



**Freedom Pass and other Transport and Mobility Managed  
Services Invitation to Tender:**

**Electronic Data Capture, Application Data Validation, Card  
Management, Card Production, and Customer Support**

**(NB this document prints on A4 and A3)**

## Section A Table of Contents

SECTION B: Background Information .....	8
B.1. Introduction .....	8
B.2. About London Councils .....	8
B.3. The Freedom Pass scheme .....	9
B.4. The Service .....	9
B.5. Glossary .....	14
SECTION C: Instructions to Tenderers .....	21
C.1. Methodology .....	21
C.2. Management .....	22
C.3. Performance Review, Key Performance Indicators (KPIs) and Service Credits ..	22
C.4. Timetable .....	23
C. 5. Pricing .....	25
C.6. Requirements of Service Providers .....	26
C.7. The Tendering Process .....	27
C.8. Format of PQQ Responses .....	28
C.9. Format of Tender Responses .....	28
C.10. Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE) .....	30
C.11. Freedom of Information Questionnaire .....	31
C.12. Evaluation of Tenders .....	31
C.13. The Contract .....	32
C.14. Conditions of Contract .....	32
C.15. Acceptance of Tender .....	33
C.16. Confidentiality and Ownership of Documents .....	33
C.17. Tenderer's Warranties .....	34
C.18. Non-Consideration of Tender .....	35
SECTION D: Specification .....	37
D1. General Requirements .....	37
D2. Application processing, data capture and data management .....	39
D2.1 Application processing, data capture and data management: General Requirements .....	40
D2.2 First time Older Persons application .....	41

D2.2.1 First time Older Persons application: Online.....	41
D2.2.2 First time Older Persons application: Paper .....	45
D2.3 60+ transfer application .....	46
D2.3.2 60+ transfer application: Online .....	47
D2.3.3 60+ transfer application: Paper .....	51
D2.4 First Time Disabled and Discretionary Disabled Persons Applications .....	52
2.4.3 First Time Disabled and Discretionary Disabled Persons Applications: Online ..	54
2.4.4 First Time Disabled and Discretionary Disabled Persons Applications: Paper ...	60
D2.5 Renewal Older Persons Application .....	62
D2.5.1 Renewal Older Persons Application: Online .....	62
D2.5.2 Renewal Older Persons Application: Paper .....	67
D2.6 Renewal Disabled and Discretionary Disabled Persons Application.....	69
D2.6.4 Renewal Disabled and Discretionary Disabled Persons Application: Online ...	70
D2.6.5 Replacement Older Persons, Disabled Persons, Discretionary Disabled Persons Application.....	70
D2.7 Replacement Older Persons, Disabled Persons, Discretionary Disabled Persons Application: Online .....	72
D2.7.13 Replacement Older Persons, Disabled Persons, Discretionary Disabled Persons Application: Telephone and by post .....	75
D2.8 Eligibility: Further Requirements .....	76
D2.8.2 Residency .....	76
D2 8.3 Identity and Age.....	78
D 2.8.4 Signature .....	80
D 2.8.5 Photograph .....	80
D 2.9 Rejected Application .....	81
D2.9.13. Reject Letter Matrix.....	87
D2.10 Further Application Processing Requirements.....	92
D2 10.11 Audit Trail.....	95
D3. Card production and dispatch .....	96
D 3.1 Card Production.....	97
D3.2 Third party card production requirements .....	101
D3.3 Card dispatch.....	104
D3.4 Card Management .....	106
D4. Customer Service Centre .....	108
D4.2 Calls.....	113

D4.3 Payments.....	115
D4.4 Emails.....	117
D4.5 Written correspondence.....	118
D5. Call down services in areas 1, 2, and 3 for other London Councils' transport and mobility schemes.....	122
D 5.1.10 First Time Taxicard Applications: Online .....	127
D 5.1.21 First Time Taxicard Applications: Paper .....	134
D 5. 2 Replacement Taxicard Application .....	137
D 5.2 3 Replacement Taxicard Application: Online .....	138
D 5.2 16 Replacement Taxicard Application: Telephone and by post .....	142
D 5.3 Card Production.....	142
D 5.4 Card dispatch.....	145
D 5.5 Card Management .....	147
D 5.6 Customer Service Centre .....	151
D 5.7 Calls.....	155
D 5.8 Payments.....	157
D 5.9 Emails.....	159
D 5.10 Written correspondence.....	160
D 5.11 Eligibility: Requirements .....	163
D 5.11 2 Residency .....	164
D 5.11 8 Identity and Age.....	165
D 5.11 12 Entitlement.....	167
D 5.11 13 Signature .....	168
D 5.11 14 Photograph .....	168
D 5.12 Rejected Application .....	169
D6. Information Governance .....	173
Data Protection general requirements.....	175
D 6.2 Data Access requirements.....	178
D 6.3 Data Retention and Information Record Disposal.....	181
D 6.4 Data Protection Audit.....	183
D 6.5 Reporting of breaches of Privacy Legislation.....	184
D 6.6 Privacy Notice.....	185
D 6.7 Data Subject Request Processes .....	187
D 6.8 Information Access Request Procedure .....	195

D 6.9 London Councils Retention Period policy for all service areas .....	200
D7 Management Information Reports .....	207
D 7.1 General Requirements.....	207
D 7.2 Reports for Management Information .....	208
D 7.3 Reports for service delivery .....	212
D 7.4 Reports for Boroughs and London Councils .....	216
D8. Process Flows .....	236
D 8.1 First Time Older Persons Freedom Pass online application .....	237
D 8.2 First Time Older Persons Freedom Pass postal application .....	238
D 8.3 First Time Disabled Persons Freedom Pass online application .....	239
D 8.4 First Time Disabled/Discretionary Disabled Persons Freedom Pass postal application .....	240
D 8.5 First Time 60+ Transfer Online Application.....	241
D 8.6 First Time 60+ Transfer Postal Application .....	242
D 8.7 First Time Older Persons Freedom Pass online Camden application.....	243
D 8.8 Online self-service: Create account .....	244
D 8.9 Online Self Service .....	245
D 8.10 Online self-service: replacement pass .....	246
D 8.11 Older Persons Freedom Pass online renewal application .....	247
D 8.12 Older Persons Freedom Pass Postal Renewal Application .....	248
D 8.13 First Time Taxicard Application Online: Borough Validation .....	249
D 8.14 First Time Taxicard Application Online: Contractor Validation (Optional) .....	250
D 8.15 First Time Taxicard Postal Application: Borough/London Councils Validation.....	251
D 8.16 First Time Taxicard Postal Application: Contractor Validation (Optional).....	252
D9 Business Continuity .....	253
D10 Testing Regime Statement of Requirements .....	253
D 10.2 Test Plans.....	254
D 10.3 Defect Management .....	255
D 10.4 Regression Testing.....	256
D10.5 Final Test Reporting .....	256
D 10.6 Testing other Requirements.....	257
E1. Post Office Freedom Pass Data Format .....	259
SECTION E: Format of Data .....	259
SECTION F: Contract.....	269

SECTION G: Key Performance Indicators and Service Credits .....	270
Service Credits .....	270
Section G Appendix 1 Key Performance Indicators .....	272
Service Credits .....	282
Service Credit and Termination Thresholds .....	284
Section G Appendix 2 Service Credits Annex 1 .....	287
Section G Appendix 2 Service Credits Annex 2 .....	288
SECTION H: PQQ and Tender Response .....	294
SECTION H APPENDIX 1: Pre-Qualification Questionnaire .....	294
1 - Supplier information – this is not a scored section .....	297
2 - Grounds for mandatory exclusion .....	301
3. Grounds for discretionary exclusion – Part 1 .....	305
4. Grounds for discretionary exclusion – Part 2 .....	308
5 - Economic and Financial Standing .....	311
6 – Technical and Professional Ability .....	312
Additional PQQ modules .....	315
A – Project specific questions to assess Technical and Professional Ability – this section is a scored section .....	315
B - Insurance .....	316
C – Compliance with equality legislation .....	317
D - Environmental Management .....	317
E - Health and Safety .....	318
8 - Declaration .....	319
PQQ – Template for Appendices (as provided by the Supplier in their response) ....	321
PQQ Responses Evaluation Template .....	323
H1 Tender Evaluation and Award Criteria .....	325
Evaluation Criteria .....	326
SECTION H APPENDIX 2: Form of Tender .....	327
SECTION H APPENDIX 3: Freedom of Information Questionnaire .....	332
SECTION H APPENDIX 4: Tender Submission Checklist .....	334
SECTION H APPENDIX 4: TUPE Information .....	336
SECTION H APPENDIX 5: Qualitative (non-price) Schedule .....	337
SECTION H Appendix 6: Pricing Schedule .....	344

Pricing Schedule .....	351
SECTION H Appendix 7: Mutual Non-Disclosure Agreement .....	353
ANNEX A: Information and Statistics .....	354
Business as usual statistics.....	354
First time applications processed per month 2014/15 .....	354
First time Older Person Freedom Pass applications processed per month from June 2015 – March 2016 .....	355
60+ transfer applications processed per month from August 2014 to March 2015....	356
60+ transfer applications processed per month in 2015/16 .....	357
New Freedom Passes issued per month in 2014/15 .....	358
New Freedom Passes issued per month in 2015/16 .....	359
Replacement Freedom Passes issued per month in 2014/15 .....	360
Replacement Freedom Passes issued per month in 2015/16 .....	361
Types of Freedom Pass enquiries received .....	362
Average handling time (in seconds) of calls per month in 2015/16 .....	363
Hotlist breakdown for 8 most common hotlist reasons per month in 2014/15 .....	364
Hotlist breakdown per month for all hotlist reasons in 2014/15 .....	365
Calls offered per month in 2014/15 and 2015/16. ....	366
Calls offered per day of the week, per month in 2014/15. ....	367
Calls offered per hour for period Monday 9 June 2014 to Sunday 22 June 2014.....	368
Number of items of whitemail received per month in 2014/15 and 2015/16. ....	369
Emails received per month in 2014/15 and 2015/16. ....	370
Emails received per day of the week, per month in 2014/15 .....	371
Renewal statistics.....	372
Renewal statistics from the 2015 Older Persons Freedom Pass renewal. ....	372
Number of Older Persons Freedom Passes renewed from November 2014 – May 2015. ....	373
Renewal calls offered from November 2014 –May 2015.....	374
Renewal emails received from November 2014 –May 2015 .....	375
Number of cards expiring by year (as of 1 September 2016). ....	376
Taxicard statistics.....	378
New and replacement Taxicards issued per month in 2015/16.....	378
Taxicard calls offered, emails received, and application forms received per month in 2015/16. ....	379
ANNEX B: Concessionary Pass Images (Publicity Samples).....	380

ANNEX C: Application forms.....	382
Older Persons Freedom Pass application form (as updated February 2016).....	382
Older Persons Freedom Pass guidance notes (as updated February 2016).....	383
Taxicard application form (for applicants assessed by London Councils on behalf of some London local authorities) .....	385



## **SECTION B: Background Information**

### **B.1. Introduction**

London Councils invites Tenders for the provision of a managed service to support the operation and administration of the Freedom Pass scheme and other transport and mobility services including Taxicard. Detailed requirements for the system and hosted service are set out at Section D.

The specification for this contract is split into four services areas;

1. Application processing, data capture and data management,
2. Card production and dispatch,
3. Customer service centre, and,
4. Call down services in areas 1, 2, and 3 for other London Councils' transport and mobility schemes.

The Contract Period is for an initial period of five years, starting in October 2017, with an option, at London Councils' discretion, to extend the initial period by yearly periods not exceeding two years in aggregate.

This document sets out both the requirements and criteria for assessing the technical capacity and capability of prospective suppliers of the services. It also sets out the requirements with regard to pricing and how tenderers' price offer will be assessed.

Tenderers should note that the economic standing and financial capacity will be considered at the pre-qualification (PQQ) stage. Full details can be found in the PQQ document. Only those bids which pass the PQQ stage, will then be considered in respect of their ability to meet the service requirements.

### **B.2. About London Councils**

London Councils is committed to fighting for more resources for London and getting the best possible deal for London's 33 councils. It also acts as a think-tank in new policy initiatives, spreads good practice amongst its members and provides a range of valuable services.

London Councils' Transport and Environment Committee is responsible for transport policy, traffic and parking enforcement, the London Tribunals service, concessionary fares and regulatory and environmental issues.

London Councils has management responsibility for the London concessionary fares scheme which comprises the 33 individual schemes of the London boroughs, each of which is an individual Travel Concession Authority (TCA).

### **B.3. The Freedom Pass scheme**

Freedom Pass, the London brand name for the English National Concessionary Travel Scheme (ENCTS), entitles eligible older and disabled people whose sole or principal residence is within one of the 32 London boroughs or City of London to free travel on most public transport in London 24 hours a day (after 9.30am on most National Rail services within the London area), including all day at weekends and on public holidays. This pass may also be used to travel on local bus services in the rest of England under the terms of the Concessionary Bus Travel Act 2007.

London Councils manages over 1.2million ITSO/Oyster live smartcards issued for the ENCTS. In 2015, London Councils reissued 803,000 new passes. Excluding passes issued as part of annual renewals, London Councils issues approximately 150,000 ITSO/Oyster smartcards annually (c. 50,000 new and c. 100,000 replacements).

### **B.4. The Service**

London Councils wishes to procure a 'bureau' service for the processing and production of concessionary passes, management of pass holder and card data and integrated customer service centre. The service will include a Card Management System (CMS) to store all data relating to passes and customers (applicants and passholders). It is intended that the bureau, acting on receipt of the appropriate data, will process the application, completing validation and eligibility checks of applicant data, and produce a pass and dispatch it to the eligible named customer.

Service areas 1 – 3 will be commissioned for the full duration of seven years, with an aggregate duration of no longer than nine years.

This contract will, building on current best practice and procedures, provide a fully integrated service encompassing (but not limited to):

- electronic data capture of customer applications (online and postal) and relevant personal information and supporting documents
- transfers from the Mayor's 60+ scheme,
- validation and eligibility checks,
- maintaining customer details,
- hosting online customer portal,
- self-service and renewal application service,
- customer contact centre, and
- managing card production and dispatch to the customer.

The services provided are critical and are intended to deliver ongoing customer information management, card management and card production relating to the Freedom Pass scheme.

While card volumes cannot be guaranteed the Contractor must have the capability to produce, issue and provide card management for an average of 13,000 cards per month, except in the annual reissue period and, in particular, the 2020 reissue period, when up to 900,000 Freedom Passes will expire. At any one time, the likely number of live records on the card management system is likely to be 0.9-1.4 million.

All data processed and the vast majority of cards produced must be compliant with the ITSO specification as prescribed for the ENCTS and must, in a minority of cases, only have Oyster technology. Oyster is provided for use on the London (Transport for London (TfL) and National Rail) transport network. Pre-encoded Oyster cards will be provided to the Contractor for ENCTS personalisation and ITSO encoding.

Service area 4 will be used to provide call down support for other transport and mobility services required by London Councils. External funding permitting, it is very likely that some elements relating to the Taxicard scheme will be commissioned at the same time as services 1-3, while others may be commissioned individually or together at any point during the life of the contract. This is set out in section D below.

The CMS must have the capability to allow for the management and production of other passes and cards, whether for transport or non-transport services. It is essential for London Councils to have a fully integrated CMS as part of this contract, since much of the customer bases will have participation in more than one of the services. An integrated system, with appropriate user permissions to protect customers' personal information, is also required to assist with managing fraud prevention.

For the avoidance of doubt, London Councils does not guarantee any future quantities or values in relation to any of the service areas individually or collectively.

**Table 1: Elements of the service area required**

<b>KEY:</b> YY The contractor is required to provide this element of the service for Freedom Pass from 2 October 2017. Y The contractor is required to provide this element of the service for Taxicard from 2 October 2017, funding permitting. o The contractor may be required to provide this in the future and must therefore have the necessary facilities in place in order to do so. x The contractor is not required to provide this element of the service.			
<b>Service Area</b>			
<b>1) Application processing, data capture and data management</b>	<b>Freedom Pass</b>	<b>Service Area 4: Taxicard</b>	<b>Service Area 4: Other services</b>
Host online public application portal	YY	Y	o
Capture and screening of online application data	YY	Y	o
Capture and screening of postal application data	YY	o	o
Validation and eligibility checks of online application data (does not include the assessment of medical evidence or physical assessments)	YY	o	o
Validation and eligibility checks of postal application data (does not include the assessment of medical evidence or physical assessments)	YY	o	o
Electronic data capture of postal applications	YY	o	o
Scanning and uploading of application forms	YY	o	o
Application tracking	YY	Y	o
Provide applicant with self-service account management	YY	Y	o
Online payment service	YY	Y	o
Host Customer Management System (CMS)	YY	Y	o
Create new records and maintain records on CMS	YY	Y	o
Retain audit history on CMS	YY	Y	o
Comply with Data Protection and Information Record Disposal requirements	YY	Y	o
Provide validated applicant and member data to London Councils transport provider	YY	Y	o
<b>2) Card production and dispatch</b>	<b>Freedom Pass</b>	<b>Service Area 4: Taxicard</b>	<b>Service Area 4: Other services</b>
Request new and replacement card production from CMS	YY	Y	o
Monitor card stock	YY	Y	o
Hologram cards	YY	x	o
Personalisation to card (personal details, photograph and expiry date)	YY	Y	o
Post cards by second class post (and by first class post where required)	YY	Y	o
Record transaction history	YY	Y	o
Print carrier letter	YY	Y	o
Provide and insert wallet with card	YY	Y	o
Insert information leaflet/welcome booklet with card	YY	Y	o
Produce cards in compliance with DfT, ENCTS, ITSO and Oyster specifications	YY	x	x
Capture and record data and transactions of cards produced on CMS records	YY	Y	o
Maintain secure stock arrangements	YY	Y	o
Card sourcing	x	Y	o
Integrate into the ITSO environment, including using ITSO compliant data messaging, communicating with an ITSO HOPS and providing Hotlisting functionality.	YY	x	x

Allow/restrict access to data based on user role and access rights as specified by London Councils	YY	Y	o
Bespoke design for rear of card	YY	Y	o
Individual pass number on front of card	YY	Y	o
Provide validated hotlisting data to the HOPS provider and to Transport for London (TfL)	x	Y	o
<b>3) Customer service centre</b>	<b>Freedom Pass</b>	<b>Service Area 4: Taxicard</b>	<b>Service Area 4: Other services</b>
Answer calls within Service Level Agreement (SLA)	YY	o	o
Provide Interactive Voice Response (IVR) for callers to the helpline	YY	o	o
Respond to emails within SLA	YY	o	o
Record queries on applicant's record	YY	o	o
Monitor and handle complaints and feedback	YY	o	o
Respond to written correspondence within SLA	YY	o	o
Process written correspondence within SLA	YY	o	o
<b>Other portal / CMS requirements (the CMS must support users to):</b>	<b>Freedom Pass</b>	<b>Service Area 4: Taxicard</b>	<b>Service Area 4: Other services</b>
Process all payments in line with Payment Card Industry (PCI) compliance requirements	YY	Y	o
Provide reports according to management information reporting requirements	YY	Y	o
Monitor trends and escalate issues	YY	Y	o
Interrogate and update CMS database as required	YY	Y	o
Respond to and provide data to transport operator's revenue control, enforcement personnel or Police	YY	Y	o
Process subject access data requests, Freedom of Information requests and Environmental Information Regulations requests	YY	Y	o

## B.5. Glossary

Bureau	The service that processes application data and produces and dispatches smartcards as required in the service areas.
Card Management System (CMS)	A database management system which records and stores information about cards and pass holders and which London Councils and the pass holder's borough can access directly to issue cards and manage records.
CMS Core Hours	A CMS for Freedom Pass records, and other services available, shall be available for target percentage of service core hours (8am - 8pm, seven days a week, 365 days a year)
CMS Non-Core Hours	A CMS for Freedom Pass records, and other services available, shall be available for target percentage outside of service core hours (8pm - 8am, seven days a week, 365 days a year)
Concessionary Bus Travel Act 2007	Legislation which introduced the English National Concessionary Travel Scheme (ENCTS).
Concessionary Fares Scheme	Scheme that provides travel concessions for eligible older and disabled people (See also ENCTS and London ENCTS and London Concessionary Fares Scheme).
Concessionary Pass Issuing Cost Centre Reference (CPICC)	Identifies the Travel Concession Authority responsible for issuing the pass.
CPI	Consumer Price Index.
Customer Services	Written or spoken communications that may include telephone, letter and email support either to London Councils, London boroughs, other authorities, or the public.

Customer Services Business As Usual service core hours	A customer service centre which is available to the public Monday – Sunday, 8am – 8pm.
Department for Transport (DfT)	The Government department responsible for concessionary travel.
Desfire 4k (EV1)	Current standard type of card used to produce Freedom Passes.
DfT Specification	DfT has specified the design of the passes and that they must be ITSO compliant smartcards. The pass specifications are set out in the Concessionary Bus Travel (Permits) (England) Regulations 2008 (SI No 417, 2008) as amended by the Concessionary Bus Travel (Permits) (England) (Amendment) Regulations 2008 (SI No 2091, 2008). The Contractor must also have regard to guidance issued from time to time by DfT to TCAs, most recently in February 2016.
Disabled Person's Freedom Pass	Pass to provide eligible disabled people with travel concessions. There are two disabled passes available to London residents. One is issued as part of the ENCTS, the other is issued at the discretion of individual boroughs. The passes look different and the discretionary pass is only Oyster encoded.
Discretionary Disabled Person's Freedom Pass	Pass which is issued at the discretion of the local Travel Concession Authority to disabled people who do not meet the national criteria for the Disabled Person's Pass. It is not valid outside of London (See also Disabled Person's Pass)
Eligibility Criteria	The ENCTS criteria for eligibility relating to concessionary travel in England. Some London Travel Concession Authorities have additional eligibility criteria for applicants



	who will receive the discretionary disabled person's Freedom Pass.
English National Concessionary Travel Scheme (ENCTS)	Scheme to provide free travel outside the morning peak Monday to Friday on local buses in England for eligible older and statutory disabled pass holders.
Excel	The format for data exports from the CMS.
Freedom Pass	Statutory scheme name for the concessionary travel pass in London issued by London Councils on behalf of London Travel Concession Authorities.
Host Operator Processing System (HOPS)	The ITSO system for managing card usage. London Councils currently uses ECEBS HOPS for the purposes of hotlisting.
Hotlist Reason Code	The TfL code letter which identifies the reason why a card has been hotlisted.
Hotlisting	The mechanism by which cards that need to be cancelled are stopped electronically so that the card can no longer be read on card readers on public transport. The contractor on behalf of London Councils must hotlist each card in both the ITSO and Oyster systems.
Interactive Voice Response (IVR)	Message played to telephone callers which is used to signpost enquiries.
ISAMS	ITSO Secure Application Module. A secure electronic data processing module, the size of a mobile phone SIM card, which checks the pass holder's permissions, authenticates and validates their electronic ticket, and stores journey data for further processing. The ISAM 'talks' to the back office Host Operator Processing System.

ISRN	The 18 digit ITSO electronic unique number for each card which is also printed on the front of the Freedom Pass (except the Discretionary Disabled Person's pass which is Oyster only).
ITSO	ITSO is the organisation with the responsibility for developing and managing English smart ticketing. This is also the term used to define the national smartcard ticketing standard. In London the smart ticketing technology is Oyster provided by TfL.
ITSO Product Entity (IPE)	The electronic form of a ticket i.e. the data structure used within the ITSO Shell to store formatting and other product details
ITSO Shell	The national electronic wallet within a smartcard that contains electronic tickets for ITSO-compliant schemes
London Councils Business As Usual (BAU) core hours	Period which covers core hours to be provided during a working day, i.e. 8am – 6pm.
London Councils Business As Usual (BAU) core period	Period which covers core hours to be provided during a working week, i.e. Monday – Friday, 8am – 6pm.
London ENCTS Scheme/London Concessionary Fares Scheme	This is the concessionary fares scheme as delivered in London by the 32 London boroughs and City of London which is administered on their behalf by London Councils. The scheme is based on the requirements on the Concessionary Bus Travel Act 2007 and the Greater London Authorities Act 1999.
London Service Permit Routes (LSPs)	Bus routes in and just outside of London which are licensed by, but not run by TfL.

Magnetic Strip	Strip on the rear side of the card which contains encoded information about that card. Currently used on Taxicard and is not a smart card. The Freedom Pass does not have a magnetic strip, but instead has a chip.
Mid term review	Exercise that verifies older person's pass holders' continued eligibility for the scheme half way through the life span of their pass.
National Fraud Initiative (NFI)	Exercise that matches electronic data within and between public and private sector bodies to prevent and detect fraud. Review of membership data ensures records reflect current mortality information to prevent fraudulent use of cards. This check is carried out twice a year by London Councils on behalf of the London boroughs.
National Rail	Railway services not operated by TfL but by a train operating company, collectively represented by the Association of Train Operating Companies (ATOC).
OID (Operator Identification)	A unique digital identification given to an organisation which is an operator or participant in an ITSO compliant scheme.
Older Person's Freedom Pass	Travel concession pass for eligible older people. This includes all people whose sole or principal residence is in a London borough, and who were born on or before 5 April 1950. People who were born later become eligible on the same date on which a woman of the same age would be eligible for a state pension.
Own Application Borough (OAB)	Boroughs which have additional requirements for processing applications from their eligible older and disabled residents (currently Camden only). OABs are required to send the applicant's data and photograph electronically to the Bureau to be recorded on the CMS and for a pass to be

	issued.
Oyster	A form of smart card ticketing owned by Transport for London, used on public transport across London on bus, underground, Overground, tram, Docklands Light Rail, TfL Rail, National Rail services, Thames River services and Emirates Air Line. The Freedom Pass is Oyster encoded.
Payment Card Industry (PCI) compliance	The Payment Card Industry Data Security Standard (PCI DSS) is a set of requirements designed to ensure that all companies that process, store or transmit credit card information maintain a secure environment.
Portal	A web-based customer facing site that allows the public to transact with the Freedom Pass, Taxicard and other services. Transactions to include (but not limited) to: making an application, renewing a pass, updating personal details, uploading documents, ordering replacement cards, and creating an account, and making payments.
Portal Availability Core Hours	A customer facing portal for Freedom Pass, and other services, shall be available for target percentage of service core hours (8am - 8pm, seven days a week, 365 days a year) in any given month
Portal Availability Non-Core Hours	A customer facing portal for Freedom Pass, and other services, shall be available for target percentage outside of service core hours (8pm - 8am, seven days a week, 365 days a year) in any given month
SFTP	Secure File Transfer Protocol used to transfer data electronically and securely.
Smartcards	Cards with software that allow them to be read electronically; in the case of older person and disabled person Freedom Passes the cards are encoded with the

	ITSO and Oyster applications.
Statutory Disabled Person's Pass	Pass which is issued by a Travel Concession Authority to a disabled resident who meets the disability criteria set out in the Concessionary Bus Travel Act 2007.
Taxicard	Scheme paid for by London boroughs and Transport for London that provides subsidised travel in licensed taxis and private hire vehicles to London residents with serious mobility impairments or who are severely sight impaired.
Transport for London (TfL)	The main public transport provider in London and the main concessionary travel contractor operating services on London Underground, London Overground, tram, Docklands Light Railway, TfL Rail, London buses, river services and Emirates Air Line. TfL also provide the pre-encoded Oyster card stock for this contract.
Travel Concession Authority (TCA)	The local government authority responsible under government legislation for providing travel concessions for older and disabled people and for reimbursing the transport operators for such concessions. In London the Travel Concession Authorities are the 32 London Boroughs and City of London.

## SECTION C: Instructions to Tenderers

### C.1. Methodology

Tenderers are asked to provide a detailed submission of how they will deliver the services required as specified in Section D, indicating how they will meet the requirements of the specification and how overall functionality will be integrated, delivering an efficient, cost effective, customer focused service.

