

## **SCHEDULE 2**

### **Common SOR**

[note that the Additional Services described in section 16 of this Statement of Requirements were included as optional services, requiring additional funding, and were included in order to encourage the supplier to build a solution flexible to include none, some or all of these features in the future. The description of these Additional Services should not be taken as an indication of intent to implement any of them]

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## **APPENDICES**

1. Appendix 11 – The IIP Standard
2. Appendix 13 – Information Compliance Processes
3. Appendix 14 – Data Retention
4. Appendix 15 – Payment Card Industry Data Security Standard
5. Appendix 40 – Solution Architecture

## 1 INTRODUCTION TO THE STATEMENT OF REQUIREMENTS

### 1.1 Introduction

1.1.1 This document, along with its appendices, is part of schedule 2 (Statement of Requirements) of the London Road User Charging Agreement. Schedule 2 provides the requirements for the Business Operations, Enforcement Operations and Core IT Service Elements.

1.1.2 This document should be read in conjunction with other component documents of the Agreement.

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

1.1.4 The Common Statement of Requirements is a component document of schedule 2 which contains requirements common to the Business Operations, Enforcement Operations and the Core IT Service Elements.

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

- Requirement number;
- Release 1, Release 2 or Additional Services;
- Mandatory or For Your Information; and
- MIS.

#### Example of layout of Statement of Requirements

E1.1.1	R1	Mandatory
MIS		

Individual requirements are located from here onwards.

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

## 1.2 TfL Design Overview

1.2.1 The Service Provider shall design the Service Systems to comply with the TfL Design.

1.2.2 This section provides the Service Provider with an overview of the TfL Design technical documentation set.

1.2.3 The TfL Design consists of three (3) technical documents:

- appendix 40: Solution Architecture;
- appendix 41: Interface Specification; and
- appendix 38: TfL High-Level Design.

1.2.4 The Solution Architecture forms the top-level technical document and sets out TfL's design principles for the LRUC including the division of responsibilities between Service Elements.

1.2.5 The allocation of responsibilities as described in the Solution Architecture is embodied within the Statement of Requirements for each of the Service Elements.

1.2.6 The Interface Specification specifies the Interfaces between the Service Elements and does not include Interfaces to other Third Parties.

1.2.7 The TfL High-Level Design specifies the high-level design for the Core IT Service Element and does not include design specifications for the other Service Elements.



## 2 INFORMATION COMPLIANCE

### Introduction

Information Compliance covers the generic requirements applicable to the Service Provider. A list of the details which are covered in this section are:

- generic requirements;
- Information Requests;
- Subject Access Request(s);
- contractors;
- Complaints;
- reporting of breaches of Data Protection Laws; and
- Data Protection audit.

The requirements set out in this section and in appendix 13: Information Compliance Processes shall be without prejudice to the obligations of the Service Provider in relation to information compliance elsewhere in the Agreement including without limitation in clause 61: Information Compliance, schedule 5: Service Level Agreement and schedule 15: Information Compliance.

### 2.1 General

Z2.1.1	R1	Mandatory
<p>The Service Provider shall comply with:</p> <ul style="list-style-type: none"> <li>• Data Protection Laws;</li> <li>• Freedom of Information (FOI) Legislation; and</li> <li>• Computer Misuse Act 1990.</li> </ul>		
Z2.1.2	R1	Mandatory

<p>The Service Provider shall treat all VRMs as Personal Data and therefore in accordance with the requirements of Data Protection Laws.</p>		
Z2.1.3	R1	Mandatory
<p>The Service Provider shall collect and Process personal Data only in accordance with instructions and directions given by TfL.</p>		
Z2.1.4	R1	Mandatory
<p>The Service Provider shall not send or Process any Personal Data outside the European Economic Area without the prior written consent of TfL and without all requirements for compliance with Data Protection Laws being in place before any such transfers of Data commence.</p>		
Z2.1.5	R1	Mandatory
<p>The Service Provider shall take and implement all such technical and organisational security procedures and measures necessary or appropriate to ensure a level of security that preserves the security and confidentiality of any Personal Data Processed by the Service Provider.</p>		
Z2.1.6	R1	Mandatory
<p>The Service Provider shall protect all Personal Data against unauthorised or unlawful Processing, accidental loss, alteration, destruction or damage and shall ensure that its Sub-Contractors take and implement the same standard of technical and organisational security.</p>		
Z2.1.7	R1	Mandatory

<p>The Service Provider shall comply with all TfL’s specific requirements regarding retention periods for Data (both Personal Data and other Data) and, where no period has been specified, retain that Data for as long as is required for the purpose for which it is collected, and no longer.</p>		
Z2.1.8	R1	Mandatory
<p>The Service Provider shall put in place Data management provisions to ensure that the Data is periodically assessed for deletion and that, as a result of any decision to delete Data that is no longer required for the purpose for which it is collected, it is securely deleted.</p>		
Z2.1.10	R1	Mandatory
<p>The Service Provider shall comply with all obligations in relation to:</p> <ul style="list-style-type: none"> <li>• Data Protection Laws, as well as, without limitation, Data Protection obligations set out in schedule 15: Information Compliance and in accordance with schedule 5: Service Level Agreement;</li> <li>• Freedom of Information Legislation, as well as, without limitation, the Freedom of Information obligations set out in schedule 15: Information Compliance and in accordance with schedule 5: Service Level Agreement;</li> <li>• Computer Misuse Act 1990; and</li> <li>• Environmental Information Regulations 2004.</li> </ul>		
Z2.1.11	R1	Mandatory

The Service Provider shall ensure that all forms of Data (paper and electronic) used to collect Personal Data are written to comply with the Data Protection Act 1998 and associated regulations. These forms shall be agreed with TfL and shall include, but not be limited to, the following content:

- Data Protection Information (e.g. purpose of Data collection, identity of Data controller);
- declaration of consent; and
- direct marketing opt-out.

The Service Provider shall update such forms at no additional charge to TfL, upon request by TfL and as required to comply with the requirements of the Data Protection Laws.

Z2.1.12	R1	Mandatory

The Service Provider shall ensure that its Customer Records include a field to indicate whether the Customer wishes or does not wish to receive direct marketing from the Service Provider (in relation to the Scheme) or TfL.

Z2.1.13	R1	Mandatory

The Service Provider shall ensure that Customers' direct marketing preferences are updated as necessary to indicate changed preferences following any direct marketing campaigns.

Z2.1.14	R1	Mandatory

The Service Provider shall report on the direct marketing preferences of the Customer if requested by TfL.

Z2.1.15	R1	Mandatory

<p>The Service Provider shall use a Data Protection Notice (for illustration, the notice in current use is included in appendix 13: Information Compliance Processes) supplied by TfL and to be updated by the Service Provider at no additional charge to TfL on request by TfL.</p>		
Z2.1.16	R1	Mandatory
<p>The Service Provider shall provide the Data Protection Notice to any Customer on request.</p>		
Z2.1.17	R1	Mandatory
<p>The Service Provider shall ensure all forms of Data (electronic and paper) clearly indicate (for example, by use of an asterisk) which Data items are mandatory and must be provided. All mandatory items must be agreed with TfL.</p>		
Z2.1.18	R1	Mandatory
<p>The Service Provider shall conduct Customer identification checks as agreed with TfL before any Data amendments are carried out.</p>		
Z2.1.19	R1	Mandatory
<p>The Service Provider shall ensure that authorised Users are able to amend inaccurate Customer Data held on the Service Systems when it is identified. The checking process for the accuracy of such amendments shall be agreed with TfL.</p>		
Z2.1.20	R1	Mandatory
<p>The Service Provider shall design its Systems to prevent Users from inadvertently violating Data Protection Laws.</p>		

Z2.1.21	R1	Mandatory
<p>The Service Provider shall ensure that all Users are presented with the message “misuse of the system is an offence under the Computer Misuse Act 1990 and Data Protection Act 1998” upon sign-on to the relevant Systems.</p>		
Z2.1.22	R1	Mandatory
<p>The Service Provider shall ensure that there are adequate controls on any manual notes of Personal Data, including financial Data. Such controls shall include measures to protect the manual Data against misuse or loss. By way of illustration, such notes might be made during a manual fallback procedure due to System Failure.</p>		
Z2.1.23	R1	Mandatory
<p>The Service Provider shall ensure that there is at all times a nominated member of the Service Provider’s Personnel, responsible for ensuring the Service Provider’s compliance with its obligations under Data Protection Laws and FOI Legislation and in accordance with this Statement of Requirements, appendix 13: Information Compliance Processes, clause 61: Information Compliance, schedule 15: Information Compliance and schedule 5: Service Level Agreement.</p>		
Z2.1.24	R1	Mandatory
<p>The Service Provider shall implement a procedure, agreed with TfL in advance, for dealing with complaints concerning the collection, storage and disclosure of Personal Data. Such a procedure shall allow an appeal procedure for any unsatisfied Customers relating to the collection, storage and disclosure of Personal Data.</p>		
Z2.1.25	R1	Mandatory

The Service Provider shall take all necessary steps to ensure that access to Personal Data by the Service Provider's Personnel is in accordance with Data Protection Laws.		
Z2.1.26	R1	Mandatory
The Service Provider shall ensure it has adequate Personnel resources in place to oversee and carry out its obligations under this Agreement in relation to Data Protection Laws and FOI Legislation.		
Z2.1.27	R1	Mandatory
The Service Provider shall ensure that all Data defined in the Logical Data Model, and all changes to the Data as a result of transactional processing, is posted from source to the Core IT System via the appropriate Interface.		
<b>2.2 Training</b>		
Z2.2.1	R1	Mandatory
<p>The Service Provider shall implement suitable training, to be agreed with TfL and in accordance with TfL's guidance, and shall ensure that it is delivered by trainers with proven knowledge and understanding of the following subjects:</p> <ul style="list-style-type: none"> <li>• Data Protection Laws;</li> <li>• FOI Legislation;</li> <li>• obligations, codes and procedures for its Personnel;</li> <li>• Environmental Information Regulations; and</li> <li>• Computer Misuse Act 1990.</li> </ul>		
Z2.2.2	R1	Mandatory

The Service Provider shall agree all training materials and delivery with TfL.		
Z2.2.3	R1	Mandatory
The Service Provider shall ensure that a Data Protection code of practice for CCTV operation is established and approved by TfL, and that training provided on the code of practice to all relevant Service Provider Personnel.		
<b>2.3 Freedom of Information Requests</b>		
Z2.3.1	R1	Mandatory
<p>The Service Provider shall ensure that its Sub-Contractors shall, in accordance with schedule 5: Service Level Agreement:</p> <ul style="list-style-type: none"> <li>• transfer to TfL all Information Requests it receives as soon as practicable and in any event within two (2) Working Days of receiving an Information Request; and</li> <li>• provide TfL with a copy of all Information that TfL requests (that is, requests for information within the FOI Legislation) and such Information shall be provided within five (5) Working Days of a request from TfL (or such other period as TfL may reasonably specify), and in such form as TfL may reasonably specify.</li> </ul>		
Z2.3.2	R1	Mandatory
The Service Provider shall forward all Information Requests received directly by the Service Provider to TfL within two (2) Working Days.		
Z2.3.3	R1	Mandatory



<p>TfL will advise the Service Provider as to how it shall respond to the Information Request. The Service Provider shall gather any relevant Data surrounding the Information Request and present this to the Customer in the required format (e.g. Data table, graphical representation, copy of Document etc). All responses sent to the Customer shall be approved in advance by TfL.</p>		
Z2.3.4	R1	Mandatory
<p>The Service Provider shall ensure that records are maintained that record the number of requests made, the time taken to respond to Information Requests and details of the types of Information Requests. These shall be Parameterised events that can be amended and changed with twenty four (24) hours' notice following written authorisation from TfL without recourse to schedule 9: Change Control Request Procedure, and at no additional cost to TfL.</p>		
Z2.3.5	R1	Mandatory
<p>The Service Provider shall implement a procedure (to be agreed with TfL) to deal with FOI requests where the Customer is unable to write in.</p>		
<p><b>2.4 Subject Access Requests</b></p>		
Z2.4.1	R1	Mandatory
<p>The Service Provider shall implement a procedure, to be approved by TfL in advance, for processing SARs in accordance with Data Protection Laws. The Service Provider shall ensure that all Sub-Contractors also comply with such procedures.</p>		
Z2.4.2	R1	Mandatory

<p>Where the Service Provider (or any Sub-Contractor) is sending a response directly to the individual who has made a SAR, the Service Provider shall ensure that the response is provided to the individual within forty (40) days of their request having been received (wherever the request was initially received).</p>		
Z2.4.3	R1	Mandatory
<p>The Service Provider, if required to provide Information to TfL for a SAR, shall provide the Information within the timescales specified by TfL, and if no timescale is specified, within ten (10) Working Days of the Service Provider’s receipt of the request from TfL.</p>		
Z2.4.4	R1	Mandatory
<p>The Service Provider shall ensure that its Systems and the Systems of any Sub-Contractors are capable of supporting the retrieval and printing of copies of personal Information and all relevant Data associated with such records, to enable TfL to comply with its obligations under the Data Protection Laws regarding SARs.</p>		
Z2.4.5	R1	Mandatory
MIS		
<p>The Service Provider shall ensure that all relevant Systems shall be capable of logging and tracking SARs and processing payments associated with SARs.</p>		
Z2.4.6	R1	Mandatory
MIS		
<p>The Service Provider shall provide statistics to TfL or nominated Third Parties on SARs in accordance with schedule 15: Information Compliance and schedule 5: Service Level Agreement.</p>		
Z2.4.7	R1	Mandatory

Where the Service Provider (or any Sub-Contractor) is required to supply Information to TfL or an Other Service Provider to enable them to respond to a SAR, the Service Provider shall or shall procure that the relevant Sub-Contractor shall supply the Information required within such time and in such form as reasonably requested by TfL or the Other Service Provider. Where no period of time is specified in the request, the Service Provider shall supply the Information within ten (10) Working Days from the date the request is made to the Service Provider or the Sub-Contractor (as appropriate) or such longer period as TfL at its sole discretion may agree.

**2.5 Contractors**

Z2.5.1	R1	Mandatory

To enable TfL to comply with its obligations under Data Protection Laws (as may be amended from time-to-time) and FOI Legislation (as may be amended from time to time) and subordinate and related Legislation, the Service Provider shall, and shall procure that, its Sub-Contractors shall:

- comply with all reasonable requests made by TfL; and
- provide all such assistance as may be reasonably required by TfL.

**2.6 Complaints**

Z2.6.1	R1	Mandatory

The Service Provider shall escalate, in the first instance, all complaints relating to infringements of Data Protection Laws, civil liberties, equality and human rights to authorised TfL Personnel.

Z2.6.2	R1	Mandatory

The Service Provider shall also escalate in the first instance all complaints referred to in Z2.6.1 against any Other Service Provider or Sub-Contractor to the Authorised TfL Personnel.

