Enforcement Operations Agreement

Schedule 2

Interoperability

Statement of Requirements

Table of Contents

STATEMENT OF REQUIREMENTS

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

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

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

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

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

- Requirement number;
- Mandatory or Request For Information (RFI); and
- Requirement detail.

Example of Layout of Statement of Requirements

IC1.1.1		Mandatory
Individual requirements are located from here onwards.		

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

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

Where a new requirement has been created it may have a letter added at the end of the requirement number, for example IC4.1.1b. The letter has been added to the requirement to ensure correct sequencing; it does not indicate a sub-requirement.

1. INTEROPERABILITY REQUIREMENTS

1.1. Interaction - Telephony

This section sets out the requirements for managing the transfer of calls between the Business Operations Contact Centre, and the Enforcement Operations Contact Centre.

1.2. Enforcement and Business Operations Requirements

IC.1.1		Mandatory

The Service Provider shall ensure that its Contact Centre System has the capability to transfer calls from its Contact Centre, to the IVR of the Other Solution Element Contact Centre.

IC.1.2		Mandatory

The Service Provider shall ensure that its Contact Centre System has the capability to allocate transferred calls received from the Other Solution Element Contact Centre to an IVR queue of its Contact Centre. The details of the proposed queues must be

submitted to TFL in writing for prior Approval.		
IC.1.3		Mandatory
The Service Provider shall ensure that its Contact Centre System has the capability to Warm Transfer calls from its Contact Centre to a direct line in the Other Solution Element Contact Centre.		
IC.1.4		Mandatory
The Service Provider shall ensure that its Contact Centre System has the capability to move and re-prioritise calls received from the Other Solution Element Contact Centre to the front of the call queue for direct line transfers.		
IC.1.5		Mandatory
The Service Provider shall ensure that all call recordings are available to, and searchable by, the Other Solution Element and TfL.		

IC.1.6		Mandatory
The Service Provider shall ensure that all call recordings are accessible by both the Other Solution Element and TfL.		
IC.1.7		Mandatory
The Service Provider shall ensure that the telephone number of the relevant Customer is linked to all Customer call recordings (including calls transferred from the Other Solution Element).		
IC.1.8		Mandatory
The Service Provider shall ensure that all Customer call recordings are searchable based on the telephone number linked to that Customer call recording.		

2. ACCESS TO BUSINESS OPERATIONS ACCOUNT INFORMATION

This section sets out the requirements for making information in the Business Operations System available to Enforcement Operation Users for the purpose of enabling Enforcement Operation Users to manage Customer enquiries.

IC.2.1		Mandatory

The Service Provider shall ensure Enforcement Operation Users have read-only access to information from the Other Solution Elements' Operational IT System(s) via the relevant Service System Interface. This is required to enable the Enforcement Operations Service Provider to perform activities including the following:

- handling CC PCN Enquiries and Complaints;

- processing CC Representations;

- processing CC Appeals;

- handling CC specific Bailiff related enquiries; and

- any scenario which requires interaction with the Business Operations Service Provider and it's Operational IT System(s).

Enforcement Operations Requirements			Business Operations Requirements		
IE.2.1		Mandatory	IB.2.1		Mandatory
The Enforcement Service Provider shall ensure that Enforcement Operations Users have read-only access to the Other Solution Elements Operational IT System(s) via the relevant Service System Interface as set out in appendix 23: Interface Catalogue.			The Business Operations Service Provider shall ensure that Enforcement Operations Users have read-only access to information in the Operational IT System(s). The features and functionality of such mechanism are to be submitted to TfL in writing for Assurance prior to implementation, and once Assured shall comply with the proposal.		
IE.2.2		Mandatory	IB.2.2		Mandatory
The Enforcement Service Provider shall ensure that Enforcement Operations Users can search in all data fields of information in the Other Solution Elements Operational IT System.			The Business Operations Service Provider shall ensure that Enforcement Operations Users can search in all data fields of information in the Operational IT System(s).		

IE.2.3		Mandatory	IB.2.3		Mandatory
The Enforcement Service Provider shall ensure that all Enforcement Operations Users can access in real-time all information stored in the Other Solution Elements Operational IT System(s).			The Business Operations Service Provider shall ensure that all Enforcement Operations Users have real-time access to all information stored in the Operational IT System(s).		
			IB.2.4		Mandatory
			The Business Operations Service Provider shall ensure that the Operational IT System(s) has the capability to restrict information that Enforcement Operations' Operational Users are able to access.		

