non-standard licence, they will, upon request, be entitled to a refund of a proportion of the grant of licence fee that they paid. This is calculated based on the time period remaining on their licence. There is a different calculation to be used dependent on the type of licence that was applied for.
- 1.25 Where a non-standard licence has been issued under 3.2.1 and on the basis of a condition for restricted leave to remain in the UK, the Service System would need to recognise when a non-standard licence has been issued up to the full term of the licence (3 years for drivers; 5 years for operators). The Service System would then need to issue the relevant renewal application pack at the relevant point in time in advance of the expiry of the licence (currently set at 128 days before licence expiry).
- 1.26 The other type of non standard licence, issued under 3.2.2, is where an applicant has a known history of some kind (criminal or licensing/regulatory), has been deemed to meet the ‘fit and proper’ person criteria to be granted a licence, but a shorter-term licence is issued in order for confirmation of their suitability to be licensed to be monitored and then retained.
- 1.27 Where a non-standard licence is issued under 3.2.1, during their licence term, the licensee must not come to any other adverse attention for any reason, otherwise their suitability to remain licensed will be reconsidered.
- 1.28 The letter confirming that the licence has been issued should include reference to the fact that the licence has not been issued for the full licence term along with the reason for the shortened period. The licence itself will need to clearly state the licence period, i.e. Licence Start and Licence Expiry dates will reflect the licence period.
- 1.29 For the type of non-standard licence issued under 3.2.2, they may be issued with other conditions on the licence that are **not** linked to restricted leave to remain in the UK.

- 1.30 For a non-standard licence issued under 3.2.2, rather than the Service System generating a reminder to be issued to then extend the licence, the Service System should generate the relevant renewal application pack at the relevant point in time in advance of the expiry of the licence (current set at 128 days before licence expiry). The time period for this pack being sent remains the same as a standard licence having been issued as it is calculated from the licence expiry date.
- 1.31 The Service System will need to be able to recognise the difference between the different types of non-standard licence that are issued. The Service System will need to ensure that any relevant actions are taken and linked to the relevant Licence Record, i.e. any reminders needing to be issued and/or Workflow needing to be initiated.
- 1.32 A non-standard licence can also be issued subject to a warning being issued in respect to the applicant's future conduct, any other conditions that are applicable to the licence and/or exemptions that were applied for by the licensee. The Service System would need to enable this to occur and record any such items against the relevant Licence Record.

## **6 Licence with conditions**

### **Drivers**

- 1.33 A licence can be issued for three (3) years for driver, five (5) years for operators , or as a non-standard licence, subject to a particular condition or conditions being placed on it, depending on the applicant's situation.
- 1.34 The main scenarios where a condition can be added to a licence are:

#### **Drivers:**

- Restricted Home Office leave status
- Continued Home Office leave status – Ongoing applications with Home Office
- Ongoing Home Office leave status – Spousal conditions
- Limited time-period EU/EEA state driving licenses
  - EU/EEA or DVLA licence expiring during licence term
  - Known medical conditions, such as insulin treated diabetes
  - Vehicle restrictions (e.g. automatic transmission only)
- Vehicle modifications

#### **Operators:**

- Restriction on an operating centre not being permitted to have public access
- Restrictions on the planning permission granted for one or more operating centres
- Restricted Home Office leave status of someone associated with the licence
- Based on the operator's operating model and/or private hire services being offered

---

A full list of the current driver and operator licence conditions and scenarios where they are applied to a licence can be found below.

- 1.35 The reason for the condition being issued must be explained to the applicant and be incorporated into the content of the letter confirming that the licence has been issued. This is currently done via a table within the licence issue pack detailing the list of conditions.
- 1.36 Each condition added to a licence should include a due (or expiry) date within the Service System so that it can be clear to the licensee, an Authorised User and the Service System, as to when the condition is needing to be complied with. This condition due (or expiry) date could then be used as a trigger for notifications to be issued for action(s) to be taken by the licensee at a certain point in time in the future.
- 1.37 Each condition added to a licence should also include a status option within the Service System so that it can be clear to an Authorised User, and the Service System, as to whether a condition remains valid or is no longer required to be met by the licensee.
- 1.38 The options for the status of a condition will need to be agreed with TfL, but examples include and are not limited to “Active” or “Expired”.
- 1.39 For licences issued with a condition or conditions that require a reminder notification to be sent to the licensee for further action to be taken, e.g. known medical conditions, the Service System would need to be able to issue a request for the required information to be provided within a reasonable time before the information is required to be submitted (e.g. 28 days before the condition is due to be met). For example:
  - 1.39.1 If an applicant has diabetes, they would need to provide an update on this condition on an annual basis. The Service System would need to recognise the condition ‘due date’ and issue the reminder for this information to be provided.
- 1.40 The timeframes for generating condition reminders, where appropriate, will need to be agreed with TfL.
- 1.41 The content of any condition reminder notifications, where appropriate, will need to be agreed with TfL.
- 1.42 A condition should remain on the licence (including subsequent renewals) unless the applicant has been able provide the appropriate confirmation that the condition should be removed. In such cases, the condition will need to be removed from the licence and a new licence issued. In these instances, the reason for the condition no longer being required on the licence would need to be captured within the Service System. The condition status would also be updated accordingly.
- 1.43 The content of any condition end reasons, where appropriate, will need to be agreed with TfL.

- 1.44 The Service System will need to be able to recognise the different type of conditions that can be issued with either a standard or non-standard licence. The Service System will need to then ensure that any relevant actions are taken and linked to the relevant Licence Record, i.e. any reminders needing to be issued and/or Workflow needing to be initiated.
- 1.45 A supporting spreadsheet that lists all the current conditions and the resulting actions that the Service System will need to ensure occur, along with the time periods for any scheduled actions to occur (e.g. notifications to be issued; Workflow to be initiated), is provided for further guidance in this area (spreadsheet is called ‘Scheduler Jobs (conditions)’).