<b>2.7 Reporting of Data Protection Breaches</b>		
Z2.7.1	R1	Mandatory
<p>The Service Provider shall report any breach of Data Protection Laws within the period specified in schedule 5: Service Level Agreement.</p>		
<b>2.8 Data Protection Audit</b>		
Z2.8.1	R1	Mandatory
<p>The Service Provider shall produce and maintain a Data Protection audit plan in agreement with TfL. By way of illustration, and without limitation, the plan shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• timescales for preparation and conduct of the annual audit;</li> <li>• the audit strategy and planned outputs;</li> <li>• details of the independent Third Party undertaking the audit;</li> <li>• the Service Provider’s Personnel responsible for fulfilment of the plan; and</li> <li>• the Service Provider’s Personnel responsible for the management of the independent Third Party undertaking the audit.</li> </ul>		
Z2.8.2	R1	Mandatory
<p>The Service Provider shall implement a comprehensive Data Protection audit, to be undertaken by an independent Third Party approved by TfL, covering all Data Processing undertaken by the Service Provider. The Data Protection audit will be completed at no cost to TfL.</p>		
Z2.8.3	R1	Mandatory

<p>The Service Provider shall implement the Data Protection audit annually (or at a frequency agreed with TfL) and report the findings to TfL.</p>		
Z2.8.4	R1	Mandatory
<p>The Service Provider shall act on the findings from any Data Protection audits to ensure (within timescales agreed by TfL) that the Service Provider's Processing, storage, disclosure and destruction of Personal Data are conducted in accordance with the Data Protection Laws, the provisions of clause 61: Information Compliance and schedule 15: Information Compliance, and in accordance with schedule 5: Service Level Agreement.</p>		

### 3 FINANCE

#### Introduction

This section is applicable to Business Operations and Enforcement Operations only and outlines the requirements for the provision of financial services to TfL, including but not limited to:

- accounting standards and policies;
- controls and security;
- accounts receivable;
- accounts payable;
- cash book and bank reconciliation; and
- periodic processes.

#### 3.1 General

Z3.1.1	R1	Mandatory
<p>The Service Provider shall ensure that Personnel responsible for managing the finance function are qualified accountants holding a recognised qualification and are fully trained to a level sufficient to enable them to perform their duties competently.</p>		
Z3.1.2	R1	Mandatory
<p>The Service Provider shall ensure sufficient segregation of duties within the finance team and internal independent review and supervision as is necessary to safeguard the integrity of the financial processes.</p>		
Z3.1.3	R1	Mandatory

The Service Provider shall provide and support the finance system, which will record all financial transactions.		
Z3.1.4	R1	Mandatory
The Service Provider's finance system shall have an integrated general ledger account.		
Z3.1.5	R1	Mandatory
The Service Provider shall ensure that the Enforcement Operations Systems and Business Operations Systems are provided with their own integrated finance systems.		
Z3.1.6	R1	Mandatory
The Service Provider shall ensure that designated TfL finance Personnel have online read-only access to the Service Provider's finance system.		
Z3.1.7	R1	Mandatory
The Service Provider shall ensure that all Financial Data provided to TfL is in a TfL SAP-compatible format.		
Z3.1.7a	R1	Mandatory
<p>The Service Provider shall ensure all Financial Data provided to TfL achieves the following:</p> <ul style="list-style-type: none"> <li>• mirrors the accounting codes with TfL nominal ledger to allow for easier reconciliation;</li> <li>• allows anomalies in the accounts to be easily removed;</li> <li>• provides continuity of the data already supplied by the incumbent Service Provider;</li> <li>• provides a breakdown of income figures; and</li> </ul>		

<ul style="list-style-type: none"> <li>uses identical “journal upload templates” to TfL.</li> </ul>		
Z3.1.8	R1	Mandatory
<p>The Service Provider shall comply with the Payment Card Industry Data Security Standard which is specified in appendix 15: Payment Card Industry Data Security Standards.</p>		
Z3.1.9	R1	Mandatory
<p>The Service Provider shall ensure that the Business Operations Systems and Enforcement Operations Systems shall maintain a direct Interface to the chosen Merchant Acquirer in order to process debit/credit card transactions received.</p>		
Z3.1.9a	R1	Mandatory
<p>The Service Provider shall ensure that transactions have been authorised prior to confirmation.</p>		
Z3.1.10	R1	Mandatory
<p>The Service Provider shall record separately from gross income any charges made by debit/credit card clearing organisations.</p>		
<p><b>3.2 Standards</b></p>		
Z3.2.1	R1	Mandatory
<p>The Service Provider shall use recognised accounting standards and practices to prepare proper books and records of all individual financial transactions, assets and liabilities. On request by TfL, the Service Provider shall supply these books and records to TfL.</p>		
Z3.2.2	R1	Mandatory



The Service Provider shall ensure that all financial transactions are accurately recorded in the Service Provider's finance system.		
Z3.2.3	R1	Mandatory
The Service Provider shall ensure that the completeness and integrity of all financial processes are maintained at all times.		
Z3.2.4	R1	Mandatory
The Service Provider shall maintain sufficient records to provide a full audit trail (as defined by TfL) to meet the requirements of:		
<ul style="list-style-type: none"> <li>• the Core IT System's audit;</li> <li>• TfL's external audit;</li> <li>• audit by TfL and TfL's internal auditors; and</li> <li>• TfL's management reporting and contract monitoring requirements.</li> </ul>		
Z3.2.5	R1	Mandatory
The Service Provider shall provide updates to TfL's general ledger on a periodic basis (as per TfL's reporting cycle) and shall adopt the same four (4) weekly financial period end dates as TfL.		
Z3.2.6	R1	Mandatory
The Service Provider shall implement accounting policies that are agreed with TfL.		
Z3.2.7	R1	Mandatory

The Service Provider shall comply, within timescales agreed with TfL, with future changes in accounting policy as stipulated by TfL. These changes shall not constitute a Change under schedule 9: Change Control Request Procedure and shall incur no additional costs to TfL.		
Z3.2.8	R1	Mandatory
The Service Provider shall have processes in place to ensure timely recovery of fees for failed debit/credit card and cheque receipts.		
Z3.2.9	R1	Mandatory
The Service Provider shall bank all cheques, receipts and payments into TfL's bank account(s) set up specifically for all Scheme(s) as specified in schedule 32: Revenue Collection and Payment.		
Z3.2.10	R1	Mandatory
The Service Provider shall bank all payments received on the day of receipt when the payment is received before midday, and on the next Working Day in all other circumstances.		
Z3.2.11	R1	Mandatory
The Service Provider shall reconcile cheques received against cheques banked and provide a daily list to TfL on this reconciliation.		
Z3.2.12	R1	Mandatory
The Service Provider shall be responsible for obtaining payment via credit and debit cards by using a card Merchant Acquirer.		
Z3.2.13	R1	Mandatory

<p>The Service Provider shall implement secure validation for online card payments made via any online payment services for which the Service Provider is responsible. The methods of secure validation for online card payments include but are not limited to:</p> <ul style="list-style-type: none"> <li>• 3-D Secure Validation; and</li> <li>• CVV2/ CVC2.</li> </ul>		
Z3.2.14	R1	Mandatory
<p>The Service Provider shall ensure that, for all payments made using the 3-D Secure method, Customers are advised they will be directed to a page external to the Services Websites to input their 3-D Secure password.</p>		
Z3.2.15	R1	Mandatory
<p>The Service Provider shall ensure Customers are advised to contact their card issuer / provider rather than TfL if an online payment is rejected.</p>		
Z3.2.16	R1	Mandatory
<p>The Service Provider shall allow the maximum value of any non-authenticated transactions to be parameterised independently for each Scheme.</p>		
Z3.2.17	R1	Mandatory
<p>The Service Provider shall provide suitable public information on the Services Websites to advise customers of any secure validation methods and what they must do to comply.</p>		
Z3.2.18	R1	Mandatory
<p>The Service Provider shall process all credit/debit card Payments with the Merchant</p>		

Acquirer Service according to business rules and processes approved by TfL.		
Z3.2.19	R1	Mandatory
The Service Provider shall comply with the terms and procedures of the Merchant Acquirer Service and retain the confirmation of receipt of the complete APACS file of authorisations for all transactions from the Merchant Acquirer.		
<b>3.3 Control</b>		
Z3.3.1	R1	Mandatory
The Service Provider shall perform ad hoc checks and reconciliations as requested by TfL to prove the completeness and integrity of Data entered into the Service Provider's finance system.		
Z3.3.2	R1	Mandatory
The Service Provider shall operate control accounts and reconciliation procedures across all such accounts.		
Z3.3.3	R1	Mandatory
The Service Provider shall keep a log of all Customers making Payments over the requested amount on a frequent basis (e.g. more than three (3) times in a year or depending on amount of the Refund (Parametised)).		
Z3.3.4	R1	Mandatory
The Service Provider shall provide written details of all proposed adjustments due to reconciliation differences to TfL within three (3) days of receipt.		
Z3.3.5	R1	Mandatory

The Service Provider shall ensure that controls are placed on postal activities to guarantee that receipts are processed daily and are not misplaced and/or misallocated.		
Z3.3.6	R1	Mandatory
The Service Provider shall ensure that procedures are applied to prevent and detect actual or attempted fraud both from within and external to the Service Provider. These procedures shall be approved by TfL.		
Z3.3.7	R1	Mandatory
For the purposes of credit card fraud and other investigations, the Service Provider shall provide all required and requested Data and statements directly to the Metropolitan Police Authority (or appropriate relevant authority) unless specifically requested otherwise by TfL.		
Z3.3.8	R1	Mandatory
The Service Provider shall ensure that security procedures, which have been approved by TfL, are in place to safeguard all books and records relating to TfL.		
Z3.3.9	R1	Mandatory
The Service Provider shall ensure that appropriate procedures, which have been approved by TfL, are in place to ensure sufficient segregation of duties between the finance team, the internal independent review and supervision as is necessary to safeguard the integrity of the financial processes.		
Z3.3.10	R1	Mandatory
The Service Provider shall identify and investigate irregular payment patterns, specifically relating to Refunds and shall notify TfL of such events.		
Z3.3.11	R1	Mandatory

<p>The Service Provider shall record and log (on an account within the Enforcement Operations Systems and/or Business Operations Systems) all detected fraudulent activities/attempted fraudulent activities carried out on an Account.</p>		
Z3.3.12	R1	Mandatory
<p>The Service Provider shall ensure that the recorded fraudulent activities/attempted fraudulent activities are displayed on the Enforcement Operations Systems and/or Business Operations Systems each time the Account is opened/activated by a User.</p>		
Z3.3.13	R1	Mandatory
<p>The Service Provider shall ensure that the display of the recorded fraudulent/attempted fraudulent activities alerts the User (e.g. an on-screen 'pop up' alert).</p>		
Z3.3.14	R1	Mandatory
<p>The Service Provider shall maintain and update the detected fraudulent activities/attempted fraudulent activities log ensuring that all newly detected fraudulent/attempted fraudulent activities are recorded as soon as they occur.</p>		
Z3.3.15	R1	Mandatory
<p>The Service Provider shall refer to and consider the information in the corresponding detected fraudulent activities/attempted fraudulent activities log when processing charge-backs and Refunds for an Account.</p>		
Z3.3.16	R1	Mandatory
<p>The Service Provider shall provide annual internal fraud detection and prevention training to all Service Provider's Personnel involved with processing payments.</p>		

Z3.3.17	R1	Mandatory
MIS		
The Service Provider shall obtain authorisation from TfL before making Refund payments that are above the Refund threshold specified by TfL.		
<b>3.4 Accounts Receivable</b>		
Z3.4.1	R1	Mandatory
MIS		
The Service Provider shall accurately record all receipts for all Schemes as accounts receivable in the finance system.		
Z3.4.2	R1	Mandatory
The Service Provider shall ensure that, where batch processing is undertaken, there are sufficient and adequate controls, such as the use of batch totals and segregation of duties (e.g. segregating banking from reconciliation processes), applied to ensure the completeness and accuracy of input.		
Z3.4.3	R1	Mandatory
MIS		
The Service Provider shall ensure any payment processed is traceable to the original transaction.		
Z3.4.4	R1	Mandatory
MIS		
The Service Provider shall have the facility to trace dishonoured cheques and/or charge-backs (disputed card payments) received to the source transaction(s).		
Z3.4.5	R1	Mandatory
The Service Provider shall provide methods of debt recovery in the event of dishonoured cheques and/or charge-backs.		

Z3.4.6	R1	Mandatory
<p>The Service Provider shall be liable for any charge-backs, where the card issuer does not provide requested monies, resulting from its failure to comply with the terms and conditions of the Service Provider’s card validation agreement with TfL.</p>		
Z3.4.7	R1	Mandatory
<p>The Service Provider shall ensure that processes are implemented to deal with partial payments against debts, in line with a payment priority sequence as determined by TfL.</p>		
Z3.4.8	R1	Mandatory
<p>The Service Provider shall have processes to account for and recover underpayments where the shortfall exceeds the threshold amount agreed with TfL.</p>		
Z3.4.9	R1	Mandatory
<p>The Service Provider shall ensure that where payment is received that exceeds the required amount, the residual balance is Refunded to the Customer within one (1) Working Day of receipt of the Payment. The Service Provider shall inform TfL of such Refunds.</p>		
Z3.4.10	R1	Mandatory
<p>The Service Provider shall provide a summary report of debtors after each accounting period and once the general ledger and debtor accounts have been reconciled.</p>		
<p><b>3.5 Accounts Payable</b></p>		
Z3.5.1	R1	Mandatory
MIS		
<p>The Service Provider shall ensure that all payments including payments of Refunds to</p>		



Customers are recorded accurately as accounts payable in the finance system.		
Z3.5.2	R1	Mandatory
The Service Provider shall implement processes to ensure that the policies and controls relating to the accounts payable and payments shall include transaction and value-based authorisations.		
Z3.5.3	R1	Mandatory
The Service Provider shall process all Enforcement Operations and Business Operations Refunds up to and including a Parameterised amount in accordance with appendix 33: Refund Policy and appendix 6: Returns Policy respectively.		
Z3.5.4	R1	Mandatory
<p>The Service Provider shall ensure that any Refunds are only made for:</p> <ul style="list-style-type: none"> <li>• overpayments or duplicate payments resulting from an error of the Service Provider or Core IT System; and</li> <li>• overpayments above the threshold, which have been agreed with TfL.</li> </ul>		
Z3.5.5	R1	Mandatory
<p>The Service Provider shall implement processes to ensure the finance system identifies, records and correctly amounts in line with UK Generally Accepted Accounting Principles (UK GAAP) for, but not limited to:</p> <ul style="list-style-type: none"> <li>• full Refunds;</li> <li>• partial Refunds;</li> <li>• Refunds covering a future period;</li> <li>• Refunds of deferred income; and</li> </ul>		

<ul style="list-style-type: none"> <li>good-will payments.</li> </ul>		
<b>3.6 Cash Book</b>		
Z3.6.1	R1	Mandatory
<p>The Service Provider shall, if it has elected to use the Merchant Acquirer, in accordance with schedule 32: Revenue Collection and Payment, comply with the terms and conditions of TfL's Merchant Acquirer Agreement including, but not limited to, all reasonable opportunities presented to safeguard against fraudulent transactions.</p>		
<b>3.7 Reporting</b>		
Z3.7.1	R1	Mandatory
<p>The Service Provider shall provide financial reports and journals relating to each period to TfL by the end of day one (1) of the subsequent period.</p>		
Z3.7.2	R1	Mandatory
MIS		
<p>The Service Provider shall provide the following reports to TfL:</p> <ul style="list-style-type: none"> <li>income and expenditure (profit and loss accounts) – periodic basis;</li> <li>income analysis - periodic basis;</li> <li>receipts and payments - daily and weekly;</li> <li>income reconciliation – periodic basis;</li> <li>balance sheet and trial balance – periodic basis;</li> <li>bank reconciliation - daily and periodic basis;</li> <li>bank adjustments - daily and periodic basis;</li> <li>receipts to bank reconciliation - daily and periodic basis;</li> </ul>		

- aged debtors (PCN/Fleet/other) – periodic basis;
- failed receipts report - weekly and periodic basis;
- receipts and payments – periodic basis;
- deferred income and Fleet prepayments – periodic basis;
- Fleet debtors eighty (80) + days – periodic basis;
- overpayments - periodic basis; and
- unidentified receipts - periodic basis.