IE.2.4		Mandatory	IB.2.5		Mandatory
The Enforcement Operations Service Provider shall ensure that all Enforcement Operational Users can download and save information from the Other Solution Elements Operational IT System(s) to the Notice Processing Service System(s).			The Business Operations Service Provider shall ensure that all information provided to Enforcement Operations Users from the Operational IT System(s) is in accordance with PCI and Data Protection requirements as detailed in schedule 2: Statements of Requirements (General).		
IE.2.5		Mandatory	IB.2.6		Mandatory
The Enforcement Service Provider shall ensure all Interfaces with the Other Solution Element are secured and operated in accordance with appendix 23: Interface Catalogue.			The Business Operations Service Provider shall ensure that all Interfaces with the Other Solution Element are secured and operated in accordance with appendix 13: Interface Catalogue.		

IE.2.6		Mandatory	IB.2.7		Mandatory
The Enforcement Service Provider shall ensure that all Enforcement Operations Users have a direct line telephony access to the Other Solution Elements Contact Centre.			The Business Operations Service Provider shall ensure that Enforcement Operations Users have direct line telephony access to the Business Operations Contact Centre.		

3.	TRANSFER OF CONTRAVENTION CANDIDATES (BUSINESS OPERATIONS TO ENFORCEMENT OPERATIONS)	

This section sets out the requirements for transferring Contravention Candidates identified by the Business Operations to the Enforcement Operations Service Provider. This is to enable the Enforcement Operations Service Provider to issue a PCN to the Registered Keeper / Person Liable.

IC.3.1		Mandatory

The Service Provider(s) shall ensure that all Contravention Candidates confirmed by the Business Operations Service Provider are transferred from Business Operations to Enforcement Operations to enable the Enforcement Operations Service Provider to create a Penalty Charge Record.

Enforcement Operations Requirements			Business Operations Requirements		
IE.3.1		Mandatory	IB.3.1		Mandatory
The Enforcement Service Provider shall ensure that the Notice Processing Service System(s) imports Contravention			The Business Operations Service Provider shall ensure that Contravention Candidates are sent to the Notice Processing		

IE ID	Description	Mandatory	IB ID	Description	Mandatory
Candidates from the Other Solution Elements Operational IT System(s).			Service System(s) in accordance with appendix 13: Interface Catalogue.		
IE.3.2		Mandatory	IB.3.2		Mandatory
The Enforcement Operations Service Provider shall ensure that the uploading of Data to the Other Solution Element's Operational IT System(s) is done securely in accordance with schedule 14: Security.			The Business Operations Service Provider shall ensure that uploading of Data to the Other Solution Element's Notice Processing Service System(s) is done securely in accordance with schedule 14: Security.		
			IB.3.3		Mandatory
			The Business Operations Service Provider shall ensure that the Operational IT System(s) maintains a log of successful delivery for each Contravention Candidate sent to the Notice Processing Service System(s).		

			IB.3.4		Mandatory
			The Business Operations Service Provider shall ensure that each Contravention Candidate sent to the Other Solution Element's Notice Processing Service System(s) is successfully delivered.	
IC.3.2					Mandatory
The Enforcement Operations Service Provider and the Business Operations Service Provider shall jointly develop and submit to TfL for Approval (prior to being implemented) its proposal for the functionality and process for managing the retention of Evidential Record(s) in accordance with the relevant Data Retention policies (appendix 24 for Enforcement Operations, and appendix 11 for Business Operations) and, when Approved, comply with the functionality and process of such proposal.					

IC.3.3		Mandatory
The Enforcement Operations Service Provider and the Business Operations Service Provider shall jointly develop and submit to TfL for Approval (prior to being implemented) its proposal for the functionality and process for managing the Enforcement Operations Service Provider's access to Evidential Record(s) and, when Approved, comply with the functionality and process of such proposal.		

IE.3.3		Mandatory	IB.3.5		Mandatory
The Enforcement Operations Service Provider shall ensure that details of VRMs identified as being Cloned, a Ringer, LEZ compliant and /or Tampered or any such further exceptions, as may be notified by TfL from time to time, are reported to TfL and can be exported to the Other Solution Elements Operational IT system(s).			The Business Operations Service Provider shall ensure that details of VRMs identified as being Cloned, a Ringer, LEZ compliant and/or Tampered or such further exceptions as may be notified by TfL from time to time, are reported to TfL and can be imported to the Other Solution Element's Operational IT system(s).		

IE.3.4		Mandatory	IB.3.6		Mandatory
The Enforcement Operations Service Provider shall ensure all scheduled Batch Processing is configurable and able to run on a recurring Parameterised date and time.			The Business Operations Service Provider shall ensure all scheduled Batch Processing is configurable and able to run on a recurring Parameterised date and time.		