## 7 Table of Driver licence conditions

Condition ID	Condition	When required
16	Condition (01) - Please see licence issue letter for details	Due to known medical conditions, the licence is issued with a condition that the driver will be required to submit further information from their GP and/or Consultant/Specialist regarding their condition(s) at regular intervals.
8	Condition (02) - Please see licence issue letter for details	The driver has a history of diabetes which is managed using insulin and so their licence is issued with a condition that the driver will be required to submit <b>annual</b> medical reports from a hospital consultant specialising in diabetes regarding their diabetes.
17	Condition (03) - Please see licence issue letter for details	The driver has a history of diabetes (non-insulin) and so the licence is issued with a condition that they will be required to submit <b>annual</b> medical reports from a hospital consultant specialising in diabetes regarding their diabetes
12	Condition (04) - Please see licence issue letter for details	The DVLA Group 2 guidelines state that, in the presence of established coronary heart disease exercise, functional evaluation shall be required at regular intervals not to exceed three years. The licence is issued with a condition that the driver will be required to submit the results of an exercise/functional test conducted <b>to DVLA Group 2 standards</b> .  Should they become symptomatic or have any further episodes of cardiac/cerebral vascular

		events, the driver would need to contact us <b>immediately</b> .
13	Condition (05) - Please see licence issue letter for details	<p>The DVLA Group 2 guidelines state that, in the presence of established coronary heart disease exercise, functional evaluation shall be required at regular intervals not to exceed three years. The licence is issued with a condition that the driver will be required to submit the results of an exercise/functional test conducted <b>to DVLA Group 2 standards</b> upon the renewal of their licence.</p> <p>Should they become symptomatic or have any further episodes of cardiac/cerebral vascular events, the driver would need to contact us <b>immediately</b>.</p>
7	Condition (06) - Licensed to undertake Private Hire Work on a SELF-EMPLOYED basis ONLY	<p>This condition is issued applicants who have submitted an application on the basis of their nationality. These nationals can only take employment on a self-employed basis unless UKBA have confirmed otherwise.</p> <p>In line with Home Office requirements, the licence is issued with a condition that enables the driver to work on a self-employed basis only.</p>
9	Condition (07) - Restricted to drive vehicle fitted with automatic transmission only	<p>Issued where an applicant who has undergone a disabled drivers' assessment and it has been recommended that the applicant can only drive a vehicle fitted with automatic transmission only.</p> <p>The licence is issued with a condition that the driver is restricted to drive vehicles that are fitted with automatic transmission only for the purpose of hire and reward.</p>
10	Condition (08) - Restricted to drive vehicles fitted with automatic transmission and TfL approved adaptations only	<p>Issued where an applicant who has undergone a disabled drivers' assessment and it has been recommended that the applicant can only drive a vehicle fitted with automatic transmission only and adaptations have been recommended to the vehicle in order to ensure safe driving.</p> <p>The licence is issued with a condition that the driver is restricted to drive vehicles that are fitted with automatic transmission and TfL approved disability adaptation equipment only for the purpose of hire and reward.</p>

11	Condition (09) - Restricted to drive vehicles fitted with TfL approved adaptations only	<p>Issued where an applicant has undergone a disabled drivers' assessment and adaptations have been recommended to the vehicle in order to ensure safe driving.</p> <p>The licence has been issued with a condition that the driver is restricted to drive vehicles that are fitted with TfL approved disability adaptation equipment only for the purpose of hire and reward.</p>
3	Condition (10) - Restricted to work in term-time (10 hours per week) only and Self-employment prohibited	<p>This condition is applicable where an applicant's basis of leave in the UK is as a student and their working hours are restricted.</p> <p>In line with Home Office requirements, the licence is issued with a condition that restricts that the driver may only work in term-time 10 hours per week <b>and</b> that self employment is prohibited.</p>
4	Condition (11) - Restricted to work in term-time (20 hours per week) only and Self-employment prohibited	<p>This condition is applicable for the same reasons as above for condition 10 and following change in the UKBA policy, this condition will also prohibit students from engaging in self-employment and their hours of work will depend on level of course being studied by the individual applicant</p> <p>In line with Home Office requirements, the licence is issued with a condition that restricts that the driver may only work in term-time 20 hours per week <b>and</b> that self employment is prohibited.</p>
18	Condition (12) - Self-employment prohibited	<p>The licence is issued with a condition that the driver is subject to them not working on a self-employed basis.</p>
5	Condition (13) - Subject to continued leave to work and reside in the United Kingdom	<p>This is issued to applicants who have a case pending at the UKBA but can take employment until this has been determined. Licences are also, in some cases, restricted.</p> <p>The licence is issued with a condition that the driver is subject to their continued leave to work and reside in the UK.</p>
15	Condition (14) - Subject to maintaining a current DVLA driving licence	<p>This condition is issued to applicants who hold a DVLA driving licence, but this licence expires during the period that a PHV or Taxi driver licence will be held for.</p> <p>Although the driver's PHV or Taxi driver</p>

		licence is issued for the full licence term, it is issued with the condition that it is subject to their DVLA driving licence being renewed when it expires. The PHV or Taxi driver licence is only valid in <b>conjunction with</b> a valid DVLA driving licence.
2	Condition (15) - Subject to maintaining a current EEA state driving licence	<p>This condition is issued to applicants who have an EEA licence, they have registered this license with the DVLA and is only valid for a period of time after which this licence has to be exchanged for a full UK (DVLA) driving licence.</p> <p>Although the driver's PHV or Taxi driver licence is issued for the full licence term, it is issued with the condition that it is subject to their EEA state driving licence being renewed when it expires, or being exchanged for a UK (DVLA) licence by a given date. The PHV or Taxi driver licence is only valid in <b>conjunction with</b> a valid DVLA or EEA driving licence.</p>
6	Condition (16) - Subject to ongoing leave to work and reside in the United Kingdom	<p>This is used when an applicant's leave status in the UK is based on someone else's status, for example a spouse/partner.</p> <p>The licence is issued with a condition that it is subject to the driver's ongoing leave to work and reside in the UK being confirmed.</p>
14	Condition (17) - Subject to satisfactory medical information to be submitted	As a result of known medical conditions, the licence is issued with a condition that the driver will be required to submit further information from their GP and/or Consultant/Specialist regarding their condition(s).
21	Condition (18) - Evidence of passing the taxi driving assessment	The licence is issued with a condition that the driver will need to undergo a taxi driving assessment and provide evidence of the assessment having been undertaken to TfL.
1	Subject to annual medical from 65th Birthday	Issued to drivers who are 65+ during the currency of their licence as they are required to submit confirmation of their medical fitness on a yearly basis.