**4 SYSTEM SUPPORT AND MAINTENANCE**

**Introduction**

This section details requirements for the System support and maintenance. Support and maintenance must be performed in order to ensure the Service Systems meet and continue to meet the Service Levels and the Functional Requirements. The requirements in this section include planned support services, maintenance activities and improvements to the Service.

**4.1 System Support & Maintenance**

Z4.1.1	R1	Mandatory

The Service Provider shall document and operate processes for configuration management, Asset management, Incident management, Release Management and Change Management during the Term and in accordance with the Agreement.

Z4.1.2	R1	Mandatory

The Service Provider shall provide a key service manager (one (1) each for the Business Operations and Enforcement Operations Service Elements) whom shall attend IT change board meetings from time to time as required by TfL.

Z4.1.3	R1	Mandatory

The Service Provider shall provide dual Data links from BOps and EOps to the Core IT System as required.

Z4.1.4	R1	Mandatory

The Service Provider shall ensure that there is no single point of failure within the Service Elements, except where approved by TfL.		
<b>4.2 Support Services</b>		
Z4.2.1	R1	Mandatory
MIS		
<p>The Service Provider shall use appropriate tools to monitor and manage the Systems performance, including, but not limited to:</p> <ul style="list-style-type: none"> <li>• System availability;</li> <li>• Interface performance;</li> <li>• server load; and</li> <li>• network load.</li> </ul>		
Z4.2.2	R1	Mandatory
The Service Provider shall ensure that Planned Downtime takes place in accordance with Clause 23.2, unless agreed otherwise with TfL.		
Z4.2.3	R1	Mandatory
The Service Provider shall ensure that no System downtime occurs when System maintenance is undertaken, unless previously agreed and scheduled with TfL.		
Z4.2.4	R1	Mandatory
The Service Provider shall carry out service management in accordance with Good Industry Practice and without limitation to the generality of the foregoing, in accordance with the ITIL (Information Technology Infrastructure Library) standards.		

Z4.2.5	R1	Mandatory
<p>The Service Provider shall design the support and maintenance services, and any elements of it provided by Sub-Contractors, to ensure that the Service Provider complies with the Service Levels throughout the Term.</p>		
Z4.2.6	R1	Mandatory
<p>The Service Provider shall ensure that only suitably qualified Personnel are employed to provide the support and maintenance services. This shall include any Personnel employed by any Sub-Contractors or under short-term contract to the Service Provider or any Sub-Contractors.</p>		
Z4.2.7	R1	Mandatory
<p>The Service Provider shall provide documented procedures for maintenance and support the Services for approval by TfL. The Service Provider shall review these procedures when changes are made to the Services, update as required and provide to TfL for approval.</p>		
Z4.2.8	R1	Mandatory
<p>The Service Provider shall comply with all relevant regulations and standards during installation and maintenance of the Service Systems unless otherwise agreed with TfL in writing, including without limitation any regulations and standards listed in section 5 Standards, Working Practices and Principles.</p>		
Z4.2.9	R1	Mandatory
<p>The Service Provider shall provide a support plan detailing what Support Services they will provide to TfL and to Other Service Providers.</p>		

Z4.2.10	R1	Mandatory
<p>The Service Provider shall produce release notes for each release of Software and/or Hardware and make them available to TfL on request.</p>		
Z4.2.11	R1	Mandatory
<p>Release notes shall include a description of any new or amended functionality, any known Errors remaining in the release, and any operational workarounds required due to those Errors.</p>		
Z4.2.12	R1	Mandatory
<p>The Service Provider shall ensure that regular preventative maintenance is carried out across the whole of the System.</p>		
Z4.2.13	R1	Mandatory
<p>The Service Provider shall maintain a plan of regular preventative maintenance activities for at least a six (6) Month forward period in accordance with clause 23: Systems, Support and Maintenance.</p>		
Z4.2.14	R1	Mandatory
<p>The Service Provider shall provide the plan of regular preventative maintenance activities to TfL for approval in accordance with clause 23: Systems, Support and Maintenance.</p>		
Z4.2.15	R1	Mandatory

<p>The Service Provider shall agree any extraordinary maintenance activities that are additional to the agreed plan of regular maintenance with TfL at least two (2) days or at TfL’s discretion prior to carrying out the maintenance activities.</p>		
Z4.2.16	R1	Mandatory
<p>The Service Provider shall, at TfL’s request, attend meetings at least every six (6) Months, plus additional meetings at TfL’s discretion, with TfL, Other Service Providers, Third Parties and Sub-Contractors at a location of TfL’s choice, to discuss issues with and potential improvements to the Service Systems.</p>		
Z4.2.17	R1	Mandatory
<p>The Service Provider shall record all maintenance actions carried out by the Service Provider in the Operational Log which shall be signed daily by the member of the Service Provider’s Personnel responsible for managing the provision of the Operational Services on that day.</p>		
Z4.2.18	R1	Mandatory
<p>The Service Provider shall provide TfL with Monthly reports on all maintenance activities undertaken in the previous Month.</p>		
Z4.2.19	R1	Mandatory
<p>The Service Provider shall ensure that all Hardware, Software and equipment used as part of the Service Systems is maintained at a supported production release.</p>		



<b>5 STANDARDS, WORKING PRACTICES &amp; PRINCIPLES</b>		
<b>Introduction</b>		
This section covers those requirements relating to the standards, working practices and principles of the organisations listed, to which the Service Provider shall adhere in providing the Services.		
<b>5.1 General</b>		
Z5.1.1	R1/R2	Mandatory
The Service Provider shall use programme management and Development Methodologies which either follow an industry standard or are well documented and can be demonstrated to follow Good Industry Practice.		
Z5.1.2	R1/R2	RFI
<i>[This requirement has been removed because it was an RFI]</i>		
Z5.1.3	R1/R2	RFI
<i>[This requirement has been removed because it was an RFI]</i>		
Z5.1.4	R1/R2	Mandatory
The Service Provider shall design the Service Systems to comply with the principles contained within:		
<ul style="list-style-type: none"> <li>• appendix 40: Solution Architecture;</li> <li>• appendix 38: TfL High Level Design; and</li> <li>• appendix 41: Interface Specification.</li> </ul>		
Z5.1.5	R1	Mandatory

<p>The Service Provider shall adhere to the standards and working practices of internationally recognised organisations as referenced in Table 1 and Table 2 below, 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.</p>		
<b>Table 1 – Organisations</b>		
<i>BSI</i>	<i>British Standards Institution</i>	
<i>NEMA</i>	<i>National Electrical Manufacturers Association</i>	
<i>EIA</i>	<i>Electronic Industries Alliance</i>	
<i>ISO</i>	<i>International Organisation for Standardisation</i>	
<i>IET</i>	<i>Institution of Engineering and Technology</i>	
<i>TfL</i>	<i>Transport for London</i>	
<b>Table 2 – Standards</b>		
<i>BS7799</i>	<i>Code of Practice for Information Security Management</i>	
<i>BS7671</i>	<i>The IET Wiring Regulations</i>	
<i>BS ISO/IEC 6592</i>	<i>Guidelines for the documentation of computer-based application Systems</i>	
<i>BS EN ISO 9000-3</i>	<i>Guidelines for the application of ISO 9001:2000 to the development, supply, installation and maintenance of computer software</i>	
<i>BS EN 60950</i>	<i>Specification for safety of information technology equipment, including electrical business equipment</i>	
<i>BS EN 60529</i>	<i>Specification for degrees of protection provided by</i>	

	enclosures (IP codes)
BS EN 60073	Basic and safety principles for man-machine interface, marking and identification. Coding principles for indication devices and actuators
BS ISO/IEC 6592	Guidelines for the documentation of computer-based application Systems

<b>6 QUALITY ASSURANCE, RISK MANAGEMENT AND CHANGE CONTROL</b>		
<b>Introduction</b>		
This section covers those requirements relating to Quality Assurance, risk management, Version Control, Change Management, release management and Configuration Control.		
<b>6.1 General</b>		
Z6.1.1	R1/R2	Mandatory
The Service Provider shall nominate a Quality Controller to be approved by TfL.		
Z6.1.2	R1/R2	Mandatory
The Service Provider shall nominate and enforce a Quality Assurance methodology to be approved by TfL.		
Z6.1.3	R1/R2	RFI
<i>[This requirement has been removed because it was an RFI]</i>		
Z6.1.4	R1/R2	Mandatory
The Service Provider shall nominate and enforce a risk management methodology to be approved by TfL.		
Z6.1.5	R1/R2	RFI
<i>[This requirement has been removed because it was an RFI]</i>		
Z6.1.6	R1/R2	Mandatory

The Service Provider shall develop a Quality Plan, in accordance with schedule 3: Milestones and Deliverables, that:		
<ul style="list-style-type: none"> <li>ensures that all aspects of the Services are the subject of quality management systems; and</li> <li>is consistent with ISO 9001:2005 or any standard which is generally recognised as being equivalent to it.</li> </ul>		
Z6.1.7	R1/R2	Mandatory
The Service Provider shall obtain TfL's written approval of the Quality Plan prior to implementing it.		
Z6.1.8	R1/R2	Mandatory
The Service Provider shall provide the Services in compliance with the Quality Plan.		
Z6.1.9	R1/R2	Mandatory
The Service Provider shall agree and implement any Changes to the Quality Plan with TfL in accordance with schedule 9: Change Control Request Procedure.		
Z6.1.10	R1/R2	Mandatory
TfL may carry out audits of the Service Provider's quality management systems (including Quality Plans and any quality manuals and procedures) from time to time. TfL shall also reserve the right to audit the Service Provider's design or operational capability together with but not limited to all associated Documentation.		
<b>6.2 Configuration Control</b>		
Z6.2.1	R1/R2	Mandatory

The Service Provider shall maintain all components of the Service Systems under Configuration Control in accordance with Good Industry Practice.		
<b>6.3 Change Management</b>		
Z6.3.1	R1/R2	Mandatory
The Service Provider shall provide appropriate resources to run and participate in the Joint Change Board.		
Z6.3.2	R1/R2	Mandatory
The Joint Change Board shall meet Monthly or as otherwise agreed between the parties from time to time. TfL reserves the right to participate in any meetings and retains full power of approval.		
Z6.3.3	R1/R2	Mandatory
The Service Provider shall provide appropriate resources to carry out design consultancy, development, Testing and release management to support IT-related Changes and maintenance activities. For the avoidance of doubt this includes Software, Hardware and Firmware.		
Z6.3.4	R1/R2	RFI
<i>[This requirement has been removed because it was an RFI]</i>		
<b>6.4 Version Control</b>		
Z6.4.1	R1/R2	Mandatory
The Service Provider shall nominate and enforce a Version Control Process and Version Control System to be approved by TfL.		
Z6.4.2	R1/R2	RFI

<i>[This requirement has been removed because it was an RFI]</i>		
Z6.4.3	R1/R2	Mandatory
<p>The Service Provider shall store and maintain all files necessary to build the Service Systems, or any sub-component of the Service Systems, within the Version Control System. This shall include, but not be limited to:</p> <ul style="list-style-type: none"> <li>• the Design Documents;</li> <li>• Source Code;</li> <li>• Configuration Files;</li> <li>• Build Files;</li> <li>• Application Libraries; and</li> <li>• the development Environment.</li> </ul>		
Z 6.4.4	R1/R2	Mandatory
<p>The Service Provider shall ensure that the Version Control System permits the retrieval of a list of all known versions of any given file, whether current or historical, and permits the retrieval of any known version of the file.</p>		
Z6.4.5	R1/R2	Mandatory
<p>The Service Provider shall ensure that the Version Control System provides the facility to perform differential analysis between at least two (2) versions of any given file, or between two (2) different files.</p>		
Z6.4.6	R1/R2	Mandatory

<p>The Service Provider shall ensure that the Version Control System is multi-User aware, and records against each file stored within it at least the following information:</p> <ul style="list-style-type: none"> <li>• the User who submitted the file version;</li> <li>• the date and time of the submission; and</li> <li>• a free-text comment entered by the submitting User at time of submission.</li> </ul>		
Z6.4.7	R1/R2	Mandatory
<p>The Service Provider shall ensure that the Version Control Process permits the generation of branches within a file’s version history, to enable maintenance work to continue within the process whilst active development continues unaffected; this shall be supported as necessary by the Version Control System.</p>		
Z6.4.8	R1/R2	Mandatory
<p>The Service Provider shall ensure that the Version Control Process and Version Control System support integrate with the Software Release management process in such a way that there is an automated means of identifying and retrieving all files which contributed to a given Software Release and that it is then possible to rebuild that Software Release precisely.</p>		
<p><b>6.5 Software Release Management</b></p>		
Z6.5.1	R1/R2	Mandatory
<p>The Service Provider shall nominate and enforce a Software Release management process to be approved by TfL.</p>		
Z6.5.2	R1/R2	Mandatory