4. MANAGING CUSTOMER COMMUNICATIONS (BUSINESS OPERATIONS AND ENFORCEMENT OPERATIONS)

This section sets out the requirements for managing the transfer of written correspondence between the Business Operations Service Provider and the Enforcement Operations Service Provider and managing customer enquires that require input from both Service Providers. A Service Provider may receive Communication(s) from a Customer which is within the Other Service Provider's area of responsibility, and in this event, the relevant Communication(s) must be transferred through an appropriate channel to the Other Service Provider.

IC.4.1		Mandatory

The Service Provider shall ensure that its Users liaise with the Other Solution Element Users to resolve Customer enquiries and Complaints. For the avoidance of doubt, this will include Subject Access Requests.

The Customer should receive a consolidated response addressing all points in full.

Enforcement Operations Requirements			Business Operations Requirements		
IE.4.1		Mandatory	IB.4.1		Mandatory

The Enforcement Operations Service Provider shall ensure that the Notice Processing Service Systems(s) can receive an uneditable version of i a Customer's correspondence; ii. supporting notes from the Other Service Provider; iii. Timestamp of receipt of such correspondence by the Other Service Provider; and iv. Timestamp of transfer from the Other Service Provider.			The Business Operations Service Provider shall ensure that the Operational IT System(s) can immediately effect an electronic transfer of the following to the Other Solution Element: i. an uneditable version of the Customer's correspondence; ii. supporting notes from the Other Service Provider; iii. Timestamp of receipt of such correspondence by the Other Service Provider; and iv. Timestamp of transfer to the Other Service Provider.		
IE.4.2		Mandatory	IB.4.2		Mandatory
The Enforcement Operations Service Provider shall ensure that the Notice Processing Service System(s) can immediately effect an electronic transfer of the following to the Other Solution Element: i. uneditable version of the Customer's correspondence; ii. supporting notes for such correspondence;			The Business Operations Service Provider shall ensure that the Operational IT System(s) can receive an uneditable version of : i. a Customer's correspondence; ii supporting notes for such correspondence from the Other Service Provider; iii Timestamp of receipt of such correspondence by the Other Service Provider; and		

iii. Timestamp of receipt of such correspondence; and Iv, Timestamp of transfer of such correspondence.			iv Timestamp of transfer of such correspondence from the Other Solution Element.		
IE.4.3		Mandatory	IB.4.3		Mandatory
The Enforcement Operations Service Provider shall ensure that the Notice Processing Service System adds an Interaction Note to a Penalty Charge Record when a Customer's written correspondence is transferred to the Other Solution Element.			The Business Operations Service Provider shall ensure that the Operational IT System(s) adds an Interaction Note to an Interaction History when a Customer's written correspondence is transferred to the Other Solution Element.		
Requirements relating to the Enforcement and Business Operations Solution Elements					
IC.4.2					Mandatory
The Service Provider shall ensure that correspondence received from Customers and stored on the relevant Service Systems cannot be modified in any way and is stored as read-only.					

IC.4.3		Mandatory
The Service Provider shall ensure that transferred correspondence received from Customers and any associated notes are transferred successfully to the Other Solution Element.		
IC.4.4		Mandatory
The Service Provider shall ensure a secure channel is used to transfer all Customer correspondence and associated notes to the Other Solution Element.		
IC.4.5		Mandatory
The Service Provider shall ensure that the Other Solution Element is alerted immediately when a Customer's correspondence and associated notes are sent to the Other Solution Element.		

IC.4.6		Mandatory
The Service Provider shall ensure that a Customer's correspondence and associated notes are electronically traceable when transferred to the Other Solution Element.		
IC.4.7		Mandatory
The Service Provider shall ensure that Customer correspondence and associated notes are prioritised and processed in accordance with the SLA timeframes set out in schedule 5: Service Level Agreement.		
IC.4.8		Mandatory
The Service Provider shall ensure that Customers correspondence and associated notes are allocated to the appropriate Workflow queue when transferred to the Other Solution Element. The features and functionality of such a mechanism shall be submitted to TfL in writing for Assurance prior to implementation.		

IC.4.9		Mandatory
The Service Provider shall ensure all correspondence received from a Customer is responded to in accordance with the requirements set out in schedule 5: Service Level Agreement.		

5. CONTRAVENTION CANDIDATE INCIDENTS, DEFECTS AND ERRORS AND PENALTY CHARGE CANCELLATION REQUESTS

This section sets out the processes for managing the notification of Contravention Candidate errors, and Penalty Charge cancellation requests by the Business Operations Service Provider, due to an Incident, Defect or error made by and identified by the Business Operations Service Provider.