Condition ID	Transitional Arrangement	When required
--------------	--------------------------	---------------

20	Relevant Transitional Arrangement (1) - Evidence of meeting the English language requirement	<p>The driver must prove to Transport for London (TfL) that they can speak, listen, read and write in English. They can do this by providing:</p> <ul style="list-style-type: none"> <li>• A certificate showing that they have passed a secure English language test with one of our approved test providers; or</li> <li>• evidence of a qualification (whether or not obtained in the United Kingdom) which satisfies us that they comply with the requirement without having to pass the test</li> </ul> <p>The required level of English is B1 on the Common European Framework of Reference for Languages (CEFR). This is the equivalent of the standard reached in the early years of secondary school.</p> <p>They until a defined date (currently <b>30 September 2020</b>) to prove that they comply with the English language requirement.</p>
----	--	---

## 8 Licence with exemptions

### Driver

1.46 As with a condition, a licence can be issued for a period of up to 3 years. The licence can be issued with a particular exemption(s) having been granted, depending on the applicant's situation.

1.47 The main scenarios where an exemption is granted and added to a licence are:

- Badge exemption

This is where the driver has applied to be exempt from wearing his London private hire driver ID badge while undertaking private hire bookings. An exemption could be granted for a variety of reasons, but is mainly due to the safety and security of the driver and/or passengers, or both, being compromised by the wearing of a ID badge. This type of exemption can only be applied for by private hire drivers and not Taxi drivers.

- Dog exemption

---

This is where the driver has applied to be exempt from carrying guide and/or assistance dogs in their vehicle. An exemption could be granted due to specified medical conditions/allergies the driver is able to provide evidence of having. Evidence of any such medical conditions/allergies must be provided by a Specialist.

- Wheelchair exemption

This is where the driver has applied to be exempt from assisting wheelchair users accessing their vehicle. An exemption could be granted due to specified medical conditions the driver is able to provide evidence of having. Evidence of any such medical conditions/allergies must be provided by a medical professional.

- 1.48 An exemption would be stated on the licence and would only remain valid until the expiry date of that licence.
- 1.49 An exemption would need to be applied for with any subsequent application for a licence (renewal or a further new application).
- 1.50 Each exemption added to a licence should include a due (or expiry) date within the Service System so that it can be clear to the licensee, an Authorised User and the Service System, as to when the exemption will no longer be valid. This exemption due (or expiry) date could then be used as a trigger for notifications to be issued for action(s) to be taken by the licensee at a certain point in time in the future.
- 1.51 Each exemption added to a licence should also include a status option within the Service System so that it can be clear to an Authorised User, and the Service System, as to whether an exemption remains valid or is no longer required to be met by the licensee.
- 1.52 The options for the status of an exemption will need to be agreed with TfL, but examples include and are not limited to “Active” or “Expired”.
- 1.53 An exemption condition should remain on the licence (including subsequent renewals) unless the applicant, or TfL, indicates that the exemption is no longer required or applicable to the licence. In such cases, the exemption will need to be removed from the licence and a new licence issued. In these instances, the reason for the exemption no longer being required on, or applicable to, the licence would need to be captured within the Service System. The exemption status would also be updated accordingly.
- 1.54 The content of any exemption end reasons will need to be agreed with TfL.

## 9 Table of Driver licence exemptions

Exemption	When Required
Exempt from wearing driver ID badge for specific bookings meeting defined criteria - s14(4)	<p>Issued to applicants who have requested an exemption from wearing a private hire driver badge and this has been granted by TfL after due consideration.</p> <p><b>This exemption applies to private hire drivers only.</b></p>
Exempt from carrying guide, hearing and other assistance dogs	Issued to applicants who have requested an exemption from carrying guide, hearing and other assistance dogs on medical grounds and this has been granted by TfL after due consideration.
Exempt from assisting wheelchair users	Issued to applicants who have requested an exemption from assisting wheelchair passengers on medical grounds and this has been granted by TfL after due consideration

## 10 Table of Operator licence conditions

Condition ID	Condition	When required
10	Ensure that private hire vehicles carrying out bookings it accepts at separate fares have appropriate insurance for such use	The licence is issued with this condition because the operator has indicated that they intend to offer ride-sharing services to customers. The operator must therefore comply with the condition to ensure that appropriate insurance is held for any such services and provide evidence of how they are complying/have complied with this.
11	Ensure that regular risk assessments are carried out for services in which passengers travel at separate fares	The licence is issued with this condition because the operator has indicated that they intend to offer ride-sharing services to customers. The operator must therefore comply with the condition to ensure that risk assessments are conducted of any proposed pick-up/drop-off locations and provide evidence of how they are complying/have complied with this.
7	No more than two private hire vehicles will be available for carrying out bookings	The licence is issued with this condition because the operator has indicated that they intend to operate as a 'small' operator licence and so cannot have any more than 2 private hire vehicles available to them. The operator must therefore comply with the