<p>The Service Provider’s Software Release management process for Software Releases shall include but not be limited to Hardware, Software, and Configuration Items and all changes to Parameters and processes.</p>		
Z6.5.3	R1/R2	Mandatory
<p>The Service Provider’s Software Release management process shall ensure that only items under the control of the Version Control Process, or their exclusive derivatives, are included in any Software Release. For this purpose it shall be deemed that a process is a derivative of the corresponding process Documentation and an item of Hardware is a derivative of its entries in the Asset management System.</p>		
Z6.5.4	R1/R2	Mandatory
<p>The Service Provider shall ensure that all items involved in the delivery of the Services are under the control of the Software Release management process, and these items shall only be updated by means of Software Release.</p>		
Z6.5.5	R1/R2	Mandatory
<p>The Service Provider shall ensure that a Software Release is fully defined before it may be requested for deployment to an Environment.</p>		
Z6.5.6	R1/R2	Mandatory
<p>The Service Provider’s Software Release management process shall assure that a Software Release may only be deployed to an Environment after appropriate approval has been obtained. In the case of the production Environment, only TfL may grant this prior approval.</p>		
Z6.5.7	R1/R2	Mandatory

<p>If the Software Release is required as a result of an Emergency Change, and the Service Provider is unable to gain the necessary approval for deployment from TfL, the Service Provider shall seek retrospective approval from TfL at the earliest possible opportunity.</p>		
Z6.5.8	R1/R2	RFI
<p><i>[This requirement has been removed because it was an RFI]</i></p>		
Z6.5.9	R1/R2	Mandatory
<p>The Service Provider shall ensure that the Software Release management process tracks, for each Software Release, at least the following items:</p> <ul style="list-style-type: none"> <li>• a unique identifier;</li> <li>• the identity of any individual involved in the Workflow surrounding a deployment, including but not limited to requesting, approving or executing it; and</li> <li>• the dates on which the Software Release was deployed to any Environment.</li> </ul>		

<b>7 TESTING AND PROVING</b>		
<b>Introduction</b>		
<p>This section covers those requirements relating to Testing and Proving including Test process and test Environments and should be read in conjunction with schedule 4: Testing Regime and schedule 3: Milestones and Deliverables.</p>		
<b>7.1 General</b>		
Z7.1.1	R1/R2	Mandatory
<p>The Service Provider shall carry out Testing in accordance with schedule 4: Testing Regime.</p>		
Z7.1.2	R1/R2	Mandatory
<p>The Service Provider shall provide all Test Documentation including but not limited to Test Strategy, Test Plans, Test Specifications and Test Reports, for the approval of TfL in accordance with schedule 3: Milestones and Deliverables and schedule 4: Testing Regime.</p>		
Z7.1.3	R1/R2	Mandatory
<p>The Service Provider shall perform all Testing in accordance with Good Industry Practice.</p>		
Z7.1.4	R1/R2	Mandatory
<p>The Service Provider shall perform all Testing in compliance with Data Protection Laws.</p>		
Z7.1.5	R1/R2	Mandatory

<p>The Service Provider shall ensure that all Data used during Testing is stored, processed and deleted securely in accordance with appendix 13: Information Compliance Processes.</p>		
<p><b>7.2 Test Environments</b></p>		
Z7.2.1	R1/R2	Mandatory
<p>The Service Provider shall provide a test system and links to the Core IT System along with associated test/acceptance functions.</p>		
Z7.2.2	R1/R2	Mandatory
<p>The Service Provider shall provide suitable test Environments for development and Testing of the Service Systems during the Implementation Phase and Operational Phase.</p>		
Z7.2.3	R1/R2	Mandatory
<p>The Service Provider shall ensure that at least one (1) of the test Environments is representative of the operational Environment such that realistic Tests of performance and functionality can be performed during the Implementation Phase and Operational Phase.</p>		
<p><b>7.3 Test Process</b></p>		
Z7.3.1	R1/R2	Mandatory

<p>The Service Provider may, in accordance with schedule 4: Testing Regime, load and stress Test each constituent part of the System independently provided that the combination of results produced proves that the end-to-end solution will function at the Core IT, Business Operations and Enforcement Operations R1 and R2 scenario 1 steady-state implementation volumes whilst taking into account the impact of bow-wave volumes, given reasonable Hardware upgrades. Replication and resilience features may be excluded from load and stress tests where they are agreed by TfL to not affect the results of the Tests executed.</p>		
Z7.3.2	R1/R2	Mandatory
<p>The Service Provider shall give TfL a minimum of seven (7) days' notice of any Testing activities that TfL has requested to witness or otherwise inspect, and shall ensure that TfL's Representatives are present when the Tests are executed unless otherwise agreed with TfL.</p>		
Z7.3.3	R1/R2	Mandatory
<p>The Service Provider shall provide TfL with full access to all Test Documentation, all test Environments and all Test Data for the purposes of witnessing and reviewing the Testing undertaken in accordance with schedule 4: Testing Regime.</p>		
Z7.3.4	R1/R2	Mandatory
<p>The Service Provider shall provide TfL Representatives with the facilities necessary to witness and evaluate the Testing. This shall include desks, telephones, modem or external network access, and any other Hardware or Software necessary to inspect the Incident Log, Test records or outputs.</p>		
Z7.3.5	R1/R2	Mandatory

The Service Provider shall carry out Incident management and resolution during Testing in accordance with the Incident management and resolution requirements set out in this Statement of Requirements and in schedule 10: Contract Management and Reporting.

<b>8 SECURITY</b>		
<b>Introduction</b>		
This section covers those requirements relating to security including the Security Policy, anti-Virus scanning and protection, infrastructure, facilities and building security, audit trails and access to Systems and Data. Requirements relating to the Security Policy are contained within schedule 14: Security Policy.		
<b>8.1 Security Policy and Management</b>		
Z8.1.1	R1/R2	Mandatory
The Service Provider shall provide and implement a Security Plan that conforms to schedule 14: Security Policy and to prevailing industry recognised security standards.		
Z8.1.2	R1/R2	Mandatory
The Service Provider shall review the Security Plan on a regular basis (and in any event at least once per year) and ensure that the Security Plan is kept up to date in accordance with schedule 14: Security Policy.		
Z8.1.3	R1/R2	Mandatory
The Service Provider shall nominate a Security Manager to be approved by TfL.		
Z8.1.4	R1/R2	Mandatory
The Service Provider's Security Manager shall provide a security management service to monitor, enforce, maintain and enhance all aspects of the Security Policy.		
Z8.1.5	R1/R2	Mandatory

The Service Provider shall allocate appropriately qualified resources to enforce the Security Policy.		
Z8.1.6	R1/R2	Mandatory
The Service Provider shall provide security reports detailing any security breaches to TfL at periodic intervals to be agreed with and on request by TfL.		
Z8.1.7	R1/R2	Mandatory
<p>Within forty eight (48) hours of the resolution of a Security Incident, the Service Provider shall provide a detailed report to TfL. This report shall detail:</p> <ul style="list-style-type: none"> <li>• the Incident event;</li> <li>• the causes and consequences of the Incident;</li> <li>• the actions taken to handle the Incident and timeframes applicable to resolution of the Incident; and</li> <li>• actions to prevent recurrence of the Incident.</li> </ul>		
<b>8.2 Anti-Virus Scanning and Protection</b>		
Z8.2.1	R1/R2	Mandatory
The Service Provider shall develop, implement and maintain processes and procedures to protect the Services Systems from Viruses, spyware and other potentially destructive devices, and to manage the impact of such attacks in accordance with Good Industry Practice.		
Z8.2.2	R1/R2	Mandatory
The Service Provider shall maintain the latest versions of leading industry protection Software to address risks of Virus or unauthorised System access.		
Z8.2.3	R1/R2	Mandatory



The Service Provider shall ensure that protection Software updates are implemented on at least a daily basis to ensure the maximum possible protection is provided to TfL.		
Z8.2.4	R1/R2	Mandatory
The Service Provider shall provide induction and ongoing training for all Personnel in the processes and procedures used to protect the Services Systems from Viruses, spyware and other potentially destructive devices, and to manage the impact of such attacks in accordance with Good Industry Practice.		
Z8.2.5	R1/R2	Mandatory
The Service Provider shall ensure that the anti-Virus and protection procedure manuals are readily available in soft and hard copy to all Personnel.		
Z8.2.6	R1/R2	Mandatory
The Service Provider shall notify TfL of any event relating to protecting the Services Systems from Viruses, spyware and other potentially destructive devices, and rectify the issue at no additional cost to TfL.		
<b>8.3 Infrastructure Security</b>		
Z8.3.1	R1/R2	Mandatory
The Service Provider shall ensure that all networks provided by the Service Provider are secure and protected from Unauthorised Access.		
Z8.3.2	R1/R2	Mandatory
The Service Provider shall ensure that TfL Confidential Information and Personal Data transmitted over public networks is encrypted and transmitted securely.		

Z8.3.3	R1/R2	Mandatory
The Service Provider shall ensure that all transfers of Data between the Service Provider and Third Parties are secure.		
Z8.3.4	R1/R2	Mandatory
The Service Provider shall commission, to be agreed with and at no cost to TfL, an independent external audit at least once per year to check compliance with the Security Policy. The audit shall include execution of independent external penetration testing based upon independent analysis of the risk of vulnerabilities. The Service Provider shall carry out such testing during Ready for Service Testing, during the Security audit, and following any major changes to the Infrastructure at TfL's request.		
Z8.3.5	R1/R2	Mandatory
The Service Provider shall construct the Service Systems such that unexpected or erroneous Data inputs are handled in such a way that there is no exposure of the underlying program code or memory contents.		
<b>8.4 Facilities and Building Security</b>		
Z8.4.1	R1/R2	Mandatory
The Service Provider shall ensure that User access into secure areas shall be automatically recorded and logged. The Service Provider shall retain the logs in accordance with appendix 14: Data Retention.		
Z8.4.2	R1/R2	Mandatory
The Service Provider shall deny physical access to its Systems to individuals without appropriate and specific authorisation, to be agreed with TfL.		

Z8.4.3	R1/R2	Mandatory
<p>The Service Provider's Personnel shall comply with TfL's internal regulations, including those relating to security arrangements as notified to the Service Provider from time to time when engaged on TfL's Premises or Business Continuity Premises. In the event of any conflict between this Agreement and TfL's internal regulations, this Agreement shall take precedence.</p>		
Z8.4.4	R1/R2	Mandatory
<p>The Service Provider shall ensure that the layout and furnishings of secure areas minimise opportunities for concealment of items or persons.</p>		
<p><b>8.5 Personnel Security</b></p>		
Z8.5.1	R1/R2	Mandatory
<p>The Service Provider shall make appropriate and relevant security checks of potential Service Provider Personnel prior to the commencement of employment in any part of the Services. The depth of such checks shall reflect the roles and responsibilities to which Personnel will be assigned and shall be agreed with TfL.</p>		
Z8.5.2	R1/R2	Mandatory
<p>The Service Provider shall provide training for all Personnel providing any aspects of the Services in security processes and procedures at induction and shall provide on-going training to ensure that all of its Personnel are fully aware of security requirements and are able to put these into practice.</p>		
<p><b>8.6 Security Clearance</b></p>		
Z8.6.1	R1/R2	Mandatory

The Service Provider shall develop, maintain and apply security clearance processes and procedures in accordance with Good Industry Practice.		
Z8.6.2	R1/R2	Mandatory
The Service Provider shall apply security clearance procedures to all Service Provider Personnel and other visiting personnel.		
<b>8.7 Access to Systems and Data</b>		
Z8.7.1	R1/R2	Mandatory
The Service Provider shall ensure that the identity of Users is securely authenticated before using any Services Systems or Services.		
Z8.7.2	R1/R2	Mandatory
The Service Provider shall ensure that access to and use of all Service Systems is subject to appropriate authorisation according to accepted Good Industry Practice for secure installations.		
Z8.7.3	R1/R2	Mandatory
The Service Provider shall agree policies for maintaining the security of all passwords with TfL, and shall enforce all agreed policies.		
Z8.7.4	R1/R2	Mandatory
The Service Provider shall ensure that the Service Systems prevents unauthorised Personnel from making changes to configurations, Parameters and reference Data.		
Z8.7.5	R1/R2	Mandatory

<p>The Service Provider shall provide functionality for authorised administrators to create User roles with defined access permissions to Data and Service Systems functionality. The authorised administrator shall then be able to assign roles to individual Users. Permissions shall include, but are not limited to the following:</p> <ul style="list-style-type: none"> <li>• read access to a specific subset of the Data;</li> <li>• write access on a specific subset of the Data; and</li> <li>• changes to specific configuration, Parameters or Reference Data.</li> </ul>		
Z8.7.6	R1/R2	Mandatory
<p>The Service Provider shall ensure that only authorised administrators have access to the mechanism used to define User roles and to assign Users to those roles.</p>		
Z8.7.7	R1/R2	Mandatory
<p>The Service Provider shall grant Users the minimum access permissions required to perform their job role and responsibilities.</p>		
Z8.7.8	R1/R2	Mandatory
<p>The Service Provider shall allocate permissions to its Personnel at its own risk.</p>		
Z8.7.9	R1/R2	Mandatory
<p>The Service Provider shall immediately disable a User's logon and access rights when a User ceases to be a member of the Service Provider's or TfL's Personnel.</p>		
Z8.7.10	R1/R2	Mandatory
<p>The Service Provider shall globally disable internet access for its Personnel except where required on an individual basis.</p>		

Z8.7.11	R1/R2	Mandatory
<p>The Service Provider shall provide TfL with details as to why, and specifically for what, internet access is required in each case. If TfL requests Internet access, these details shall not be necessary.</p>		
Z8.7.12	R1/R2	Mandatory
<p>The Service Provider shall ensure that internet access shall be for business purposes only.</p>		
Z8.7.13	R1/R2	Mandatory
<p>The Service Provider shall design, document, test and enforce a procedure for rendering unreadable all media that are no longer operational (including, but not limited to, optical disks, floppy disks, hard disk drives, solid-state storage and tapes) such that the Data cannot be accessed by any means. This procedure shall be approved by TfL.</p>		
Z8.7.14	R1/R2	Mandatory
<p>The Service Provider shall carry out a security audit on all of its Systems in accordance with Good Industry Practice.</p>		
Z8.7.15	R1/R2	Mandatory
<p>The Service Provider shall securely delete all Data at the expiry of its retention period, in accordance with appendix 14: Data Retention such that deleted Data cannot be accessed by any User, intruder or member of the public. Data held on paper shall be securely shredded and Data held on fixed hard disks shall be deleted using tested deletion scripts.</p>		
Z8.7.16	R1/R2	Mandatory

<p>In the event that a member of its Personnel is dismissed, the Service Provider shall ensure that all security devices and access cards are taken from the individual and they are escorted from the Premises immediately.</p>		
<p><b>8.8 Audit Trails</b></p>		
Z8.8.1	R1/R2	Mandatory
<p>The Service Provider shall log all transactions and all other actions completed on the Service Systems with details of the individual User or System process responsible for the transaction or action. This shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• access to or mutation of specific subsets of the Data;</li> <li>• User authentication requests; and</li> <li>• execution of specific programs.</li> </ul>		
Z8.8.2	R1/R2	Mandatory
<p>The Service Provider shall provide all logs as stated in Z8.8.1 to TfL in an electronic format upon request.</p>		
Z8.8.3	R1/R2	Mandatory
<p>The Service Provider shall monitor and log all external network access. This shall include a record of all incoming and outgoing traffic. Data, shall be stored for one (1) Month and all network access logs shall be stored for two (2) years.</p>		
Z8.8.4	R1/R2	Mandatory
<p>The Service Provider shall record all status information received from the Service Systems in a System Log. This shall include identification of the component, the status code or event and the time and date of the Information.</p>		