Due regard must be given to the fact that the service is provided directly to the public and can have a substantial impact on the quality of life of its customers.

All tenderers will be expected to clearly articulate:

- How the fully specified integrated service will be delivered.
- Communication and data transfer and system interrogation methodology.
- The method and availability for system support and maintenance for the duration of the contract.
- How the system you intend to provide will handle the data volumes and card production quantities. For planning purposes, the submission from Tenderers should be based upon the previous service volumes indicated in ANNEX A: Information and Statistics. However Tenderers should note that the figures provided are as a guide only and not a guarantee of future volumes.
- A project plan including key milestone dates for delivery, testing, training and system go live. This is to cover all four service areas.
- A diagram of the system architecture and data flows.
- How other services for London Councils' run schemes would integrate with the other required service areas in a seamless fashion. The Tenderer should review the detail provided relating to the London Taxicard scheme and use that as the basis for the proposal.
- The provision of training in the use of the CMS, and its reporting tools, to London Councils' and TCA staff.

## **C.2. Management**

The transition project will be overseen by a project board comprising representatives of London Councils, boroughs, TfL and other partners. The senior responsible executive for the transition project will be Spencer Palmer, Director of Transport and Mobility at London Councils.

The Project Manager during the transition period will be Stephen Boon, Chief Contracts Officer at London Councils. The successful tenderer will appoint a project manager, who will report to the board on a monthly basis during and for six months after the transition. It is anticipated that for the first six months of the contract there will be monthly project management meetings between the Contractor and London Councils. To be minuted by the Contractor.

Thereafter, contract review meetings will be quarterly. These meetings will monitor the progress of the contract and performance of the Contractor. London Councils also reserve the right to convene urgent meetings should issues arise relating to changes to the scheme or poor performance.

## **C.3. Performance Review, Key Performance Indicators (KPIs) and Service Credits**

Key performance indicators are set out in SECTION G: Key Performance Indicators and Service Credits

The contract will be subject to ongoing performance monitoring. Given the considerable impact poor performance will have on customers and the reputation of London Councils and the London TCAs, performance measured against KPIs is critical. The Contractor will be required to explain any and all circumstances where a pass is delayed due to their performance failure.

The Contractor will have a grace period from 2 October 2017 – 31 December 2017 (inclusive) in which the performance will be monitored and will not be assessed for the purpose of awarding service credits (although London Councils may at its discretion consider service points in the context of default). The assessment of performance which could result in service credits will commence from 1 January 2018.

Performance will be assessed each month on the basis of performance against the KPIs during the previous rolling period of 12 months. During the reissue period (TBC with the successful tenderer) when the service required will increase, the performance assessment will be on a weekly basis over a rolling period of the reissue.

A system of service points and credits is included in the contract. This is explained in detail at SECTION G: Key Performance Indicators and Service Credits.

#### **C.4. Timetable**

London Councils intends to follow the timetable below to ensure that it is possible to commence the contract on 2 October 2017. However, London Councils reserves the right to amend the timetable.

**Table 2: Timetable**

<b>Event</b>	<b>Start</b>	<b>Finish</b>	<b>Duration</b>
OJEU Notice Published – PQQ launched	21/09/2016	21/10/2016	31 days
Deadline for the receipt of PQQs	21/10/2016	12 noon	n/a
Assessment of PQQs	24/10/2016	11/11/2016	19 days
Notification of PQQ assessment	17/11/2016	17/11/2016	1 day
Issue of invitation to tender (ITT)	21/11/2016	21/11/2016	1 day
Deadline for clarification of questions		17/01/2017	n/a



<b>Event</b>	<b>Start</b>	<b>Finish</b>	<b>Duration</b>
Deadline for the receipt of tenders	24/01/2017	12 noon	n/a
Initial assessment of tenders	25/01/2017	08/02/2017	15 days
Provider visits / interviews	20/02/2017	24/02/2017	5 days
Final evaluation of tenders	27/02/2017	03/03/2017	5 days
Transport and Environment Committee considers officer recommendations	16/03/2017		
Contract awarded and letter sent for the successful bidder	17/03/2017	17/03/2017	1 day
Standstill period between notification of results of procurement and signing of contract	17/03/2017	26/03/2017	10 days
Contract signed	03/04/2017	03/04/2017	1 day
Mobilisation period	03/04/2017	02/10/2017	125 days

No Tenderer will be given further information at interview or any other stage of the tender process that is not generally provided to all Tenderers.

### **C. 5. Pricing**

All rates provided should be inclusive of all disbursements and any other costs or expenses necessary for the proper delivery of the contract. Please see

SECTION H Appendix 6: Pricing Schedule for further details.

### **C.6. Requirements of Service Providers**

If you are aware that the submission of tender may give rise to a potential conflict of interest please inform the London Councils officer, Stephen Boon. A conflict of interest may be where you are related to an elected member or staff officer of London Councils or you have privileged information about the organisation that places you at an unfair advantage over other competitors in the bidding process.

You should be aware that the information you submit may be subject to a request for information. The provision of any information to external parties by London Councils is determined by statutory conditions provided for in the Freedom of Information Act 2000. All information provided by London Councils shall be treated by the Tenderer as confidential except where prior written consent has been given by London Councils that such information may be disclosed for the purpose of obtaining sureties and quotations in preparation for the Tender.

The dissemination of information within your organisation should be on a need-to-know basis by the deadline for the receipt of tenders the Tenderer must submit their bid to deliver Procurement of Smart Cards: Electronic Data Capture, Application Data Validation, Card Management, Card Production, and Customer Support including any supporting documentation. All tenders must be signed in ink by directors or other managers authorised for that purpose.

Tenders must obtain for themselves all information necessary for the preparation of their tender including, but not limited to, all research, investigations and enquiries to have satisfied itself as to the nature, extent, standards, volumes and character of the services to be provided. Information supplied to Tenderers by London Councils is supplied only for the general guidance in the preparation of the tender. Tenderers must satisfy themselves as to the accuracy of any such information and no responsibility is accepted by London Councils for any loss or damage of whatever kind and howsoever arising from the use by Tenderers of such information. No claims will be entertained whatsoever before or after the award of the contract if inaccuracies in the measurements or descriptions are discovered.

The contractor may not transfer, assign or sublet the contract, or any part thereof, without the prior written consent of London Councils. If such consent is given the contractor will remain liable for the performance of the contract in its entirety as if such assignment or sublet had not taken place.

### **C.7. The Tendering Process**

London Councils will use the restricted procedure for this tendering opportunity. Economic operators that wish to be invited to tender, must first express an interest by submitting a pre-qualification questionnaire (PQQ). This can be found at SECTION H APPENDIX 1: Pre-Qualification Questionnaire.

The top five (5) scoring Applicants (where there are sufficient numbers of applicants that pass the mandatory grounds for exclusion) following PQQ assessment under the selection process will be invited to tender for the contract. The assessment criteria can be found at SECTION H APPENDIX 1: Pre-Qualification Questionnaire.

The award criteria for tenderers that make the ITT stage will be the most economically advantageous tender to London Councils in terms of price and quality. The final assessment will be on the basis of 60% qualitative, 40% Commercial, and further details indicating the breakdown within each section will be provided within the invitation to tender pack at H1 Tender Evaluation and Award Criteria.

Unsuccessful applicants will be notified via email at each stage, feedback may be provided upon request.

Tenders should be completed in full and must be strictly in accordance with these instructions and without qualification. For the avoidance of doubt, London Councils reserves the right to reject qualified Tenders.

All documents must be submitted in English. All prices and rates should be quoted in pounds sterling.

London Councils does not bind itself to necessarily accept the lowest priced Tender or any Tender at all. London Councils will not be liable for or pay any expenses, losses or costs incurred by the Tenderer in submitting its Tender.

All information produced as part of this contract will be the property of London Councils. All intellectual and property rights to the outputs of the contract will be London Councils'. London Councils has the right to use the results and to determine whether the results of, or reports on, the services or any related projects shall be published and whether the material or results shall be exploited commercially and, if so, on what conditions.

In evaluating the Tender London Councils will have regard to the factors set out in the specification and will choose the most economically advantageous tender. Further details can be found in H1 Tender Evaluation and Award Criteria.

### **C.8. Format of PQQ Responses**

If you wish to apply, send completed PQQ templates which can be found at SECTION H APPENDIX 1: Pre-Qualification Questionnaire by email to [TMtenders@londoncouncils.gov.uk](mailto:TMtenders@londoncouncils.gov.uk) , by 12 noon on 21 October 2016. Please note that documents must be submitted in the following formats:

- MS Word
- MS Excel
- PDF

Please only send the PQQ and any supporting information. Do not complete a full tender response at this stage as it will not be considered.

Should you not be able to provide the documentation in these formats, by the means specified, please email [TMtenders@londoncouncils.gov.uk](mailto:TMtenders@londoncouncils.gov.uk) at least one week in advance of the PQQ deadline so that alternative delivery arrangements can be made.

### **C.9. Format of Tender Responses**

If invited to tender, please send completed tender templates, which can be found at

SECTION H APPENDIX 2: Form of Tender - SECTION H Appendix 7: Mutual Non-Disclosure Agreement by e-mail to: [TMtenders@londoncouncils.gov.uk](mailto:TMtenders@londoncouncils.gov.uk) , by 12 noon on 24 January 2017

Please note that documents must be submitted in the following formats:

- MS Word
- MS Excel
- PDF

Should you not be able to provide the documentation in these formats, by the means specified, please email [TMtenders@londoncouncils.gov.uk](mailto:TMtenders@londoncouncils.gov.uk) at least one week in advance of the tender deadline so that alternative delivery arrangements can be made.

Following the invitation to tender, you may seek clarification on the tender process or the specification by emailing [TMtenders@londoncouncils.gov.uk](mailto:TMtenders@londoncouncils.gov.uk). Enquiries will be answered between 21 November 2016 and 17 January 2017.

Tenderers should note that responses to each enquiry will be copied to all organisations tendering (though will not identify the originator of the enquiry). On no account before the tender opening date is the Tenderer to contact or communicate with any other person involved in work concerning this Invitation To Tender unless London Councils redirects the enquiry. The canvassing of London Councils employees or members will result in disqualification.

SECTION H APPENDIX 2: Form of Tender must be signed: Where the Tenderer is a company, by two directors or by a director and the secretary of the company, such persons being duly authorised for the purpose;

All rates and prices requested in the Pricing Template shall be inclusive of all disbursements and any other costs or expenses necessary.

Rates and prices quoted must be exclusive of value added tax.

London Councils has set out in ANNEX A: Information and Statistics the current information regarding the number of cards currently produced. This information is provided as a guide and for historical purposes only. London Councils cannot warrant or give any guarantee that the volumes will be the same during any contract year of the Contract Period. The Tenderer should pay particular attention to the possible fluctuations in demand for service particularly relating to the renewal periods. Particular attention should also be paid to the potential impact of the change in age eligibility relating to the older person's pass and any future changes in legislation regarding the scope and nature of the scheme.

Any genuine arithmetical error discovered in the tendered Pricing Template will be dealt with in accordance with the provisions of Alternative 2 of the JCT Practice Note 6 – Main Contract Tendering.

### **C.10. Transfer of Undertakings (Protection of Employment) Regulations 2006 (TUPE)**

The following provisions regarding TUPE are extremely important. Please ensure that you read them carefully and that you understand how your tender will be affected and what will be required of you.

Tenderers should be aware that there has been some controversy about whether TUPE will apply to various types of competitive tendering situations (particularly re-tendering situations) in the light of recent decisions of the European Court of Justice and in this country.

At the time of inviting, London Councils has formed the view that TUPE may apply. Details of potential numbers of staff affected will be supplied to tenderers that are invited to tender following the PQQ stage. This will be done only on receipt of a signed SECTION H Appendix 7: Mutual Non-Disclosure Agreement.

Tenderers shall seek independent professional advice on the effect of TUPE (including any subsequent amendments to TUPE) on their Tenders and Contract. London Councils gives no assurances, warranties or assumptions as to the effect of TUPE on the Contract or otherwise other than stated in this section dealing with TUPE.

Where TUPE is held to be applicable then Tenderers should take into account the requirements of TUPE and must be prepared to accept all liabilities, which may arise as a consequence of the application of TUPE.

London Councils cannot guarantee that the TUPE information as set out will remain the same due to factors beyond its control.

Tenderers shall not at any time make use for their own purposes or disclose to any person (except as may be required by law) any such information provided to them (or communicated orally) by London Councils and such information shall be deemed to be confidential.

### **C.11. Freedom of Information Questionnaire**

Tenderers should note that in accordance with the obligations placed upon public authorities by the Freedom of Information Act (2000), all information submitted to London Councils may be disclosed by London Councils in response to a request made pursuant to the Act. Tenderers are requested to consider the content of the Freedom of Information Questionnaire appended to these Instructions as Section I, Appendix 2 and to complete this questionnaire and submit it with their Tender submission.

### **C.12. Evaluation of Tenders**

London Councils intends to award the Contract on the basis of the Tender which represents the most economically advantageous tender to London Councils in terms of price and quality.

In evaluating the Tender London Councils will have regard to the factors set out in the specification and the separate evaluation section of this Invitation To Tender In accordance with the Public Contracts Regulations 2015 ("The EU Regulations"),



London Councils has set out in the evaluation document (Section I, Appendix 6) of this Invitation To Tender a scoring matrix that specifies the award criteria and weightings of the criteria that shall be applied by London Councils in evaluating the Tenders and determining the most economically advantageous tender.

### **C.13. The Contract**

The successful Tenderer will be required to execute a formal contract which embodies the terms of all the tender documents. The contract will be prepared by the city of London's Comptroller and City Solicitor as legal adviser to London Councils.

The successful Tenderer will be required to execute the formal Contract promptly at London Councils request.

### **C.14. Conditions of Contract**

London Councils proposes to conclude the Contract on the terms set out in the Conditions of Contract which can be found SECTION F: Contract

Tenderers must raise any concerns and/or questions that they may have with London Councils Conditions of Contract on or before 17 January 2017. London Councils may consider any concerns and/or questions raised by Tenderers and may in its absolute discretion amend the Conditions of Contract with the aim of issuing a revised set of the Conditions of Contract to all Tenderers no later than 20 January 2017.

This Contract is tendered under the EU Restricted Procedure and is therefore subject to the Public Contracts Regulations 2015 ("the EU Regulations"). Therefore London Councils cannot and will not enter into any negotiation of the Conditions of Contract or accept any amendment to the Contract documentation after the Tender submission date.

Tenderers shall keep their respective Tender valid and open for acceptance by London Councils for 120 days from the Tender return date.

### **C.15. Acceptance of Tender**

Following evaluation of the Tenders London Councils will make a decision on which, if any, Tender shall be accepted. Committee approval may need to be obtained for London Council's award of this Contract.

As the procurement of this Contract is subject to the full application of the EU Regulations, London Councils must observe a minimum 10 calendar days standstill period before it awards the contract to the successful Tenderer(s). All Tenderers will be notified of London Council's award decision as soon as possible after the decision is made and the standstill period will commence the day after all Tenderers are issued with such notification. As soon as possible after the end of the standstill period London Councils will award the contract to the successful Tenderer.

Any acceptance by London Councils of a Tender shall be notified to the successful Tenderer in writing by the City's Comptroller and City Solicitor as legal adviser for London Councils.

The successful Tenderer will be required to commence the Contract on 2 October 2017 (or such other date to be advised) being the Commencement Date.

### **C.16. Confidentiality and Ownership of Documents**

The Tender Documents and all other documentation issued by London Councils relating to the Contract shall be treated by the Tenderer as private and confidential for use only in connection with the Tender and any resulting contract and shall not be disclosed in whole or in part to any third party without the prior written consent of London Councils, save where such information has been disclosed for the purposes of obtaining quotations from proposed insurers and/or sub-contractor and other information required to be submitted with the Tender or as required to be disclosed in accordance with the law.

The copyright in all the Tender Documents and any additional information supplied by London Councils, unless stated otherwise in this document, shall vest in London Councils and all such documents and all copies thereof are and shall remain the property of London Councils and must be returned to London Councils upon demand.

## C.17. Tenderer's Warranties

In submitting a Tender the Tenderer warrants, represents and undertakes to London Councils that:

All information, representations and other matters of fact communicated (whether in writing or otherwise) to London Councils by the Tenderer or its staff in connection with or arising out of the Tender are true, complete and accurate in all respects.

It has carried out its own investigations and research, has satisfied itself in respect of all matters relating to the Tender Documents and that it has not submitted the Tender and has not entered into the Contract in reliance upon any information, representations or assumptions (whether made orally, in writing or otherwise) which may have been made by London Councils other than in the Tender Documents or in any Tender Circulars that may be issued in accordance with above.

It has full power and authority to enter into the Contract and provide the Services and will if requested produce evidence of such to London Councils.

It is of sound financial standing and the Tenderer and its directors, officers and employees are not aware of any circumstances (other than such circumstances that may be disclosed in the audited accounts or other financial statements of the Tenderer) submitted to London Councils which may adversely affect such financial standing in the future.

It has, and has made arrangements to ensure that it will continue to have, sufficient working capital, skilled staff, equipment, and other resources available to deliver the Services in accordance with the Contract and for the initial Contract Period and any period of extension.

It has obtained, or it has made arrangements to ensure that it will have obtained by the Commencement Date, all and any necessary consents, licences and permissions to enable it to carry out the Services and it will throughout the Contract Period obtain and maintain all further and necessary consents, licences and permissions to enable it to continue so to do.

## C.18. Non-Consideration of Tender

London Councils may in its absolute discretion refrain from considering any Tender if:

- a) It is not in accordance with these Instructions to tenderers and all other instructions issued by London Councils during the tender period;
- b) The tenderer makes or attempts to make any variation or alteration to the terms of the Tender Documents, except where a variation or alteration is provided or permitted in accordance with the terms thereof.

London Councils reserves the right to reject any Tender submitted by a Tenderer in respect of which the Tenderer:

- Discloses to any third party prices shown in its Tender except where such disclosure is made in confidence in order to obtain quotations necessary for the purposes of financing or insurance; and/or
- Enters into any agreement with any other person that such other person shall refrain from submitting a Tender or shall limit or restrict the prices to be shown by any other Tenderer in its Tender; and/or
- Fixes prices in its Tender in accordance with any arrangement with any person or by reference to any other Tender; and/or
- In connection with the award of the Contract commits an offence under the Prevention of Corruption Acts 1889 -1916 or gives any fee or reward the receipt of which is an offence under Section 117(2) of the Local Government Act 1972; and/or
- Has directly or indirectly canvassed any member or official of London Councils concerning award of the Contract or who has directly or indirectly obtained or attempted to obtain information from any such member or official concerning any other Tenderer or Tender submitted by any other Tenderer; and/or
- Has done anything improper to influence London Councils during the tender period; and/or
- Has failed to use the English language; and/or

- Is known to practice or permit discrimination in employment on the grounds of sex, colour, religion, race or ethnic or national origins; and/or
- Has failed to return the Form of Tender and Tender Response Document fully completed and signed or any of the Accompanying Documents
- From a Tenderer where London Councils believes that there has been any form of co-operation or collusion with another Tenderer.

## SECTION D: Specification

### D1. General Requirements

Section D sets out London Councils' requirements in regard to this tender. The sub-sections are grouped using letters and further sub-division of each section is made using numbers after decimal points e.g. 1.1.1.

Tenderers should note that each sub-section is preceded by an un-numbered descriptive paragraph setting out the procedure and the administrative context, followed by a series of numbered paragraphs setting out the specific requirements to support the process.

In the response to this ITT, tenderers should describe HOW they are going to meet the specific requirements. No response is required regarding the introductory un-numbered paragraphs, and any responses that may be made to these paragraphs will not be scored.

London Councils wishes to procure a Bureau service for the processing and production of concessionary passes, the management of pass holder and card data and an integrated customer service centre. The service will include a Card Management System (CMS) to store all data relating to passes and customers. It is intended that the Bureau, acting on receipt of the appropriate data, will process the concessionary pass applications, completing validation and eligibility checks of applicant data, and produce a pass and dispatch it to the eligible customer.

In order to support effective and efficient service delivery, London Councils has divided this tender into four service areas:

Service Area 1: Application processing, data capture and data management,

Service Area 2: Card production and dispatch,

Service Area 3: Customer service centre,

Service Area 4: Call down services in areas 1, 2, and 3 for other London Councils' transport and mobility schemes.

Tender responses must demonstrate how each of the numbered paragraphs below will be met.

D1.1.1		Mandatory
<p>All service areas required must be able to integrate with each other and into London Councils' existing systems where appropriate. The particular services in service areas 1, 2 and 3 must:</p> <ul style="list-style-type: none"> <li>• Meet all of the service requirements of the specification.</li> <li>• Meet all of the technical requirements of the specification.</li> <li>• Integrate with the Own Application Borough (OAB) application requirements</li> <li>• Provide for the storage of transaction data for a live smartcard system.</li> <li>• Allow data interrogation, manipulation and flexible, detailed reporting as specified by London Councils.</li> <li>• Be resilient and have a full business continuity solution.</li> <li>• Provide a measured business communication solution encompassing responding to enquiries, scheduled and non-scheduled reporting, error correcting and written confirmations</li> <li>• The system must have the capability to exchange data (both send and receive).</li> </ul>		

D1.1.2		Mandatory
<p>The contractor must ensure that it can meet all requirements specified in the ENCTS Smart Permits Technical Guidance for Travel Concession Authorities, Moving Britain Ahead, issued by: Department for Transport, February 2016:  <a href="https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/501080/encts-technical-guidance.pdf">https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/501080/encts-technical-guidance.pdf</a></p> <p>The contractor must ensure that it assesses eligibility for the scheme in line with the</p>		

most recent version of DfT guidance (currently [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/3621/ravelconcession.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/3621/ravelconcession.pdf) ).

D1.1.3		Mandatory
The Contractor must provide appropriate training to London Councils and TCA (borough) staff (if required) on using the CMS and must provide a detailed project plan for delivery and implementation of the system.		

D1.1.4		Mandatory
The Service Provider shall staff the service with appropriately trained and skilled personnel with a detailed knowledge of the London Councils requirements.		

## **D2. Application processing, data capture and data management**

This section covers application processing, data capture and data management, which includes:

- First time Older Persons application: online and paper
- 60+ transfer application (someone who has a TfL 60+ Oyster photocard and has given permission for their data to be automatically transferred to London Councils before they become eligible for an Older Persons Freedom Pass so that they can be contacted and invited to apply)
- First time Disabled and Discretionary Disabled Persons application: online and paper
- Renewal Older Persons application: online and paper
- Renewal Disabled and Discretionary Disabled Persons application: online and paper



- Replacement Older Persons, Disabled Persons, Discretionary Disabled Persons application: online, telephone and by post
- Eligibility: further requirements
- Rejected applications
- Further application processing requirements
- Audit trail
- Business continuity

## **D2.1 Application processing, data capture and data management: General Requirements**

D 2. 1.1

Mandatory

Contractors must provide the capability for all applicants for the scheme to apply securely online, via a user friendly and intuitive web based portal, and to process paper applications sent by post.

Current pass holders must be able to create an account and manage it securely online in order to update personal Information, provide proof of their continued eligibility, and replace or renew their pass.

The online portals must be accessible and compatible across all internet browsers, on mobile phone devices, and tablets, and be provided on all new widely used means of technology.

It is essential that the contractor provides a system that is accessible to as many potential users as possible, and should be mindful of obligations required under relevant legislation, including the Equality Act 2010.

All customer facing portals need to be intuitive and user friendly to allow users to undertake transactions in the minimum number of steps without recourse to web support. Online tooltips should be provided to support applicants. The contact centre is not expected to complete applications on behalf of customers. The portal must contain features that enable disabled people to access the service online. These should be described in the tender.

London Councils must have the ability to update carrier letter templates dispatched with passes and application forms to meet new requirements as and when required and within the required timeframes.

## **D2.2 First time Older Persons application**

A person is eligible for the Older Persons Freedom Pass scheme if they meet the age requirement and their sole or principal permanent residence is within a London borough.

First time applications for the Older Persons Freedom Pass scheme can be submitted online, via a portal hosted on the London Councils Freedom Pass website, or by post.

London Councils welcomes proposals that reduce the need for applicants to upload evidence in support of their applications and that describe how validation of eligibility can be established by drawing on other sources of information, such as e.g. councils' own records.

### **D2.2.1 First time Older Persons application: Online**

D 2.2.1.1		Mandatory
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Approximately 74% of Older Person first time applications are submitted online, with the remaining applications submitted by post. London Councils wishes to increase the percentage of online applications. Therefore the Contractor must provide a user friendly and intuitive means of online application.

D 2.2.1.2		Mandatory
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In the case of the Own Application Borough(s) (OAB), the data and photographs of

applicants must be transferred to the Contractor via a SFTP. It is intended that OAB applicants will apply online via London Councils application website but the data will be transferred to the borough for verification of eligibility before importing to the card bureau for card production.

D 2.2.1.3		Mandatory
<p>Applicants submitting a first time application online must be required to create an account by providing an email address, which has not already been used to create another Freedom Pass account, and to create a secure password. Contractors must ensure that once an account has been created for an eligible pass holder and the email address verified, the pass holder can use the login details to access and manage their account at any time in the future, reset their password, and close an account if required.</p> <p>Contractors must ensure that the following data and images are captured from a first time application:</p> <ul style="list-style-type: none"> <li>• A verified, unique email address (Email address to be used as the username)</li> <li>• Password (Needed in order to create a login to enable self-service in future, must include a combination of alphanumeric and special characters)</li> <li>• Title</li> <li>• First names</li> <li>• Last name</li> <li>• Date of birth (Online validation of date of birth is required to check that the applicant is of the eligible age for the scheme)</li> <li>• Gender</li> <li>• Residential address (online validation and ward check of London postcode is required to determine which London borough the applicant resides in and to confirm that the address provided is a residential address. The applicant must not be able to proceed past the address stage if the postcode provided is not within a London borough or is not a residential address)</li> <li>• Ethnicity (List of categories must be taken from the latest census. Not compulsory that applicant completes, but if not completed the ethnicity should default to 'unspecified'.)</li> <li>• National Insurance number (Algorithm should be used to validate format of National Insurance number. Not compulsory that applicant completes.)</li> <li>• Telephone number (Validation on number of digits entered is required. Not</li> </ul>		

compulsory that applicant completes.)

- Mobile phone number (Validation on number of digits entered is required. Not compulsory that applicant completes.)
- Preferred contact method: SMS, phone, email, or post (Not compulsory that applicant completes.)
- Third party correspondence (London Councils will not share details for marketing purposes, but where the applicant agrees, London Councils may share information with non-commercial partners, such as the NHS. Not compulsory that applicant completes.)
- Colour, passport sized, good quality photograph showing the full face (the system must allow the applicant to capture their photograph by using a webcam, mobile phone or other electronic device and be able to upload the image to the portal, or alternatively, send their photograph by post. The portal must allow applicants to edit their photograph, e.g. crop and rotate image)
- Proof of identity (the system must allow an applicant to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again. There must be an option for the applicant to partially complete their application online and to return their proof of identity by post)
- Proof of residency (the system must allow an applicant to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again). There must be an option for the applicant to partially complete their application online and to return their proof of identity by post)
- The portal must contain links to videos that show applicants how to upload files (videos will be provided by London Councils)
- Terms and conditions (The system must not allow an applicant to complete an application without agreeing to the terms and conditions (London Councils to supply)).

Fields are mandatory for the Freedom Pass applicant to complete unless specified otherwise above. All fields are mandatory for the supplier to provide.

D 2.2.1.4		Mandatory
<p>A first time applicant applying online must be able to either:</p> <p>Complete a full application, uploading proof of their identity, residency, and photograph to the portal or,</p> <p>Submit a partial online application, but return their proof of identity/residency and/or photograph by post. In order to provide an audit trail of the partial online application,</p>		

a form must be available for the applicant to print from the portal containing a unique application reference, so that the evidence and photograph can be matched by the contractor to the online application upon receipt.