		condition and ensure that their upload data doesn't exceed the maximum number of vehicles permitted.
9	Provide training to all drivers to ensure that any advanced bookings of private hire vehicles at separate fares are carried out safely	The licence is issued with this condition because the operator has indicated that they intend to offer ride-sharing services to customers. The operator must therefore comply with the condition to ensure that appropriate training is provided to drivers who undertake such services and provide evidence of how they are complying/have complied with this.
2	Restricted to work in term-time (10 hours per week) only and Self-employment prohibited	<p>This condition is applicable where an applicant's basis of leave in the UK is as a student and their working hours are restricted.</p> <p>In line with Home Office requirements, the licence is issued with a condition that restricts that the operator may only work in term-time 10 hours per week <b>and</b> that self employment is prohibited.</p>
1	Restricted to work in term-time (20 hours per week) only and Self-employment prohibited	<p>This condition is applicable for the same reasons as above for condition and following change in the UKBA policy, this condition will also prohibit students from engaging in self-employment and their hours of work will depended on level of course being studied by the individual applicant</p> <p>In line with Home Office requirements, the licence is issued with a condition that restricts that the operator may only work in term-time 20 hours per week <b>and</b> that self employment is prohibited.</p>
13	Shall provide appropriate training to drivers of higher performance vehicles that are used to fulfil any private hire bookings	The licence is issued with this condition because the operator has indicated that they intend to offer private hire services to customers using a higher performance vehicle. The operator must therefore comply with the condition to ensure that appropriate training is provided to drivers of any such vehicle(s) and provide evidence of how they are complying/have complied with them.
12	Subject to conditions 1-14 which are listed in the Appendix to the licence	The licence is issued with this condition because a number of conditions have been identified as needing to be met by the operator during their licence term. The operator must therefore comply with all

		stated conditions and, where necessary, provide evidence of how they are complying/have complied with them.
3	Subject to continued leave to work and reside in the United Kingdom	<p>This is issued to applicants who have a case pending at the UKBA but can take employment until this has been determined. Licences are also, in some case, restricted.</p> <p>The licence is issued with a condition that the operator is subject to their continued leave to work and reside in the UK.</p>
6	Subject to installation of a fixed, landline telephone number for bookings	The licence is issued with this condition because the operator has indicated that they intend to have a fixed, land-line telephone for bookings installed at their operating centre(s). The operator must therefore comply with the condition that the installation has been completed.
8	Subject to No Public Access	The licence is issued with this condition because the operator has stated that they have no public access for customers to enter their operating centre(s) to make a private hire booking.
4	Subject to planning permission being approved	The licence is issued with this condition because the operator has indicated that planning permission is in the process of being approved for operating centre(s) specified on their licence.
14	Subject to the conditions listed in Appendix A of the licence issue letter	The licence is issued with this condition because a number of conditions have been identified as needing to be met by the operator during their licence term. The operator must therefore comply with all stated conditions and, where necessary, provide evidence of how they are complying/have complied with them.
5	Subject to the restrictions of the approved planning permission	The licence is issued with this condition because the planning permission that has been granted for operating centre(s) specified on their licence is subject to some restrictions in their use. The operator must therefore comply with any such restrictions imposed.



## **Appendix 12 - Refunds Policy**

### Table of Contents

<u>1</u>	<u><a href="#">General Principles - Refunds/Repayments</a></u> .....	403
<u>2</u>	<u><a href="#">Transaction Reversals and Recredits</a></u> .....	404
<u>3</u>	<u><a href="#">Redress policy</a></u> .....	404

---

## 1 General Principles - Refunds/Repayments

- 1.1 To enable a Refund/Repayment, there must be a record of a valid payment made by the customer which could be an applicant, or a licenced Driver, Vehicle Owner or Operator.
- 1.2 Before a Refund/Repayment takes place, the Licence purchased relating to that Return/Repayment is withdrawn and then the Refund/Repayment is authorised. Transport for London (TfL) will request return of all the licence counterparts.
- 1.3 All refunds are authorised by TfL. The Lot 2 Supplier will issue a refund once authorised by TfL. However, in certain circumstances, the Lot 2 provider may authorise a refund relating to vehicle inspection bookings. (See Business Rules - Supplier Contact Centre for further information).
- 1.4 When issuing a Return, Lot 2 Supplier must ensure that these are labelled with the correct transaction (e.g. Repayment, Refund, Redress etc.)
- 1.5 Where a Refund/Repayment request is made by the executor of the estate of a Customer who is now deceased, and the Refund/Repayment is required to be made payable to other than the deceased (or their estate) then the applicant should also supply a copy of the death certificate.
- 1.6 Refunds/Repayments will be made by the means by which the Payment was paid. For example, if the Payment was paid by bank card the Refund/Repayment will be made to the same bank card. The only exceptions are as follows:
  - a. In the case of Refunds/Repayments applied for by executors of the estates of the deceased in which case all Refunds/Repayments will be made by cheque.
  - b. In the case of multiple payment Refund/Repayments where the original Payments were paid by more than one payment method (bank card/ /cheque etc), the Refund/Repayment will be made by cheque.
  - c. If the refund back to card has failed a refund will be made via cheque.
- 1.7 TfL will calculate the refund amount in accordance with various regulations as set out in <https://tfl.gov.uk/corporate/publications-and-reports/taxi-and-private-hire?intcmp=3162> . The regulations around refunds and calculations vary between drivers, operators and vehicles, with different authorisation approval levels applicable to each.
- 1.8 When authorised, the Lot 2 Supplier will repay to Customers any money which the Customer has paid in good faith because of:
  - a. Any error made by TfL or its Suppliers; including the Lot 1 and Lot 2 Suppliers or their Sub-Contractors.
  - b. The failure or perceived failure of systems provided as part of the Services.
- 1.9 Where a Customer has suffered financial loss because of the erroneous actions of TfL, either Lot provider or their Sub-Contractors a repayment will be made to compensate that loss. This does not include the payment of ex-gratia expenses – see section 3: Redress Policy. For example, a complaint made to the Ombudsman by a

---

Customer, where the Ombudsman finds against TfL, its Suppliers or their Sub-Contractors.