Z8.8.5	R1/R2	Mandatory
<p>The Service Provider shall maintain a User Audit Log, which logs details of all transactions and actions undertaken by a User on the Service Systems. This shall include but not be limited to:</p> <ul style="list-style-type: none"> <li>• all User sign-ons and sign-offs to the Service Systems (together with the access level of the role used for the sign-on);</li> <li>• password changes;</li> <li>• all changes to reference Data or other Parameters;</li> <li>• the action taken;</li> <li>• the action’s status (success or failure);</li> <li>• the Data modification made;</li> <li>• the date and time of the action;</li> <li>• the username; and</li> <li>• the workstation location from which the action was taken.</li> </ul> <p>The scope of the User Audit Log shall be agreed with TfL.</p>		
Z8.8.6	R1/R2	Mandatory
<p>The Service Provider shall retain the System Log and the User Audit Log in accordance with appendix 14: Data Retention.</p>		
Z8.8.7	R1/R2	Mandatory
<p>The Service Provider shall ensure that the System Log and User Audit Log are accessible and easily searchable by authorised Service Provider Personnel, authorised TfL Personnel and authorised agents via a standard System User Interface.</p>		
Z8.8.8	R1/R2	RFI



<i>[This requirement has been removed because it was an RFI]</i>		
Z8.8.9	R1/R2	Mandatory
The Service Provider shall store all Messages and Message responses for all Interfaces set out in appendix 41: Interface Specification for no less than three (3) Months unless otherwise agreed with TfL.		
Z8.8.10	R1/R2	Mandatory
The Service Provider shall provide the ability to configure the level of audit logging and any reduction in logging levels must be agreed with TfL.		
Z8.8.11	R1/R2	Mandatory
<p>The Service Provider shall only provide the following types of access to the audit log files:</p> <ul style="list-style-type: none"> <li>• append access only – granted to the audit logging Software; and</li> <li>• read access only – granted to Users who are authorised to access the User Audit Log files.</li> </ul>		

<b>9 OPERATIONAL PROCESSES AND PROCEDURES</b>		
<b>Introduction</b>		
This section covers those requirements relating to Operational Processes and Procedures including shutdown / start-up and System back-up.		
<b>9.1 System Shutdown / Start-up Processes</b>		
Z9.1.1	R1/R2	Mandatory
The Service Provider shall develop, maintain and follow a documented procedure for Operational Services start-up and shut-down. If it becomes necessary to deviate from the procedure, the Service Provider shall raise the Incident as a Service Issue.		
Z9.1.2	R1/R2	RFI
<i>[This requirement has been removed because it was an RFI]</i>		
Z9.1.3	R1/R2	Mandatory
The Service Provider shall ensure sufficient Personnel are trained in following the Operational Services shut down and start up procedures to enable execution at any time.		
Z9.1.4	R1/R2	Mandatory
The Service Provider shall raise all unscheduled shut down or loss of any Operational Services, for any reason, as a Service Issue Severity 1.		
Z9.1.5	R1/R2	Mandatory
The Service Provider shall perform regular Tests, no less than annually, to ensure Operational Services shut down and start up procedures operate correctly.		

<b>10 SYSTEMS MANAGEMENT</b>		
<b>Introduction</b>		
<p>This section covers those requirements relating to Systems management. Systems management refers to the management of the Service Systems including monitoring of the Hardware, Software, applications and networks. The requirements in this section include System monitoring alarms, diagnostics and logging of Systems management actions.</p>		
<b>10.1 General</b>		
Z10.1.1	R1/R2	Mandatory
<p>The Service Provider shall follow a recognised Systems management process which shall be agreed with TfL.</p>		
Z10.1.2	R1/R2	Mandatory
<p>The Service Provider shall provide a comprehensive Systems management System with the capability to monitor the status of all components of the Service Elements and Infrastructure and to raise alarms in the event of component failure, System performance degradation or any other potential issues that might adversely affect the operation or performance of the Services.</p>		
Z10.1.3	R1/R2	RFI
<p><i>[This requirement has been removed because it was an RFI]</i></p>		
Z10.1.4	R1/R2	Mandatory
<p>The Service Provider shall manage the Services to meet availability requirements, performance requirements and all other Service Levels contained in this Agreement.</p>		

Z10.1.5	R1/R2	Mandatory
The Service Provider shall manage the Services to ensure that they meet and continue to meet the Functional Requirements.		
Z10.1.6	R1/R2	Mandatory
The Service Provider shall log all Systems management tasks that are performed, whether documented in the processes and procedures or not, in the Operational Log, including both automated tasks and manual tasks.		
Z10.1.7	R1/R2	Mandatory
The Service Provider shall not carry out any System management actions without a documented procedure. Where a required action is not documented in a procedure, the Service Provider shall log the action in the Operational Log before action is allowed to be taken, and update the processes and procedures to reflect the action taken.		
Z10.1.8	R1/R2	Mandatory
The Service Provider shall ensure that System monitoring alarms are stored in a format that can be read by TfL without using proprietary tools.		
Z10.1.9	R1/R2	Mandatory
The Service Provider shall ensure that all Systems monitoring alarms are recorded in the System Log.		
Z10.1.10	R1/R2	Mandatory

<p>The Service Provider’s Systems management System shall provide comprehensive diagnostics in order to facilitate troubleshooting of problems or failures. The Service Provider shall record these diagnostics in the System Log.</p>		
Z10.1.11	R1/R2	Mandatory
<p>The Service Provider shall ensure that the System diagnostics run continuously twenty four (24) hours a day, seven (7) days a week and any alarms are immediately raised on the System management System.</p>		
Z10.1.12	R1/R2	Mandatory
<p>The Service Provider shall ensure that all Systems diagnostic messages and alarms provide at least the following information:</p> <ul style="list-style-type: none"> <li>• precise date and time;</li> <li>• name or ID of the affected component; and</li> <li>• status message.</li> </ul>		
Z10.1.13	R1/R2	Mandatory
<p>The Service Provider shall ensure that the Support Personnel are notified of alarms in order to maintain the Service Levels in this Agreement.</p>		
Z10.1.14	R1/R2	Mandatory
<p>The Service Provider shall provide mechanisms to ensure that alarms from the Systems management System can be received by nominated Support Personnel at any Premises and at any time.</p>		
Z10.1.15	R1/R2	Mandatory

The Service Provider shall provide read-only access to the Systems management System at TfL Premises.		
Z10.1.16	R1/R2	RFI
<i>[This requirement has been removed because it was an RFI]</i>		
Z10.1.17	R1/R2	Mandatory
The Service Provider shall provide a Service Element NTP Time Server and synchronise the System clocks of all Service Element Systems with this server.		
Z10.1.18	R1/R2	Mandatory
The Service Provider shall synchronise the Business Operations and Enforcement Operations Service Element NTP Time Servers with the Core IT Service Element.		
Z10.1.19	R1/R2	Mandatory
In the event that the Core IT Service Element NTP Time Server is unavailable the Service Provider shall provide a GPS receiver and synchronise their NTP Time Server with the GPS signal.		
Z10.1.20	Additional Services	Mandatory
The Service Provider shall enable transfer of Data into TfL's SAP System.		

<b>11 INCIDENT MANAGEMENT AND RESOLUTION</b>		
<b>Introduction</b>		
<p>This section covers those requirements relating to Incident management and resolution during the Implementation Phase and Operational Phase. This includes the classification of Incidents, the allocation of Severity Levels and the Incident Log.</p>		
<b>11.1 General</b>		
Z11.1.1	R1/R2	Mandatory
<p>The Service Provider shall be responsible for the resolution of all Incidents affecting the Services.</p>		
Z11.1.2	R1/R2	Mandatory
<p>The Service Provider shall be responsible for working with Other Service Providers, in accordance with Clause 18: Co-operation with TfL and Others, to resolve Incidents where the failure may lie outside the scope of the Services or where a failure may impact an Other Service Provider’s operations.</p>		
Z11.1.3	R1/R2	Mandatory
<p>The Service Provider shall define and implement escalation procedures for resolution of Incidents where these are, or are suspected to be, related to the Systems of other Service Elements, Third Parties’ Systems or the Interfaces to them.</p>		
Z11.1.4	R1/R2	Mandatory
<p>Where an Incident is considered by the Service Provider to result from a failure outside the scope of the Services, the Service Provider shall provide supporting evidence upon making the claim, to the satisfaction of TfL, to the party considered responsible and to TfL. Until such agreement is reached, the responsibility of the Incident shall remain with the Service Provider.</p>		

Z11.1.5	R1/R2	Mandatory
<p>The Service Provider shall bear the cost of any work undertaken by a Third Party in order to resolve an Incident within the scope of the Services where the Service Provider has failed to perform this work itself.</p>		
Z11.1.6	R1/R2	Mandatory
<p>The Service Provider shall maintain an Incident Log of all Service Issues raised against the Service Provider's System or Services. The Service Provider shall minimise the number of Incident Logs in order to facilitate visibility and management of the Incidents.</p>		
Z11.1.7	R1/R2	Mandatory
<p>The Service Provider shall provide and document the processes, mechanisms and tools to be used to manage all Incidents, including the role of TfL in Incident resolution as set out in schedule 10: Contract Management and Reporting.</p>		
Z11.1.8	R1/R2	Mandatory
<p>The Service Provider shall document, maintain and apply procedures for management and resolution of Incidents including the reporting of Incidents by Third Parties and liaison with Other Service Providers, Sub-Contractors and other Third Parties. The Service Provider shall provide these procedures to TfL for approval.</p>		
Z11.1.9	R1/R2	Mandatory
<p>The Service Provider shall provide and maintain an electronic Incident Log in which all Incidents shall be logged as they arise and before they are evaluated.</p>		
Z11.1.10	R1/R2	Mandatory



The Service Provider shall provide TfL with direct read-only access to the electronic Incident Log on request.		
Z11.1.11	R1/R2	Mandatory
The Service Provider shall provide TfL with full extracts of the Incident Log including full details of specific Errors, Service Issues, Security Incidents, Performance Indicator Incidents, Changes and other Incidents in either electronic or paper format.		
Z11.1.12	R1/R2	Mandatory
The Service Provider will nominate an Incident resolution and problem manager for each Incident in relation to the Services.		
Z11.1.13	R1/R2	Mandatory
The Service Provider shall log the corrective actions taken to resolve Incidents in the Incident Log.		
Z11.1.14	R1/R2	Mandatory
The Service Provider shall classify Incidents as Errors, Service Issues, Changes, Security Incidents, Performance Indicator Incidents, Documentation faults, or otherwise closed where the Incident is deemed to be in none of these classifications.		
Z11.1.15	R1/R2	Mandatory
The Service Provider shall raise any Incidents resulting in a loss of Services as Severity 1.		
Z11.1.16	R1/R2	Mandatory

The Service Provider shall raise any Incidents resulting from loss of redundancy within the Service Systems as Severity 2.		
Z11.1.17	R1/R2	Mandatory
<p>The Service Provider shall resolve, rectify and close Errors, Service Issues and Security Incidents within the following timescales according to their Severity Level:</p> <ul style="list-style-type: none"> <li>• Severity 1 – four (4) hours;</li> <li>• Severity 2 – twenty four (24) hours;</li> <li>• Severity 3 – ten (10) days;</li> <li>• Severity 4 – next scheduled Software Release in the case of Errors or as agreed with TfL in the case of Service Issues; and</li> <li>• Severity 5 – next convenient Software Release in the case of Errors or as agreed with TfL in the case of Service Issues.</li> </ul>		
Z11.1.18	R1/R2	Mandatory
<p>The Service Provider shall only close an Incident when:</p> <ul style="list-style-type: none"> <li>• in the case of Errors, corrective action has been completed and tested according to the agreed maintenance procedures and the agreed Test Strategy, and released into production systems;</li> <li>• in the case of Service Issues, the Service Issue has been resolved to TfL’s satisfaction or it is agreed with TfL that no corrective action is required; or</li> <li>• the resolution of the Incident is agreed by TfL to be a Change and recorded in the Change Log.</li> </ul>		
Z11.1.19	R1/R2	Mandatory

The Service Provider shall analyse the Incident Log to identify common recurring Service Issues, Errors, Security Incidents and Performance Indicator Incidents and take action to prevent their re-occurrence.		
Z11.1.20	R1/R2	Mandatory
Where appropriate, the Service Provider shall schedule preventative maintenance to address such Errors, Service Issues, Security Incidents and Performance Indicator Incidents as part of the regular maintenance plan.		
Z11.1.21	R1/R2	Mandatory
The Service Provider shall progress Incidents classified as Changes via the Change Control Request Procedure or via the IT Change Process, as appropriate, and shall close these Incidents in the Incident Log.		
Z11.1.22	R1/R2	Mandatory
The Service Provider shall classify Errors, Service Issues and Security Incidents by the Severity of the impact of the Error, Service Issue or Security Incident on provision of the Services. Severity Levels for Errors, Service Issues and Security Incidents are given in schedule 1: Definitions.		
Z11.1.23	R1/R2	Mandatory
The Service Provider shall report any Severity 1 or Severity 2 Incidents to TfL within ten (10) minutes of the time at which the Incident occurs via the agreed Communication Plan.		
Z11.1.24	R1/R2	Mandatory

<p>The Service Provider shall re-evaluate any Incident jointly with TfL at TfL’s request. In the event of dispute over the classification of an Incident or the assignment of a Severity Level, it shall be referred to the next Project Review Meeting. If agreement cannot be reached at the Project Review Meeting then the Service Provider shall follow TfL’s instructions on the classification of the Incident and/or assignment of a Severity Level.</p>		
Z11.1.25	R1/R2	Mandatory
<p>Where the Service Provider is unable to resolve an Incident within the resolution time periods specified for its Severity Level, then the Service Provider shall inform TfL in writing and propose the actions to be taken to resolve the Incident.</p>		
Z11.1.26	R1/R2	Mandatory
<p>The Service Provider shall provide a weekly Incident report to TfL prior to the Project Review Meeting. This shall include:</p> <ul style="list-style-type: none"> <li>• a description of all Incidents arising in the previous week, together with their classification and their Severity Level in the case of Service Issues, Errors and Security Incidents;</li> <li>• a status report on all open Incidents; and</li> <li>• a description of the resolution of all Incidents closed during the previous week.</li> </ul>		