D 2.2.1.5		Mandatory
All information submitted with an application must be imported on to the CMS.		

D 2.2.1.6		Mandatory
<p>Information submitted online and by post must be imported onto the CMS.</p> <p>When a record is created on CMS, the system must perform a duplicate check and escalate where a potential duplicate record is identified.</p> <p>A record must be escalated as a potential duplicate where a new application matches the first initial, surname and date of birth of a current record on CMS.</p> <p>The system must allow authorised CMS users to resolve the duplicate match.</p> <p>The system must allow authorised CMS users to resolve any data queries, such as (but not limited to):</p> <ul style="list-style-type: none"><li>• Title and gender do not match</li><li>• Name query (e.g. spelling)</li><li>• Address query (e.g. incorrect house number inputted; borough does not correspond to postcode)</li><li>• Postcode not found (e.g. new build residence)</li></ul>		

D 2.2.1.7		Mandatory
Data and evidence provided by the applicant must be validated by the contractor before the application is accepted and a card issued (refer to D2.8 Eligibility and D 2.9 Rejected Application). Checks must be made on:		

- Date of Birth
- Identity
- Residency
- Photograph
- Transport Act 2000 eligibility

Where an applicant does not meet the criteria for the scheme the application must be rejected, and the applicant informed by email or by post, within 3 working days of the contractor processing the application.

### D2.2.2 First time Older Persons application: Paper

D 2.2.2.1		Mandatory
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Approximately 26% of first time Older Person application forms are submitted by post. London Councils may at some point in the future move wholly online with the support of boroughs and libraries across London. However, for the immediate future provision to handle paper applications must be made.

Currently, the application forms are printed by London Councils and include guidance notes and a separate form which must be completed and returned, enclosing one proof of identity, one proof of residency and a colour passport size photograph.

Paper application forms are stocked at local libraries and council offices across London, or can be downloaded from the Freedom Pass website.

D 2.2.2.2		Mandatory
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An application form with a unique identifier which can be completed online, printed and downloaded must be provided by the contractor.

Unique identifiers, e.g. a barcode, must be provided by the contractor to print on to the application forms which the contractor must then use when processing paper application forms to allow for an audit trail to be created. This unique identifier must also allow CMS users and applicants to track an application.

D 2.2.2.3		Mandatory
<p>Contractors must ensure that the paper application forms can be stored, scanned and the data electronically captured, validated, and imported on to the CMS.</p> <p>The application form and photograph must be scanned as an image and attached to the individual record using a unique identifier.</p>		

D 2.2.2.4		Mandatory
<p>Data and evidence provided must be validated by the contractor before the application is accepted and a card issued (refer to D2.8 Eligibility and D 2.9 Rejected Application). Checks must be made on:</p> <ul style="list-style-type: none"> <li>• Date of Birth</li> <li>• Identity</li> <li>• Residency</li> <li>• Photograph</li> <li>• Application form signed by the named applicant</li> <li>• Transport Act 2000 eligibility criteria</li> </ul> <p>Where an applicant does not meet the criteria for the scheme the application must be rejected, and the applicant informed by email or by post, within 3 working days of the contractor processing the application.</p>		

### D2.3 60+ transfer application

London residents who are aged 60 or over, but not yet eligible for a Freedom Pass may be eligible for the Mayor of London's 60+ London Oyster Photocard scheme. A 60+ London Oyster Photocard entitles the holder to travel free on public transport in London from the age of 60 until they qualify for a Freedom Pass. A person is not eligible for the scheme if they are the holder of an Older Persons, Disabled Persons or Discretionary Disabled Persons Freedom Pass.

At the point of applying for TfL's 60+ London Oyster Photocard, applicants are asked if they want to opt in to share their data with London Councils. If the applicant chooses to opt in, the name and address details and photograph of the holder are transferred from TfL's contractor, via a secure file transfer, to the contractor 42 days in advance of the 60+ card expiring, which is two weeks after the date that the applicant becomes eligible for the Older Persons Freedom Pass.

D 2.3 1		Mandatory
<p>The contractor will be required to coordinate with TfL's contractor to send and receive pass holder data securely at the required times. Data transferred to TfL's contractor is used to check that a 60+ applicant does not hold an active Freedom Pass.</p> <p>A data sharing agreement must be in place before data is transferred to and from TfL (a sample can be provided at ITT stage).</p> <p>Data received from TfL's contractor must be validated to ensure that the customers are eligible by age and residency.</p> <p>Within 42 days of a 60+ holder becoming eligible for the Older Persons Freedom Pass scheme, the contractor must send an email, containing a unique verification code, to the email address provided inviting the 60+ holder to apply for the Freedom Pass scheme online. Where an email address is not provided, a letter and application form should be sent inviting the applicant to apply online or by post.</p>		

### D2.3.2 60+ transfer application: Online

Approximately 68% of 60+ transfer applications are submitted online.

D 2.3.2.1		Mandatory
An online portal to allow 60+ holders to apply for the Freedom Pass scheme must be		



hosted via London Councils Freedom Pass website.

A portal must be provided which allows a 60+ holder to verify their identity and unique verification code (taken from their email or letter) in order to access their personal Information and photograph transferred from TfL.

Contractors must ensure that the following data is captured before enabling a user to proceed to access their personal Information:

- Unique verification code from email or letter
- Date of Birth
- A verified, unique email address
- Password (needed in order to create a login for individual account)

These details must be validated by the contractor to ensure that the data matches before the applicant can proceed to the next stage of their online application.

D 2.3.2.2		Mandatory
<p>The personal details and photograph of the applicant must be displayed, as per the data transferred from TfL.</p> <p>It must be possible for the applicant to be able to edit their details if they have changed, or where there is a data entry error. If personal details are amended there must be a means for the applicant to provide verifiable evidence, as per the first time Older Persons application portal, and for the details to be validated by the contractor.</p>		

D 2.3.2.3		Mandatory
<p>Contractors must ensure that the following data and images are captured:</p> <ul style="list-style-type: none"><li>• Changes to Title, First Names, Last Name, Residential address</li><li>• Gender</li><li>• Ethnicity (List of categories must be taken from the latest census. Not compulsory that applicant completes, but if not completed the ethnicity should</li></ul>		

default to 'unspecified'.)

- National insurance number (Algorithm should be used to validate format of National Insurance number. Not compulsory that applicant completes.)
- Telephone number (Validation on number of digits entered is required. Not compulsory that applicant completes.)
- Mobile phone number (Validation on number of digits entered is required. Not compulsory that applicant completes.)
- Preferred contact method: SMS, phone, email, or post (Not compulsory that applicant completes.)
- Third party correspondence (London Councils will not share details for marketing purposes, but where the applicant agrees, we may share information with non-commercial partners such as the NHS. Not compulsory that applicant completes.)
- Proof of identity (The system must allow an applicant to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again, or provide an option for the applicant to choose to return their proof of identity by post)
- Proof of residency (The system must allow an applicant to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again, and provide an option for the applicant to choose to return their proof of residency by post)
- Terms and conditions (The system must not allow an applicant to complete an application without agreeing to the terms and conditions).

Fields are mandatory for the Freedom Pass applicant to complete unless specified otherwise above. All fields are mandatory for the supplier to provide.

60+ transfers applicants are not required to provide a new photograph as this is transferred from TfL.

D 2.3.2.4		Mandatory
A 60+ transfer applicant applying online must be able to either:		

Complete a full application or,

Submit a partial online application, but, if updating their details, return their proof of identity/residency and/or photograph by post. In order to provide an audit trail of the partial online application, a form must be available to print from the portal containing a unique application reference, so that the evidence and photograph can be matched by the contractor to the online application upon receipt.

D 2.3.2.5		Mandatory
<p>Data and evidence provided must be validated by the contractor before the application is accepted and a card issued (refer to D2.8 Eligibility and D 2.9 Rejected Application). Checks must be made on:</p> <ul style="list-style-type: none"> <li>• Unique Verification Code</li> <li>• Date of Birth</li> <li>• Identity</li> <li>• Residency</li> <li>• Photograph</li> </ul> <p>Where an applicant does not meet the criteria for the scheme the application must be rejected, and the applicant informed by email or by post, within 3 working days of the contractor processing the application.</p>		

D 2.3.2.6		
<p>Information submitted online and by post must be imported onto the CMS.</p> <p>When a record is created on CMS, the system must perform a duplicate check and escalate where a potential duplicate record is identified.</p> <p>A record must be escalated as a potential duplicate where a new application matches the first initial, surname and date of birth of a current record on CMS.</p> <p>The system must allow authorised users to resolve the duplicate match.</p>		

The system must allow authorised users to resolve any data queries, such as:

- Title and gender do not match
- Name query (e.g. spelling)
- Address query (e.g. incorrect house number inputted)
- Postcode not found (e.g. new build residence)

### D2.3.3 60+ transfer application: Paper

Approximately 32% submit their 60+ transfer application by post.

At some point in the future, London Councils may mandate that all 60+ transfer applicants for the Older Persons Freedom Pass scheme must be made online.

However, for in the immediate future, it must be possible for applications to be made by post.

D 2.3.3.1		Mandatory
The contractor will be required to print an application form on the reverse of the letter sent to 60+ transferees, containing the unique verification code, and post this to the 60+ transferee. The form must capture the same information as requested on the online form.		

D 2.3.3.2		Mandatory
Contractors must ensure that the paper application forms can be stored, scanned and the data electronically captured, validated, and imported on to the CMS.		
The application form must be scanned as an image and attached to the individual record using the unique identifier, e.g. barcode.		

D 2.3.3.3		Mandatory
<p>Unique identifiers must be provided by the contractor to print on to the application form which the contractor must then use when processing paper application forms to allow for an audit trail to be created.</p> <p>Application forms must contain some form of unique identifier, e.g. a barcode, which the contractor, the applicant and CMS users can use to track an application.</p>		

D 2.3.3.4		Mandatory
<p>Data and evidence provided must be validated by the contractor before the application is accepted and a card issued (refer to D2.8 Eligibility and D 2.9 Rejected Application). Checks must be made on:</p> <ul style="list-style-type: none"> <li>• Unique verification code</li> <li>• Date of Birth</li> <li>• Identity</li> <li>• Residency</li> <li>• Photograph</li> <li>• Application form signed by the named applicant</li> </ul> <p>Where an applicant does not meet the criteria for the scheme the application must be rejected, and the applicant informed by email or by post, within 3 working days of the contractor processing the application.</p> <p>If the applicant's name and/or address details have not changed from the details provided on the front of the letter the applicant will not be required to complete the name and/or address section.</p>		

## **D2.4 First Time Disabled and Discretionary Disabled Persons Applications**

To be eligible for a disabled persons Freedom Pass the applicant's sole or principal residence must be in a London borough and they must have at least one of the

statutory disabilities listed in the Transport Act 2000:

- People who are blind or partially sighted
- People who are profoundly or severely deaf
- People without speech
- People who have a disability, or have suffered an injury, which has left them with a substantial and long-term adverse effect on their ability to walk
- People who do not have arms or have a long-term loss of the use of both arms
- People who have a learning disability that is defined as 'a state of arrested or incomplete development of mind which includes significant impairment of intelligence and social functioning'
- People who, if they applied for the grant of a licence to drive a motor vehicle under Part III of the Road Traffic Act 1988, would have their application refused pursuant to section 92 of the Act (physical fitness) otherwise than on the ground of persistent misuse of drugs or alcohol.

Some London boroughs, at their discretion, issue Freedom Passes to disabled people that do not meet one of the statutory eligibility criteria. This is the Discretionary Disabled Persons pass.

The contractor must be aware that the number of boroughs offering Discretionary Disabled passes may be subject to change and they could be withdrawn at a future date. London Councils will not incur any charges in the instance that boroughs change their eligibility criteria.

D 2.4 1		Mandatory
Currently, first time applicants for the Disabled and Discretionary Disabled Persons scheme must submit their application to the local authority in which they reside as it is the local borough that is responsible for the assessing and verification of first time applications. Boroughs currently offer paper and, in some cases, online application forms. While there may be variations between the application forms, the eligibility criteria for statutory passes are the same. The successful tenderer will provide an		

online portal for Disabled and Discretionary Disabled applicants to apply for the scheme.

London Councils may require contractors to assess and verify the eligibility of some categories of Disabled Person Freedom Pass applicants. Where this is the case, the contractor must process applications in line with DfT guidelines (the current guidelines can be found at:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/181507/eligibility-review.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/181507/eligibility-review.pdf) )

D 2.4.2		Mandatory
When a borough validates the eligibility of an applicant it is responsible for creating a record on the CMS in order for a pass to be produced. The Contractor must provide borough officers with access to the CMS for this purpose and provide an intuitive and user friendly system to enable boroughs to input the required information.		

### **2.4.3 First Time Disabled and Discretionary Disabled Persons Applications: Online**

D 2.4.3.1		Mandatory
The Contractor must provide a standard online application process for Disabled and Discretionary Persons that enables a borough to validate the applicant's eligibility before a card is issued.		

D 2.4.3.2		Mandatory
Applicants submitting a first time application online must be required to create an account by providing an email address, which has not already been used to create another Freedom Pass account, and creating a secure password. Contractors must ensure that once an account has been created for an eligible pass holder and the		

email address verified, the pass holder can use the login details to access and manage their account at any time in the future, reset their password, and close an account if required.

D 2.4.3.3		Mandatory
<p>Contractors must ensure that the following data and images are captured from a first time application:</p> <ul style="list-style-type: none"> <li>• A verified, unique email address (Email address to be used as the username)</li> <li>• Password (Needed in order to create a login to enable self-service in future, must include a combination of alphanumeric and special characters)</li> <li>• Title</li> <li>• First names</li> <li>• Last name</li> <li>• Date of birth (Online validation of date of birth is required. The applicant should be automatically referred to the Older Persons first time application portal where the applicant is eligible by age, without losing any of the data input to that point. Clear messaging should be displayed if the applicant is not yet of TfL fare paying age (the applicant must not proceed past this point if they are under the age of five years)</li> <li>• Gender</li> <li>• Residential address (online validation and ward check of London postcode is required to determine which London borough the applicant resides in and to confirm that the address provided is a residential address. The applicant must not proceed past the address stage if the postcode provided is not within a London borough or is not a residential address)</li> <li>• Ethnicity (List of categories must be taken from the latest census. Not compulsory that applicant completes, but if not completed the ethnicity should default to 'unspecified'.)</li> <li>• National insurance number (Algorithm should be used to validate format of National Insurance number. Not compulsory that applicant completes.)</li> <li>• Telephone number (Validation on number of digits entered is required. Not</li> </ul>		



compulsory that applicant completes.)

- Mobile phone number (Validation on number of digits entered is required. Not compulsory that applicant completes.)
- Preferred contact method: SMS, phone, email, or post (Not compulsory that applicant completes.)
- Third party correspondence (London Councils will not share details for marketing purposes, but where the applicant agrees, we may share information with non-commercial partners, such as the NHS. Not compulsory that applicant completes.)
- Colour, passport sized, good quality photograph showing the full face (The system must allow the applicant to capture their photograph by using a webcam, uploading an image to the portal, or by choosing to send their photograph by post. The portal must allow applicants to edit their photograph, e.g. crop and rotate image)
- Proof of identity (The system must allow an applicant to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again, or provide an option for the applicant to choose to return their proof of identity by post)
- Proof of residency (The system must allow an applicant to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again, or provide an option for the applicant to choose to return their proof of residency by post)
- Disability status: the applicant must be asked to specify which of the seven eligible categories they meet (multiple categories can be accepted). Where an applicant is from a borough that issues discretionary disabled persons Freedom Passes, a configurable borough specific, discretionary disabled persons category list must be presented. If the contractor chooses to present a single list that includes disabled and discretionary disabled categories, the CMS must recognise which category has been chosen and mark the application and subsequent CMS record and pass type correctly i.e. if a disabled category is chosen, the CMS record and pass type would reflect that it is a disabled pass, and if a discretionary disabled category is chosen, the CMS record and pass type would reflect that it is a discretionary disabled pass. NB authorised users must have the ability to

override and change any automatic categorisation.

- Proof of disability (dependent on the category selected, the applicant must supply supporting documentation that demonstrates their eligibility for the scheme) (details to be supplied by London Councils).
- Terms and conditions (The system must not allow an applicant to complete an application without agreeing to the terms and conditions).

Fields are mandatory for the Freedom Pass applicant to complete unless specified otherwise above. All fields are mandatory for the supplier to provide.

Contractors must provide a system that allows either of the following (depending on borough preference):

1. Certain categories of application e.g. automatic qualifiers to be automatically approved in accordance with rules to be specified by London Councils; and/or
2. For applications to require validation by the application borough in question i.e. application data and supporting evidence to be presented within CMS to authorised boroughs users who will subsequently accept or reject the application, or request further information. The CMS must also allow the authorised borough user to specify which type of card is being issued and must allow the borough user to override the disability category or card type indicated by the applicant.

D 2.4.3.4		Mandatory
<p>The applicant's date of birth and address must be validated before the application is submitted, providing clear messaging and signposting where the applicant is:</p> <ul style="list-style-type: none"><li>• Not of the eligible age</li><li>• Does not live within a London borough</li><li>• Lives within a borough that does not issue Discretionary Disabled Person Freedom Passes</li></ul>		

D 2.4.3.5		Mandatory
<p>Dependent on the address, borough and disability category selected, the system must populate only the evidence required that that borough accepts. List of evidence required is to be provided by London Councils.</p>		

D 2.4.3.6		Mandatory
<p>Information submitted online and by post must be imported onto the CMS.</p> <p>When a record is created on CMS, the system must perform a duplicate check and escalate where a potential duplicate record is identified.</p> <p>A record must be escalated as a potential duplicate where a new application matches the first initial, surname and date of birth of a current record on CMS.</p> <p>The system must allow authorised users to resolve the duplicate match.</p> <p>The system must allow authorised users to resolve any data queries, such as:</p> <ul style="list-style-type: none"> <li>• Title and gender do not match</li> <li>• Name query (e.g. spelling)</li> <li>• Address query (e.g. incorrect house number inputted)</li> <li>• Postcode not found (e.g. new build residence)</li> </ul>		

D 2.4.3.7		Mandatory
<p>Data and evidence provided must be validated before the application is accepted and a card issued (refer to D2.8 Eligibility and D 2.9 Rejected Application).</p> <p>Either the borough or contractor will be required to check the evidence for automatic qualifiers against the criteria specified. Checks must be made on:</p> <ul style="list-style-type: none"> <li>• Date of Birth</li> <li>• Identity</li> <li>• Residency</li> </ul>		

- Disability
- Photograph

D 2.4.3.8		Mandatory
Where the applicant is applying for the scheme based on a disability which requires a face to face assessment by an Occupational Therapist, the borough in which the applicant resides must have sight of the application and evidence imported from the application portal to the CMS.		

D 2.4.3.9		Mandatory
The system must alert the borough to new applications transferred to CMS which are awaiting a borough assessment in line with the relevant KPIs for application processing. The status of these records on CMS must show as 'Pending borough eligibility check'.		

D 2.4.3.10		Mandatory
The borough must have the option to accept or reject the application, and edit the record and pass holder's entitlement for the scheme, i.e. disabled persons or discretionary disabled persons, and disability category.		

D 2.4.3.11		Mandatory
<p>An accepted application must trigger a card production and issue request.</p> <p>A rejected application must close the record, but still allow for an applicant to resubmit evidence at a later stage via their online account or by post.</p>		

## 2.4.4 First Time Disabled and Discretionary Disabled Persons

### Applications: Paper

D 2.4.4.1

Mandatory

Paper applications are provided by the local authority which assesses the applicant's eligibility for the scheme. These are sent directly to the borough for processing. Currently, there is no requirement for the successful tenderer to assess disabled persons' eligibility for paper applications. However, contractors must provide a price for the assessment and validation of disabled persons' applications (not including occupational therapy assessments).

At the point an applicant is confirmed as eligible, the borough must have access to the CMS in order to create/validate a record according to agreed business rules. The system must allow for this.

D 2.4.4.2

Mandatory

The contractor must ensure that the following data and images can be captured on CMS:

Title

First names

Last name

Date of Birth

Gender

Entitlement (The system must prevent a CMS user creating an older person's record where the date of birth inputted means the applicant is not of the eligible age)

Category of disability entitlement (as per the Transport Act 2000 for Disabled Persons categories, and supplementary requirements for Discretionary Disabled Persons).

Residential address (populate address based on postcode, use of a gazetteer is

required and validation of a London postcode. A borough must only be allowed to create records for residential addresses that are within that borough.)

Ethnicity (List of categories must be taken from the latest census)

National insurance number

Email address

Telephone number

Mobile phone number

Preferred contact method: SMS, phone, email or post

Colour passport sized photograph (user must have the option to edit the photograph on CMS to meet DfT requirements. The contractor should consider using image recognition software within the CMS and application processing system where photographic ID has been provided with an online application).

Scanned images of application form and/or evidence provided

Assessment date

Assessment due date (the date inputted here must be used as an automatic alert/reminder to boroughs, refer to D7 Management Information Reports

D 2.4.4.3		Mandatory
<p>At the point a record is created, the system must perform a cross-borough duplicate check and escalate the record where a potential duplicate is identified, within the same borough or in another borough. A record must be escalated as a potential duplicate where a new application matches the first initial, surname and date of birth of a current record on CMS.</p> <p>The system must allow authorised users to resolve the duplicate match if the applicants are in different boroughs. A borough must be allowed to resolve a potential duplicate match if the record is within the same borough. All cross-borough duplicates must be referred to a London Councils user.</p> <p>The system must allow authorised users to resolve any data queries, such as (but</p>		

not limited to):

- Title and gender do not match
- Name query (e.g. spelling)
- Address query (e.g. incorrect house number inputted)
- Postcode not found (e.g. new build residence)

D 2.4.4.4

Mandatory

The system must automatically generate a card request once a record has been completed and this must trigger fulfilment of a card order from the bureau.

## D2.5 Renewal Older Persons Application

By law, Freedom Passes are issued with a maximum five year lifespan. Passes expire on the 31<sup>st</sup> March five years from the date the card is issued.

To renew a Freedom Pass the pass holder is required to confirm their ongoing eligibility for the scheme and reaffirm their agreement to the terms and conditions.

A pass holder is written to, or where an email address is on file, is emailed and invited to renew their pass online or by post.

To continue to be eligible for the scheme the same criteria must be met as per a first time application.

### D2.5.1 Renewal Older Persons Application: Online

D 2.5.1.1

Mandatory

If pass holders have an account already they must be invited to renew by logging in to their account. Where pass holders do not have a pre-existing account, the contractor will be required to email or write to them with a unique verification code to be produced by the provider (or similar means of verifying that the correct pass

holder is renewing) which the pass holder must use to create an account and renew their pass online.

D 2.5.1.2		Mandatory
<p>Where a pass holder is creating an account the Contractor must ensure that the following data is captured before enabling a user to proceed to access their personal Information:</p> <ul style="list-style-type: none"> <li>• Unique verification code from email or letter</li> <li>• Date of Birth</li> <li>• Last four digits of ISRN number</li> <li>• A verified, unique email address</li> <li>• Password (needed in order to create a login for individual account)</li> </ul> <p>These details must be validated by the contractor to ensure that the data matches before the applicant can proceed to the next stage of their online renewal application.</p>		

D 2.5.1.3		Mandatory
<p>When a pass holder logs in to their account their personal details must be displayed, as per the data on the pass holder's record on CMS.</p> <p>It must be possible for the applicant to be able to edit these details if they have changed, or where there are data entry errors, as long as they provide sufficient proof of any new details.</p>		

D 2.5.1.4		Mandatory
<p>As per a first time application the Contractor must ensure that the following data, changes to data, and images are captured:</p>		



- Title
- First Names
- Last Name
- Gender
- Residential address (Online validation and ward check of London postcode is required if the pass holder changes their address details to determine the London borough in which the applicant resides and to confirm that the address is a residential address. The system must not allow the applicant to proceed past this stage if the postcode provided is not within a London borough or a residential address)
- Ethnicity (List of categories must be taken from the latest census. Not compulsory that pass holder completes, but if not completed the ethnicity should default to 'unspecified'.)
- National insurance number (Algorithm should be used to validate format of National Insurance number. Not compulsory that pass holder completes.)
- Telephone number (Validation on number of digits entered is required. Not compulsory that pass holder completes.)
- Mobile phone number (Validation on number of digits entered is required. Not compulsory that pass holder completes.)
- Preferred contact method: SMS, phone, email, or post (Not compulsory that pass holder completes.)
- Third party correspondence (London Councils will not share details for marketing purposes, but where the applicant agrees, we may share information with non-commercial partners such as the NHS. Not compulsory that pass holder completes.)
- Proof of identity (The system must allow an pass holder to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again, or provide an option for the pass holder to choose to return their proof of identity by post)
- Proof of residency (The system must allow an pass holder to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again, or provide an option for the pass holder to choose to return their proof of residency by post)

- Photograph (The system must recognise when a photograph has not been replaced on CMS in ten years and must require the applicant to provide a new photograph before completing a renewal application)
- Terms and conditions (The system must not allow a pass holder to complete a renewal without agreeing to the terms and conditions).

Fields are mandatory for the Freedom Pass holder to complete unless specified otherwise above. All fields are mandatory for the supplier to provide.

D 2.5.1.5		Mandatory
<p>A pass holder renewing online must be able to either:</p> <p>Complete a full application, uploading proof of their identity, residency, and photograph to the portal if required, or,</p> <p>Submit a partial online application, but return their proof of identity/residency and/or photograph by post. In order to provide an audit trail of the partial online application, a form must be available to print from the portal containing a unique application reference, so that the evidence and photograph can be matched by the contractor to the online application upon receipt.</p>		

D 2.5.1.6		Mandatory
<p>Pass holders are required to provide a new photograph every ten years and the system must require them to provide one as part of the renewal process in cases where the photograph on the CMS is ten years old. This must be validated, by comparing the new photograph to the photographic proof already on record, before the renewal is processed.</p> <p>Data and evidence provided must be validated by the contractor before the application is accepted and a card issued (refer to D2.8 Eligibility and D 2.9 Rejected Application). Checks must be made on:</p> <ul style="list-style-type: none"> <li>• Unique verification code</li> </ul>		

- Date of Birth
- Last four digits of ISRN
- Identity (if name has changed)
- Residency (if address has changed)
- Photograph (if photograph has changed)

Where a pass holder no longer meets the criteria for the scheme the application must be rejected, and the pass holder informed by email or by post, within 3 working days of the contractor processing the application. The record must be updated to reflect this.

D 2.5.1.7		Mandatory
Information submitted online must be imported onto the pass holder's CMS record, creating and storing an audit trail of the transactions made on the portal.		

D 2.5.1.8		Mandatory
<p>The system must allow authorised users to resolve any data queries, such as:</p> <ul style="list-style-type: none"> <li>• Title and gender do not match</li> <li>• Name query (e.g. spelling)</li> <li>• Address query (e.g. incorrect house number inputted)</li> <li>• Postcode not found (e.g. new build residence)</li> </ul>		

D 2.5.1.9		Mandatory
The Contractor must issue and dispatch a pass within the agreed timescales once a renewal application has been validated.		

### D2.5.2 Renewal Older Persons Application: Paper

D 2.5.2.1

Mandatory

Where a pass holder is written to with a unique verification code, the Contractor will be required to print an application form on the reverse of the letter. The form must capture the same information as requested on the online form.

If the pass holder's name and/or address details have not changed from the details on the CMS, the pass holder will not be required to complete the name and/or address section.

D 2.5.2.2

Mandatory

A unique identifier must be printed on to the application forms which the contractor must use when processing paper application forms to allow for an audit trail to be created.