## 2 Transaction Reversals and Recredits

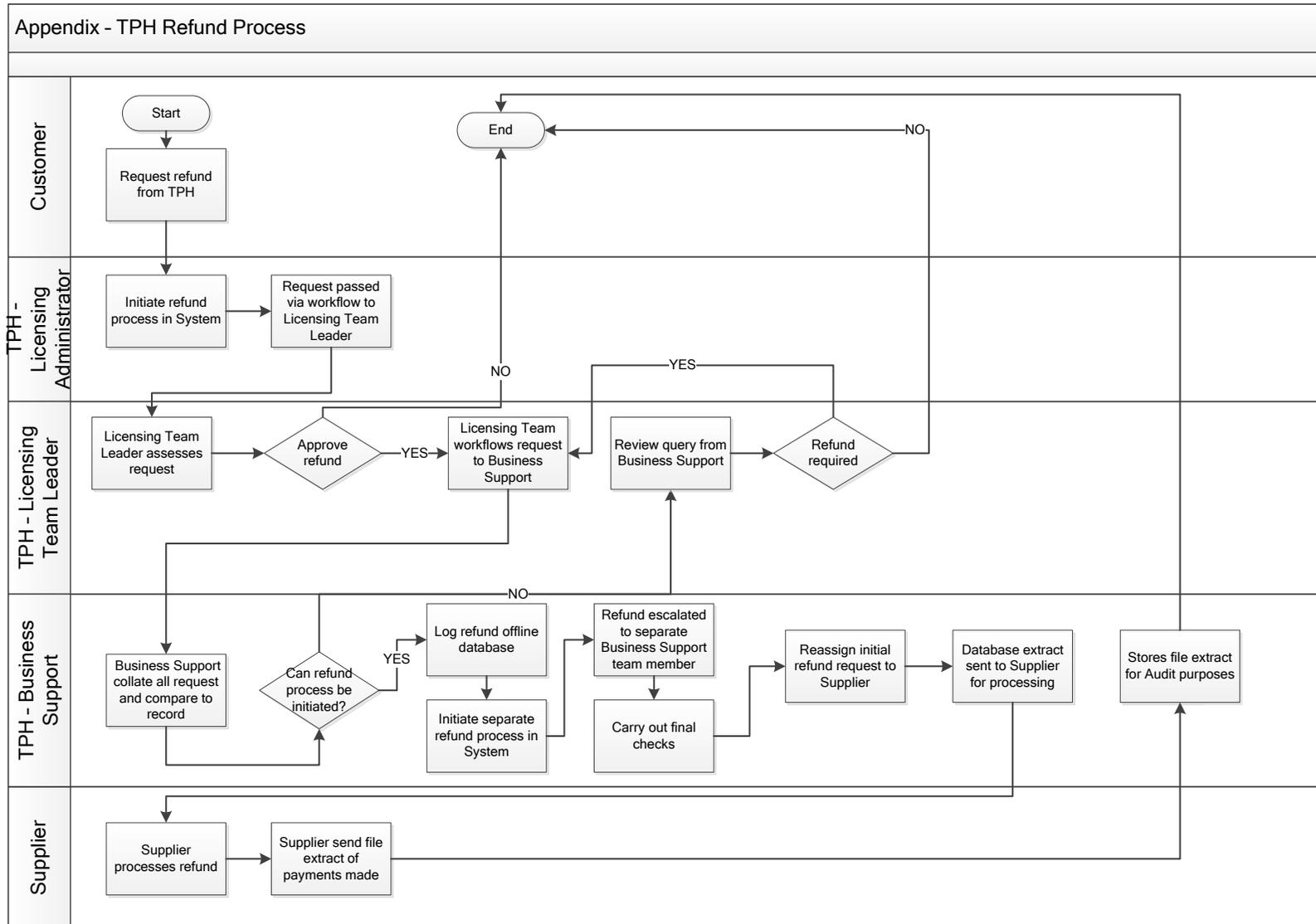
- 2.1 If either Lot 1 or Lot 2 Supplier receives notification that an incorrect payment amount has been taken they will escalate a refund process to TfL for approval. The Lot 2 Supplier has no authorisation to make refunds in this scenario without approval from TfL.
- 2.2 The Lot 2 Supplier will not consider Transaction Reversals to be Refunds/Repayments, specifically where charges have been added multiple times erroneously and where **no payment** has been taken from the account. In these circumstances they are not subject to the Refund/Repayments rules in section 1 above i.e. Authorisation required from TfL. However, where payment **has been taken**, these would form part of the Refund/Repayments rules in section 1 above and require Authorisation.
- 2.3 The Lot 2 Supplier will record and report on the details of all instances where Transaction Reversals and Recredits have been required on their system, but no refunds/recredits will be made without the approval of TfL.

## 3 Redress policy

- 3.1 Under normal operating conditions it should not be necessary to make any ex-gratia payments.
- 3.2 Ex-gratia payments made under this Redress policy will come from Lot 1 or Lot 2 Supplier funds or their sub-contractors and not from TfL accounts.
- 3.3 Where a Customer has made a complaint and the Customer has had to spend more money than required, due to errors made either by Lot 1 or Lot 2 Suppliers or their sub-contractors, the Supplier or their sub-contractors responsible for the loss will fund the compensation.
- 3.4 Redress payments should be made in fixed amounts, with payment authorised by agreed grades of Lot 2 Supplier staff as defined by TfL.
- 3.5 Payments should reflect the level of monetary loss and/or inconvenience to the Customer. This compensation should cover all reasonable expenses required to make the complaint.
- 3.6 When TfL has dealt with a complaint and wish Lot 2 Supplier to make a payment for Redress, the recommended payment will be agreed between TfL and either Lot 1 or Lot 2 Supplier's management (or their authorised delegates). For the avoidance of doubt, in instances where either Lot 1 or Lot 2 Suppliers and TfL disagree on the amount of the payment, TfL's decision will be final, where the disputed amount remains within the bounds described in 3.4.
- 3.7 When TfL has dealt with a Complaint & wish to make payment for Redress from TfL's Funds, on instruction by TfL the Lot 2 Supplier shall raise the required payment. In certain circumstances, TfL may request the Refund cheque to be sent to it for onward delivery to the Customer.