<b>12 DOCUMENTATION</b>		
<b>Introduction</b>		
<p>This section covers those requirements relating to Documentation. This includes system Documentation and operational Documentation. Requirements applying to both are contained in the general section. This should be read in conjunction with schedule 3: Milestones and Deliverables.</p>		
<b>12.1 General</b>		
Z12.1.1	R1/R2	Mandatory
<p>The Service Provider shall provide, for review by TfL, all Documentation described in schedule 3: Milestones and Deliverables and schedule 4: Testing Regime and all other Documentation requested by TfL.</p>		
Z12.1.2	R1/R2	Mandatory
<p>The Service Provider shall agree a schedule for the provision of all Documentation for review by TfL. The schedule shall include adequate review time and assume no less than two (2) revisions of each document. This schedule shall avoid the simultaneous release of documents to achieve a practical review workload.</p>		
Z12.1.3	R1/R2	Mandatory
<p>The Service Provider shall maintain all Documentation to reflect the ongoing Changes to the Services, or to correct or improve the Documentation.</p>		
Z12.1.4	R1/R2	Mandatory

<p>The Service Provider shall maintain and store all Documentation under Version Control according to Good Industry Practice. The Version Control Processes and tools shall be described in the Quality Plan and shall conform to the requirements set out in the Version Control section of this Common Statement of Requirements.</p>		
Z12.1.5	R1/R2	Mandatory
<p>The Service Provider shall address any review actions or comments raised by TfL within a reasonable timescale to be agreed with TfL unless explicitly stated in this Agreement. Where agreement by both parties to Documentation is required, TfL reserves the right to withhold its agreement in the event that review actions or comments are not addressed to TfL’s satisfaction.</p>		
Z12.1.6	R1/R2	Mandatory
<p>The Service Provider shall provide Documentation to TfL in both electronic and paper format as requested by TfL.</p>		
Z12.1.7	R1/R2	Mandatory
<p>The Service Provider shall provide electronic copies of Documentation in either Microsoft Office (Word, Visio, Excel or PowerPoint) or PDF format as requested by TfL.</p>		
Z12.1.8	R1/R2	Mandatory
<p>The Service Provider shall include an electronic copy of all Documentation, unless agreed in advance with TfL in writing, on a Documentation library CD(s) which shall be issued to TfL’s IT Manager no less than once per quarter year.</p>		
Z12.1.9	R1/R2	Mandatory

<p>The Service Provider shall send all paper copies of Documentation within ten (10) days of any update, to TfL's IT Manager, by appropriate means to satisfy required security classification.</p>		
<p><b>12.2 System Documentation</b></p>		
Z12.2.1	R1/R2	Mandatory
<p>The Service Provider shall ensure that all system Documentation is sufficient for a Third Party with the requisite technical background to reconstruct the Service Systems from the Software Source Code and/or (COTS) components, the operating System Software and the Hardware.</p>		
Z12.2.2	R1/R2	Mandatory
<p>The Service Provider shall ensure that all Documentation is sufficient for a technician familiar with the technologies to perform all necessary support, maintenance and enhancement tasks for the Hardware and/or Software making up the Service Systems.</p>		
Z12.2.3	R1/R2	Mandatory
<p>The Service Provider shall ensure that bespoke Software is fully documented and the Software and Documentation shall be available for inspection at any time by TfL.</p>		
Z12.2.4	R1/R2	Mandatory
<p>The Service Provider shall share design and technical Documentation relating to Interfaces with the Connected Parties, or any prospective Connected Party as specified by TfL.</p>		
<p><b>12.3 Operational Documentation</b></p>		
Z12.3.1	R1/R2	Mandatory

<p>The Service Provider shall provide Operational Processes and Procedures Documentation for all tasks to be undertaken by the Service Provider or its Sub-Contractors or agents from the Operational Commencement Date. This shall, subject to any other items listed in this Agreement or referenced herein, comprise:</p> <ul style="list-style-type: none"><li>• procedures for operation of the Services; and</li><li>• procedures for maintenance and support of the Services.</li></ul> <p>These documents shall make reference to the Systems Documentation as required.</p>		



<b>13 EXIT PLANNING</b>		
<b>Introduction</b>		
This section covers those requirements relating to the Exit Plan. Additional requirements regarding the Service Provider's Exit Strategy, Exit Plan and Service Transfer Plan are contained within schedule 16: Exit Plan.		
<b>13.1 General</b>		
Z13.1.1	R1/R2	Mandatory
The Service Provider shall produce the Exit Plan for the approval of TfL in accordance with schedule 3: Milestones and Deliverables and schedule 16: Exit Plan.		
Z13.1.2	R1/R2	Mandatory
The Service Provider shall maintain the Exit Plan to take into account Changes to Services as necessary or as requested by TfL. All amendments shall be approved by TfL.		
Z13.1.3	R1/R2	Mandatory
The Service Provider shall review the Exit Plan at no more than six (6) Monthly intervals from the Operational Commencement Date and any other time as TfL or the Service Provider deems necessary.		
Z13.1.4	R1/R2	Mandatory
The Service Provider shall inform TfL of the outcome of the review and whether any necessary updates have been identified.		
Z13.1.5	R1/R2	Mandatory

<p>The Service Provider shall agree with TfL the scope and detail of any changes to the Exit Plan and shall submit the re-issued Exit Plan to TfL for approval.</p>		
Z13.1.6	R1/R2	Mandatory
<p>On request by TfL or on notification of termination, Partial Termination, or expiry of the Agreement, the Service Provider shall produce a Service Transfer Plan setting out the detailed activities, their timing and the named resources required for transfer of the Services to a New Service Provider in accordance with schedule 16: Exit Plan.</p>		
Z13.1.7	R1/R2	Mandatory
<p>The Service Provider shall issue the Service Transfer Plan within thirty (30) Working Days of the request by TfL or the notification of termination, Partial Termination or expiry of the Agreement, for review and approval by TfL.</p>		

<b>14 FACILITIES, PERSONNEL, STAFFING AND TRAINING</b>		
<b>Introduction</b>		
<p>This section lists the requirements related to the provision of facilities, including security, maintenance, accommodation and Post Room facilities. This section also covers requirements for Personnel (both the Service Provider’s and TfL’s), as well as their recruitment and training.</p>		
<b>14.1 Facilities</b>		
Z14.1.1	R1	Mandatory
<p>The Service Provider shall provide robust, highly available IT and telecommunication facilities.</p>		
Z14.1.2	R1	Mandatory
<p>The Service Provider shall provide Business Continuity Infrastructure and alternate operation facilities for the Business Operations and Enforcement Operations Service Elements.</p>		
Z14.1.3	R1	Mandatory
<p>The Service Provider shall ensure that all activities within the building captured by CCTV are digitally recorded onto suitable digital media such as CD-ROM or DVD. The designated TfL room is an exception to this rule since no CCTV coverage is required for this room except where requested by TfL.</p>		
Z14.1.4	R1	Mandatory

The Service Provider shall store used digital media for a minimum of six (6) Months before destruction.		
Z14.1.5	R1	Mandatory
The Service Provider shall ensure that the digital media is: <ul style="list-style-type: none"> <li>labelled clearly by the date and times of recording;</li> <li>stored in chronological order by recording date and time; and</li> <li>available for viewing at any time on demand by TfL or persons or bodies authorised by TfL (e.g. police and internal audit).</li> </ul>		
Z14.1.6	R1	Mandatory
The Service Provider shall ensure that only the Service Provider’s Personnel who are responsible for processing the immediate workload and are authorised to open and scan mail are permitted to be in the Post Room during post-opening times. Allowable exceptions are the Service Provider’s management Personnel, authorised TfL Personnel and audit service personnel for monitoring purposes only.		
Z14.1.7	R1	Mandatory
The Service Provider shall ensure that the facilities of the Post Room are conducive to ensure the highest security and confidentiality for Customers at all times and ensure that the following items (as an indication) are not allowed within the Post Room: <ul style="list-style-type: none"> <li>coats;</li> <li>bags; and</li> <li>pedestal units.</li> </ul>		
Z14.1.8	R1	Mandatory

The Service Provider shall provide secure facilities for the storage of personal belongings (including coats and bags) of those Personnel working within the Post Room.

Z14.1.9	R1	Mandatory

The Service Provider shall ensure that the Post Room contains appropriate furnishings such as wire pigeon holes and desks without shelving to allow maximum security for the storage and processing of mail.

Z14.1.10	R1	Mandatory

The Service Provider shall provide and support permanent, dedicated access (together with appropriate security measures and disabled access) at the Premises for fifty (50) TfL Personnel. The location and suitability of these facilities requires approval by TfL. The Service Provider shall provide the following facilities:

- desks;
- MS Office workstations;
- pedestal units;
- supporting Hardware;
- supporting Software;
- scanners;
- letter quality printers;
- fax;
- telephone;
- call recording platform;
- access to Service Provider’s Core IT System;
- ISDN lines;
- access to TfL network;

- high bandwidth network connections;
- access to suitable toilet, shower facilities and changing areas;
- lockable storage facilities for personal belongings, consumable items (e.g. stationery), and equipment;
- dedicated storage facilities for Case Files and other items of sensitivity;
- kitchen and communal rest areas including access to facilities for meal breaks and TfL Personnel briefings;
- dedicated and appropriate meeting rooms capable of holding twelve (12) people each;
- one (1) parking space for each authorised TfL Personnel member;
- sufficient parking spaces for visiting TfL Personnel; and
- use of on-site facilities, available to the Service Provider’s Personnel at the Premises.

Z14.1.11	R1	Mandatory

The Service Provider shall make such facilities (for TfL Personnel) available on a twenty four (24) hours basis, regardless of Contact Centre Working Hours, for the benefit of those authorised TfL Personnel on site outside of those Working Hours.

Z14.1.12	R1	Mandatory

The Service Provider shall provide TfL Personnel with all necessary security authorisations, passes and inductions to allow them to have access to all areas of the Service Provider’s Premises without hindrance.

Z14.1.13	R1	Mandatory

Without prejudice to clauses 10, 48 and 49, the Service Provider shall allow TfL to monitor the Service Provider’s compliance with its obligations under this Agreement without hindrance. This shall include allowing authorised TfL Personnel to enter the Service Provider’s or Sub-Contractor Premises used in the provision of the Services in

order to inspect operations, maintenance and equipment.		
Z14.1.14	R1	Mandatory
The Service Provider's Personnel shall comply with TfL's internal regulations, including those relating to security arrangements as notified to the Service Provider from time to time when engaged on TfL's Premises. In the event of any conflict between this Agreement and TfL's internal regulations, this Agreement shall take precedence.		
Z14.1.15	R1	Mandatory
The Service Provider shall obtain all necessary planning consents for accommodation and meet all costs associated with its maintenance, equipment and operation.		
Z14.1.16	R1	Mandatory
The Service Provider shall ensure that any leases entered into in respect of accommodation in relation to the Services are in its own name and secured for the Initial Term, any possible extension to the full Contract Term, or any other specified period as agreed with TfL.		
<b>14.2 Organisation</b>		
Z14.2.1	R1	Mandatory
The Service Provider's working practices shall conform to TfL's commitment to the Investors in People scheme initiative as stated in appendix 11: The IIP Standard.		
Z14.2.2	R1	Mandatory
The Service Provider shall ensure that its organisational structure allows focus on		

<p>excellence in customer service as well as compliance with the requirements of the Agreement including without limitation in accordance with schedule 5: Service Level Agreement.</p>		
Z14.2.3	R1	Mandatory
<p>The Service Provider shall structure its organisation to enable clear, accurate and regular communications between its Personnel and TfL's Personnel.</p>		
Z14.2.4	R1	Mandatory
<p>The Service Provider shall nominate person(s) responsible for the delivery of Services who shall be available for contact by TfL at all times.</p>		
Z14.2.5	R1	Mandatory
<p>The Service Provider shall advise TfL on a rolling weekly basis of the name(s) and contact details of the appointed person(s) responsible for the delivery of the Services and available for contact by TfL at all times.</p>		
<p><b>14.3 Service Provider Recruitment and Staffing</b></p>		
Z14.3.1	R1	Mandatory
<p>The Service Provider shall comply with all applicable Legislation including that relating to the employment of their Personnel.</p>		
Z14.3.2	R1	Mandatory
<p>The Service Provider shall provide job descriptions for those roles identified by the Service Provider to be necessary for the delivery of Services and agree these with TfL. At a minimum, this shall include job descriptions for those Key Personnel outlined in</p>		



schedule 11: Key Personnel.		
Z14.3.3	R1	Mandatory
<p>On request by TfL, the Service Provider shall provide job descriptions of its Personnel to TfL, including 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; and</li> <li>• minimum qualifications and experience necessary for the individual to fulfil the role.</li> </ul>		
Z14.3.4	R1	Mandatory
<p>The Service Provider shall provide suitably qualified and trained Personnel to deliver the Services for all Scheme areas. The Service Provider shall agree the selection criteria used for the recruitment of all Personnel with TfL.</p>		
Z14.3.5	R1	Mandatory
<p>The Service Provider shall ensure that the scope of the identified job roles contains minimal duplication of duties and clearly identifies the responsibilities and accountability for outputs and hand-offs.</p>		
Z14.3.6	R1	Mandatory
<p>The Service Provider shall ensure that Key Personnel have at least six (6) Months relevant work experience except if authorised by TfL in exceptional circumstances. All appointments of Key Personnel shall be subject to TfL's prior approval.</p>		
Z14.3.7	R1	Mandatory

The Service Provider shall notify TfL one (1) Month in advance of:

- all Service Provider’s Personnel appointments;
- all dismissals;
- all resignations; and
- all retirements.

The exceptions to these rules are abrupt dismissals and resignations or the resignation of Key Personnel, which may not require one (1) Month’s notice. The Service Provider shall notify TfL of such cases as soon as possible and in any event no later than two (2) Working Days from dismissal/resignation.

Z14.3.8	R1	Mandatory

The Service Provider shall carry out appropriate and relevant Personnel security checks, including checks of references of all potential employees, prior to them commencing employment in relevant parts of the Services.

Basic security checks include identity, Criminal Records Bureau check and credit check from a credit reference agency. The depth of such checks shall reflect the roles and responsibilities to which the Personnel will be assigned and shall be agreed in advance with TfL.

Z14.3.9	R1	Mandatory

The Service Provider shall ensure that its Personnel pay all necessary attention and take all due care to the politically sensitive environment of the Schemes.