Enforcement Operations Requirements			Business Operations Requirements		
IE.5.1		Mandatory	IB.5.1		Mandatory
The Enforcement Operations Service Provider shall ensure that a Penalty Charge can be cancelled in accordance with Requirements set out in section 9.3, schedule 2: Statement of requirements (Enforcement Operations) when notified by the Business Operations Service Provider.			The Business Operations Service Provider shall ensure the identification of an Incident, Defect or error made in the Operational IT System(s) that may lead to the incorrect issue of a Penalty Charge to a Customer, is communicated to TfL and the Enforcement Operations Service Provider within twenty four (24) hours of being identified. This is to be performed in accordance with appendix 13: Interface Catalogue		

			IB.5.2		Mandatory
			The Business Operations Service Provider shall ensure the identification of an Incident, Defect or error made in the Operational IT System(s) that has led to the incorrect issue of a Penalty Charge to the Customer, is communicated to TfL and the Enforcement Operations Service Providers within twenty four (24) hours of the Incident, Defect or error being identified.		

6. ACCESS TO THE BUSINESS OPERATIONS PERMANENTEVIDENCE STORE

This section sets out the requirements for making Evidential Records in the Business Operations Service Provider's Permanent Evidence Store accessible by the Enforcement Operations Service Provider's Operational Users. The Business Operations Service Provider's Evidence Store shall retain the original image and associated details of a VRM travelling within the Charging Zone.

IC.6.1		Mandatory

The Service Provider shall ensure that Evidential Records and Session Records can be retrieved by the Enforcement Operations Service Provider. This is required to enable the Enforcement Operations Service Provider to manage Customer enquiries and Complaints (including, but not limited to, General enquiries, Representations and Appeals).

Enforcement Operations Requirements			Business Operations Requirements		
IE.6.1		Mandatory	IB.6.1		Mandatory
The Enforcement Operations Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to			The Business Operations Service Provider shall ensure that Evidential Records and Session Records can be retrieved from		

import Evidential Records and Session Records from the Other Solution Elements Evidence Store for the purpose of managing Customer enquiries, Appeals and Representations. Evidential Records and Session Records shall be imported via an Interface as set out in appendix 23: Interface Catalogue.			the Evidence Store by the Notice Processing Service System(s) via an Interface as set out in appendix 13: Interface Catalogue.		
IE.6.2		Mandatory	IB.6.2		Mandatory
The Enforcement Operations Service Provider shall ensure that the Notice Processing Service System(s) has the functionality to download and save Evidential Records and Session Records from the Other Solution Elements Evidence Store.			The Business Operations Service Provider shall ensure Evidential Records and Session Records in the Permanent Evidence Store can be downloaded by the Notice Processing Service System(s). The Business Operations Service Provider shall refer to the evidential record template in appendix 19: Evidential Record Template for Business Operations for all data fields that are required and must be made available.		

7.   REMEDIATION

This section sets out the requirements for the Enforcement Operations Service Provider to notify the Business Operations Service Provider of any remedial action that might be required in the event of a Penalty Charge being issued in error.

Enforcement Operations Requirements			Business Operations Requirements		
IE.7.1		Mandatory	IB.7.1		Mandatory
The Enforcement Operations Service Provider shall ensure that where a Penalty Charge has been identified as incorrect due to an Incident, Defect or error in the Other Solution Element's Operational IT System(s), the Other Solution Element is notified of the Incident, Defect or error to enable actions to be taken to prevent future Penalty Charges being created.			The Business Operations Service Provider shall ensure that it has the capability to receive notifications from the Other Solution Element in the event of identification of an incorrect Penalty Charge resulting from an Incident, Defect or error in the Operational IT System(s).		

IE.7.2		Mandatory	IB.7.2		Mandatory
The Enforcement Operations Service Provider shall ensure that all Penalty Charge(s) cancelled due to an Incident, Defect or error in the Operational IT System(s) are identifiable and are reported to TfL and the Business Operations Service Provider.			The Business Operations Service Provider shall ensure that in the event of an incorrect Penalty Charge resulting from an Incident, Defect or error, that all such Incidents, Defects and errors are remedied within twenty four (24) hours of the Service Provider being notified of them.		
			IB.7.3		Mandatory
			The Business Operations Service Provider shall ensure that when an Incident, Defect or error has been remedied, it notifies the Other Solution Element within twenty four (24) hours of such an error Incident or Defect being remedied.		