### **Annexure A – Current TfL Refund Process**

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



## TPH - LICENSING

### Vehicle Licensing - Business Rules

Transport for London  
**London Taxi and Private Hire**



## Document History

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

Transport for London

**London Taxi and Private Hire**



## Summary

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

This document should be read in conjunction with the relevant inspection manuals. See TPH-Appendix17-Policy-Vehicle Licensing Inspection Manual

(Please note that these inspection manuals are for the current processes and are subject to change)

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

The business rules are not exhaustive. Where an issue is not covered by the specified business rules the Administrator should escalate to TfL and request advice. This also covers any business rule where the Administrator requires further clarification from TfL.

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

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

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

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

Transport for London

**London Taxi and Private Hire**



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

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Vehicle fails a licensing inspection (PHV)	Application to have a vehicle re-inspected.	Validate vehicle details,	Inspect in accordance to relevant Inspection Manual.
					take payment if necessary, allocate inspection re-test appointment	Following Inspection - Issue(status active)/refuse licence
						Failure would require new application
TBC	TBC	Vehicle Licensing	Vehicle fails a licensing inspection (Taxi)	Application to have a vehicle re-inspected.	Validate vehicle details,	Inspect in accordance to relevant Inspection Manual.
					take payment if necessary, allocate inspection re-test appointment	Issue(status active) /refuse licence.
						Failure would require new application
TBC	TBC	Vehicle Licensing	Owner of licensed vehicle notified that vehicle is unfit for service	Vehicle subject to post-licensing compliance activity and is found to be unfit for service. Compliance notice issued. Owner contacts Supplier for inspection.	Validate vehicle details, allocate unfit vehicle inspection appointment.  Licence status remains active	Inspect in accordance to relevant Inspection Manual.  Pass = Back in service  Fail = Requirement for further unfit inspection
TBC	TBC	Vehicle Licensing	Owner of a licensed vehicle is notified that the licence has been suspended by the compliance team	Vehicle subject to post-licensing compliance activity and is found to have serious defect(s) and suspended. Suspension notice issued. Owner contacts Supplier for inspection.	Validate vehicle details, allocate unfit vehicle inspection appointment  Licence status is changed to suspended by TfL	Inspect in accordance to relevant Inspection Manual.  Pass = Back in service suspension lifted  Fail = Requirement for further unfit inspection

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Owner requires replacement of damaged PHV licence discs or other licence materials	Licence discs damaged as a result of a broken screen glass, attempt to remove discs once affixed or removal by police	Validate vehicle details, database updated if applicable, allocate replacement disc appointment	Check vehicle documents, issue and affix replacement discs/licence materials
TBC	TBC	Vehicle Licensing	Owner requires replacement damaged Taxi plate	Taxi plate damaged as a result of a road traffic accident or the vehicle being stolen	Validate vehicle details, allocate replacement plate appointment	Check vehicle documents, issue replacement plates
TBC	TBC	Vehicle Licensing	Owner wishes to affix a personalised number plate	Owner has confirmation from DVLA for change. Owner contacts Supplier for replacement VRM appointment	Update vehicle records. Allocate replacement VRM appointment Validate all documents.	Issue replacement licence and replacement discs or plates. Affix PHV discs
TBC	TBC	Vehicle Licensing	Owner wishes to obtain a dual Epsom and Ewell licence	Owner is already licensed and has duality authorisation from Epsom and Ewell or owner has received duality authorisation before obtaining LTPH licence	Validate vehicle records and documentation. Allocate licensing or special (Epsom and Ewell) inspection.	Carry out licensing inspection in accordance to relevant inspection manual -  Issue dual licence (status active)/refuse
TBC	TBC	Vehicle Licensing	Cancellation	Owner wishes to cancel an appointment	Confirm identity of caller and check vehicle details	Cancel appointment - In line with the Authorities business rules  Refer caller to TfL for advice on refund if authorised by TfL
TBC	TBC	Vehicle Licensing	Reschedule/Reallocate	Owner wishes to reschedule an appointment and is referred to the call centre	Confirm identity of caller and check vehicle details  Reschedule appointment - In line with the Authorities business rules	Within agreed notice period (24hrs MHC) – NFA/Outside of agreed notice period – process payment, refer customer to TfL for refund if authorised by TfL

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Multiple vehicle bookings	Fleet manager/Owner wishes to book/reschedule/reallocate multiple vehicles for inspections and has been referred to outbound agent	Validate vehicle details, process applications, take payment, allocate inspection appointments	Inspect in accordance to relevant Inspection Manual. Issue (status active) /refuse licences
TBC	TBC	Vehicle Licensing	Timing of MHC reminder letters	Owner's vehicle licence is due to expire in 42 days	Send expiry reminder letter/email to owner	Owner contacts call centre – appointment booked/Owner fails to contact call centre - NFA
TBC	TBC	Vehicle Licensing	Timing of PHV reminder letters	Owner's vehicle licence is due to expire in 42 days	Send provisional appointment to owner for a date up to 42 days before expiry	Owner contacts call centre – appointment confirmed or alternative booked / Owner fails to contact call centre- NFA
TBC	TBC	Vehicle Licensing	Owner has a complaint	Owner would like to complain about service	Complaint investigated	Appropriate response sent to customer with reason for decision recorded on system. Any errors identified should be highlighted to TfL.
TBC	TBC	Vehicle Licensing	Owner has a complaint	Owner would like to complain about TfL	Complaint escalated to TfL investigated	N/A