Z14.3.10	R1	Mandatory

In the event of any of the Service Provider’s Personnel taking any action that might compromise the position of TfL, the Service Provider shall alert TfL within twenty four (24) hours of the action and provide details of their planned resolution of the case within

an appropriate timescale.		
Z14.3.11	R1	Mandatory
<p>The Service Provider shall inform TfL of any breaches or actions taken by any Personnel or Sub-Contractors of the Service Provider that could affect the provision of the Services or the Schemes or the Service Provider’s compliance with this Agreement. In addition, the Service Provider shall inform TfL of the remedial action to be taken to prevent similar issues re-occurring.</p>		
Z14.3.12	R1	Mandatory
<p>TfL reserves the right to request the removal of any of the Service Provider’s Personnel from the provision of the Services.</p>		
<b>14.4 Service Provider Personnel Training</b>		
Z14.4.1	R1	Mandatory
<p>The Service Provider shall provide all necessary induction and on-going training and supporting materials to all its Personnel for any changes required as a result of operating the Schemes. For the avoidance of doubt, this shall include, but not be limited to:</p> <ul style="list-style-type: none"> <li>• FAQs; intranet pages;</li> <li>• CSR screen guidance;</li> <li>• mail room item tracking and scanning;</li> <li>• Customer service;</li> <li>• Contact Centre guidelines; and</li> <li>• training and materials relevant to the operation of the Schemes.</li> </ul>		

Z14.4.2	R1	Mandatory
<p>The Service Provider shall submit all training, supporting materials and quality processes and procedures relating to the Schemes shall to TfL for approval at least six (6) weeks prior to use.</p>		
Z14.4.3	R1	Mandatory
<p>The Service Provider shall train both relevant TfL Personnel and its own Personnel in the same training sessions in respect of any change required as a result of operating the relevant Services.</p>		
Z14.4.4	R1	Mandatory
<p>The Service Provider shall prepare, deliver and maintain on an on-going basis appropriate training procedures for each of their teams as detailed in their proposed organisation structure. The Service Provider shall ensure that the training procedure is in accordance with the applicable Legislation.</p>		
Z14.4.5	R1	Mandatory
<p>On request by TfL, the Service Provider shall provide updated course materials to TfL for the purposes of training TfL Personnel.</p>		
Z14.4.6	R1	Mandatory
<p>The Service Provider shall ensure that all of its Personnel attend a formal induction course provided by the Service Provider.</p>		
Z14.4.7	R1	Mandatory

The Service Provider shall develop and carry out a formal induction course for its Personnel, the contents of which shall be subject to TfL's prior approval.		
Z14.4.8	R1	Mandatory
The contents of the Service Provider's induction course shall include but not be limited to:		
<ul style="list-style-type: none"> <li>• methods to ensure that the Service Provider's Personnel have a clear understanding of their duties and working hours; and</li> <li>• methods to ensure that the Service Provider's Personnel are able to use all necessary equipment and Systems competently and in a safe and efficient manner.</li> </ul>		
Z14.4.9	R1	Mandatory
The Service Provider shall provide training to CSRs. This training shall include but not be limited to:		
<ul style="list-style-type: none"> <li>• telephone skills;</li> <li>• assuring accuracy of Customer Data (e.g. PCN and VRM syntax check);</li> <li>• use of the phonetic alphabet for repeating Customer Data back to Customers;</li> <li>• Complaints handling skills in accordance with TfL's guidelines;</li> <li>• recognition of SARs and FOI Requests; and</li> <li>• processing PCN payments.</li> </ul>		
Z14.4.10	R1	Mandatory
The Service Provider shall incorporate and feedback on its performance to its Personnel on a regular basis (e.g. all incorrect decisions made regarding Representations and Appeals) in order to strengthen the accurate preparation of future cases.		
Z14.4.11	R1	Mandatory

<p>The Service Provider shall produce a detailed Training Plan (including timescales and course outlines) for TfL’s operational Personnel, and shall submit the Training Plan for TfL’s approval.</p>		
Z14.4.12	R1	Mandatory
<p>The Service Provider shall ensure that its Personnel have access to all relevant support Documentation.</p>		
Z14.4.13	R1	Mandatory
<p>On request by TfL, the Service Provider shall provide authorised TfL Personnel with access to attend training sessions provided by the Service Provider for the Service Provider’s Personnel to ensure the necessary standards of training are implemented on a consistent basis.</p>		
Z14.4.14	R1	Mandatory
<p>The Service Provider shall devise and implement training (including ongoing training, for the Service Provider’s Personnel and nominated TfL Personnel) on new technology, where a technology change is necessary for the provision of the relevant Scheme Services.</p>		
Z14.4.15	R1	Mandatory
<p>The Service Provider shall devise and implement training, including ongoing training for the Service Provider’s Personnel using trainers with proven knowledge and understanding of the following:</p> <ul style="list-style-type: none"> <li>• Data Protection Law issues, such as the application of Data Protection Laws and Customer’s rights thereunder;</li> </ul>		

- FOI Legislation issues, such as the application of FOI Legislation and Customer’s rights thereunder;
- Discrimination Legislation;
- equality and inclusion issues; and
- Computer Misuse Act 1990 issues, such as the application of that Act and the Service Provider’s obligations thereunder.

The Service Provider shall provide additional training and coaching to its Personnel based on the results of call monitoring and other feedback mechanisms.

Z14.4.16	R1	Mandatory

The Service Provider shall agree training with TfL, and revise training sessions to incorporate any future amendments to applicable Legislation.

**14.5 TfL Personnel and Training**

Z14.5.1	R1	Mandatory

The Service Provider shall provide Personnel authorised by TfL with unlimited viewing rights to all Systems and Documents relating to the Services.

Z14.5.2	R1	Mandatory

The Service Provider shall provide TfL’s PMAs with a read-only searching and viewing platform to enable them to have access to all the Service Provider’s Systems and Data.

Z14.5.3	R1	Mandatory

The Service Provider shall enable TfL’s PMAs to effectively and efficiently carry out their supporting activities which shall include, but not be limited to:

- Policy Guidance –Policy Guidance shall normally be provided in response to an escalated query from the Service Provider’s team;
- TfL approval and sign-off – PMAs shall be empowered to approve and complete sign-offs required by TfL;
- monitoring feedback – feedback will be provided by the PMAs at weekly meetings with the Service Provider;
- correspondence/Complaints – PMAs will be available to resolve escalated queries from Customer correspondence and complaints;
- training/coaching – PMAs will be available to provide training to CSRs and team leaders on an ad hoc basis as well as providing input to scheduled induction and development training; and
- process improvement - PMAs will assist in both identifying process improvements and guiding the Service Provider’s team managers through the implementation of new processes.

Z14.5.4	R1	Mandatory

The Service Provider shall provide further training sessions following the employment of new TfL Personnel or new Systems functionality.

Z14.5.5	R1	Mandatory

The Service Provider shall provide up to five (5) training sessions per year following the employment of new TfL Personnel or new Systems functionality. The timing of these sessions shall be agreed at least two (2) weeks in advance between TfL and the Service Provider.



<b>15 MANAGEMENT SERVICES</b>		
<b>Introduction</b>		
This section details the Management Services applicable to the Schemes.		
<b>15.1 General</b>		
Z15.1.1	R1	Mandatory
The Service Provider shall use a project management methodology to be agreed with TfL.		
Z15.1.2	Additional Services	Mandatory
The Service Provider shall carry out the Management Services, including managing the Managed Contracts from the Effective Date.		
Z15.1.3	Additional Services	Mandatory

The Service Provider shall carry out the Management Services, including but not limited to:

- monitoring the performance of the Managed Contract by the counterparties thereto;
- providing TfL with Monthly (or on such other periodic basis as TfL may require) written reports on each Managed Contractor's performance of the Managed Contracts, which reports shall identify, inter alia, any potential risks to the Services in connection with such performance, any trends in performance, and any other issues or concerns in connection with such performance;
- obtaining all necessary reports and information on each Managed Contractor's performance and sending the same to TfL;
- notifying all Managed Contractors and TfL in the event of deficient performance or default of a Managed Contractor under the Managed Contracts;
- notifying TfL and the Managed Contractors in the event of, and managing the effect on the Services of, any other issues or problems arising in the provision of the Services under the Managed Contract, including without limitation any loss of power supply or communications; and
- monitoring the testing process (if any) to be carried out by the Managed Contractors and promptly notifying TfL of any anticipated or actual delays to the achievement of milestones under the Managed Contracts.

**16 ADDITIONAL SERVICES****Introduction**

This section details the Additional Services which may be required by TfL in accordance with clause 28: Additional Services and schedule 33: Additional Services. Additional Services can include any potential extension of the Systems to support possible further charging schemes and/or extension of the Systems to support further technology improvements. The Service shall be capable of supporting any of the following options together with the flexibility to add future charging criteria. The methods of flexibility are to be jointly agreed with the Service Provider.

**16.1 Charging Options**

Z16.1.1	Additional Services	Mandatory

The Service Provider shall ensure that a Cordon Scheme can be applied. There shall be no charge for driving within the cordon provided the Vehicle does not cross the applicable boundary.

Z16.1.2	Additional Services	Mandatory

The Service Provider shall ensure that a multi-zonal area charge can be put into place as and when required. Civil enforcement schemes may be divided into two (2) or more charging areas and a charge shall apply to Vehicles that drive within either zone. Each zone may have a different charge associated with it.

Z16.1.3	Additional Services	Mandatory

The Service Provider shall ensure that a direction of travel charge can be applied which is varied depending upon the direction in which the Vehicle is travelling, i.e. into or out of the area or across a Cordon Scheme.

Z16.1.4	Additional Services	Mandatory
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<p>The Service Provider shall be capable of operating a time of day charging policy. The day shall be divided into a number of time bands and the charge shall be capable of being varied according to the band.</p>		
Z16.1.5	Additional Services	Mandatory
<p>The Service Provider shall be capable of supporting the application of Charge Payments at weekends, so that the Charge Payments may be applied on Saturday or Sunday, or both.</p>		
Z16.1.6	Additional Services	Mandatory
<p>The Service Provider shall be capable of supporting the application of Charge Payments by Vehicle type, so that the Charge Payments may be varied according to one (1) or more characteristics of the Vehicle.</p>		
Z16.1.7	Additional Services	Mandatory
<p>The Service Provider shall be capable of supporting the application of Charge Payments by emissions category, so that the Charge Payment may be varied according to the Vehicle emissions category. The introduction of Vehicle Emissions Related Charging would require the introduction of a service that informs Customers the emissions band that TfL has assigned their Vehicle and the Charge Payment due. This service would be made available via all existing channels, with the primary channels being Web, Contact Centre and Retail.</p>		
<b>16.2 Schemes</b>		
Z16.2.1	Additional Services	Mandatory

<p>The Service Provider shall be capable of supporting Remote Zones. A Remote Zone could be anywhere in the UK and could require full interoperability with one or more Schemes, utilising the Core IT System.</p>		
Z16.2.3	Additional Services	Mandatory
<p>The Service Provider shall be capable of operating a multi-lane free flow toll collection system across the Thames Gateway Bridge. It shall offer different tolls for cars, light and heavy goods vehicles, Resident's Discounts, exemptions and be flexible to manage traffic and environmental impacts.</p> <p>A concessionaire would be responsible for the construction and operation of the bridge. The Service Provider shall provide the registration, sales channels and enforcement services on behalf of TfL. It is anticipated that frequent users would use the same Tag as issued to Congestion Charging Customers and that TGB charges would be shown as a separate charge category on their Accounts. There would be differing registration criteria and the charging structure and enforcement would be against a different set of regulations but all other processes would be the same as for the Congestion Charging Scheme.</p>		

<b>17 REPORTING, PERFORMANCE MANAGEMENT AND AUDIT</b>		
<b>Introduction</b>		
<p>This section outlines the requirements related to reporting, including:</p> <ul style="list-style-type: none"> <li>• ad hoc reporting;</li> <li>• reports;</li> <li>• availability and access; and</li> <li>• support.</li> </ul> <p>This section should be read in conjunction with schedule 5: Service Level Agreement.</p>		
<b>17.1 General</b>		
Z17.1.1	R1	Mandatory
MIS		
<p>The Service Provider shall report its performance against the Performance Indicators on a daily (Parameterised) basis.</p>		
Z17.1.2	R1	Mandatory
MIS		
<p>The Service Provider shall make all Data (including Data from Sub-Contractors) available to the MIS System in a format approved by TfL and in a timescale specified in schedule 5: Service Level Agreement.</p>		
Z17.1.3	R1	Mandatory
<p>The Service Provider shall ensure that TfL can access all Data related to the Service Provider’s performance in accordance with schedule 5: Service Level Agreement.</p>		
Z17.1.4	R1	Mandatory

MIS		
<p>The Service Provider shall ensure that all Data relating to Performance Indicators are transferred to the Core IT MIS System in a time as specified in schedule 5: Service Level Agreement.</p>		
Z17.1.5	R1	Mandatory
MIS		
<p>Where Ad Hoc Reports are regularly requested, the Service Provider shall ensure that, at the request of TfL, it incorporates the Data used for the report into the regular transfer of Data to MIS.</p>		
Z17.1.6	R1	Mandatory
MIS		
<p>The Service Provider shall remedy errors in the Performance Reports and any Data transferred to the MIS System.</p>		
Z17.1.7	R1	Mandatory
<p>The Service Provider shall allow full access to TfL or its agents to the Performance Reports or any Data transferred to the MIS in order to conduct an audit in accordance with clause 49: Audit and Inspection.</p>		
<p><b>17.2 MIS</b></p>		
Z17.2.1	R1	Mandatory
<p>The Service Provider shall ensure that it produces:</p> <ul style="list-style-type: none"> <li>• Performance Indicator Reports relating to their performance; and</li> <li>• any Ad Hoc Reports as defined by TfL.</li> </ul>		

Z17.2.2	R1	Mandatory
The Service Provider shall use the same MIS Data as provided to the Core IT System to manage its own operational and financial performance.		
Z17.2.3	R1	Mandatory
The Service Provider shall provide a reporting tool used to produce and deliver the Ad Hoc and agreed Performance Indicator Reports to TfL.		
Z17.2.4	R1	Mandatory
The Service Provider shall ensure that the chosen reporting tool is determined through a joint evaluation exercise led by the Service Provider and approved by TfL.		
Z17.2.5	R1	Mandatory
The Service Provider shall ensure the choice of reporting tool is based on functional and non-functional requirements agreed with TfL.		
Z17.2.6	R1	Mandatory
The Service Provider shall implement a suite of web analysis tools to report on availability, Customer behaviour and web page usage of the Services Website.		
Z17.2.7	R1	Mandatory



The Service Provider shall ensure the outputs from the web analysis tools are approved by TfL prior to implementation.		
Z17.2.8	R1	Mandatory
The Service Provider shall provide all MIS Data/Ad Hoc Reports in a format specified by TfL.		
Z17.2.9	R1	FYI
TfL reserves the right to request a copy of all operational Data held by the Service Provider in either electronic or manual form.		
Z17.2.10	R1	Mandatory
The Service Provider shall supply all operational Data in line with the timing of regular reports requested by TfL.		
Z17.2.11	R1	Mandatory
The Service Provider shall produce reports suitable for printing weekly (Parameterised).		
Z17.2.12	R1	Mandatory
The Service Provider shall ensure that all report formats and content are agreed by TfL.		