D 2.5.2.3

Mandatory

Contractors must ensure that the paper renewal application forms can be stored, scanned and the data electronically captured, validated, and imported on to the CMS.

The application form, and photograph if provided, must be scanned as an image and attached to the individual record using a unique identifier.

D 2.5.2.4

Mandatory

Data and evidence provided must be validated by the contractor before the application is accepted and a card issued (refer to D2.8 Eligibility and D 2.9 Rejected Application). Checks must be made on:

- Unique Verification Code
- Date of Birth
- Last four digits of ISRN number
- Identity (if name has changed)
- Residency (if changed)
- Photograph (if changed)
- Application form signed by the named pass holder

Where a pass holder no longer meets the criteria for the scheme the application must be rejected, and the pass holder informed by email or by post, within 3 working days of the contractor processing the application. The record must be updated to reflect this.

D 2.5.2.5		Mandatory
<p>London Councils may request the contractor to carry out a review of pass holder eligibility periodically. This is to ensure that individual pass holders still reside at the address on file. All residential data of pass holders will need to be validated and may require some pass holders whose residence cannot be confirmed to provide evidence, either by uploading proof to their account, or by sending via email or post, proving that they continue to be eligible for the scheme. Records for those who are no longer eligible for the scheme must be deactivated, i.e. the record is cancelled, and the card is hotlisted. This would be subject to a negotiated charge.</p>		

D 2.5.2.6		Mandatory
<p>The contractor must be able to produce passes in sufficient volumes during renewal periods in a timely and accurate manner.</p>		

## D2.6 Renewal Disabled and Discretionary Disabled Persons Application

To continue to be eligible for the Disabled Persons Freedom Pass scheme the pass holder must continue to meet one or more of the categories listed in the Transport Act 2000.

The renewal of Disabled Person Freedom Pass holders is the responsibility of the local authority.

Local authorities check residency and confirm continued eligibility of their pass holders against the Transport Act 2000 criteria, or against borough set criteria for Discretionary Disabled pass holders.

A borough may reassess a pass holder's continued eligibility for the scheme at any point during the validity of the pass.

Currently, pass holders for the Disabled and Discretionary Disabled Persons scheme must submit their renewal application and evidence to the local authority in which they reside as it is the local borough that is responsible for assessing continued eligibility.

D 2.6.1		Mandatory
The contractor must be able to produce passes in bulk during renewal periods for records where the borough has authorised the renewal of a Disabled Persons and Discretionary Disabled Persons pass.		

D 2.6.2		Mandatory
Borough officers must be able to update CMS records and interrogate the CMS to identify which pass holders require reassessing, based on the expiry date of the card and/or the reassessment due date.		

D 2.6.3		Mandatory
<p>The CMS must allow for existing records to be transferred to a different borough where a pass holder has changed address but reapplied for the scheme. These must be escalated via the potential duplicate checks.</p>		

## **D2.6.4 Renewal Disabled and Discretionary Disabled Persons**

### **Application: Online**

D 2.6.4.1		Mandatory
<p>It is envisaged that in future Disabled Person pass holders will be able to renew their pass online. The Contractor must be able to offer an online renewal service that allows for the eligibility of disabled pass holders to be verified by the borough (or by the contractor if required in the future) in the same way as a first time online Disabled Persons application.</p> <p>For pass holders who must confirm their continued eligibility to the borough, it is intended that the contractor will have the capability to write to the pass holder with a unique verification code inviting them to renew online (subject to borough approval).</p>		

## **D2.6.5 Replacement Older Persons, Disabled Persons, Discretionary Disabled Persons Application**

<p>In 2015/16 London Councils replaced, on average, 7,500 Freedom Passes a month, with the main replacement reasons being lost and damaged passes.</p> <p>This section includes the systems that the Contractor must have in place for pass holders who require a replacement pass and/or who need to update their personal Information.</p>		
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D 2.6.5.1		Mandatory
<p>Freedom Pass holders must pay a £10 replacement fee by debit or credit card, cheque, postal order or cash, for passes which are:</p> <ul style="list-style-type: none"> <li>• Lost</li> <li>• Damaged</li> <li>• Withdrawn (if a pass has been confiscated for misuse by a revenue inspector)</li> <li>• Faulty (the fee is refunded if, when the pass is returned and tested, it is found to be faulty and not damaged)</li> <li>• Incorrect details (only if the applicant has made an error at the point of application).</li> <li>• Card not delivered (fee is incurred if the pass has been marked as dispatched for more than twenty working days).</li> </ul> <p>The fee must be waived if the pass is reported stolen and a crime reference number is provided. An interim crime reference number (CAD number) cannot be accepted.</p>		

D 2.6.5.2		Mandatory
<p>The contractor must provide a service that allows for the payment of replacement passes to be made over the telephone, online by debit or credit card, or by cheque or postal order sent by post (refer to Customer Service Centre D4.3 Payments (below)). If a pass holder cannot pay by other means, London Councils accept cash payments at its offices.</p>		

D 2.6.5.3		Mandatory
<p>London Councils has a merchant account number with Global Payments to process bank payments, via a virtual payment terminal hosted by Secure Trading. The contractor must satisfy Global Payments and London Councils that they are PCI compliant when processing payments over the telephone and online.</p>		



## D2.7 Replacement Older Persons, Disabled Persons, Discretionary Disabled Persons Application: Online

D 2.7.1

Mandatory

Pass holders must be able to access the online payment terminal by logging in to their account, or by setting up an account.

D 2.7.2

Mandatory

The Contractor must provide a portal that is intuitive and user friendly, and before replacing a pass online, enables the pass holder to: update their personal information, e.g. name, address, photograph and contact preferences, provide proof where required to do so, and view their current and previous pass history.

D 2.7.3

Mandatory

As with first time and renewal online applications, if there is a change of details the system must request proof of the new details, which must be validated by the Contractor before a card is issued.

D 2.7.4

Mandatory

The Contractor must ensure that the portal does not allow a Discretionary Disabled pass holder to update their address to a different borough as not all boroughs issue this entitlement. Instead the portal should provide clear messaging to the pass holder advising them to reapply to their new borough.

D 2.7.5

Mandatory

If the evidence is rejected and a payment for a replacement pass has been made, the contractor must inform the pass holder and allow them to provide sufficient evidence within 21 days of making the payment. Otherwise, the £10 must be refunded directly to the pass holder's bank account, via Secure Trading.

D 2.7.6		Mandatory
The Contractor must develop a portal to recognise when a payment is required for a replacement pass, or where a crime reference number is needed. The crime reference number must be validated by using an algorithm to check the format of the number provided.		

D 2.7.7		Mandatory
<p>The contractor will be required to have a system in place which incorporates the business rules relating to the replacement of a pass, and recognises when a payment must and must not be requested.</p> <p>A customer is entitled to apply online for a replacement Freedom Pass under the following conditions -</p> <ul style="list-style-type: none"> <li>• They are registered on the Freedom Pass online portal</li> <li>• Their CMS applicant account is active</li> <li>• They have an active or expired Freedom Pass</li> <li>• Their Freedom Pass has been marked as dispatched for more than ten working days except where the replacement reason is 'Card not delivered' where it must be marked as dispatched for more than twenty working days.</li> <li>• Their Freedom Pass has not been hotlisted as 'Withdrawn'</li> <li>• The replacement reason is one that is supported online</li> <li>• The replacement would not result in the applicant exceeding the maximum permissible replacements in a given period (currently three times in a 12 month rolling period) without authorisation from a borough officer user</li> </ul>		

- It must be possible for authorised system users to override rules relating to the exclusions listed above.

D 2.7.8		Mandatory
The portal must prevent a pass holder from replacing a card whilst another card is in production or has been dispatched within the last ten working days.		

D 2.7.9		Mandatory
Applicants must be provided with a transaction reference for a successful payment processed.		

D 2.7.10		Mandatory
The contractor must ensure that any changes made to a pass holder's account, or payments made, are updated on the pass holder's record on CMS, including a transaction payment reference. Data should be automatically updated on the CMS in order to create an audit trail of transactions made online.		

D 2.7.11		Mandatory
At the point of a successful payment a card request must be triggered, except where evidence that has been provided has been rejected.		

D 2.7.12		Mandatory
A pass holder must have the option to close their account if they no longer require the pass, which will automatically add the card for hotlisting and deactivate the CMS		

record. If a record is deactivated but the pass holder later wants to re-join the scheme they will be required to provide evidence as per a first time application.

### **D2.7.13 Replacement Older Persons, Disabled Persons, Discretionary Disabled Persons Application: Telephone and by post**

The Contractor is required to provide a customer service centre that can process debit and credit card payments over the phone using London Councils virtual payment terminal, and receive and process cheque and postal order payments sent by post.

D 2.7.13.1		Mandatory
<p>Payments received by post must be made payable to 'London Councils' for £10 only. The Contractor must reject any payments which cannot be accepted and return the payment to the payee within 2 days of receipt. Rejection reasons include:</p> <ul style="list-style-type: none"> <li>• Incorrect payee (not London Councils)</li> <li>• Incorrect amount (not £10)</li> <li>• Cheque not signed.</li> </ul>		

D 2.7.13.2		Mandatory
<p>Valid payments received by post must be banked within 2 working days of receipt and be recorded by name of payee, postal order / cheque number and day of banking. This report must be sent to London Councils for reconciliation purposes at month end.</p>		

D 2.7.13.3		Mandatory
<p>All payments received must be recorded on the pass holder's record with a valid</p>		

payment resulting in a replacement card request if the pass holder remains eligible.

### D2.8 Eligibility: Further Requirements

A person is eligible for the London Freedom Pass scheme by age or by disability, and their sole or principal residence must be in a London borough.

D 2.8.1

Mandatory

A person eligible by age and residency must be issued with an Older Persons Freedom Pass. A person eligible by disability and residency must be issued with a Disabled Persons pass. Discretionary Disabled Persons Freedom Passes are issued at the discretion of a local authority.

### D2.8.2 Residency

The Concessionary Bus Travel Act 2007 specifies that TCAs must issue a travel concession permit to an eligible person whose sole or principal residence is in the authority's area. For the Freedom Pass scheme, the applicant's residency must be within one of the 32 London boroughs or City of London.

D 2.8.2.1

Mandatory

When applying for the scheme, updating personal information or renewing a pass, applicants must provide one proof of residency, in their name, from a list agreed by London Councils. The contractor must ensure that the address provided on the application form is within one of the 32 London boroughs or City of London and that the applicant's evidence of residency submitted with the application complies with London Councils list of accepted documents, is a residential address, and matches and supports the details submitted with the application.

D 2.8.2.2		Mandatory
<p>One of the following documents (photocopies) must be provided by the applicant to prove residential address and be verified by the contractor:</p> <ul style="list-style-type: none"> <li>• Current council tax bill/letter/payment book</li> <li>• Current council/housing association rent book/statement/letter</li> <li>• Current television licence</li> <li>• Residential utility bill/Letter (excluding mobile phone bills) dated in the last 3 months</li> <li>• HM Revenue and Customs letter dated in the last 3 months</li> <li>• Department for Work and Pensions letter dated in the last 3 months</li> <li>• Occupational pension letter dated in the last 3 months</li> </ul> <p>NB – this list may be subject to amendment from time to time during the course of the contract and any changes to the list and associated business processes must be made by the contractor at no additional cost to London Councils.</p>		

D 2.8.2.3		Mandatory
<p>The contractor must integrate a regularly updated gazetteer or similar ward check mechanism into the CMS and online portal to verify London postcodes and standardise the format of address on CMS; automatically matching the residential address to the London borough.</p>		

D 2.8.2.4		Mandatory
<p>Applications must be rejected by the contractor where the address and postcode provided is not within a London borough or does not confirm that the applicant's sole or principal residence is in London. A record should be or escalated if there is a relevant query with the address provided.</p>		

D 2.8.2.5		Mandatory
Contractors must demonstrate that they have mechanisms in place to verify London postcodes, including new builds and borough boundary changes.		

### D2 8.3 Identity and Age

Since April 2010 the age of eligibility for concessionary travel has gradually been increasing from 60 years, in line with the increase in women's state pension age. The age of eligibility for the state pension is scheduled to rise by two - four months every one month, until 2020 when the age of eligibility will be 66 years. This means the earliest date on which someone can obtain a concessionary travel pass will depend on which month and year they were born, until 2020 when anyone born after 6 October 1954 will become eligible on their 66th birthday.

D 2.8.3.1		Mandatory
<p>Applicants must provide one proof of identity, in their name, from a list agreed by London Councils. The contractor must ensure that the date of birth provided on the application form is within the eligible age range and that the applicant's evidence of identity submitted with the application complies with London Councils list of accepted documents, see below, and supports the name and date of birth details submitted with the application.</p> <p>The contractor must provide for the ability to update the validation should any future changes to legislation be made that increases the age of eligibility. This item must be configurable and not be subject to further charge to London Councils.</p>		

D 2.8.3.2		Mandatory
One of the following documents (photocopies) must be provided by the applicant to		

prove name and age and be verified by the contractor:

- Current passport
- Medical card
- Birth certificate (unless the name has changed)
- Current new style driving licence with photograph i.e. not the old style paper driving licence
- Letter of state pension entitlement
- European ID card

NB – this list may be subject to amendment from time to time during the course of the contract and any changes to the list and associated business processes must be made by the contractor at no additional cost to London Councils.

D 2.8.3.3		Mandatory
The name provided on the application form must match exactly to the evidence provided. Evidence must be rejected by the Contractor where the documents supplied do not match the details on the application form.		

D 2.8.3.4		Mandatory
The contractor must ensure that a validation check on the date of birth is integrated into the CMS and online portals to prevent applications proceeding if the applicant is not eligible by age for the Older Persons scheme and provide clear messaging whereby the applicant may be eligible by age for TfL's 60+ scheme.		

D 2.8.3.5		Mandatory
Contractors must provide a mechanism to allow customers to apply 14 days in advance of the date they become eligible so that they receive their card by the date		



they become eligible. It is essential that the resulting card from a valid application is produced and dispatched correctly and that the application is not treated as a non-compliant or rejected.

#### D 2.8.4 Signature

D 2.8.4.1		Mandatory
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Paper application forms must be signed by first time applicants, except in cases where a Power of Attorney has signed on an applicant's behalf, however proof of this must be provided with the application. The contractor must reject applications where the form has not been signed. An online application must not be submitted without the applicant agreeing to the terms and conditions and declaration statement.

#### D 2.8.5 Photograph

The purpose of the photograph is to help transport operators validate that the permit holder is entitled to the concession.

D 2.8.5.1		Mandatory
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Contractors must ensure they understand the photograph criteria: applicants must provide one recent (within the last 12 months) colour passport size (45mm x 35mm) photograph, which is a current true likeness, showing the applicants full face, facing forward without a hat, taken against a plain, evenly lit and pale coloured background.

The photograph must be compared and validated against the likeness of the photographic proof of identity provided, i.e. passport, driving licence or European ID card, or, if an existing member on CMS against the photograph on file.

If photographic evidence has not been provided as part of the proof of identity, e.g. a birth certificate, the applicant must provide a photograph that has been

countersigned. The requirements of countersigning a photograph must be the same as a passport application, which can be found at: <https://www.gov.uk/countersigning-passport-applications/when-to-sign-what-to-do>

The contractor should consider using image recognition software within CMS, online and application processing system where photographic ID has been provided with an application.

D 2.8.5.2		Mandatory
<p>Webcam photographs used in an online application must be accepted as long as they meet the criteria.</p> <p>Hard copy photographs must be between 30 x 25 mm and 45 x 35 mm. For digital images a resolution of 200 x 240 is the optimum size. However, plus or minus 20% in the x or y dimension is acceptable with an aspect ratio of 1:1.2. In practice passport standard photographs are suitable.</p>		

D 2.8.5.3		Mandatory
<p>Tenderers must demonstrate how they will transmit photographs to the card production facility. For example, photographs are likely to be sent electronically as a JPG file. The filename for all electronic photographs must be the Unique Reference Number of the pass holder; hard copies, if sent, must have the Unique Reference Number written on the reverse and must be securely attached to the application form without damaging the picture.</p>		

## D 2.9 Rejected Application

This section includes instructions on the criteria for rejecting a first time application, renewal application or a pass holder updating their details online or by post.

In this section an applicant includes first time applicants, renewal applicants and

current pass holders updating their personal information.

D 2.9.1		Mandatory
<p>The Contractor must ensure that the applicant is eligible for the scheme before a card is requested. Where an applicant is not eligible by age or by residency, has provided insufficient evidence as proof of age/identity/residency, or an insufficient photograph, the application must be rejected.</p>		

D 2.9.2		Mandatory
<p>The Contractor will be required to inform applicants of a rejected application in writing, by letter or email, outlining why the application has been rejected and what the applicant is required to do, e.g. provide further evidence.</p> <p>The Contractor must update the pass holder's record on CMS with the action taken.</p>		

D 2.9.3		Mandatory
<p>The Contractor must automatically issue rejection letters or emails to non-eligible applicants, and include the return of original valuable documents (passports, driving licences, marriage and birth certificates (and any other documents for which the applicant would be charged to replace) if the application is submitted by post.</p>		

D 2.9.4		Mandatory
<p>A process must be set up to allow an applicant to resubmit an application if it has been rejected for insufficient evidence.</p>		

D 2.9.5		Mandatory
<p>The following checks must be made and validated by the contractor for applications submitted online and for records created directly on CMS by users:</p> <p>Age: Contractors must incorporate a mechanism on the portal that recognises if a date of birth does not meet the criteria for the Older Persons Freedom Pass scheme and signpost the applicant by providing clear messaging.</p> <p>The contractor must reject applications where the date of birth provided means the applicant is not yet eligible by age, or escalated if a potential mistake has been made on the application.</p> <p>Residency: Contractors must incorporate a mechanism which identifies a postcode that is outside of the London boroughs and inform the applicant by providing clear messaging, such as advising to apply to the relevant local authority.</p> <p>Evidence: Contractors must provide for a process whereby evidence of identity and residency uploaded to the portal is validated on CMS before the application is accepted, or rejected where the applicant is not eligible. If the evidence is sent by post the same validation rules apply. Evidence must meet the criteria specified by London Councils.</p> <p>Photograph: Contractors must ensure that the photograph submitted conforms to DfT requirements before a card is produced, and rejected where it does not meet the criteria and/or is not a true likeness compared to the proof of photographic identity provided/has not been countersigned.</p> <p>Necessary software must be installed on CMS and on the portal so that the photograph can be edited by the contractor and applicant to meet these requirements, such as a cropping functionality. If the photograph is sent by post the same validation rules apply.</p> <p>The contractor must reject applications if the photograph provided cannot be edited to meet the requirements.</p>		

D 2.9.6		Mandatory
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The following checks must be made and validated by the contractor for a paper application which is submitted by post:

**Age:** Contractors must incorporate a mechanism when electronically capturing data that recognises if a date of birth does not meet the criteria for the Older Persons Freedom Pass scheme.

Applications must be rejected where the date of birth provided means the applicant is not yet eligible by age, or escalated if a potential mistake has been made on the application.

**Residency:** Contractors must incorporate a mechanism when electronically capturing data which identifies a postcode that is outside of the London boroughs, or where the postcode does not match the address provided.

**Evidence:** Contractors must provide for a process whereby evidence of identity and residency is validated before the application is accepted, or rejected where the applicant is not eligible. Evidence must meet the criteria specified by London Councils.

**Photograph:** Contractors must ensure that the photograph submitted conforms to DfT requirements before a card is produced, or rejected where it does not meet the criteria and/or is not a true likeness compared to the proof of photographic identity provided/has not been countersigned. Necessary software must be installed on CMS so that the photograph can be edited by the Contractor and users of the CMS to meet these requirements, such as a cropping functionality.

Image recognition software should be integrated into the CMS and application processing system where photographic ID has been provided with an application.

**Signature:** The contractor must ensure that the application has been signed.

D 2.9.7		Mandatory
Partial online applications must be matched to the documents received by post, using a unique application reference, ensuring that the correct record has been identified.		

D 2.9.8		Mandatory
The contractor must record on CMS the reason why an application has been rejected, e.g. insufficient proof of residency, not of the eligible age.		

D 2.9.9		Mandatory
An applicant will not need to complete a brand new application if their evidence or photograph has been rejected because it did not meet the list of accepted criteria, but instead must be able to upload the required evidence or photograph to the portal or return by post.		

D 2.9.10		Mandatory
A process must be in place to process eligibility checks and rejected applications.		

D 2.9.11		Mandatory
The CMS must identify a potential duplicate application submitted by the same person. Where a new application has been submitted the system must identify whether a replacement fee is required before a card is requested.		

D 2.9.12		Mandatory
When a record is deactivated (closed) this must automatically add the current card for hotlisting and update the applicant status to 'Deactivated'. Notes must be added to the record to explain the reason for deactivating the record.		
The CMS must allow users to deactivate a record only for the following reasons:		

<b>Deactivation Reason</b>	<b>Purpose</b>
Withdrawn	<p>Pass holder is no longer eligible for the scheme.</p> <p>Pass holder's card has been confiscated/withdrawn for misuse.</p>
Gone Away	<p>Pass holder has moved out of London.</p> <p>Pass holder's card has been returned as 'Unknown at this address' by Royal Mail/member of the public. Returned passes must be destroyed according to London Councils retention policy.</p>
Inactive	<p>Pass found and returned: no correspondence received from the pass holder for 3 months. Pass should be destroyed. Returned passes must be destroyed according to London Councils retention policy.</p>
Deceased	<p>Information received advising that pass holder has passed away. Must ensure that details match the correct record.</p>
Duplicate	<p>Applicant has two records; record not in use is deactivated as a duplicate record.</p>
Rejected application	<p>Evidence/photograph provided means that the applicant is not eligible for the scheme or needs to provide further evidence/photograph.</p>

### D2.9.13. Reject Letter Matrix

This matrix explains the reasons why a Freedom Pass application can be rejected and the proofs that must be provided in order for a Freedom Pass to be issued, replaced or renewed. The contractor must apply this matrix, and any future iteration thereof, in its business process for rejecting Freedom Pass applications.

Part of the Tenderer's responsibilities will be to agree a reject letter matrix for the Taxicard scheme if this service is required.

Letter No	Reject Reason 1	Reject Reason 2	Reject Reason 3	Reject Reason 4	Reject Reason 5	Required Action From Pass Holder	Proofs to Submit
1	DoB supplied not valid	N/A	N/A	N/A	N/A	Submit valid proof documentation (if possible i.e. of eligible age)	ID Proof
2	DoB supplied not valid <b>and</b>	Application Not Signed	N/A	N/A	N/A	Submit valid proof documentation and signature	ID Proof <b>and</b> Signature
3	Address: Proof supplied is not valid	N/A	N/A	N/A	N/A	Submit valid proof documentation.	Address Proof
4	Address: Proof supplied is not valid <b>and</b>	Application Not Signed	N/A	N/A	N/A	Submit valid proof documentation and signature	Address Proof <b>and</b> Signature



Letter No	Reject Reason 1	Reject Reason 2	Reject Reason 3	Reject Reason 4	Reject Reason 5	Required Action From Pass Holder	Proofs to Submit
5	Address: Proof supplied is not valid <b>and</b>	DoB supplied not valid	N/A	N/A	N/A	Submit valid proof documentation.	ID Proof <b>and</b> Address Proof
6	Address: Proof supplied is not valid <b>and</b>	DoB supplied not valid <b>and</b>	Application Not Signed	N/A	N/A	Submit valid proof documentation and signature	ID Proof <b>and</b> Address Proof <b>and</b> Signature
7	Name: Proof supplied is not valid	N/A	N/A	N/A	N/A	Submit valid proof documentation.	ID Proof
8	Name: Proof supplied is not valid and	Application Not Signed	N/A	N/A	N/A	Submit valid proof documentation and signature	ID Proof and Signature
9	Name: Proof supplied is not valid and	Address: Proof supplied is not valid	N/A	N/A	N/A	Submit valid proof documentation.	ID Proof and Address Proof
10	Name: Proof supplied is not valid and	Address: Proof supplied is not valid and	Application Not Signed	N/A	N/A	Submit valid proof documentation and signature	ID Proof and Address Proof and Signature
11	Name: Proof supplied is not valid and	Address: Proof supplied is not valid and	DoB supplied not valid	N/A	N/A	Submit valid proof documentation.	ID Proof and Address Proof

Letter No	Reject Reason 1	Reject Reason 2	Reject Reason 3	Reject Reason 4	Reject Reason 5	Required Action From Pass Holder	Proofs to Submit
12	Name: Proof supplied is not valid and	Address: Proof supplied is not valid and	DoB supplied not valid and	Application Not Signed	N/A	Submit valid proof documentation and signature	ID Proof and Address Proof and Signature
13	Name: Proof supplied is not valid and	DoB supplied not valid	N/A	N/A	N/A	Submit valid proof documentation.	ID Proof
14	Name: Proof supplied is not valid and	DoB supplied not valid	Application Not Signed	N/A	N/A	Submit valid proof documentation and signature	ID Proof and Signature
15	Application Not Signed	N/A	N/A	N/A	N/A	Sign and return form	Signature
16	Address: Address outside London.	N/A	N/A	N/A	N/A	None. End of application.	N/A
17	Photograph: Not valid	N/A	N/A	N/A	N/A	Submit valid photograph	Photograph
18	Photograph: Not valid	Application Not Signed	N/A	N/A	N/A	Submit valid photograph and signature	Photograph <b>and</b> Signature
19	Photograph: Not valid	Address: Proof supplied is not valid	N/A	N/A	N/A	Submit valid photograph and proof documentation.	Photograph <b>and</b> Address Proof

Letter No	Reject Reason 1	Reject Reason 2	Reject Reason 3	Reject Reason 4	Reject Reason 5	Required Action From Pass Holder	Proofs to Submit
20	Photograph: Not valid	Address: Proof supplied is not valid <b>and</b>	Application Not Signed	N/A	N/A	Submit valid photograph, proof documentation and signature	Photograph <b>and</b> Address Proof <b>and</b> Signature
21	Photograph: Not valid	Address: Proof supplied is not valid <b>and</b>	DoB supplied not valid	N/A	N/A	Submit valid photograph and proof documentation.	Photograph <b>and</b> ID Proof <b>and</b> Address Proof
22	Photograph: Not valid	Address: Proof supplied is not valid <b>and</b>	DoB supplied not valid <b>and</b>	Application Not Signed	N/A	Submit valid proof documentation and signature	Photograph <b>and</b> ID Proof <b>and</b> Address Proof <b>and</b> Signature
23	Photograph: Not valid	DoB supplied not valid	N/A	N/A	N/A	Submit valid proof documentation.	Photograph <b>and</b> ID Proof
24	Photograph: Not valid	DoB supplied not valid	Application Not Signed	N/A	N/A	Submit valid proof documentation and signature	Photograph and ID Proof and Signature
25	Photograph: Not valid	Name: Proof supplied is not valid <b>and</b>	N/A	N/A	N/A	Submit valid proof documentation.	Photograph and ID Proof
26	Photograph: Not valid	Name: Proof supplied is not valid <b>and</b>	Application Not Signed	N/A	N/A	Submit valid proof documentation and signature	Photograph and ID Proof and Signature

Letter No	Reject Reason 1	Reject Reason 2	Reject Reason 3	Reject Reason 4	Reject Reason 5	Required Action From Pass Holder	Proofs to Submit
27	Photograph: Not valid	Name: Proof supplied is not valid and	DoB supplied not valid	N/A	N/A	Submit valid proof documentation.	Photograph and ID Proof
28	Photograph: Not valid	Name: Proof supplied is not valid and	DoB supplied not valid and	Application Not Signed	N/A	Submit valid proof documentation and signature	Photograph and ID Proof and Signature
29	Photograph: Not valid	Name: Proof supplied is not valid and	DoB supplied not valid and	Application Not Signed	Address: Proof supplied is not valid and	Submit valid photograph, proof documentation and signature	Photograph and ID Proof and Address Proof and Signature

## D2.10 Further Application Processing Requirements

D 2.10.1		Mandatory
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The Unique Verification Codes printed on renewal and 60+ transfer letters must be clearly printed in a format that can be easily read.