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Identification of licence status	Clear definition of vehicle licence statuses maintained on database following relevant activity	Active Abandoned Expired Suspended Revoked Renewal Surrendered	N/A
TBC	TBC	Vehicle Licensing	Production of vehicle licences and vehicle identifiers/vehicle signage	Referred to in appendices	Referred to in appendices	Referred to in appendices
TBC	TBC	Vehicle Licensing	Owner changes name/address	Owner submits a completed vehicle licence (on the reverse) requesting a change of name/address	Licence validated and database updated Details passed to Other Licensing Teams (Driver/Operator)	Licence re-issued (status active)/more validation required (status active)
TBC	TBC	Vehicle Licensing	Owner surrenders licence	Request submitted by owner to surrender licence	Licence details validated and database updated	Licence abandoned/more validation required (status active)
TBC	TBC	Vehicle Licensing	Owner loses vehicle licence	Owner loses vehicle licence and requests duplicate by completing 'Police lost in streets' form	Police lost in streets form/ref number received, validate vehicle documents and update database.	Re-issue (status active)/ refuse new vehicle licence (status active)

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Subsequent Payment Failure	Where notification is received that a payment taken has subsequently failed (e.g. Bounced cheque, chargeback etC)	Supplier should make contact with customer to request contact payment is made by alternative means. (First contact should be via phone where ever possible)	Where contact not successful  Letter should be issued requesting payment and confirming consequences of non payment (rejection of application if new application and revocation of licence if licence)  Where payment is not received in 28 days, letter should be issued confirming appropriate action has been taken (Rejection or revocation as appropriate). TfL to be informed of all debt to be written off.
TBC	TBC	Vehicle Licensing	Customer unknowingly buys a licensed vehicle	Customer wishes to licence a vehicle that is already licensed	Vehicle and ownership details validated with DVLA and V5  Current licence abandoned  Owner directed to call centre to book licensing inspection	Vehicle licence issued /(status active)licence not issued Inspection may be required
TBC	TBC	Vehicle Licensing	Congestion charge/ULEZ enquiries	Enquiry received from vehicle owner who has received a congestion charge penalty notice.	Enquiries made to find out whether vehicle was licensed on relevant date.	Status of licence on relevant date confirmed.
TBC	TBC	Vehicle Licensing	Correspondence	Correspondence received via letter, fax or e-mail.	Correspondence reviewed and passed to relevant member of team to respond.	Appropriate response sent to customer with reason for decision recorded on system. Any errors identified should be highlighted to TfL.

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Telephone queries	Customer calls LTPH with a vehicle query	Person identified by asking security questions. Details validated Query referred to relevant person or dealt with immediately	Appropriate response provided to customer with reason for enquiry and response recorded on system. Any errors identified should be highlighted to TfL
TBC	TBC	Vehicle Licensing	Customer fails retest inspection and requires a refund	Customer's vehicle fails retest appointment and is entitled to Grant of Licence refund (Has to be Authorised by TfL)	Payee details confirmed. Details logged	Money returned to payee via channel payment made. Where this is not possible the payment should be made via cheque.
TBC	TBC	Vehicle Licensing	Customer fails to attend licensing inspection appointment and requires refund	Customer fails to attend licensing inspection due to circumstances within or beyond their control	Payee details confirmed. Details logged	Where failure to attend was within the owner's control – Refund the Grant of Licence (GOL) fee only at The Authorities instruction This should be determined on a case by cases basis. Money returned to payee via channel payment made. Where this is not possible the payment should be made via cheque.

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Customer fails to attend licensing inspection appointment and requires refund	Customer fails to attend licensing inspection due to circumstances within or beyond their control	Payee details confirmed. Details logged	<p>Where the circumstances were beyond the owner's control - Grant full refund - only at The Authorities instruction</p> <p>This should be determined on a case by cases basis.</p> <p>Money returned to payee via channel payment made. Where this is not possible the payment should be made via cheque.</p>
TBC	TBC	Vehicle Licensing	Customer cancels licensing appointment and requires a refund	Customer calls the SGS (?) call centre to cancel licensing appointment and requires a refund.	Payee details confirmed. Details logged	<p>Less than 24 hour notice given period and within owner's control – GOL only - only at The Authorities instruction</p> <p>Money returned to payee via channel payment made. Where this is not possible the payment should be made via cheque.</p> <p>More than 24 hours notice given – full refund</p> <p>Less than 24 hours notice period, but beyond owner's control – Full refund at The Authorities instruction</p>

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Freedom of Information (FOI) and Environmental Information Regulations (EIR) requests	Customer requests information under either the FOI or EIR legislation.	Supplier to provide relevant information within agreed timescales. Complex cases are to be escalated to TfL within agreed timescales	TfL to sign off any FOI disclosures
TBC	TBC	Vehicle Licensing	Subject Access Request (SAR)	Customer requests personal information under SAR legislation	Supplier to provide relevant information within agreed timescales. Where TfL hold some or part of the information it is to be escalated to TfL within agreed timescales	
TBC	TBC	Vehicle Licensing	3rd Party Requests for Access to Personal Data	a) Police and statutory law enforcement agencies: request information re an applicant/licensee	Escalate to TfL	Follow TfL decision
TBC	TBC	Vehicle Licensing	3rd Party Requests for Access to Personal Data	b) Other third parties, primarily solicitors and insurance companies: request information re an applicant/licensee	Supplier to provide relevant information within agreed timescales. Where TfL hold some or part of the information it is to be escalated to TfL within agreed timescales	
TBC	TBC	Vehicle Licensing	Reporting of stolen vehicle	Owner reports that the vehicle has been stolen and has been reported to the police.	Information recorded on database. Owner advised to keep TfL updated - Crime reference number supplied If vehicle licence is active should be suspended until further information is supplied.	If vehicle is recovered vehicle to be inspected.  If police discharge case as unresolved, owner returns paper licence and status abandoned
TBC	TBC	Vehicle Licensing	Suspension or revocation of vehicle licence	Owner notified that they have failed to comply with the conditions of the PHV or Taxi legislation, and their vehicle licence is to be suspended or revoked	Case prepared and sent to TfL regarding non compliance with recommended action	Follow TfL decision