Z17.2.13	R1	Mandatory
<p>The Service Provider shall produce functional specifications for each of the agreed Performance Indicator Reports. The specifications which must be approved with TfL, and shall include, but not be limited to, a definition in User terms:</p> <ul style="list-style-type: none"> <li>• of the source of the Data;</li> <li>• the script used to obtain the Data;</li> <li>• any exclusion of Data;</li> <li>• the transformation applied to the Data;</li> <li>• the presentation of the Data;</li> <li>• the process and tools used to generate the report; and</li> <li>• any input parameters to the report and report frequency if generated automatically.</li> </ul>		
Z17.2.14	R1	Mandatory
<p>The Service Provider shall notify TfL through a pre-defined Incident Report within one (1) Working Day (Parameterised) of the Incident, where an Incident occurs as well as providing and updating historical reports relating to this Incident.</p>		
Z17.2.15	R1	Mandatory
<p>The Service Provider shall provide TfL with any Ad Hoc Reports within forty eight (48) hours of the request being made unless agreed otherwise with TfL.</p>		
Z17.2.16	R1	Mandatory

The Service Provider shall design their Systems so that the CSR is required to assign a reason code in the event of changes being made to the following fields:

- title, first name and surname;
- company name;
- address including post code;
- daytime telephone number and mobile telephone number;
- e-mail address;
- VRM(s);
- make/model for each VRM;
- Tag IDs to be registered to the Account;
- debit/credit card details;
- PIN;
- Discount type;
- Account type;
- name of Organisation;
- trading name;
- type of business;
- expiry date for each VRM;
- type of proof;
- Blue Badge number;
- parking permit number;
- PCN number;
- Customer number;
- Monthly billing/payment date; and
- Account status.

These reason codes shall then be fed into the Core IT System as MIS Data.

**17.3 Reports (Performance Indicator Reporting)**

Z17.3.1	R1	Mandatory

The Service Provider shall provide all Performance Indicator Reports to the previous Month's performance in accordance with schedule 10: Contract Management and Reporting.		
Z17.3.2	R1	Mandatory
The Service Provider shall ensure that all Data required to accurately produce Performance Indicator Reports is retained as specified in appendix 14: Data Retention.		
Z17.3.3	R1	Mandatory
The Service Provider shall provide to TfL, on request by TfL, all supporting transactional Data that was used in a Service Failure Deduction calculation, at the same time as providing the related Performance Indicator Report.		
Z17.3.4	R1	Mandatory
In the event that any of the Performance Indicator Reports are determined to be incorrect by TfL, the Service Provider shall re-calculate the Service Failure Deductions for each Month that the report was incorrect. This shall include but not be limited to cases where Data held in the Business Operations System does not reflect reality, and this has led to inaccurate Data feeding into the Core IT System. For the avoidance of doubt, any recalculation of Service Failure Deductions will be over and above any Service Failure Deductions specifically incurred in relation to late or inaccurate reports.		
Z17.3.5	R1	Mandatory
The Service Provider shall provide Data to the MIS that provides metrics on the Workflow solution, such that the performance of business processes that utilise Workflow can be monitored and measured.		
Z17.3.6	R1	Mandatory

The Service Provider shall ensure that Performance Indicator Reports relating to the payment and Enquiry services measure all calls received by the Service Provider's telephone number(s).		
Z17.3.7	R1	Mandatory
<p>The Service Provider shall ensure that the total number of incoming calls detailed in the Performance Indicator Reports shall be equal to the following:</p> <ul style="list-style-type: none"> <li>• total calls dealt with wholly within the IVR;</li> <li>• total calls passed through the IVR and answered by a CSR;</li> <li>• total calls abandoned; and</li> <li>• total calls blocked.</li> </ul>		
Z17.3.8	R1	Mandatory
The Service Provider shall provide a report listing all of the calls which have been monitored and/or recorded within the Month, within two (2) Working Days after the end of each Month.		
Z17.3.9	R1	Mandatory
Where a call is recorded, the Service Provider shall provide evidence that appropriate feedback has been given in a timely fashion, within two (2) Working Days.		
<b>17.4 Availability and Access</b>		
Z17.4.1	R1	Mandatory
The Service Provider shall update the Central MIS Repository by 6am each day to reflect all transactions up to the midnight of the preceding day.		

Z17.4.2	R1	Mandatory
<p>The Service Provider shall ensure that all batch processes are completed before the transfer of Data to the Core IT System.</p>		
Z17.4.3	R1	Mandatory
<p>In the event of the reporting System being unavailable to TfL, the Service Provider shall have the ability and the obligation to create Ad Hoc Reports on TfL's behalf.</p>		
Z17.4.4	R1	Mandatory
<p>The Service Provider shall maintain records of all times and durations when any element of the transfer of Data to the Core IT System does not take place. This includes instances where agreed Performance Indicator Reports are not available by the specified time on the specified date.</p>		
<p><b>17.5 Support</b></p>		
Z17.5.1	R1	Mandatory
<p>The Service Provider shall use Data from the Business Operations System, the Enforcement Operations System and the Core IT System in order to produce the relevant Information needed for MIS.</p>		
Z17.5.2	R1	Mandatory

<p>The Service Provider shall fix any errors discovered after delivery in any of the specified Ad Hoc and Performance Indicator Reports, or within the Data, as soon as possible and shall be no later than twenty (20) days from discovery.</p>		
Z17.5.3	R1	Mandatory
<p>The Service Provider shall not miss a report delivery deadline unless permission is granted in advance by TfL. The Service Provider shall seek permission in advance with a written notice to TfL describing why the deadline cannot be met.</p>		
Z17.5.4	R1	Mandatory
<p>The Service Provider shall agree a deadline date with TfL for delivery of corrections to reports where delivery beyond the twenty (20) day limit is agreed.</p>		
Z17.5.5	R1	Mandatory
MIS		
<p>Where a report is not delivered as agreed the Service Provider shall follow, an escalation process.</p>		
Z17.5.6	R1	Mandatory
<p>The Service Provider shall ensure that all errors in Data and reports are fixed retrospectively so that TfL has access to correct historical Data in the MIS, and access to correct historical Ad Hoc and agreed Performance Indicator Reports.</p>		
<p><b>17.6 Audit</b></p>		
Z17.6.1	R1	Mandatory

The Service Provider shall upon request by TfL, allow TfL full access to conduct an audit in accordance with clause 49: Audit and Inspection. Areas that may be audited will include, but not be limited to:

- the method of report production and any Data transformations;
- queries and conditions used for Data extraction from Business Operations Systems and Enforcement Operations;
- reconciliation of source to target Data; and
- the transfer of Data to the Core IT System.

The Service Provider shall provide full co-operation with the audit including access to all relevant Documentation and Personnel.

Z17.6.2	R1	Mandatory

The Service Provider shall ensure that it implements and provides details of the audit methodology which it applies to monitor and control all business processes and hand-off to each business function.

Z17.6.3	R1	Mandatory

The Service Provider shall allow the monitoring and controlling methodology to be subject to continued review throughout the term of the Agreement.



<b>18 INTERFACES</b>		
<b>Introduction</b>		
This section covers those requirements relating to the Interfaces and should be read in conjunction with appendix 41: Interface Specification.		
<b>18.1 General</b>		
Z18.1.1	R1	Mandatory
The Service Provider shall provide the Interfaces in accordance with appendix 41: Interface Specification.		
Z18.1.2	R1	Mandatory
The Service Provider shall operate the Interfaces to the Service Levels defined in schedule 5: Service Level Agreement.		
Z18.1.3	R1	Mandatory
<p>The Service Provider shall prepare and document the functional and technical designs, the Test Strategy, the operators’ manuals and all other aspects of the Interface definition including but not limited to:</p> <ul style="list-style-type: none"> <li>• the content of the Data to be exchanged;</li> <li>• the format of the Data to be exchanged;</li> <li>• the static Data which are required to decipher the meaning of the Data exchanged;</li> <li>• the bearer protocols to be used;</li> <li>• any sequencing constraints or assumptions;</li> </ul>		

<ul style="list-style-type: none"> <li>• Error handling measures;</li> <li>• measures to ensure Data integrity;</li> <li>• the nature of Testing and the associated Test Data to be used; and</li> <li>• any other Information necessary for the Interface to operate correctly.</li> </ul>		
Z18.1.4	R1	Mandatory
<p>The Service Provider shall clarify any assumptions to be made in implementing any Interface within the Interface Specification.</p>		
Z18.1.5	R1	Mandatory
<p>The Service Provider shall continuously and automatically monitor all Interfaces. The monitoring shall include availability, throughput, performance, buffer usage, queue lengths, Hardware status, System alarms and warnings, and any other diagnostic Data provided by the Service Provider’s implementation of the Interfaces.</p>		
Z18.1.6	R1	Mandatory
<p>The Service Provider shall notify TfL and Connected Parties in advance of any Planned Downtime of Interfaces. The minimum period of notification shall be:</p> <ul style="list-style-type: none"> <li>• five (5) Working Days for Planned Downtime during Premium Service Hours; and</li> <li>• twenty four (24) hours for Planned Downtime outside of Premium Service Hours.</li> </ul>		
Z18.1.7	R1	Mandatory
<p>The Service Provider shall gain approval from TfL in advance of any Planned Downtime of Interfaces.</p>		

Z18.1.8	R1	Mandatory
The Service Provider shall request any Changes to the Interface Specification via the Change Control Request Procedure.		
Z18.1.9	R1	Mandatory
The Service Provider shall re-use existing Interfaces where possible and agreed through the Change Control Request Procedure.		
Z18.1.10	R1	Mandatory
The Service Provider shall participate from time to time in joint workshops with TfL and Third Parties to confirm the Detailed Design of any Interface or any new Interface on request by TfL.		
Z18.1.11	R1	Mandatory
The Service Provider shall design, test and operate all Interfaces with TfL and/or any Third Party on request by TfL in order to operate the Scheme(s).		
Z18.1.12	R1	Mandatory
The Service Provider shall design, test and operate all additional Interfaces defined via the Change Control Request Procedure with TfL and/or any Third Party in order to operate the Scheme(s).		
Z18.1.13	R1	FYI
TfL may, from time to time, add additional Interfaces to the Interface Specification via the		

Change Control Request Procedure.		
Z18.1.14	R1	FYI
TfL shall issue an updated Interface Specification to all Connected Parties following any changes to the Interface Specification.		
Z18.1.15	R1	Mandatory
The Service Provider shall implement the Interfaces to ensure compatibility with prior versions of any defined Interface.		
Z18.1.17	R1	Mandatory
The Service Provider shall ensure that all of its Interfaces with other Solution Elements, and its Interfaces to and from Third Parties are e-GIF compliant.		
Z18.1.18	R1	Mandatory
<p>The Service Provider shall ensure that where it is deemed impractical to achieve or maintain e-GIF compliance for all of its Interfaces with other Solution Elements and its Interfaces to and from Third Parties they shall fully document and submit to TfL:</p> <ul style="list-style-type: none"> <li>• what alternative will be put in place instead of an e-GIF compliant solution;</li> <li>• the reason why e-GIF compliance is not possible;</li> <li>• if and how this non-compliance can be overcome at a future date; and</li> <li>• evidence to support this.</li> </ul>		
Z18.1.16	R1	RFI
<i>[This requirement has been removed because it was an RFI]</i>		



<b>19 WEBSITE</b>		
<b>Introduction</b>		
This section covers those requirements relating to the provision of services through the Services Website.		
<b>19.1 General</b>		
Z19.1.1	R1	Mandatory
The Service Provider shall ensure that the web pages for which they are responsible are designed, maintained and developed to World Wide Web Consortium 'AAA' standards and that all web affecting changes are checked for possible usability issues (or equivalent for future proofing).		
Z19.1.2	R1	Mandatory
The Service Provider shall ensure that the web pages for which they are responsible are viewable to and useable by both PC and Mac Users.		
Z19.1.3	R1	Mandatory
The Service Provider shall ensure that the web pages for which they are responsible are developed and maintained so that browser types (being ninety five percent (95% of any of the types accessing the site on any day on which the Service Provider's compliance with this requirement is checked) can access and use the site without problems.		
Z19.1.4	R1	Mandatory
The Service Provider shall ensure that they provide the functionality to update any of the		

pages they are responsible for with emergency information that can issue advice to Customers in the event of an emergency e.g. 7th July London bombing.		
Z19.1.5	R1	Mandatory
MIS		
<p>The Service Provider shall provide links as required from every web page for which they are responsible to website pages maintained by other parties including but not limited to:</p> <ul style="list-style-type: none"> <li>• TfL;</li> <li>• Other Service Providers; and</li> <li>• Other Third Parties as specified by TfL from time to time.</li> </ul> <p>The Service Provider shall provide such links at no additional cost to TfL.</p>		
Z19.1.6	R1	Mandatory
<p>The Service Provider shall ensure that the web pages for which they are responsible shall allow addition or removal of pages within one (1) day's notice. It shall be assumed that all links would require no less than a thumbnail GIF or JPEG image to be associated with the link.</p>		
Z19.1.7	R1	Mandatory
<p>The web pages for which the Service Provider is responsible for shall form an integral and effective part of TfL's integrated transport plan and other similar relevant Scheme(s) that may exist or be introduced from time to time at both a local and national level.</p>		
Z19.1.8	R1	Mandatory
MIS		

The Service Provider shall be responsible for the design, implementation and ongoing hosting, management, maintenance and security of web pages for which they are responsible.		
Z19.1.9	R1	Mandatory
MIS		
The Service Provider shall ensure that visitors to the Service Provider's web pages from Other Service Providers' web pages or other TfL sites experience a seamless transition both to and from the web pages supplied by the Service Provider.		
Z19.1.10	R1	Mandatory
The Service Provider shall present the Customer with the Data Protection Notice for acknowledgement prior to any online submission of the Customer's Personal Data including payment details.		
Z19.1.11	R1	Mandatory
The Service Provider shall ensure that the web pages for which they are responsible provides a link to the applicable privacy policy and web use terms and conditions (available on the TfL website) where personal data is captured from a Customer.		
Z19.1.12	R1	Mandatory
MIS		
The Service Provider shall provide and operate the facility for Customers to submit an Enquiry or Complaint to the Service Provider via email through a web-based form located on the Services Website. Such a facility shall also enable the Customer to upload or attach scanned images and documents such as Microsoft Word or Excel spreadsheets.		
Z19.1.13	R1	Mandatory



<p>The Service Provider shall ensure that the Enquiry and/or Complaint web-based form shall request a return contact point (email address, telephone, or postal address) and shall carry out logic checks to ensure that this has been entered and is of a valid format.</p>		
Z19.1.14	R1	Mandatory
<p>When an Enquiry is made via email, the Service Provider shall provide to the Customer a receipt of email message identifying the expected service response time.</p>		
Z19.1.15	R1	Mandatory
MIS		
<p>The Service Provider shall access and respond to all Customer emails. The Service Provider shall treat Customer emails as Customer Enquiries and the Service Provider shall process Customers' emails in accordance with the Performance Indicators detailed in schedule 5: Service Level Agreement.</p>		