D 2.10.2		Mandatory
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The data must be provided in a suitable format to be imported in to the CMS.

D 2.10.3		Mandatory
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The CMS must allow for users to track an application.

D 2.10.4		Mandatory
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Tenderers must demonstrate how they will verify and check all application data provided, paying particular attention to duplicate applications and applicants who, based on the date of birth provided may not yet be eligible, or from the address details supplied, may not live in a London borough or suggest multiple applications from the same address/person.

D 2.10.5		Mandatory
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Given the potential for fraud all incidences of duplication must be reported on the CMS. No pass will be dispatched where the Bureau has evidence that this is a possible duplicate application or has doubts surrounding eligibility.

D 2.10.6		Mandatory
The system must allow for the identification, validation and resolution of errors made on application forms (e.g. surname and first name in incorrect fields).		

D 2.10.7		Mandatory
Tenderers must demonstrate a full understanding of the eligibility requirements.		

D 2.10.8		Mandatory
<p>The database is required to capture the following information from all applications and store:</p> <ul style="list-style-type: none"> <li>a. Title</li> <li>b. First names</li> <li>c. Last Name</li> <li>d. Gender</li> <li>e. Ethnicity</li> <li>f. National Insurance Number</li> <li>g. Disability</li> <li>h. Entitlement</li> <li>i. Date of Birth (DD/MM/YYYY)</li> <li>j. Age</li> <li>k. Telephone number</li> <li>l. Mobile phone number</li> <li>m. Email address</li> <li>n. Address (must include a copy to clipboard functionality)</li> </ul>		

Address line 2
Address line 3
Address line 4
Address line 5
Address line 6
Postcode
o. Contact preferences
p. Third party information preference
q. Photograph of customer (Integrate with devices used for image capture e.g. scanner, digital camera or webcam)
r. Unique Reference Number (URN) for each application
s. Unique applicant identifier
t. Capture scanned document images uploaded remotely
u. ISRN and Oyster number of current and previous Freedom Passes
v. Event history of application
w. Event history of Freedom Pass (including date pass requested, date card is in production and date card is booked out)
x. Entry of amended data or data entered out of sequence (this should not automatically overwrite previous data entries)
y. Transaction history to record all events on record

D 2.10.9		Mandatory
The contractor must process a verified and validated application form to enable card production and dispatch within 3 days.		

D 2.10.10		Mandatory
The Contractor must allow a customer to track their application online and receive email notifications of card dispatch, payments, or rejections.		

<b>D2 10.11 Audit Trail</b>		
D 2 10.11.1		Mandatory
The CMS must include a clear application, card management and customer history audit trail. The audit trail must show all events and actions made on the system and portals regarding a customer's complete history and be able to identify the user that made the changes.		

D2 10.11.2		Mandatory
<p>The Contractor is required to provide an audit trail on the CMS for the service, which as a minimum must include the following:</p> <ul style="list-style-type: none"> <li>Date application was started online</li> <li>Date application was completed online</li> <li>Date application was received by the Bureau</li> <li>Date application was processed by the Bureau</li> <li>Date online evidence was accepted/rejected</li> <li>Date postal evidence was accepted/rejected</li> <li>Reason why application/evidence was rejected</li> <li>Date account details updated online</li> <li>Date card was issued by the Bureau</li> <li>Date replacement card was requested</li> <li>Date record deactivated</li> </ul>		



Date and method of payment taken

Date that data received electronically / by post for partial online applications is processed

Record of all electronic data associated with application

Photograph

Online portal transactions completed

Changes to personal details, e.g. name, address, date of birth, contact details, photograph

Duplicate/escalated applications

Action taken regarding rejected application

Current card and previous card issue details

Hotlist reasons of previous cards

User who edited record details

All actions within the system must be recorded to allow for audit

Capture the User ID, location, date and time of the person entering the data.

### **D3. Card production and dispatch**

This section covers card production and dispatch, which includes:

- Card production
- Third party card production requirements
- Card dispatch
- Card management

There are three types of passes:

- Older person's pass
- Disabled person's pass

The above pass types must visually conform to the English National pass design

standard and are encoded with ITSO, ENCTS and Oyster applications.

- Discretionary Disabled person's pass

The Discretionary Disabled person's pass has a different design and is encoded with Oyster only.

Images of the London ENCTS cards and the Discretionary Disabled Freedom Pass are shown in ANNEX B: Concessionary Pass Images (Publicity Samples).

The current card medium is the DESFire EV1 4k which is provided by Transport for London (TfL). Cards are subject to a minimum 9 month order lead time for re-stocking high volumes. The cards provided are blank (white) cards pre-encoded with Oyster technology and have the ITSO shell added. The cards will have the Oyster serial number (12 digits), which are prefixed 02 or 03 dependent on the entitlement of the card, and the production batch number pre-printed on the back.

### D 3.1 Card Production

D 3.1 1

Mandatory

Contractors must ensure that they meet the requirements specified by Department for Transport for the production of smart cards: ENCTS Smart Permits Technical Guidance for Travel Concession Authorities, Moving Britain Ahead, issued by Department for Transport, February 2016:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/501080/encts-technical-guidance.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/501080/encts-technical-guidance.pdf)

D 3.1.2

Mandatory

The Contractor will be required to provide a card production bureau that incorporates the validation of application data, personalisation of cards through to card dispatch to the applicant.

D 3.1.3		Mandatory
The Contractor will be required to store cards securely as cash stock and maintain a full inventory of stock levels.		

D 3.1.4		Mandatory
<p>The Contractor must add/print the following items on to only the Older and Disabled ENCTS cards (but not discretionary disabled cards):</p> <ul style="list-style-type: none"> <li>• ITSO encoding</li> <li>• ITSO number</li> <li>• Hologram</li> <li>• ENCTS designs on front of card (dependent on entitlement type: Older or Disabled)</li> <li>• London Councils and Freedom Pass logo on front of card</li> <li>• Expiry date</li> <li>• First and last name of the applicant</li> <li>• Photograph</li> <li>• Individual pass number on front of card (ISRN)</li> <li>• Print rear of card in monochrome to London Councils specification.</li> </ul>		

D 3.1.5		Mandatory
<p>The Discretionary Disabled Persons pass has a substantially different visual appearance and is encoded with the Oyster application only, but the card stock provided will still have the ITSO shell added as standard. However, these cards must not be encoded with the ITSO application as the pass is issued by TCA's (boroughs) on a discretionary basis to those who do not meet the statutory eligibility criteria for the Disabled Person's pass. Therefore, the Contractor must ensure that the ITSO application is not added in error to Discretionary passes. The Contractor is required to record data relating to the chip, Oyster number and applicant. These</p>		

details must be listed on the CMS against the relevant applicant record.
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D 3.1.6		Mandatory
<p>The Bureau must add the following items to the Discretionary card type:</p> <ul style="list-style-type: none"> <li>• Expiry date</li> <li>• First and last name of the applicant</li> <li>• Photograph</li> <li>• Discretionary Freedom Pass design on front of card</li> <li>• London Councils and Freedom Pass logo on front of card</li> <li>• Print rear of card in monochrome to London Councils specification.</li> </ul>		

D 3.1.7		Mandatory
<p>The cards will carry a date which is five years from the year of issue, e.g. cards issued in 2016 are valid until 31 March 2021. It is intended to continue to change the expiry date annually on this basis to reduce the scale of the bulk reissues. There is no reissue in 2017, but new passes will still be issued to first time applicants in 2017. These will be valid to 2022.</p> <p>The Contractor must ensure that the pass is printed with the correct expiry date relating to the year of issue. Expired cards must show on the CMS as expired.</p>		

D 3.1 8		Mandatory
<p>Every Freedom Pass has its own CPICC (The CPICC number cannot be shared with other TCAs), Product/IPE OID (8288), and Shell OID (226).</p> <p>The integrity of the OID and CPICC is essential to the efficient operation of local national concession schemes; therefore the contractor must ensure that:</p> <ul style="list-style-type: none"> <li>• cards are not issued with OIDs/CPICCs that are not on the authorised list</li> </ul>		

- as part of card production contractors should cross-reference the information supplied by London Councils against the list of OIDs and CPICCs published on the ITSO website as part of their QA process.

D 3.1 9		Mandatory
To allow for the movement of eligible residents between boroughs all cards must be ITSO encoded to a single London scheme.		

D 3.1 10		Mandatory
<p>Each card features a unique 18 digit number that must be displayed as per the format below:</p> <p><i>633597 1234 1234 1234</i></p> <p>The unique ITSO Shell Reference Number (ISRN) is generated when the card is encoded. The number is made up as follows:</p> <ul style="list-style-type: none"> <li>• The first 6 digits is the International Issuer Identifier Number. The International Issuer Identifier is ITSO and this number is 633597 for all cards.</li> <li>• The next 4 digits is the Shell OID (Operator Identification) Number (a unique number identifying the TCA ITSO Licence number being used.)</li> <li>• The next 7 digits represent the ITSO Shell Serial Number (ISSN)</li> <li>• The final digit is a check digit.</li> <li>• The ISRN number should not be used as the Unique Reference Number that the Contractor must provide for every applicant on the CMS.</li> </ul>		

D 3.1.11		Mandatory
The Contractor will be required to capture the chip number provided by TfL for pre-encoded Oyster card stock and record this against the Oyster and applicant details.		

D 3.1.12		Mandatory
Should the Freedom Pass scheme switch to ITSO only cards the Contractor will be required to work with London Councils to source best quality, compliant cards at a competitive market price that reflects the economies of scale available due to the quantities required to support this contract.		

D 3.1.13		Mandatory
<p>The level of stock will be dependent on demand and the Contractor must stock sufficient pre-encoded Oyster cards in the run-up to re-issue periods. The Contractor must satisfy London Councils that their storage arrangements and stock audit procedures are secure and robust; London Councils has the right to audit the Contractor's facilities, which may include a site visit.</p> <p>The Contractor will be required to meet the standards set out by London Councils and TfL and make any adjustments at no cost to London Councils or TfL. TfL's requirements will be provided to the successful Tenderer closer to the time of agreeing the contract.</p>		

### **D3.2 Third party card production requirements**

D 3.2.1		Mandatory
<p><b>Transport for London (TfL)</b></p> <p>The cards must be treated as cash stock and the Contractor is required to confirm with TfL how the stock is to be securely maintained from receipt to dispatch. This</p>		

includes a requirement to ensure cards encoded as an Older Persons pass and cards encoded as a Disabled Persons pass are stored separately to minimise the risk of issuing errors. There is a requirement to demonstrate an effective audit trail of card storage and issue.

D 3.2.2		Mandatory
<p>The Contractor must provide detailed monthly updates to London Councils and TfL on card stock levels; to ensure that stock can be monitored and when necessary, replenished to meet demand. This is particularly important as the minimum lead time for high volumes of new stocks of pre-encoded Oyster cards is a minimum of nine (9) months.</p>		

D 3.2.3		Mandatory
<p><b>ENCTS</b></p> <p>The cards produced must be compliant with the requirements of the ENCTS as set out in the English Concessionary Bus Travel Scheme (The Concessionary Bus Travel Act 2007), Government guidance, the relevant ITSO specification and must also record full Oyster card data.</p>		

D 3.2.4		Mandatory
<p>The contractor must meet all card production requirements specified by DfT for the ENCTS scheme, including (but not limited to):</p> <p>“[The contractor must] use ITSO certified and tested hardware/software and follow all the associated DfT and ITSO guidance, if not there is a substantial risk of incorrectly coded permits being produced.”</p> <p>“...any equipment purchased for an ENCTS scheme is ITSO certified. It is not sufficient that the company...has an ITSO certificate – [the contractor] must have a</p>		

certificate for the specific equipment that is being purchased.”

“[Contractors must] ensure that any combinations of ITSO certified hardware and software they plan to purchase can work together as intended, including interfacing with [London Councils] HOPS.”

*Department for Transport, February 2016, ENCTS Smart Permits Technical Guidance for Travel Concession Authorities Moving Britain Ahead, London, DfT, pages 20-21.*

D 3.2.5		Mandatory
<p>The ENCTS cards as part of their personalisation must include a hologram. The holograms must be treated as cash stock by the contractor. They are provided by the DfT and the contractor must make arrangements for their collection, secure storage and application to the cards. The contractor will be given authority to hold the stock holograms by London Councils which will confirm this to the DfT.</p>		

D 3.2.6		Mandatory
<p><b>ITSO</b></p> <p>The form of ENCTS permits is set out in the Concessionary Bus Travel (Permits) (England) Regulations 2008, which require all concessionary permits to be issued as ITSO compliant smartcards. The contractor must provide evidence of ITSO certification to produce smartcards, including:</p> <ul style="list-style-type: none"><li>➤ provide evidence of ITSO certification to produce DESfire cards (ITSO CMD7 current or planned)</li><li>➤ provide evidence of ITSO certification to produce Micro-Processor cards (ITSO CMD2 current or planned)</li><li>➤ encode smartcards with IPEs 0, 2, 14, 16 and 22 as a minimum.</li></ul>		



### D3.3 Card dispatch

D 3.3.1

Mandatory

The end-to-end first-time and 60+ application and card dispatch process must be completed within 8 working days.

D 3.3.2

Mandatory

At the point a replacement pass is issued, the contractor must ensure that a card is produced and dispatched to the eligible named customer and address on CMS within five working days.

D 3.3.3

Mandatory

The card must be sent by second class post to the address on the applicant's record and must be attached to a personalised carrier letter (template to be provided by London Councils).

D 3.3.4

Mandatory

The Contractor must ensure that Freedom Passes can be enclosed with:

- A wallet (to be supplied by the contractor) with the applicant's borough logo (currently, 1 Colour Screen Print (e.g. purple plastic with white logo) Manufactured in high quality digipol polymeric vinyl. Each having 2 clear pockets 60mm deep. Printed CMYK to CMYK artwork. Size 135mm x 95mm);
- An information leaflet (printed and supplied by London Councils); and
- Any third party correspondence required by London Councils where the applicant has agreed to receive further information from London Councils at the point of application.

D 3.3.5		Mandatory
The front of the envelope must include 'Do Not Forward'. The rear of the envelope must include a return address for a Customer Service Centre for Royal Mail to return undelivered post.		

D 3.3.6		Mandatory
<p>The Contractor must employ internal and external personnel with experience of card production and data management and ensure the following when dispatching cards:</p> <ul style="list-style-type: none"> <li>• Ensure that the expiry date printed on the card matches the ITSO and Oyster encoded expiry dates</li> <li>• Dispatch cards using Second Class post as standard</li> <li>• Dispatch cards using First Class post and same day processing if required by London Councils (this is only intended to expedite individual pass dispatch in the case of delays and will not be used as standard for all passes at any point (unless a legislative change requires this)). NB where delays are as a result of contractor error, the contractor will use first class post and pay the additional cost.</li> <li>• Provide functionality and access for London Councils, TCAs, Customer Service operatives and Applicants to track the progress of applications</li> <li>• Update the CMS on the progress of the production and dispatch of a card</li> <li>• Dispatch leaflets and inserts with products</li> <li>• Procure best market price for envelopes</li> <li>• Procure best market price for wallets</li> <li>• Ensure borough specific wallet (as required), using artwork provided by London Councils, is inserted with the corresponding applicant's borough.</li> </ul>		

### D3.4 Card Management

D 3.4.1

Mandatory

For the purpose of card management the Contractor must provide a card management system which records:

- Applicant's full current and previous card history, including:
- ISRN and oyster number
- Date card requested
- Expiry date
- Entitlement of card
- Card status, i.e. pending, in production, dispatched
- Replacement reason
- Forename (as printed on card)
- Surname (as printed on card)
- Address (of card posted to)
- Operator who requested card
- Date card transferred to bureau for printing
- Date card printed
- Date card dispatched
- Operator who booked card out

D 3.4.2

Mandatory

For the purposes of managing card usage in an ITSO environment, London Councils uses the ECEBS HOPS. However, the contractor should note that this may be subject to change in future. When a card is hotlisted, valid data in a usable format must be available from the card management system for both TfL and ITSO hotlisting purposes.

D 3.4.3		Mandatory
<p>The Contractor will be required to provide validated hotlisting data to both the HOPS provider, currently ECEBS, and to Transport for London (TfL). For TfL, the hotlisting data provided must include the Oyster card number (12 digits) and a hotlist reason code (to be provided by London Councils). The contractor on behalf of London Councils must process the Oyster hotlist weekly.</p>		

D 3.4.4		Mandatory
<p>The Contractor must produce the ITSO hotlist and send to ECEBS HOPS weekly. The Contractor will be required to demonstrate that they have checked the hotlist information to ensure that cards are not hotlisted in error. If evidence is not provided that the correct checks have been made, the Contractor will be liable for any consequential claims made by customers relating to journey costs. The contractor will be required to provide reports of cards hotlisted on the CMS.</p>		

D 3.4.5		Mandatory
<p><b>ECEBS (and any subsequent HOPS supplier engaged by London Councils)</b></p> <p>The Contractor must ensure that the following card management requirements for ECEBS are met:</p> <ul style="list-style-type: none"> <li>• receive, store and send ITSO information automatically to ECEBS/HOPS generated during the card creation process for every card produced</li> <li>• automatically enable ITSO hotlist messages to be generated and put into the ECEBS/HOPS</li> <li>• use ITSO compliant data messaging</li> <li>• hotlist products as well as cards/shells in a format agreed with London Councils.</li> </ul>		

D 3.4.6		Mandatory
<p><b>TfL</b></p> <p>The Contractor must ensure that the following card management requirements for TfL are met:</p> <ul style="list-style-type: none"> <li>• Automatically enable an Oyster hotlist to be generated and made available in a report to London Councils</li> <li>• Capture and store full Oyster serial number (10 digits + 2 check digits) of hotlisted cards</li> <li>• Verify Oyster serial number by check digits (algorithm)</li> <li>• Match the Oyster serial number to ITSO serial number and card chip number.</li> </ul>		

<b>D4. Customer Service Centre</b>		
D 4.1 1		Mandatory
<p>The service is to provide a public facing customer service centre. This section covers the service requirements:</p> <ul style="list-style-type: none"> <li>• Phone calls</li> <li>• Payments</li> <li>• Emails</li> <li>• Written correspondence</li> </ul> <p>The service is primarily to answer enquiries relating to the concessionary pass scheme (and other schemes as may be required by London Councils) and process payments for replacements passes; ensuring that public enquiries are addressed in a timely and professional manner. It will also deal with enquiries relating to the card issuing process and back office. As a minimum, the service must handle telephone, email and written enquiries, process payments, interrogating and updating the CMS database as required.</p> <p>The service provider must demonstrate how it will deliver first time resolution of</p>		

customer contacts and enquiries. It must also demonstrate how it will introduce best practice and value innovations over the lifetime of the contract that allow customers to self-serve.

D 4.1 2		Mandatory
<p>For public enquiries relating to the provision of the service London Councils will provide the Contractor with the contact number and email addresses. The contact information printed on the reverse of the Freedom Pass is currently: 0300 330 1433 and info@freedompass.org.</p> <p>The Contractor must make all arrangements for redirecting phone calls made to these numbers to their call centre. The Contractor may also be required to re-direct additional non geographic numbers which will be allocated by London Councils.</p>		

D 4.1 3		Mandatory
<p>The service provided will include the requirement for the Contractor to assist and provide data to transport operators' revenue control, and enforcement personnel or the police in checking the validity of passes. The customer services centre may also be used to provide a contact centre service to support other card services run by London Councils. Tenderers must have due regard to this possibility.</p>		

D 4.1 4		Mandatory
<p>The contractor must ensure that all centre staff are DBS checked.</p>		

D 4.1 5		Mandatory
<p>The customer service centre must have access to the CMS through a web browser.</p>		

D 4.1.6		Mandatory
For customers with a specific query relating to the issue/status of their application or membership of the relevant scheme, the contractor must access the CMS to find this information or refer the applicant to the online web tracker. The contractor must make appropriate notes on the CMS to record all customer interaction events.		

D 4.1.7		Mandatory
It is anticipated that the primary responses to calls will be as follows. Tenderers must note that this information is taken from historical Management Information. London Councils cannot guarantee that these will be the only types of response required to enquiries from applicants. The contractor must act on these options using a protocol to be agreed with London Councils.		

D 4.1.8		Mandatory
Sign Posting	Where an enquiry is outside the remit of the Freedom Pass scheme the contractor shall advise customers of other relevant contact details for those services. The list of contact details will be provided to the contractor by London Councils.	
Payments	Where a pass holder requires a replacement Freedom Pass the contractor will be required to process card payments via a secure online payment terminal, and bank valid payments made by cheque and postal order.	

Transferring and Referrals	<p>The call centre must not transfer any calls directly to London Councils or the London boroughs. It is expected that the contractor will deal with all enquiries relating to customers applying for a pass, but may refer email enquiries and complaints that are specifically related to policy matters to London Councils, or first time applications or appeals for the Disabled Persons Freedom Pass scheme to the borough.</p>
Enquiry Resolution	<p>In the majority of cases such as lost, stolen or faulty passes, and where the enquirer wants to know the status of their application, the contractor must resolve the enquiry; take a payment for a replacement pass, and record notes on the CMS. If the enquirer has no CMS record, but they have an application within the system the contractor must investigate within the Bureau.</p>
Complaints and Feedback	<p>The contractor must log all complaints and note compliments regarding the service. The log must be split between dissatisfaction with 1) the application process, 2) the way an enquiry is being handled and 3) the overall Freedom Pass scheme. The log must identify each stage of the complaint, investigation and subsequent response. The log of complaints and enquiries to</p>



	<p>be recorded will be provided to London Councils monthly. Formal complaints must be separated from general enquiries, as defined by London Councils. Freedom of Information (FOI) requests or escalated complaints regarding the quality of service provided by the contractor must be referred to London Councils, within 1 day of receiving the request, to investigate and formally respond.</p>
Customer Satisfaction	<p>The contractor must propose and implement a method of surveying and analysing customer satisfaction with the service they receive from London Councils (to be proposed by the contractor agreed with London Councils in advance of service commencement).</p> <p>The contractor must note that London Councils may undertake an independent customer satisfaction survey to measure the quality of the service being provided by the contractor. London Councils will share the results of the survey with the contractor.</p>

D 4.1.9		Mandatory
The Service Provider shall staff the Contact Centre with appropriately trained and skilled personnel with a detailed knowledge of the application and eligibility		

processes for the schemes.

#### D4.2 Calls

D 4.2.1

Mandatory

The Service Provider shall receive calls to the Contact Centre using an IVR system from a local rate dedicated telephone number.

The Service Provider shall submit to London Councils for approval its proposed IVR menus and call flows prior to implementation.

The Service Provider shall ensure that all IVR changes can be implemented within agreed timeframes as specified by London Councils from time to time (and at no additional cost to London Councils).

D 4.2.2

Mandatory

The current enquiry level is approximately 700 - 1000 calls per working day (0800-2000hrs, 7 days a week, 364 days a year) (NB these volumes are not guaranteed and the contractor will be required to introduce self-service initiatives that reduce call volumes over the lifetime of the contract). During the last bulk reissue period there were, on average, an additional 23,000 calls per month between November 2014 and May 2015 and during smaller annual renewals, there will also be uplifts (although not of a similar scale). For types of Freedom Pass enquiries received refer to ANNEX A: Information and Statistics.

D 4.2.3

Mandatory

It is intended that the service will be available at the above, but London Councils reserves the right to change the times, subject to review. The service provider will deliver this element of the service every day of the year except Christmas Day.

D 4.2.4		Mandatory
<p>All calls must be recorded for audit, training and quality monitoring purposes and the recordings must be made available to London Councils on request. In addition, a random sample of 10 calls must be provided to London Councils each month. Call recordings are expected to be used for training, quality assurance checks, fraud prevention purposes, and payment queries. Callers must be informed of this. For data protection purposes the Contractor must ensure that when a card payment is made over the telephone the call recording is paused.</p> <p>Contractors must permanently delete call recordings six months from the date the call was recorded.</p>		

D 4.2.5		Mandatory
<p>Call drivers must be categorised so that general queries can be differentiated from callers reporting problems or making complaints.</p>		

D 4.2.6		Mandatory
<p>The Contractor must ensure it has an escalation process in place to monitor, record, and resolve issues raised. Calls received which indicate a potential customer service issue must be escalated promptly and London Councils notified.</p>		

D 4.2.7		Mandatory
<p>The Contractor must record and monitor the percentage of calls answered within the times specified by the KPIs, the percentage of calls outside of those times and the percentage of calls not answered (abandoned). This information is to include average and maximum wait times experienced by callers, and the number of</p>		

abandoned calls.
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D 4.2.8		Mandatory
<p>In 2015/16 calls represented c. 34% (thirty four per cent) of the total cost of the managed service. London Councils expects the contractor to demonstrate how they would reduce this level of cost on commencement of the contract and in subsequent years, whilst still maintaining high levels of customer service and satisfaction. London Councils is introducing a self-service option for customers which are included in the specification that will to help to drive down the level of some costs.</p>		

#### D4.3 Payments

D 4.3.1		Mandatory
<p>Approximately 40% (forty per cent) of calls handled relate to the replacement of a Freedom Pass. Pass holders are required to pay a £10 administration fee for cards replaced because of the following reasons:</p> <ul style="list-style-type: none"><li>• Card lost</li><li>• Card damaged</li><li>• Card faulty (£10 fee must be refunded if, when the card is returned, it is tested and found to be faulty and not damaged)</li><li>• Card confiscated by Transport Operator.</li></ul> <p>The following replacement reasons do not incur a £10 replacement fee:</p> <ul style="list-style-type: none"><li>• Card stolen (if a crime reference number is provided)</li><li>• Change of name</li><li>• Change of address</li><li>• Change of gender</li><li>• Incorrect name</li><li>• Incorrect address</li><li>• Incorrect photo attached</li></ul>		

- Card not delivered (within the applicable timescales)
- Change of entitlement
- Renewal
- Withdrawn by Borough
- Superseded

D 4.3.2		Mandatory
The Contractor must enable a pass holder to pay for their replacement pass by telephone by debit/credit card and by providing an online facility to replace their pass online.		

D 4.3.3		Mandatory
The contractor must demonstrate that they are PCI compliant and can process debit and credit card payments securely via London Councils' secure online payment terminal.		

D 4.3.4		Mandatory
<p>Postal orders and cheques must be made payable to 'London Councils' for the amount of ten pounds; the customer service centre must ensure that these requirements are met before banking cheques and postal orders.</p> <p>Cash payments can be made in person at London Councils' premises.</p>		

D 4.3.5		Mandatory
Where a cheque or postal order is received but not made payable to London Councils, not signed, or for the incorrect amount, the payment must be returned to		

the applicant enclosing the original payment. All transactions must be added to the CMS record in a manner that protects customers' sensitive personal data. A replacement pass cannot be issued until valid payment is made.

D 4.3.6		Mandatory
Records of the cheque and postal orders processed must be retained for banking purposes. Monitoring of payments made by debit and credit card must be carried out to ensure that payments are processed accordingly.		

D 4.3.7		Mandatory
Cheques and postal orders must be securely processed and banked by the customer service centre. Contractors must demonstrate how they will securely manage the security and banking of cheque and postal orders.		

#### D4.4 Emails

D 4.4.1		Mandatory
The current enquiry level is approximately 4,400 emails per month. Contractors must establish mailboxes to receive emails from the public which are sent to info@freedompass.org, and from local boroughs and London Councils, and be able to archive and handle high volumes of email correspondence, particularly during renewal periods when email volumes can be expected to reach an additional 5,000 emails per month. For types of Freedom Pass enquiries received refer to ANNEX A: Information and Statistics		

D 4.4.2		Mandatory
The Contractor is expected to resolve Freedom Pass email enquiries within three (3) working days of receiving the email. This KPI does not include automated holding responses.		