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Modifications	Vehicle has been altered or modified since manufacturer and the owner requests approval	Modification appointment booked Vehicle details validated in accordance with relevant inspection manual	Modification approved – system and licence updated Modification declined – customer advised of outcome
TBC	TBC	Vehicle Licensing	Appeals	Vehicle fails a licensing inspection and would like to appeal against the decision	Owner instructed to make informal appeal with inspection team leader. Owner informed of formal appeal procedure as part of failure process	Team leader/TfL agrees with decision and accepted by owner – NFA Team leader agrees with decision and not accepted by owner – owner lodges formal appeal (must be within 28 days of licensing inspection (MHC), 21 days of inspection (PHV))
TBC	TBC	Vehicle Licensing (Taxi Only)	Change of ownership	Completed vehicle licence received for a change of ownership to a licensed Driver or approved proprietor	Licence validated (declarations and V5 provided), database updated.	Licence re-issued via the print partner or inspection centre more validation required
TBC	TBC	Vehicle Licensing (Taxi Only)	Unapproved proprietor wishes to own, or already owns a licensed vehicle	Owner has been sent an email of what is required and returned completed CRB form	CRB results checked Trace results considered and recommendation escalated to TfL	Follow TfL decision
TBC	TBC	Vehicle Licensing (Taxi Only)	TfL agree to tariff change	TfL agrees the tariff increase for implementation	Distance-drop calculation carried out Seals and charts distributed to Taxi installers Info circulated to all relevant parties	Possible TfL presence at Tariff change sites

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing (Taxi Only)	Vehicle licence plate is stolen	Customer confirms vehicle licence plate being stolen.	Customer advised to provide crime ref details Database updated  Where required inspection booked	New plate number issued
TBC	TBC	Vehicle Licensing (Taxi Only)	Installer requires meter seals	Taximeter installer requests meter seals	Count amount of seals requested, verify, weigh seals and post to customer. Include receipt for signature.	Seals issued and receipt signed.
TBC	TBC	Vehicle Licensing (Taxi Only)	advertisement on vehicle	Owner/Company requires advice re vehicle advertising	Owner/Company referred to advertising guidelines	Adverts not covered by guidelines referred to TfL
TBC	TBC	Vehicle Licensing (Taxi Only)	A complaint has been received in relation to owner's vehicle	A complaint is received from the public regarding a licensed vehicle and referred to TfL for investigation	Suitable complaint inspection arranged with Supplier in liaison with Compliance Team	Inspection passed – NFA/ Inspection failed – Unfit issued
TBC	TBC	Vehicle Licensing (Taxi Only)	Owner has not presented vehicle for retest within 28 days	Owner fails to present vehicle for retest within the 28 days of licensing inspection	Owner contacted and advised of options available to prevent the renewal of the application	Extend period/renew application at The Authorities discretion
TBC	TBC	Vehicle Licensing (PHV Only)	Road User charging admin compliance	Possible monitoring of PHV fleet to ensure vehicles are not licensed in order to avoid paying the congestion charge.	List of licensed vehicles reviewed each week to identify suspect vehicles. The owners of vehicles identified are contacted for proof vehicle is being used as a PHV.	Details of vehicles identified where it is suspected they have been licensed to avoid paying the congestion charge are sent to TfL.
TBC	TBC	Vehicle Licensing (PHV Only)	Change of ownership	Vehicle licence returned for change of ownership to be carried out.	Information on returned licence reviewed and if completed correctly change of ownership carried out on system and new licence issued.	Updated licence issued showing new owner details. If incomplete the vehicle licence is returned requesting the missing information.

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing (PHV Only)	Complaints handling	Complaint received about a licensed PHV.	Complaint is logged and investigated to establish whether any further action is required.	Vehicle owner is sent letter or email informing them about the complaint received and what action is to be taken. Alternatively vehicle owner is not sent letter if it is decided no further action is required.
TBC	TBC	Vehicle Licensing	Exemptions	Request received for vehicle to be exempt from one of the licensing requirements	Exemption request reviewed and forwarded to TfL for a decision to be made.	Exemption request is either approved or rejected. Letter /email is then sent out to vehicle owner informing them of the decision.
TBC	TBC	Vehicle Licensing	Reporting of vehicle accident	Owner reports that the vehicle has been involved in an accident and provides details of the damage sustained and when the accident occurred.	Information recorded on database. If the damage is significant owner advised whether an accident appointment is required <del>Make accident inspection appointment</del>	If vehicle pass inspection NFA.  If vehicle fails inspection the disks/plates should be returned and the vehicle suspended.
TBC	TBC	Vehicle Licensing	Reporting of stolen licence or discs	Owner reports that the licence and /or discs have been stolen and have been reported to the police.	Information recorded on database. Owner advised to keep office updated.	If licence only is stolen, Issue replacement licence. If discs are stolen, reissue discs
TBC	TBC	Vehicle Licensing	Owner requires red route signage	Licensed operator sends completed red route signage application form	Operator and vehicle details validated  Database updated	Sticker pack(s) issued / not issued.
TBC	TBC	Vehicle Licensing	Validation of MOTs using DVSA interface	MOT detail to be verified on the DVSA website	Validate date of MOT in accordance to the inspection manual and licensing criteria	If MOT is valid and within date, proceed with the inspection as per the licensing manual If MOT is not valid or out of date Vehicle to be failed

Bus Rule ID	Date Valid	Team	High Level Scenario	Scenario Detail	CSR Action	Decision
TBC	TBC	Vehicle Licensing	Rules for being able to amend Customer Account and record data using the customer account management functionality.	Not currently carried out	TBC	Business rules to be developed
TBC	TBC	Vehicle Licensing	Business rule for validating whether a customer address matched DVLA data.	Validation at point of inspection is through presented documentation. Post licensing validation assumed through declaration. Both scenarios are represented above. A business rule for an electronic link would need to be developed.	TBC	Business rules to be developed
TBC	TBC	Vehicle Licensing	Validation of new vehicle owner.	Validation at point of inspection is through presented documentation. Post licensing validation assumed through declaration. Both scenarios are represented above. A business rule for an electronic link would need to be developed.	TBC	Business rules to be developed