D 4.4.3		Mandatory
Emails enquiries must be recorded and categorised so that general queries may be differentiated from customers reporting problems or making complaints.		

D 4.4.4		Mandatory
The contractor must ensure it has a sufficient escalation process in place to monitor, record, and resolve issues raised. Emails received which indicate a potential customer service issue must be escalated promptly.		

D 4.4.5		Mandatory
Retained emails are expected to be used to resolve complaints, training purposes, quality assurance checks, and fraud prevention purposes. Contractors must permanently delete email records six months from the date the email matter is resolved.		

<b>D4.5 Written correspondence</b>		
D 4.5.1		Mandatory
The current level of whitemail is approximately 2,900 items per month. Contractors		

must have a system in place to receive post daily, and store securely until processed, particularly as letters can include personal information, cheques and postal orders.

D 4.5.2		Mandatory
Contractors must be able to process high volumes of whitemail, particularly during renewal periods. For types of Freedom Pass enquiries received refer to ANNEX A: Information and Statistics.		

D 4.5.3		Mandatory
These figures are provided as evidence of past usage during business as usual periods and before pass holders had the functionality to manage their Freedom Pass account online; London Councils cannot guarantee that this will be the volume of whitemail in future, particularly during reissue periods and expects the contractor to demonstrate how it will move people away from postal correspondence to cheaper online methods of communication.		

D 4.5.4		Mandatory
It is important that the whitemail received is added to the CMS record for audit purposes. In particular, contractors must demonstrate that they have scanning facilities in place to scan proofs of address and identity on to the relevant record. Contractors must record and categorise letters so that general enquiries provided may be differentiated from reporting problems or making complaints.		



D 4.5.5		Mandatory
The contractor must ensure it has a sufficient escalation process in place to monitor, record, and resolve issues raised. Letters received which indicate a potential customer service issue must be escalated promptly and London Councils informed.		

D 4.5.6		Mandatory
Letters received are expected to be used for training, quality assurance checks, and fraud prevention purposes. Contractors must securely destroy confidential information as soon as it is scanned and processed, including: letters, proofs of identity and address, and application forms. Customers are asked to provide copies of proofs. Where an original passport, driving licence, birth/marriage certificate has been received these must be returned to the named person by standard post. Original utility or other bills must be securely destroyed.		

D 4.5.7		Mandatory
In the instance that a Freedom Pass is returned for testing, the pass holder has surrendered their card because they are no longer eligible, or the card has been found and returned (but already replaced), the card must be securely destroyed as per London Councils requirements. Confirmation of receipt of the pass must be recorded on the CMS.		

D 4.5.8		Mandatory
The data held by London Councils is confidential and sensitive information. In the instance that a request for data held by London Councils is made the contractor must ensure that the correct processes are followed so that there is no breach of		

data security, see D6. Information Governance.

Data requests may be received from the following individuals and organisations:

- Police
- British Transport Police
- Revenue Inspectors (TfL)
- Solicitors
- Pass holder
- Borough officer
- Member of the public
- NHS

D 4.5.9		Mandatory
Where a request, made by Police, for personal data under Section 29 of the Data Protection Act 1998 is submitted the request must be handled urgently. The form must be countersigned by a Sergeant or Constable and a customer service centre agent before any information is provided.		

D 4.5.10		Mandatory
The Contractor is expected to resolve and respond to Freedom Pass written enquiries within three (3) working days of receiving the letter enquiry.		

## **D5. Call down services in areas 1, 2, and 3 for other London Councils' transport and mobility schemes**

D 5.1 1

Mandatory

The Contractor must provide an option for a similar service to Freedom Pass, for other London Councils' run schemes. Other schemes could include (but is not limited to) Taxicard, which is administered by London Councils on behalf of the London local authorities.

This section includes:

- Application processing, data capture and data management
- Card production and dispatch
- Card management
- Customer service centre
- Eligibility Requirements
- Rejected applications

Taxicard offers subsidised travel in licensed taxis and private hire vehicles to London residents with serious mobility impairments or who are severely sight impaired. The number of trips allocated to a member is dependent on the borough in which the member resides. For example, members who reside in the London Borough of Barnet currently receive a total of 104 trips per annum pro rata, whereas members who reside in the London Borough of Brent receive a total of 8 trips per month, whereby unused trips can be carried forward to the following month. Some boroughs may offer different bandings of trips dependent on the member's disability; for example, members who reside in the London Borough of Barking and Dagenham will receive a total of 60 trips per annum if they are on a Band B and 104 trips per annum if they are on a Band A.

The number of trips allocated by boroughs is subject to change.

The borough trip subsidy is the maximum amount the borough will pay towards each trip. In most boroughs, this amount is different depending on the time of day and at weekends.

In 2015/16 Taxicard enabled members to take around 1.22million trips.

In 2015/16 there were approximately 70,000 Taxicard members: each month there are up to 1000 new members and around 400 cards are replaced because they are lost or damaged.

Applications for the production of these cards will require further validation once submitted, by either the contractor, a London Councils officer or borough officer.

Taxicards currently have a magnetic strip and are personalised with the holder's full name, photograph, expiry date, unique Taxicard number and contact details of the Taxicard booking line.

The sections below set out the mandatory requirements of the contractor should London Councils choose to purchase other services.

NB whilst the contractor's capability to supply these services is indicated as mandatory, London Councils reserves the right to purchase any combination (or none) of the listed requirements. Where it is likely that London Councils will require the services to be in place at the same time as the Freedom Pass services listed above, this is indicated by a start date of 2 October 2017. This is dependent on external funding.

D 5.1 2		Mandatory 2 October 2017
To support the provision of this, and similar card services, the Contractor must include card sourcing, bespoke card encoding, personalisation, data capture, validation and integration of scheme and customer data on the CMS. The Contractor must note there is no guarantee of the volumes of cards produced as a result of this service.		

D 5.1 4		Mandatory 2 October 2017
<p>It is envisaged that a similar process to that used for managing Freedom Passes and data will be used for certain types of other cards and passes. The Tenderer must give an indication of any card types that cannot be supported.</p> <p>Please note that should London Councils procure services for other schemes, the provider may be required to supply cards.</p>		

D 5.1 5		Mandatory 2 October 2017
<p>The Contractor must have the facility to offer a service that allows Taxicard applicants to apply online for all applications and to have their eligibility verified electronically, as with an online first time Disabled Persons Freedom Pass application.</p> <p>Eligibility criteria differ from borough to borough, but core functionality must allow for verification and validation based on name, age, residency and eligible disability according to the scheme's criteria, as well as any borough specific requirements as specified by London Councils.</p>		

D 5.1 6		Mandatory 2 October 2017
<p>All core data relating to the member must be recorded on a CMS database and include the member's information provided with the application form:</p> <p>Entitlement: Taxicard</p> <p>Eligibility Type:</p> <p style="padding-left: 40px;">Higher Rate Mobility Indefinite,</p> <p style="padding-left: 40px;">Higher Rate Mobility Fixed Expiry Date,</p>		

Severely Visually Impaired,  
War Pension Mobility,  
Higher Rate Attendance Allowance Indefinite,  
Higher Rate Attendance Allowance Fixed Expiry Date,  
Age,  
Mobility Functional,  
Mobility Fixed Expiry Date,  
Blue Badge,  
PIP Indefinite,  
PIP Fixed Expiry Date.

(These categories must be configurable and London Councils must have the ability to change the list of categories at no cost to London Councils)

Expiry Date: If the date is not inputted manually the expiry date must default to ten years from the date of card issue.

Identity Proof: type of proof provided with the application

Residence Proof: type of proof provided with the application

Title

Forename

Surname

Date Of Birth

Age

Gender

Residential address

Borough

Telephone (Land)

Telephone (Mobile)

Preferred Contact method

Email address

National Insurance Number

Photograph

How you heard about Taxicard: Not Specified, Newspaper, Magazine, TV/Radio, Internet, Leaflet, Transport for All, Local Council office, Word of Mouth, Other.

Wheel Chair User: No, Yes, Not Specified

Elderly Freedom Pass Holder: No, Yes, Not Specified

Disabled Freedom Pass Holder : No, Yes, Not Specified

Blue Badge: No, Yes, Not Specified

<p>Ethnic Origin: List of categories must be taken from the latest census</p> <p>Form Signed: tick box (Mandatory to be ticked)</p> <p>I am willing to be consulted: tick box</p> <p>I wish to be contacted about other services and initiatives: tick box</p> <p>Taxi Type: Black Cabs only, Mini Cabs only, Either (Mandatory field)</p> <p>Annual Amount and Annual Allocation: Trip allocation (Mandatory)</p> <p>Membership number/ID number</p> <p>Taxicard number</p> <p>Pass history</p> <p>Audit trail</p> <p>Notes/comments field</p> <p>Attachments for documents.</p> <p>It must be possible for applicants to provide supporting documentation online and for this documentation to be saved to the CMS. The CMS must be flexible to allow additional fields to be added in the future through configuration.</p>
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D 5.1 7		<p>Mandatory</p> <p>2 October 2017</p>
<p>The solution must include a clear application, card management and customer history audit trail. The audit trail must show all events and actions made on the system and portals regarding a customer's complete history.</p>		

D 5.1 8		<p>Mandatory</p> <p>2 October 2017</p>
<p>The contractor must provide an integrated approach to; maintaining customer details, transferring and updating member's information to London Councils transport service provider via a secure link, and card production and dispatch.</p> <p>The contractor must provide an integrated approach to providing these additional</p>		

services to include scanning forms, electronic validation of entitlement.

D 5.1 9		Mandatory 2 October 2017
The CMS must allow for authorised users to create a record and request a card to go into production.		

#### **D 5.1.10 First Time Taxicard Applications: Online**

D 5.1.11		Mandatory 2 October 2017
<p>The Contractor is required to provide a standard online application process for Taxicard applications that enables an authorised user (which could be the contractor (should London Councils wish to purchase these services), a London Councils' officer, or a borough officer) to validate the applicant's eligibility before a card is issued.</p> <p>It is essential that the Contractor provides an online system that is accessible to as many potential users as possible, and should be mindful of obligations required under relevant legislation, including the Equality Act 2010.</p>		

D 5.1.12		Mandatory 2 October 2017
Applicants submitting a first time application online must be required to create an account by providing an email address, which has not already been used to create another Taxicard account, and creating a secure password. Contractors must ensure that once an account has been created for an eligible member and the email address verified, the member can use the login details to access and manage their		



account at any time in the future, reset their password, and close an account if required.

D 5.1.13		Mandatory 2 October 2017
<p>Contractors must ensure that the following data and images are captured from a first time online application, this includes (but is not limited to):</p> <ul style="list-style-type: none"> <li>• A verified, unique email address (Email address to be used as the username)</li> <li>• Password (Needed in order to create a login to enable self-service in future)</li> <li>• Title</li> <li>• First names</li> <li>• Last name</li> <li>• Date of birth (Validation of date of birth is required for some boroughs which have an age criteria for the scheme. List of boroughs to be provided by London Councils.)</li> <li>• Gender</li> <li>• Residential address (online validation and ward check of London postcode is required to determine which London borough the applicant resides in and to confirm that the address provided is a residential address. The applicant must not proceed past the address stage if the postcode provided is not within a London borough or is not a residential address)</li> <li>• Ethnicity (List of categories must be taken from the latest census. Not compulsory that applicant completes, but if not completed the ethnicity should default to 'unspecified'.)</li> <li>• National insurance number (Algorithm should be used to validate format of National Insurance number. Not compulsory that applicant completes.)</li> <li>• Telephone number (Validation on number of digits entered is required. Not compulsory that applicant completes.)</li> <li>• Mobile phone number (Validation on number of digits entered is required. Not compulsory that applicant completes.)</li> </ul>		

- Preferred contact method: SMS, phone, email, or post (Not compulsory that applicant completes.)
- Colour, passport sized, good quality photograph showing the full face (The system must allow the applicant to capture their photograph by using a webcam, uploading an image to the portal, or by choosing to send their photograph by post. The portal must allow applicants to edit their photograph, e.g. crop and rotate image)
- Proof of identity (The system must allow an applicant to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again, or provide an option for the applicant to choose to return their proof of identity by post)
- Proof of residency (The system must allow an applicant to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again, or provide an option for the applicant to choose to return their proof of residency by post)
- Disability category: the applicant must be asked to choose which of the Taxicard criteria they are applying against (multiple categories can be accepted).
- Proof of disability (dependent on the category selected the applicant's eligibility must supply supporting documentation or other information that demonstrates their eligibility for the scheme) (details to be supplied by London Councils).
- How you heard about Taxicard: Not Specified, Newspaper, Magazine, TV/Radio, Internet, Leaflet, Transport for All, Local Council office, Word of Mouth, Other.
- Wheel Chair User: No, Yes, Not Specified
- Elderly Freedom Pass Holder: No, Yes, Not Specified
- Disabled Freedom Pass Holder : No, Yes, Not Specified
- Blue Badge: No, Yes, Not Specified
- I am willing to be consulted: tick box
- I wish to be contacted about other services and initiatives: tick box
- Taxi Type: Black Cabs only, Mini Cabs only, Either (this should not be presented to the applicant and is for London Councils / borough officer use only)
- Terms and conditions (The system must not allow an applicant to complete an application without agreeing to the terms and conditions).

Fields are mandatory for the Taxicard applicant to complete unless specified otherwise above. All fields will be mandatory for the supplier to provide.

Contractors must provide a system that allows either of the following (depending on borough preference):

1. Certain categories of application e.g. automatic qualifiers to be automatically approved in accordance with rules to be specified by London Councils (which could be done by the contractor (should London Councils wish to purchase these services), a London Councils' officer, or a borough officer); and/or
2. For applications to require validation by the application borough in question i.e. application data and supporting evidence to be presented within CMS to authorised boroughs users who will subsequently accept or reject the application, or request further information. The CMS must also allow the authorised borough user to override the disability category indicated by the applicant.

The contractor must be able to handle varying individual borough requirements, which will include free text fields where an applicant is required to provide details of how their disability affects their daily lives - and alert boroughs to pending applications via the CMS.

Some boroughs may require the Contractor to refer all applications to the borough for validation and some may require the Contractor to refer applications where the applicant is a non-automatic qualifier as the borough may require the individual to undergo an assessment.

The CMS must capture the results of the assessment.

Refer to D 5.11 Eligibility: Requirements for the criteria of automatic qualifiers for the Taxicard scheme.

D 5.1.14		Mandatory 2 October 2017
The applicant's date of birth and address must be validated before the application is		

submitted, providing clear messaging and signposting where the applicant is:

- Not of the eligible lower age (under 2 years)
- Not of the eligible upper age (dependent on the borough the applicant resides in)
- Does not live within a London borough

D 5.1.15		Mandatory 2 October 2017
Dependent on the address, borough and disability category selected, the system must populate only the evidence required that that borough accepts. List of evidence required is to be provided by London Councils.		

D 5.1.16		Mandatory 2 October 2017
<p>Information submitted online and by post must be imported onto the CMS.</p> <p>When a record is created on CMS, the system must perform a duplicate check and escalate where a potential duplicate record is identified.</p> <p>A record must be escalated as a potential duplicate where a new application matches the first initial, surname and date of birth of a current record on CMS.</p> <p>The system must allow authorised users to resolve the duplicate match.</p> <p>The system must allow authorised users to resolve any data queries, such as:</p> <ul style="list-style-type: none"> <li>• Title and gender do not match</li> <li>• Name query (e.g. spelling)</li> <li>• Address query (e.g. incorrect house number inputted)</li> <li>• Postcode not found (e.g. new build residence)</li> </ul>		

D 5.1.17		Mandatory 2 October 2017
<p>Data and evidence provided must be validated before the application is accepted and a card issued (refer to D 5.11 Eligibility: Requirements and D 5.12 Rejected Application).</p> <p>Either an officer of the contractor (should London Councils choose to purchase this service from the contractor), London Councils, or the borough will check the evidence for automatic qualifiers against the criteria specified. Checks must be made on:</p> <ul style="list-style-type: none"> <li>• Date of Birth (depending on the borough the applicant resides in)</li> <li>• Identity</li> <li>• Residency</li> <li>• Disability</li> <li>• Photograph</li> <li>• Application signed</li> </ul> <p>The system must allow authorised users to reject an application and request further information if required.</p>		

D 5.1.18		Mandatory 2 October 2017
<p>Where the applicant is applying for the scheme based on a disability which requires a face to face assessment by an Occupational Therapist, the borough in which the applicant resides, must have sight of the application and evidence imported from the application portal to the CMS.</p>		

D 5.1.19		Mandatory 2 October 2017
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The system must alert the borough to new applications transferred to CMS which are awaiting a borough assessment. The status of these records on CMS must show as 'Passed for authorisation'.

Once an application has been assessed by a borough officer, the officer must be able to update the status of the application on the individual's record. If the application has been validated the status must show as 'Passed for card issuance' so that a card can be requested; or 'Returned to customer' if the user assessing the application requires further information from the applicant.

D 5.1.19		Mandatory 2 October 2017
The system must have the capability to record the outcome of the assessment and set dates for future reassessment and generate automatic reminders to the relevant user when reassessment is due or when the card expires.		

D 5.1.20		Mandatory 2 October 2017
<p>A successful application must trigger a card production and issue request.</p> <p>A rejected application must close the record, but still allow for an applicant to resubmit evidence at a later stage via their online account.</p>		

#### D 5.1.21 First Time Taxicard Applications: Paper

D 5.1.22

Mandatory

2 October 2017

Paper applications are provided by London Councils and boroughs to assess the applicant's eligibility for the scheme. Application forms can also be downloaded from London Councils website. Depending on the borough in which an applicant resides there are multiple variations of the Taxicard application form.

London Councils and boroughs send application forms by post to the applicant to complete and return. The borough and London Councils must have access to the CMS in order to create a record. The system must allow for this.

An example of a paper application form can be found at ANNEX C: Application forms

D 5.1.23

Mandatory

2 October 2017

The contractor must ensure that the following data and images can be captured on CMS:

- Title
- First names
- Last name
- Date of birth
- Gender
- Residential address (populate address based on postcode, use of a gazetteer is required and validation of a London postcode. A borough must only be allowed to create records for residential addresses that are within that borough.)
- Ethnicity (List of categories must be taken from the latest census. Not compulsory that applicant completes, but if not completed the ethnicity should

default to 'unspecified'.)

- National insurance number
- Telephone number: Landline
- Mobile phone number
- Email address
- Preferred contact method: SMS, phone, email, or post
- Colour, passport sized, good quality photograph showing the full face (user must have the option to edit the photograph on CMS. The contractor should consider using image recognition software within the CMS and application processing system where photographic ID has been provided with an application)
- Proof of identity (The system must allow a user to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again)
- Proof of residency (The system must allow a user to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again)
- Disability category
- Proof of disability (The system must allow a user to upload an image to the portal, e.g. a photograph of a document or a scanned image, with the option to delete and upload again)
- How you heard about Taxicard: Not Specified, Newspaper, Magazine, TV/Radio, Internet, Leaflet, Transport for All, Local Council office, Word of Mouth, Other.
- Wheel Chair User: No, Yes, Not Specified
- Elderly Freedom Pass Holder: No, Yes, Not Specified
- Disabled Freedom Pass Holder : No, Yes, Not Specified
- Blue Badge: No, Yes, Not Specified
- I am willing to be consulted: tick box
- I wish to be contacted about other services and initiatives: tick box
- Taxi Type: Black Cabs only, Mini Cabs only, Either (this should not be presented to the applicant and is for London Councils / borough officer use only)
- Form signed



D 5.1.24		Mandatory 2 October 2017
<p>At the point a record is created, the system must perform a cross-borough duplicate check and escalate where a potential duplicate record is identified, within the same borough or outside the borough. A record must be escalated as a potential duplicate where a new application matches the first initial, surname and date of birth of a current record on CMS.</p> <p>The system must allow authorised users to resolve the duplicate match if the applicants are in different boroughs. A borough must be allowed to resolve a potential duplicate match if the record is within the same borough. Cross borough duplicates must be escalated to a member of London Councils' staff to resolve.</p> <p>The system must allow authorised users to resolve any data queries, such as (but not limited to):</p> <ul style="list-style-type: none"> <li>• Title and gender do not match</li> <li>• Name query (e.g. spelling)</li> <li>• Address query (e.g. incorrect house number inputted)</li> <li>• Postcode not found (e.g. new build residence)</li> </ul>		

D 5.1.25		Mandatory 2 October 2017
<p>The system must automatically generate a card request once a record has been completed and this must trigger fulfilment of a card order from the bureau.</p>		

## D 5. 2 Replacement Taxicard Application

In 2015/16 London Councils replaced, on average, 414 Taxicards a month, with the main replacement reasons being lost and damaged passes.

This section includes the systems that the Contractor may be required to have in place for pass holders who require a replacement pass and/or who need to update their personal information.

D 5.2 1		Mandatory 2 October 2017
<p>Taxicard members must pay a £10 replacement fee by debit or credit card, cheque, postal order or cash, for passes which are:</p> <ul style="list-style-type: none"><li>• Lost</li><li>• Damaged</li><li>• Faulty (the fee is refunded if, when the pass is returned and tested, it is found to be faulty and not damaged)</li><li>• Incorrect details (only if the applicant has made an error at the point of application).</li><li>• Card not delivered (fee is incurred if the pass has been marked as dispatched for more than twenty working days).</li></ul> <p>The fee must be waived if the pass is reported stolen and a crime reference number is provided. An interim crime reference number (CAD number) cannot be accepted.</p>		

D 5.2 2		Mandatory 2 October 2017
<p>The contractor will be required to provide a service, similar to Freedom Pass, which allows for the payment of replacement Taxicards to be made online by debit or credit</p>		

card.

D 5.2 2		Mandatory 2 October 2017
London Councils has a merchant account number with Global Payments to process bank payments, via a virtual payment terminal hosted by Secure Trading. The contractor must satisfy Global Payments and London Councils that they are PCI compliant when processing payments online.		

### D 5.2 3 Replacement Taxicard Application: Online

D 5.2 4		Mandatory 2 October 2017
Pass holders must be able to access the online payment terminal by logging in to their account, or setting up an account.		

D 5.2 5		Mandatory 2 October 2017
The Contractor must provide a portal that is intuitive and user friendly, and before replacing a pass online, enables the pass holder to: update their personal information, e.g. name, address, photograph and contact preferences, provide proof where required to do so, and view their current and previous pass history.		

D 5.2 6		Mandatory 2 October 2017
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If a member changes their details, the system must request proof of the new details which must be validated by London Councils or the borough before a card is issued.

D 5.2 7		Mandatory 2 October 2017
<p>The Contractor must ensure that the portal allows a member who is an automatic qualifier to update their address details to a different borough, as long as they provide proof of address and continued automatic qualification.</p> <p>The Contractor must ensure that the portal does not allow a member who is a non-automatic qualifier to update their address details to a different borough without submitting a first time application.</p> <p>A card must not be requested until the application has been validated by an authorised user (which could be the contractor (should London Councils wish to purchase these services), a London Councils' officer, or a borough officer).</p> <p>The portal should provide clear messaging to the member to advise that they will need to submit a new application.</p>		

D 5.2 8		Mandatory 2 October 2017
<p>If the evidence is rejected and a payment for a replacement pass has been made, the contractor's system must allow the pass holder to provide sufficient evidence within 21 days of making the payment otherwise the £10 will be refunded directly to the pass holder's bank account by London Councils, via Secure Trading.</p>		

D 5.2 9		Mandatory 2 October 2017
<p>The Contractor must develop a portal to recognise when a payment is required for a replacement pass, or where a crime reference number is needed. The crime reference number must be validated by using an algorithm to check the format of the number provided.</p>		

D 5.2 10		Mandatory 2 October 2017
<p>The contractor will be required to have a system in place which incorporates the business rules relating to the replacement of a pass, and recognises when a payment must and must not be requested.</p> <p>A customer is entitled to apply online for a replacement Taxicard under the following conditions -</p> <ul style="list-style-type: none"> <li>• They are registered on the Taxicard online portal</li> <li>• Their CMS applicant account is active</li> <li>• They have an active or expired Taxicard (as defined on the most recent Taxicard)</li> <li>• Their Taxicard has been marked as dispatched for more than ten working days except where the replacement reason is 'Card not delivered' where it must be marked as dispatched for more than twenty working days.</li> <li>• Their Taxicard has not been hotlisted as 'Withdrawn'.</li> <li>• The replacement reason is one that is supported online.</li> <li>• It must be possible for authorised system users to override rules relating the exclusions listed above.</li> </ul>		

D 5.2 11		Mandatory 2 October 2017
The portal must prevent a pass holder from replacing a card whilst another card is in production or has been dispatched within the last ten working days.		

D 5.2 12		Mandatory 2 October 2017
Applicants must be provided with a transaction reference for a successful payment processed.		

D 5.2 13		Mandatory 2 October 2017
The contractor must ensure that any changes made to a pass holder's account, or payments made, are updated on the pass holder's record on CMS, including a transaction payment reference. Data should be automatically updated on the CMS in order to create an audit trail of transactions made online.		

D 5.2 14		Mandatory 2 October 2017
At the point of a successful payment a card request must be triggered, except where evidence that has been provided has been rejected.		

D 5.2 15		Mandatory 2 October 2017
A pass holder must have the option to close their account if they no longer require their Taxicard, which will automatically add the card for hotlisting and deactivate the CMS record. If a record is deactivated but the pass holder later wants to re-join the scheme they will be required to provide evidence as per a first time application.		

#### **D 5.2 16 Replacement Taxicard Application: Telephone and by post**

London Councils also accept payments for replacement Taxicards over the telephone, by debit or credit card, by cheque or postal order and by cash.

D 5.2 17		Mandatory 2 October 2017
The CMS must allow authorised users to replace a Taxicard and update record details upon receipt of a valid payment.		

#### **D 5.3 Card Production**

D 5.3 1		Mandatory 2 October 2017
<p>Part of this service is intended to allow for the management and production of non-concessionary travel passes, or non-smart cards.</p> <p>The contractor may be required to:</p> <ul style="list-style-type: none"> <li>• Supply and provide for the production of smart, magnetic strip (current on Taxicard) or other cards for London Councils</li> <li>• Procure best market price for a range of smartcard types</li> </ul>		

- If required, add non ITSO applications to a Smartcard (e.g. Taxicard)

The current Taxicards have unique individual membership numbers and a code that identifies the borough. The holder's photograph is integrated onto the card.

Contractors must ensure that they can meet London Councils requirements to produce and dispatch first time and replacement Taxicards to eligible members.

D 5.3 2		Mandatory 2 October 2017
The Contractor may be required to provide a card production bureau that incorporates the validation of application data, personalisation of cards through to card dispatch to the applicant.		

D 5.3 3		Mandatory 2 October 2017
The Contractor will be required to store cards securely as cash stock and maintain a full inventory of stock levels.		

D 5.3 4		Mandatory 2 October 2017
<p>The Contractor must print the following items on to the Taxicard:</p> <ul style="list-style-type: none"> <li>• London Councils and Taxicard logo on front of card</li> <li>• Expiry date</li> <li>• First and last name of the applicant</li> <li>• Photograph</li> <li>• Individual membership number on front of card with corresponding borough code (two letters followed by seven digits)</li> </ul>		



- Print rear of card in monochrome to London Councils specification.

D 5.3 5		Mandatory 2 October 2017
<p>The cards will carry a unique expiry date as per the date inputted on to the CMS record. It must be possible to print individual expiry dates for individual cards. At the point the card reaches its expiry date the CMS should automatically hotlist the card.</p> <p>The Contractor must ensure that the pass is printed with the correct expiry date. Expired cards must show on the CMS as expired.</p>		

D 5.3 6		Mandatory 2 October 2017
<p>Because the criteria and trip allocations for the scheme are different across the boroughs the membership code printed on the card must correspond to the borough that the applicant lives in, e.g. a Taxicard member who lives in the London Borough of Lewisham must have a membership code starting LE, followed by seven digits assigned by the contractor in numerical order.</p> <p>London Councils will provide the membership codes for the boroughs. An applicant does not require a new card if they change address within the same borough. The CMS must allow for a card to be deactivated and reactivated except where the card has already been replaced.</p>		

D 5.3 7		Mandatory 2 October 2017
<p>The Contractor will be required to capture the serial number of the card and record this against the applicant's details for audit purposes.</p>		

D 5.3 8		Mandatory 2 October 2017
<p>The level of stock will be dependent on demand and the Contractor must stock sufficient cards and provide monthly stock reports. The Contractor must satisfy London Councils that their storage arrangements and stock audit procedures are secure and acceptable; London Councils has the right to audit the Contractor's facilities, which may include a site visit.</p> <p>The Contractor will be required to meet the standards set out by London Councils and make any adjustments at no cost to London Councils.</p>		

#### D 5.4 Card dispatch

D 5.4 1		Mandatory 2 October 2017
<p>The elements of application processing and card dispatch undertaken by the contractor must be completed within 8 working days. It must be possible for the contractor to calculate both the number of days it has taken and the total number of days (including any third party i.e. borough or London Councils involvement).</p>		

D 5.4 2		Mandatory 2 October 2017
<p>At the point a replacement pass is issued, the contractor must ensure that a card is produced and dispatched to the eligible named customer and address on CMS within three working days.</p>		

D 5.4 3		Mandatory 2 October 2017
<p>The card must be sent by second class post to the address on the applicant's record and must be attached to a personalised carrier letter (template to be provided by London Councils).</p> <p>London Councils must have the ability to update carrier letter templates and application forms to meet new requirements as and when required and within agreed timeframes.</p>		

D 5.4 4		Mandatory 2 October 2017
<p>The Contractor must ensure that the Taxicard is enclosed with:</p> <ul style="list-style-type: none"> <li>• A wallet using artwork provided by London Councils (to be supplied by the contractor),</li> <li>• A welcome booklet (printed and supplied by London Councils); and</li> <li>• Any correspondence or third party correspondence required by London Councils where the applicant has agreed to receive further information from London Councils at the point of application.</li> </ul>		

D 5.4 5		Mandatory 2 October 2017
<p>The front of the envelope must include 'Do Not Forward'. The rear of the envelope must include London Councils return address for Royal Mail to return undelivered post.</p>		

D 5.4 6		Mandatory 2 October 2017
<p>The Contractor must employ internal and external personnel with experience in card production and data management and ensure the following when dispatching cards:</p> <ul style="list-style-type: none"> <li>• Ensure that the expiry date printed on the card matches the member's record</li> <li>• Dispatch cards using Second Class post as standard</li> <li>• Dispatch cards using First Class post and same day processing if required by London Councils (this is only intended to expedite individual pass dispatch in the case of delays and will not be used as standard for all passes at any point)</li> <li>• Provide functionality and access for London Councils, TCAs and Applicants to track the progress of applications</li> <li>• Update the CMS on the progress of the production and dispatch of a card</li> <li>• Dispatch welcome booklets and inserts with products</li> <li>• Procure best market price for envelopes</li> <li>• Procure best market price for wallets</li> <li>• Ensure a wallet, using artwork provided by London Councils, is inserted with the Taxicard</li> </ul>		

D 5.5 Card Management		
D 5.5 1		Mandatory 2 October 2017
<p>For the purpose of card management the Contractor must provide a card management system which records:</p> <ul style="list-style-type: none"> <li>• Applicant's full current and previous card history, including:</li> <li>• Membership number</li> <li>• Date card requested</li> <li>• Expiry date</li> </ul>		

- Entitlement of card
- Card status, i.e. pending, in production, dispatched
- Replacement reason
- Forename (as printed on card)
- Surname (as printed on card)
- Address (of card posted to)
- Operator who requested card
- Date card transferred to bureau for printing
- Date card printed
- Date card dispatched
- Operator who booked card out

D 5.5 2		Mandatory 2 October 2017
<p>The CMS must make it possible for an authorised user to hotlist Taxicards that have been stopped/replaced for the following reasons:</p> <ul style="list-style-type: none"> <li>• Lost</li> <li>• Not delivered</li> <li>• Stolen</li> <li>• Card superseded</li> <li>• Change of gender</li> <li>• Change of name</li> <li>• Change of borough</li> <li>• Change of entitlement</li> <li>• Damaged</li> <li>• Duplicate card</li> <li>• Expired</li> <li>• Faulty</li> <li>• Incorrect Address</li> <li>• Incorrect Name</li> </ul>		

- Incorrect Photo attached
- Withdrawn

The CMS must allow for a record to be deactivated and put on stop permanently/temporarily for the following reasons and must hotlist the current card:

- Stopped by Borough
- Stopped by Contractor
- Card not renewed
- Moved Away
- Underpayment
- Deceased
- Duplicate card
- Inactive
- Gone Away
- Rejected
- Expired

This information must be available to the Taxicard transport provider through the SFTP link.

The current card must be reactivated if requested on the CMS, as long as the card has not already been replaced.

D 5.5 3		Mandatory 2 October 2017
<p>London Councils Taxicard transport service provider, (currently CityFleet), must receive the data of all new applicants for the scheme and any changes made to data records, including; the name, address and trip allocations of existing members in order to provide the service.</p> <p>The Contractor must securely send the following data fields of all new applicants and any changes made to the below fields of existing members via a secure link once a day to London Councils current contractor, CityFleet:</p>		

- Extension Data
- Title
- Forename
- Surname
- Address
- Postcode
- Borough
- Taxicard membership number
- Email address
- Previous Taxicard number
- Telephone
- Telephone Mobile
- Trip Renewal Type
- Trips Remaining
- Trips Remaining Saver
- Vehicle Type
- Wheelchair / scooter user (including make and model)

D 5.5 4		Mandatory 2 October 2017
<p>In order to maintain an up to date and accurate database of Taxicard members the Contractor must be able to deactivate records and cancel Taxicards in bulk, as and when required by London Councils, for, but not limited to, the following exercises:</p> <p>National Fraud Initiative (an exercise that matches electronic data within and between public and private sector bodies to prevent and detect fraud. Review of membership data ensures records reflect current mortality information to prevent fraudulent use of cards. This check is carried out twice a year by London Councils on behalf of the London boroughs): List of members that have been identified as deceased.</p> <p>Two year stop: List of members that have been identified as not having used their</p>		

Taxicard within two years.
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## D 5.6 Customer Service Centre

D 5.6 1		Mandatory
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The service may be required to provide a public facing customer service centre. This section covers the service requirements:

- Calls
- Payments
- Emails
- Written correspondence
- General Requirements

The service is primarily to answer enquiries relating to the Taxicard scheme and process payments for replacements passes; ensuring that public enquiries are addressed in a timely and appropriate manner. It will also deal with enquiries relating to the application process, card issuing process and back office. As a minimum, the service must handle telephone, email and written enquiries, process payments, interrogating and updating the CMS database as required.

The service provider must demonstrate how it will deliver first time resolution of customer contacts and enquiries. It must also demonstrate how it will introduce best value innovations over the lifetime of the contract that allow customers to self-serve.

D 5.6 2		Mandatory
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For public enquiries relating to the provision of the service London Councils will provide the Contractor with the contact number and email addresses. The contact information is printed on the reverse of the Taxicard.

The Contractor must make all arrangements for redirecting phone calls made to the current number to their call centre. The Contractor may also be required to re-direct



additional non geographic numbers which will be allocated by London Councils.

D 5.6 3		Mandatory
The service provided will include the requirement for the Contractor to assist and provide data to borough officers and London Councils' contractors.		

D 5.6 4		Mandatory
The contractor must ensure that all centre staff are DBS checked.		

D 5.6 5		Mandatory
The customer service centre must have access to the CMS through a web browser.		

D 5.6 6		Mandatory
For customers with a specific query relating to the issue/status of their application or membership of the relevant scheme, the contractor must access the CMS to find this information or refer the applicant to the online web tracker. The Contractor must make appropriate notes on the CMS to record new customer interaction events.		

D 5.6 7		Mandatory
It is anticipated that the primary responses to calls will be as follows. London Councils cannot guarantee that these will be the only types of responses required to enquiries from callers. The Contractor must act on these options using a protocol to be agreed with London Councils.		

D 5.6 8		Mandatory
Sign Posting	Where an enquiry is outside the remit of the Taxicard scheme the contractor shall advise customers of other relevant contact details for those services. The list of contact details will be provided to the contractor by London Councils.	
Payments	Where a member requires a replacement Taxicard the contractor will be required to process card payments via a secure online payment terminal, and bank valid payments made by cheque, postal order or cash.	
Transferring and Referrals	The call centre must not transfer any calls directly to London Councils or the London boroughs. It is expected that the contractor will deal with all enquiries relating to customers applying for a pass, but may refer email enquiries and complaints that are specifically to do with policy matters to London Councils, or first time applications or appeals for the Taxicard scheme to London Councils.	
Enquiry Resolution	In the majority of cases such as lost, stolen or faulty passes, and where the enquirer wants to know the status of their application, the contractor must resolve the enquiry; take a payment for a replacement pass, and record notes	

Complaints and Feedback	<p>on the CMS.</p> <p>The contractor must log all complaints and note compliments regarding the service. The log must be split between dissatisfaction with 1) the application process, 2) the way an enquiry is being handled, 3) a journey, and 4) the overall Taxicard scheme. The log must identify each stage of the complaint, investigation and subsequent response. The log of complaints and enquiries to be recorded will be provided to London Councils on request. Formal complaints must be separated from general enquiries, as defined by London Councils. Freedom of Information (FOI) requests or escalated complaints regarding the quality of service provided by the contractor must be referred to London Councils, within 1 day of receiving the request, to investigate and formally respond.</p>
Customer Satisfaction	<p>The contractor must propose and implement a method of surveying analysing customer satisfaction with the service they receive from London Councils (to be proposed by the contractor and agreed with London Councils in advance of service commencement).</p> <p>The contractor must note that London Councils may undertake an</p>

	independent customer satisfaction survey to verify the quality of the service being provided. London Councils will share the results of the survey with the contractor.
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D 5.6 9		Mandatory
The Service Provider shall staff the Contact Centre with appropriately trained and skilled Personnel with a detailed knowledge of the application and eligibility processes for the Schemes.		

D 5.7 Calls		
D 5.7 1		Mandatory
<p>The Service Provider shall receive calls to the Contact Centre using an IVR system from a low cost dedicated telephone number.</p> <p>The Service Provider shall submit to London Councils for approval its proposal for, and when approved implement, IVR menus and call flows.</p> <p>The Service Provider shall ensure that all IVR changes can be implemented within timescales as specified by London Councils from time to time (and at no additional cost to London Councils).</p>		

D 5.7 2		Mandatory
The current enquiry level is approximately 2,600 calls per month (0900-1700hrs, 5 days a week) (NB these volumes are not guaranteed and the contractor will be required to introduce self-service initiatives that reduce call volumes over the lifetime of the contract).		

D 5.7 3		Mandatory
It is intended that the above times will be when the service will be required in the contract, but London Councils reserves the right to change the times, subject to review. The service provider will deliver the service every day of the year except Christmas Day.		

D 5.7 4		Mandatory
<p>All calls must be recorded for audit, training and monitoring purposes and the recordings must be made available to London Councils. Call recordings are expected to be used for training, quality assurance checks, fraud prevention purposes, and payment queries. Callers must be informed of this. For data protection purposes the Contractor must ensure that when a card payment is made over the telephone the call recording is paused.</p> <p>Contractors must permanently delete call recordings six months from the date the call was recorded.</p>		

D 5.7 5		Mandatory
Call drivers must be categorised so that general queries can be differentiated from callers reporting problems or making complaints.		

D 5.7 6		Mandatory
The Contractor must ensure it has an escalation process in place to monitor, record, and resolve issues raised. Calls received which indicate a potential customer service issue must be escalated promptly.		

D 5.7 7		Mandatory
<p>The Contractor must record and monitor percentage of calls answered within the times specified by the KPIs and the percentage of calls outside of those times. This information is to include average and maximum wait times experienced by callers, and the number of abandoned calls.</p>		

## D 5.8 Payments

D 5.8 1		Mandatory
<p>Approximately 10% of calls handled relate to the replacement of a Taxicard. Members are required to pay a £10 administration fee for cards replaced because of the following reasons:</p> <ul style="list-style-type: none"> <li>• Card lost</li> <li>• Card damaged</li> <li>• Card faulty (£10 fee must be refunded if, when the card is returned, it is tested and found to be faulty and not damaged)</li> </ul> <p>The following replacement reasons do not incur a £10 replacement fee:</p> <ul style="list-style-type: none"> <li>• Card stolen (as long as a crime reference number is provided)</li> <li>• Change of name</li> <li>• Change of address</li> <li>• Change of gender</li> <li>• Incorrect name</li> <li>• Incorrect address</li> <li>• Incorrect photo attached</li> <li>• Card not delivered (within the applicable timescales)</li> <li>• Change of entitlement</li> <li>• Renewal (borough dependent)</li> <li>• Withdrawn by Borough</li> <li>• Superseded</li> </ul>		

D 5.8 2		Mandatory
The Contractor must enable a pass holder to pay for their replacement pass over the telephone by debit/credit card and by providing an online facility to replace their pass online.		

D 5.8 3		Mandatory
The contractor must demonstrate that they are PCI compliant and can process debit and credit card payments securely via London Councils' secure online payment terminal.		

D 5.8 4		Mandatory
<p>Postal orders and cheques must be made payable to London Councils for the amount of ten pounds; the customer service centre must ensure that these requirements are met before banking cheques and postal orders.</p> <p>Cash payments can be made in person at London Councils' premises.</p>		

D 5.8 5		Mandatory
Where a cheque or postal order is received but not made payable to London Councils, not signed, or for the incorrect amount, the payment must be returned to the applicant enclosing the original payment. All transactions must be added to the CMS record in a manner that protects customers' sensitive personal data. A replacement pass cannot be issued until valid payment is made.		

D 5.8 6		Mandatory
Records of the cheque and postal orders processed must be retained for banking		

purposes. Monitoring of payments made by debit and credit card must be carried out to ensure that payments are processed accordingly.

D 5.8 7		Mandatory
Cheques and postal orders must be securely processed and banked by the customer service centre. Contractors must demonstrate how they will securely manage the security and banking of cheque and postal orders.		

## D 5.9 Emails

D 5.9.1		Mandatory
The current enquiry level is approximately 275 emails per month. Contractors must have mailboxes set up to receive emails from the public which are sent to <a href="mailto:taxicard@londoncouncils.gov.uk">taxicard@londoncouncils.gov.uk</a> , and from local boroughs and London Councils, and be able to archive and handle email correspondence on a daily basis.		

D 5.9.2		Mandatory
The Contractor is expected to resolve Taxicard email enquiries within three (3) working days of receiving the email. This KPI does not include automated holding responses.		

D 5.9.3		Mandatory
Emails enquiries must be recorded and categorised so that general queries may be differentiated from customers reporting problems or making complaints.		



D 5.9.4		Mandatory
The contractor must ensure it has a sufficient escalation process in place to monitor, record, and resolve issues raised. Emails received which indicate a potential customer service issue must be escalated promptly.		

D 5.9.5		Mandatory
Emails recorded are expected to be used to resolve complaints, training purposes, quality assurance checks, and fraud prevention purposes. Contractors must permanently delete email records six months from the date the email matter is resolved.		

## D 5.10 Written correspondence

D 5.10 1		Mandatory
The current level of whitemail is approximately 160 items per month, not including paper application forms. Contractors must have a system in place to receive post daily, and store securely until processed, particularly as letters can include personal information, cheques and postal orders.		

D 5.10 2		Mandatory
Contractors must be able to process the above volumes of whitemail.		

D 5.10 3		Mandatory
These figures are provided as evidence of past usage during business as usual periods and before pass holders had the functionality to manage their Taxicard		

account online; London Councils cannot guarantee that this will be the volume of whitemail in future and expects the contractor to demonstrate how it will move people away from postal correspondence to cheaper online methods of communication.

D 5.10 4		Mandatory
It is important that the whitemail received is added to the CMS record for audit purposes. In particular, contractors must demonstrate that they have scanning facilities in place to scan proofs of address and identity on to the relevant record. Contractors must record and categorise letters so that general enquiries provided may be differentiated from reporting problems or making complaints.		

D 5.10 5		Mandatory
The contractor must ensure it has a sufficient escalation process in place to monitor, record, and resolve issues raised. Letters received which indicate a potential customer service issue must be escalated promptly.		

D 5.10 6		Mandatory
Letters received are expected to be used for training, quality assurance checks, and fraud prevention purposes. Contractors must securely destroy confidential information as soon as it is scanned and processed, including: letters, proofs of identity and address, and application forms. Where an original passport, driving licence, birth/marriage certificate has been received these must be returned to the named person by standard post. Original utility or other bills must be securely destroyed.		

D 5.10 7		Mandatory
<p>In the instance that a Taxicard is returned for testing, the member has surrendered their card because they are no longer eligible, or the card has been found and returned (but already replaced), the card must be securely destroyed as per London Councils requirements. Confirmation of receipt of the pass must be recorded on the CMS.</p>		

D 5.10 8		Mandatory
<p>The data held by London Councils is confidential and sensitive information. In the instance that a request for data held by London Councils is made the contractor must ensure that the correct processes are followed so that there is no breach of data security, see D6. Information Governance.</p> <p>Data requests may be received from the following individuals and organisations:</p> <ul style="list-style-type: none"> <li>• Police</li> <li>• Solicitors</li> <li>• Pass holder</li> <li>• Borough officer</li> <li>• Member of the public</li> <li>• NHS</li> </ul>		

D 5.10 9		Mandatory
<p>Where a request, made by Police, for personal data under Section 29 of the Data Protection Act 1998 is submitted the request must be handled urgently. The form must be countersigned by a Sergeant or Constable and a customer service centre agent before any information is provided.</p>		

D 5.10 10		Mandatory
The Contractor is expected to resolve and respond to Taxicard written enquiries within three (3) working days of receiving the letter enquiry.		

### D 5.11 Eligibility: Requirements

A person is eligible for the Taxicard scheme by residency and disability. In a minority of boroughs, an applicant may be eligible based on age.

An application must be validated by an authorised user (which could be the contractor (should London Councils wish to purchase these services), a London Councils' officer, or a borough officer) to validate the applicant's eligibility before a card is issued.

If required to do so, the Contractor must verify that the individual meets at least one of following the criteria to qualify automatically, and provide the relevant proof:

- Higher Rate Mobility Component of the Disability Living Allowance
- PIP (eight points or more in the moving around activity component)
- Registered severely sight impairment/blind
- War Pension Mobility Supplement
- Armed Forces Independence Payment (mobility element)
- Higher Rate Attendance Allowance (some boroughs only)

It is not expected that the contractor will be asked to assess non-automatic qualifiers. However, they may be required to process paper applications to the point at which an assessment can be made.

D 5.11 1		Mandatory
A person who resides within a London borough or City of London and who has one or more of the automatic qualifier categories of disability specified by the scheme must be issued with a Taxicard.		
Any application that does not meet one of the above categories must be assigned to		

the relevant borough to assess.

### D 5.11 2 Residency

The applicant must be resident within one of the 32 London boroughs or City of London.

D 5.11 3		Mandatory
<p>When applying for the scheme or updating personal information applicants must provide one proof of residency, in their name, from a list agreed by London Councils. If required to do so, the contractor must ensure that the address provided on the application form is within a London borough and that the applicant's evidence of residency submitted with the application complies with London Councils list of accepted documents, is a residential address, and matches and supports the details submitted with the application.</p>		

D 5.11 4		Mandatory
<p>One of the following documents (photocopies) must be provided by the applicant to prove residential address and must be verified by the contractor:</p> <ul style="list-style-type: none"><li>• Current council tax bill/letter/payment book</li><li>• Current council housing association rent book/statement/letter</li><li>• Current television licence/exemption letter</li><li>• Home or contents insurance documents</li><li>• Tenancy agreement</li><li>• Residential utility bill/letter (excluding mobile phone bills) e.g. gas, electricity, phone, water, dated in the last 3 months</li><li>• Residential personal bank/building society/credit card statement or bank letter</li></ul>		

dated in the last 3 months

- HM Revenue and Customs letter dated in the last 3 months
- Letter of entitlement to benefits or pension dated in the last 3 months
- Domiciliary care bill dated in the last 3 months.

D 5.11 5		Mandatory 2 October 2016
The Contractor must integrate a regularly updated gazetteer or similar ward check mechanism into the CMS and online portals to verify London postcodes and standardise the format of address on CMS; automatically matching the residential address to the London borough.		

D 5.11 6		Mandatory
Applications must be rejected by the Contractor where the address and postcode provided is not within a London borough or does not confirm that the applicant's sole or principal residence is in London. A record should be escalated if there is a relevant query with the address provided.		

D 5.11 7		Mandatory
Contractors must demonstrate that they have mechanisms in place to verify London postcodes, including new builds and borough boundary changes.		

#### D 5.11 8 Identity and Age

		Mandatory
Applicants must provide one proof of identity, in their name, from a list agreed by		

London Councils.

The applicant's evidence of identity submitted with the application must comply with London Councils list of accepted documents, see below, and supports the name and date of birth details submitted with the application.

Depending on which borough the applicant resides in, the authorised user must ensure that the date of birth provided on the application form is within the eligible age range.

D 5.11 9		Mandatory
<p>One of the following documents (photocopies) must be provided by the applicant to prove name and age and be verified by an authorised user:</p> <ul style="list-style-type: none"><li>• Current passport</li><li>• European ID card</li><li>• NHS medical card</li><li>• Birth certificate (unless the name has changed)</li><li>• Current new style driving licence with photograph i.e. not the old style paper driving licence</li><li>• Letter of entitlement to the Higher Rate Mobility Component of the Disability Living Allowance</li><li>• Letter of entitlement to PIP (moving around activity).</li></ul>		

D 5.11 10		Mandatory
<p>The name provided on the application form must match exactly to the evidence provided. Evidence must be rejected where the documents supplied do not support the details on the application form.</p>		

D 5.11 11		Mandatory
<p>The contractor must ensure that a validation check on the date of birth is integrated into the CMS and online portals to stop applications processing if the applicant is not eligible by age within a particular borough and provide clear messaging whereby the applicant may be eligible for an alternative scheme, such as Freedom Pass.</p>		

#### D 5.11 12 Entitlement

		Mandatory
<p>Applicants must provide one proof of entitlement, in their name, from a list agreed by London Councils.</p> <p>The applicant's evidence of identity submitted with the application must comply with London Councils list of accepted documents, see below, and support the details submitted with the application:</p> <ul style="list-style-type: none"> <li>• Letter of entitlement to the Higher Rate Mobility Component of the Disability Living Allowance</li> <li>• Letter of entitlement to PIP (eight points or more in the moving around activity component)</li> <li>• Evidence of registration with local authority of severe sight impairment/blind</li> <li>• Letter of entitlement to War Pension Mobility Supplement</li> <li>• Letter of entitlement to Higher Rate Attendance Allowance (some boroughs only)</li> <li>• Letter of entitlement to Armed Forces Independence Payment (mobility element)</li> </ul> <p>Not all boroughs accept the same benefit letters as proof of a long term mobility difficulty. A full list of boroughs requirements will be provided by London Councils.</p> <p>Where an applicant is not an automatic qualifier for the scheme the assessment of the application will be completed by London Councils or the borough unless otherwise specified in the future.</p>		



#### D 5.11 13 Signature

Mandatory

Paper application forms must be signed by first time applicants, except in cases where a Power of Attorney has signed on an applicant's behalf, however proof of this must be provided with the application. The authorised user must reject applications where the form has not been signed. An online application must not be submitted without the applicant agreeing to the terms and conditions and declaration statement.

#### D 5.11 14 Photograph

The purpose of the photograph is to help taxi drivers validate that the person travelling is the Taxicard holder.

D 5.11 15

Mandatory

If required to validate the photograph, the Contractor must ensure that they understand the criteria: applicants must provide one recent (within the last 12 months) colour passport size (45mm x 35mm) photograph, which is a current true likeness, showing the applicants full face, facing forward without a hat, taken against a plain, evenly lit and pale coloured background.

The photograph must be compared and validated against the likeness of the photographic proof of identity provided, i.e. passport, driving licence or European ID card.

If photographic evidence has not been provided as part of the proof of identity, e.g. a birth certificate, the applicant must provide a photograph that has been countersigned. The requirements of countersigning a photograph must be the same as a passport application, which can be found here:

<https://www.gov.uk/countersigning-passport-applications/when-to-sign-what-to-do>

The contractor should consider using image recognition software within the online and application processing system where photographic ID has been provided with an online application.

D 5.11 16		Mandatory
<p>Webcam photographs used in an online application must be accepted as long as it meets the criteria.</p> <p>In practice passport standard photographs are suitable.</p>		

## D 5.12 Rejected Application

This section includes instructions on the process to follow when a first time application or a member updating their details online or by post needs to be rejected. In this section an applicant includes first time applicants and current members updating their personal information.

D 5.12 1		Mandatory
<p>If required to do so, the Contractor must ensure that the applicant is eligible for the scheme before a card is requested. Where an applicant is not eligible by entitlement or by residency, has provided insufficient evidence as proof, an insufficient photograph or has not signed the form, the application must be rejected.</p>		

D 5.12 2		Mandatory
<p>If required, the Contractor must inform applicants of a rejected application in writing, by letter or by email, outlining why the application has been rejected and what the</p>		

applicant is required to do, e.g. provide further evidence.

Original documents (e.g. passport) must be returned to the applicant if received by post.

The Contractor must update the pass holder's record on CMS with the action taken.

D 5.12.3		Mandatory
A process must be set up to allow for an applicant to resubmit an application online or by post if it has been rejected for insufficient evidence.		

D 5.12.4		Mandatory
<p>The following checks must be made and validated by the contractor for applications submitted online, by post, and for records created directly on CMS by authorised users:</p> <p>Age: Contractors must incorporate a mechanism on the portal that recognises if a date of birth does not meet the criteria in certain boroughs. There must be flexibility built in to the CMS to allow for users to edit the age criteria by borough.</p> <p>The Contractor must reject applications where the date of birth provided means the applicant is not eligible by age (under two years of age). If an applicant does not meet the relevant age in those boroughs with an older age qualification, the applicant is assigned to the borough for assessment.</p> <p>Residency: Contractors must incorporate a mechanism which identifies a postcode that is outside of the London boroughs and inform the applicant by providing clear messaging, such as advising to apply for a similar scheme to the relevant local authority.</p> <p>Evidence: Contractors must provide for a process whereby evidence of entitlement, identity and residency uploaded to the portal can be validated on CMS by an authorised user before the application is accepted, or rejected where the applicant is not eligible. If the evidence is sent by post the same validation rules apply. Evidence</p>		

must meet the criteria specified by London Councils.

Photograph: Contractors must make sure that the CMS and portal enable a photograph to be edited by an authorised user, such as a cropping functionality, and rejected where the photo does not meet the criteria, is not a true likeness compared to the proof of photographic identity provided/has not been countersigned. If the photograph is sent by post the same validation rules apply.

Signature: The paper form must be signed and returned to the applicant if not.

D 5.12 5		Mandatory
The contractor must record on CMS the reason why an application has been rejected, e.g. insufficient proof of residency, application not signed.		

D 5.12 6		Mandatory
The CMS must identify a potential duplicate application submitted by the same person. Where a new application has been submitted the system must identify whether a replacement fee is required before a card is requested.		

D 5.12.7		Mandatory				
<p>The CMS must allow users to deactivate a record only for the following reasons. When a record is deactivated this must automatically add the current card for hotlisting and update the applicant status to ‘Deactivated’. Notes must be added to the record to explain the reason for deactivating the record.</p>						
<table><tr><th>Deactivation Reason</th><th>Purpose</th></tr><tr><td>Expired</td><td>Member’s card has expired and is required to provide proof of ongoing entitlement for scheme before a new</td></tr></table>			Deactivation Reason	Purpose	Expired	Member’s card has expired and is required to provide proof of ongoing entitlement for scheme before a new
Deactivation Reason	Purpose					
Expired	Member’s card has expired and is required to provide proof of ongoing entitlement for scheme before a new					

	card is issued.
Gone Away	Member has moved out of London / card has been returned by Royal Mail as undelivered.
Inactive	Member no longer requires card / card has not been used for 2+ years.
Deceased	Information received advising that member has passed away. Must ensure that details match the correct record.
Duplicate	Applicant has two records; record not in use is deactivated as a duplicate record.
Rejected application	Evidence/photograph provided means that the applicant is not eligible for the scheme or needs to provide further evidence/photograph.

## D6. Information Governance

This section covers the generic requirements applicable to the Contractor in relation to Information Governance of all service areas. These requirements include but are not limited to the following:

Data Protection general requirements;

Data Access requirements;

Data Retention and Information Record Disposal;

Data Protection audit;

Reporting of breaches of Privacy Legislation;

Privacy Notice;

Subject Access request(s);

Information Access Request(s); and

London Councils Retention Period policy.

### Definitions

A 'Data Controller' is a person or organisation that decides the purposes for which personal Information will be used and how it will be processed. London Councils is the Data Controller in relation to Personal Data processed in connection with the Freedom Pass scheme and the Taxicard scheme.

A Data Processor is any person (other than an employee of the Data Controller) who processes Personal Data on behalf of the Data Controller. The Contractor is the Data Processor.

A Data Subject means an individual who is the subject of Personal Data.

An Information Asset Owner is the person who, on a day-to-day basis, has responsibility for the security of a system or a database.

London Councils fully endorses and adheres to the 8 Data Protection Principles that are as follows:

- (1) Data shall be processed fairly and lawfully and, in particular, shall not be processed unless specific conditions are met – this means that people should understand how we use data, and the purpose for gathering and using data should be properly identified
  - (2) The purpose for data use should be clear and limited, and data should not be reused for new, different purposes;
  - (3) Data shall be adequate, relevant and not excessive, tailored to the purpose for which it is being used;
  - (4) Data must be accurate and, where necessary, kept up to date;
  - (5) There must be a clear retention period for all personal data, and it must be securely disposed of when no longer required;
  - (6) Individual data subject's rights must be respected – in particular, individuals have a right of access to their personal data, and a right to have inaccurate data corrected or deleted;
  - (7) Appropriate technical and organisational measures shall be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data. It is vital that security measures are tailored to the specific risks associated with the loss, theft or unavailability of that data, either to the data subject or London Council's ability to carry out its role
  - (8) Shall not be transferred to a country or territory outside the European Economic Area unless that country or territory ensures an adequate level of protection for the rights and freedom of data subjects in relation to the processing of personal data.
- The contractor shall also adhere to these principles.

## Data Protection general requirements

D 6.1 1

Mandatory

The Contractor understands that Data Protection includes all data stored, such as contact and demographic information and photographs, data transferred, sent and received electronically, by post and over the telephone, the security of data, and integration of data.

D 6.1 2

Mandatory

The Contractor must ensure that all Personnel and sub-contractors engaged in providing any part of the service are aware of, and comply with, their obligations under the

- Freedom of Information (2000);
- Data Protection Act (1998);
- Environmental Information Regulations 2004 (EIR);
- General Data Protection Regulations (2016);
- Computer Misuse Act 1990.

D 6.1 3

Mandatory

The Contractor must collect and process Personal Data only in accordance with the instructions and requirements given by London Councils and in accordance with Privacy Legislation.

D 6.1 4

Mandatory

The Contractor must protect all Personal Data against unauthorised and unlawful processing, accidental loss, alteration, destruction and damage in accordance with Privacy Legislation.



D 6.1 5		Mandatory
The Contractor must ensure that controls are in place to prevent the copying, reproduction and removal of Data in accordance with Privacy Legislation and the Payment Card Industry Data Security Standard (PCI DSS) regulations.		

D 6.1 6		Mandatory
The Contractor shall comply with processes to enable controls to be placed on postal activities to guarantee receipts and collections are processed daily and are not misplaced and misallocated.		

D 6.1 7		Mandatory
The Contractor must notify London Councils within five days of all changes to all processes and activities that will require London Councils to update its notification on the ICO Register of Data Controllers.		

D 6.1 8		Mandatory
The Contractor must implement and comply with Applicant residency and Identity checks before any Data amendments are carried out.		

D 6.1 9		Mandatory
<p>The Contractor must ensure that London Councils is notified of complaints received that relate to:</p> <ul style="list-style-type: none"> <li>• Those made under sections 10-12 of the Data Protection Act 1998</li> <li>• Those made to the Contractor about how a request for Information was handled.</li> </ul>		

D 6.1 10		Mandatory
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The Contractor must implement and comply with processes that ensure that the transmission of Data, documents, photographs, and payments over a public network is done so securely in accordance with security measures equivalent to those used by major financial institutions for the protection of financial data and shall submit such processes to London Councils for assurance.

D 6.1 11		Mandatory
The Contractor must work with other Card Management System providers to ensure secure data transfer, particularly with regards to 60+ transfers and Taxicard data, and verify that all data has been sent securely and received by the CMS.		

D 6.1 12		Mandatory
<p>The Contractor must ensure that it stores any and all documents and payments received in accordance with London Councils requirements:</p> <p>All payments received to replace a Freedom Pass or Taxicard, which includes cash, cheques and postal orders, must be stored securely until banked and only accessed by authorised staff. Credit/debit card details must not be recorded or stored in a way that could be used by a third party for any other purpose.</p> <p>All documents containing personal data must be stored securely until processed and only accessed by authorised staff.</p>		

D 6.1 13		Mandatory
<p>The Contractor must ensure that when importing, transferring and receiving data (internally and to and from London Councils and other authorities) that:</p> <ul style="list-style-type: none"> <li>• The data transfer is complete and no data is lost during transfer</li> <li>• The data is securely transferred including encryption where appropriate</li> <li>• Verify the data has been securely received by the Card Management System</li> </ul>		

D 6.1 14		Mandatory
To ensure that data is accurate and kept up to date the Contractor must update existing record details, including address information, when instructed by London Councils.		

D 6.1 15		Mandatory
The Service Provider shall store and process all personal Data within the European Economic Area (EEA). The storing and processing of personal data outside of the EEA is prohibited. For avoidance of doubt, Processing shall include (but is not limited to) the ability to read the data.		

## D 6.2 Data Access requirements

D 6.2 1		Mandatory
<p>The Contractor must only allow an authorised person to be logged into the system at one work station at any one time, unless authorised by London Councils.</p> <p>The Contractor must ensure that they:</p> <ul style="list-style-type: none"> <li>• Set security access rights of users as instructed by London Councils</li> <li>• Control and restrict access to Card Management System by IP address</li> <li>• Allow/restrict access to data based upon the user role and access rights</li> <li>• Allow London Councils to control the access rights of users</li> <li>• Require first time users of the CMS to agree to a data protection and security agreement before first-time access</li> <li>• Require all users to renew their security agreement every 12 months</li> <li>• Include automatic user password expiry, forcing users to choose a new password at least every two months</li> <li>• Provide a secure service to allow users that have forgotten log-in details to apply for user name reminders and new passwords</li> <li>• Control and track all access to data</li> </ul>		

- The Contractor must allow users of the CMS to access and retrieve Data and documents from the CMS.
- Provide access to the system through a web browser. The system must work with at least Internet Explorer 6 or above, Chrome, Safari and or Firefox for all users
- Provide appropriate training documentation for users - Online tool tips, User Guide and System Manuals

D 6.2 2		Mandatory
It is essential that the applicant and card data for each borough is stored discretely and securely, whereby London Councils must see data from all boroughs and each borough must only see data for its own residents.		

D 6.2 3		Mandatory
<p>The Contractor must allow London Councils, the boroughs and the Customer Service Centre to edit, amend and view pass holder data within the Card Management System (CMS), including:</p> <p>First names</p> <p>Last name</p> <p>Entitlement (must include some form of date of birth validation on the Freedom Pass CMS if changing the entitlement from Disabled/Discretionary Disabled Persons to Older Persons)</p> <p>Disability category</p> <p>Assessment date</p> <p>Assessment due date</p> <p>Date of Birth (this should auto-populate the age)</p> <p>Address details</p> <p>Address line 1</p>		

Address line 2

Address line 3

Address line 4

Address line 5

Address line 6

Postcode

Local authority (populated based on postcode of address)

Title

Gender

Ethnicity

National Insurance Number

Telephone number

Mobile phone number

Email address

Contact preference

Receive third party information

Photograph

Notes field (used to record correspondence between the TCA, contact centre and pass holder)

Issues field (used to deactivate records and record complaints/compliments)

Complaints and compliments categories

Deactivation reasons

Hotlist card reasons

Replacement card reasons

Scanned images

View the complete history of a Customer as single continuous record or by selecting

key points
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### D 6.3 Data Retention and Information Record Disposal

D 6.3 1		Mandatory
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The Contractor must manage, store and dispose of data securely, in full accordance with the Data Protection Act 1998 and must comply with London Councils requirements relating to retention periods and information disposal for all Data stores, records and archives. Where no period has been specified, the Data will be retained for as long as is required for the purpose for which it was collected.

D 6.3 2		Mandatory
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The contractor must hold all hard copy documents until the full electronic record is captured and confirmed as stored.

D 6.3 3		Mandatory
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The Contractor must securely delete or destroy all Data at the expiry of its retention period, in accordance with London Councils requirements. The Contractor must ensure that all Data deleted at the expiry of its retention period cannot be accessed by anyone. Data held on paper must be securely disposed of or shredded and Data held electronically must be deleted using tested deletion scripts in accordance with London Councils requirements.

D 6.3 4		Mandatory
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The Contractor must use industry standard disk-wipe Software and other mechanisms to make unusable all media that are no longer operational. This includes but is not limited to optical disks, hard disk drives, paper and audio recordings.

D 6.3 5		Mandatory
The Contractor must ensure that Data is protected from automatic deletion in the event that it is required for further reference, for example as part of an ongoing complaint or investigation.		

D 6.3 6		Mandatory
<p>The following sets out the Data Retention Periods for Data processed and the disposal of records and information by the Contractor for all service areas. This includes Data that refers to individuals and types of Data that do not comprise of Personal Data.</p> <p>The Contractor must ensure that it complies with London Councils' requirements for the following Data retention periods and explain how each requirement will be met and how each data set will be securely disposed:</p>		
	Retention period	
Emails	Six months from the date that the email query is resolved the email must be deleted. If an email is needed as part of an ongoing complaint the email must be deleted one month after the complaint is resolved.	
Whitemail (all paper correspondence)	<p>Once scanned and saved onto CMS, whitemail should be immediately destroyed. Scans saved onto desktops should be immediately destroyed once saved onto CMS.</p> <p>Any document enclosed with an application form as evidence of identity or residency which is a photocopy must also be destroyed. Where an original document, such as a passport or birth certificate, has been provided this must be returned to the individual.</p>	
Call recordings	Six months from the date the call is recorded the call must be deleted. If a call is needed outside of this retention period as part of an ongoing complaint the call must be deleted one month after the complaint is resolved	
Paper application	The original form must be securely destroyed no later than	

forms	<p>3 months from the date that the successful application form is scanned and processed.</p> <p>Any document enclosed with an application form as evidence of identity or residency which is a photocopy must also be destroyed. Where an original document, such as a passport or birth certificate, has been provided this must be returned to the individual.</p>
Online applications	<p>At the point an application is submitted online the data must be securely transferred to the CMS.</p> <p>Where an application is started online and not completed within three months, the original details must be deleted, including the account details (username and password).</p>
Returned Freedom Passes (and other cards)	<p>If, after 4 weeks, the pass holder has not been in contact to reclaim their pass, the pass must be securely destroyed and the record updated and deactivated. Returned passes must be stored securely during this period.</p>
Deactivated records	<p>Records that have been deactivated must be deleted from the CMS one year from the date of deactivation, as long as there has been no activity (e.g. notes added) or reactivation of the record which may suggest that the applicant is reapplying.</p> <p>This includes the Contractor identifying deceased pass holders in the existing data set when instructed by London Councils and removing records.</p>
Active records with no active pass	<p>Records which have an expired pass that has not been renewed one year since the expiry date must be deactivated and deleted from CMS.</p>

## D 6.4 Data Protection Audit

D 6.4 1		Mandatory
<p>The Contractor must prepare a Data Protection Audit Plan and comply with it. The plan shall include:</p> <p>Timescales for preparation and conduct of an annual audit;</p>		



The audit strategy and planned outputs; and Details of the independent Third Party undertaking the audit.
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D 6.4 2		Mandatory
The Contractor shall undertake a Data Protection audit every twelve months (or such other frequency as London Councils may require) and report the findings to London Councils at no cost to London Councils.		

## D 6.5 Reporting of breaches of Privacy Legislation

D 6.5 1		Mandatory
<p>The Contractor must take steps to guard against the following types of incident:</p> <ul style="list-style-type: none"> <li>- Losses and thefts: loss or theft of paper documents containing personal data, especially sensitive or confidential information; the loss or theft of sensitive data or equipment, especially if stored on unencrypted devices; unauthorised access to, tampering with or use of ICT systems or equipment; unauthorised changes to system hardware, firmware or software; deliberate attempt by third party to steal data</li> <li>- Mishandling: emails, post, faxes or other correspondence sent to the wrong person or destination, especially where the data is sensitive or the incidents are repeated; wrong data or files attached to correspondence when sent out: data or equipment on which data is stored is not securely disposed of; data or equipment is left in vacated buildings or furniture containing records is disposed of without the records being removed</li> <li>- Improper and inappropriate use: improper use of an ICT system; use of non-work email, equipment or storage (especially web-based email and equipment) for work purposes; failure to revoke access from leavers, contractors or people changing job roles.</li> <li>- Electronic: malware attacks (viruses, worms, Trojan horses); unauthorised disruption of service (denial of service and distributed denial of service attacks),</li> </ul>		

phishing attacks, etc.

- Operational: system failures, crashes, environmental failures and operator errors may have security implications and should be treated as incidents, in addition to their potential implications for business continuity.

D 6.5 2		Mandatory
The contractor agrees that an incident can generally be described as an event which has or could lead to a breach of security, confidentiality, legislation or regulation. It also embraces the day-to-day problems encountered by users such as faults etc.		

D 6.5 3		Mandatory
The Contractor must report all breaches of Privacy Legislation and all other Data security incidents to London Councils within one working day.		

## D 6.6 Privacy Notice

D 6.6 1		Mandatory
London Councils requires the Contractor to make London Councils' Privacy Notice available to all applicants when they provide their personal Information. The provisions of the Privacy Notice forms part of London Councils compliance with the first principle of the Data Protection Act (1998) (DPA).		

D 6.6 2	Not chargeable	Mandatory
The Notice will be subject to change depending upon policy and regulatory requirements. The Contractor must ensure that the Privacy Notice is updated upon request by London Councils within five days of such request at no cost to London Councils.		

D 6.6 3		Mandatory
<p>The following requirements detail the circumstances and method of presentation the Privacy Notice shall be:</p> <ul style="list-style-type: none"> <li>• Displayed for acknowledgement on the application website (including the first time application portal and renewal portal) before submission of Personal Data;</li> <li>• Provided for signing on the application form before validation of an application for first time and renewal applications</li> <li>• Provided to callers to the contact centre as a recording on a IVR system;</li> <li>• Provided on Customer's request</li> <li>• Provided on relevant outgoing correspondence</li> <li>• Available on the Service's website.</li> </ul>		

D 6.6 4		Mandatory
<p>The Contractor must implement a procedure that ensures that all new and renewal applicants for the scheme have agreed to the Privacy Notice, and reject any applications where the Privacy Notice has not been accepted.</p> <p>The Contractor must record on all applicant records the original date and any subsequent dates that the applicant agreed to the Privacy Notice.</p>		

D 6.6 5		Mandatory
<p>The information in Table 3: Privacy Notice checklist gives step by step guidance that the Contractor must follow when checking the Privacy Notice requirements. This must be reflected in the procedure implemented by the Contractor for the Freedom Pass service, and for the Taxicard service should London Councils wish to purchase this service.</p>		

**Table 3: Privacy Notice checklist**

Trigger	Action	Requirements
Individual submits a first time or renewal application online	<ul style="list-style-type: none"> <li>The Contractor must not validate or allow an individual to complete an online application without agreeing to the Privacy Notice</li> </ul>	<ul style="list-style-type: none"> <li>Privacy Notice available to view on portals</li> <li>Portal functionality that only allows an applicant to complete an application online once the Privacy Notice has been agreed</li> <li>Record date of agreement on individual's record</li> </ul>
Individual submits a first time or renewal application by paper	<ul style="list-style-type: none"> <li>Check that the Privacy Notice on the application form has been signed by the applicant, or by someone who holds Power of Attorney.</li> </ul>	<ul style="list-style-type: none"> <li>Staff training</li> <li>Ability to reject applications where necessary</li> <li>Ability to inform applicants of the reason why an application has been rejected</li> <li>Record date of agreement or rejection on individual's record</li> </ul>

## D 6.7 Data Subject Request Processes

D 6.7 1

Subject Access Requests: Under Section 7 of the DPA (1998) any person has the right to contact any 'Data Controller' they believe hold Information about them and request a copy of that Information.

Applicants are also entitled to be told:

- The purposes for which the Information is being used;
- The recipients or types of recipients to whom the Information may be disclosed;
- Any available Information as to the sources of the Information;

- An explanation of any codes, abbreviations etc. used, and
- Information about the reasoning behind any decisions taken by automated means.

D 6.7 2		Mandatory
<p>The Contractor shall implement a procedure that shall be agreed with London Councils to respond to Subject Access Requests made under Section 7 of the DPA (1998), which incorporates the obligation to respond appropriately to requests received from individuals wishing to exercise their rights to:</p> <ul style="list-style-type: none"> <li>• Prevent processing likely to cause damage or distress,</li> <li>• Prevent or detect crime,</li> <li>• Update and correct personal Information,</li> <li>• Prevent direct marketing, and</li> <li>• Request a manual assessment of any automated decision taking, currently provided for under sections 10, 11 and 12 of the Data Protection Act respectively.</li> </ul>		

D 6.7 3		Mandatory
<p>The contractor confirms that it understands and will make applicants aware that Subject Access Requests (SAR) must be made in writing and are subject to an administration charge in accordance with Regulation 3 of the Data Protection (Subject Access) (Fees and Miscellaneous Provisions) Regulation 2000. Currently the charge is £10 per request irrespective of how much Information is requested.</p>		

D 6.7 4		Mandatory
<p>The contractor understands that applicants are able to request specific Information or all the Information held about them and will assist London Councils in preparing responses to subject access requests at no extra charge to London Councils. The Information requested may be held electronically or in manual files and includes</p>		

expressions of intent or opinions as well as factual information. It may include (but is not limited to) such format as emails, letters, photographs and call recordings.

D 6.7 5		Mandatory
The Contractor must recognise requests for Information from Police, British Transport Police and Revenue Inspectors. Information must not be provided by the Contractor without ensuring that the request is legitimate, the correct documents have been provided and the data request has been correctly countersigned.		
D 6.7 6		Mandatory
The Contractor must ensure that call recordings and archived emails can be transferred and transmitted to customers by electronic media as they may form part of a SAR.		

D 6.7 7		Mandatory
Information must not be destroyed, altered or concealed in order to prevent it being provided. However, routine amendments and deletions that would have taken place in any event should continue unless there is a specific reason to prevent this (e.g. a piece of Information that would otherwise have been deleted has specifically been requested).		

D 6.7 8		Mandatory
Information must be provided to the Applicant within 40 calendar days of the receipt of a SAR, as long as the Applicant has provided sufficient Information, the required fee and any confirmation of identity required. The time frame for providing information to Applicants is set by legislation and may be subject to change.		

D 6.7 9		Mandatory
<p>The DPA creates a general right of access to Information of which the applicant is the Data Subject. It does not provide a right of access to Information about Third Parties unless certain conditions are met. There are circumstances under which the Information may need to be withheld, such as Information that is being processed for the prevention or detection of crime and where provision of this Information would prejudice the investigation, for example where the applicant making the request is under investigation for possible fraud. Other circumstances include disclosing Information that would be prejudicial to negotiations underway with the applicant (for example over a claim for Costs or other redress) and Information covered by legal professional privilege. If a request is being made by someone else on the applicant's behalf, for example, a carer on behalf of a disabled person, or an appointed legal representative, they will need to provide proof that they have appropriate authority, such as Power of Attorney.</p>		

D 6.7 10		Mandatory
<p>A SAR can be made as part of a Complaint or Appeal.</p> <p>Requests that include a Complaint about Data Protection or a request to exercise another right under the DPA should be recognised and handled according to the Data Protection Complaints procedure agreed with London Councils. This includes the three scenarios outlined below.</p> <ul style="list-style-type: none"> <li>• Under Section 10 of the DPA , an individual is entitled to give written notice (known as a Data Subject Notice) at any time to require the Data Controller to cease, or not to begin Processing any Personal Data where the Processing of that Data is causing or would be likely to cause substantial damage or distress, to themselves or another.</li> <li>• Under Section 11 of the DPA, an individual is entitled to give written notice at any time to require the Data Controller to cease, not to begin, the Processing of Personal Data of which that individual is the Data Subject, for the purposes of direct marketing. In this case, the term direct marketing means the</li> </ul>		

communication – by any means – of any advertising or marketing material that is directed towards particular individuals.

- Under Section 12 of the DPA, an individual is entitled to give written notice at any time to require a Data Controller to ensure that no decision taken by or on behalf of the Data Controller is based solely on an automated means of Processing Personal Data.

D 6.7 11		Mandatory
The Contractor must ensure that a SAR response can be issued to a customer in either hard copy or electronic format if requested to do so by either the customer or London Councils.		

D 6.7 12		Mandatory
The Contractor shall prescribe a process to recognise such requests for Information and inform London Councils within 1 working day of receiving the request.		

D 6.7 13		Mandatory
<p><b>Responsibilities</b></p> <p>The Contractor's role is:</p> <ul style="list-style-type: none"> <li>• To implement a procedure to handle SAR within the time limits and stipulated by the DPA;</li> <li>• To implement a procedure to handle requests from individuals to exercise their rights under Sections 10-12 inclusive of the DPA;</li> <li>• To ensure that there is at all times a member of the Contractor's Personnel with sufficient seniority and understanding to manage SAR;</li> <li>• To ensure that all Personnel are trained to recognise a SAR and know what they should do when one is identified;</li> <li>• Where the Contractor (or any Sub-Contractor) is sending a response direct to the applicant who has made a SAR, the response must be provided to the</li> </ul>		



applicant within the statutory timeframe, which is currently 40 calendar days of their request having been received (wherever the request was initially received);

- To report to London Councils on the number of requests received;
- To forward a SAR to London Councils upon receipt, and
- To liaise with London Councils on any Complaints or policy issues arising in connection with SAR.

D 6.7 14		Mandatory
<p>The Contractor shall train Personnel on how to recognise an initial request and how to advise the Applicant on progressing it. The request may be received by the Contact Centre, via email or by post. The request may be on its own or combined with a request, Complaint or other communication.</p> <p>The Contractor shall develop a process for checking requests to ensure they contain all required information, including sufficient information to confirm identity and the fee required.</p> <p>The Contractor shall develop a process to provide any retrieved Information to Applicants in either hard copy format or 'paper free' format for example on a CD-R or wave file.</p>		

D 6.7 15		Mandatory
<p>The information in Table 4: Subject Access Request checklist gives step-by-step guidance on handling SAR. This must be reflected in the procedure implemented by the Contractor.</p>		

**Table 4: Subject Access Request checklist**

Trigger	Action	Requirements
Individual asks how they can get a copy of their personal Information (either specific information or all information)	<ul style="list-style-type: none"> <li>• Recognise request and advise applicant how they can progress it</li> <li>• Advise that request must be in writing</li> <li>• Recognise if sufficient information and payment is already provided by the applicant</li> </ul>	<ul style="list-style-type: none"> <li>• Staff training</li> <li>• Logging functionality</li> </ul>
SAR received – either by letter or email	<ul style="list-style-type: none"> <li>• Scan into applicant's CMS record</li> <li>• Check request is complete</li> </ul>	<ul style="list-style-type: none"> <li>• Scanner</li> </ul>
Check request is complete	<ul style="list-style-type: none"> <li>• Check that sufficient information is provided</li> <li>• Check that payment is provided</li> <li>• Check that copies of identity documents have been provided which matches the subject's request</li> </ul>	<ul style="list-style-type: none"> <li>• Payment processing functionality</li> <li>• Logging and tracking functionality for SAR</li> <li>• Ability to reject SAR where necessary</li> </ul>

	<p>for Information held</p> <ul style="list-style-type: none"> <li>• Check that request is for Information held by the Contractor</li> <li>• Check whether that request is part of a Freedom of Information request (campaign) or a repeat request. A request for Information is not a repeat request where new Information has been added to the system since the last request, or where a reasonable period of time has elapsed since their last request, e.g. three months.</li> </ul>	
<ul style="list-style-type: none"> <li>• Track request</li> </ul>	<ul style="list-style-type: none"> <li>• Log SAR</li> <li>• Forward compliant SAR to London Councils with copies of identity documents</li> </ul>	<ul style="list-style-type: none"> <li>• Designated staff to process, record and forward SAR within the required timescales</li> </ul>

## D 6.8 Information Access Request Procedure

D 6.8 1

Mandatory

This section refers to the Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations 2004 (EIR) which give the public the right of access to Information held by public authorities, such as London Councils. The Contractor shall assist London Councils in meeting its obligations in respect of this legislation at no additional cost to London Councils.

EIR specifically govern the disclosure of Information relating to the environment, broadly defined as:

- Information relating to the state of the elements of the environment, and the interaction of these elements;
- Information relating to factors affecting or likely to affect the elements of the environment;
- Measures, including administrative measures, and activities affecting or likely to affect the elements and factors referred to above, and measures or activities designed to protect those elements;
- Reports on the implementation of environmental Legislation;
- Cost-benefit and other economic analyses and assumptions used within the framework of the measures and activities referred to above; and
- The state of human health and safety.

FOIA governs the disclosure of all other Information, other than Personal Data disclosed to the Data Subject, which is covered by Section 7 of the DPA as described above.

Under both pieces of Legislation, the public authority has a duty to confirm or deny whether or not the requested Information is held; and to supply a copy of the Information if it is held unless an exemption applies.

Under FOIA, exemptions can be applied to some Information to prevent disclosure but many exemptions are subject to a 'public interest' test where the authority must consider whether it is more in the public interest to supply or withhold the

Information.

Where the public authority or its Contractor does not hold the required Information or where it will require time and resource to obtain the Information from a third party the request may be exempt.

Under EIR, exemptions can be applied to some Information to withhold disclosure. All exemptions are subject to public interest considerations and the authority must consider whether it is more in the public interest to supply or withhold the Information.

Information held by a Contractor or Sub-Contractor in relation to a contract with the public authority is also subject to public access. This includes successful and unsuccessful tenders relating to contracts.

The Contractor shall be aware that any documents that have been protectively marked as 'confidential' or 'commercial in confidence' will not necessarily prevent disclosure under FOIA or EIR.

D 6.8 2		Mandatory
<p>Requests for Information made under FOIA must be made in a permanent format. This may include by letter or email. The public authority has a duty to advise and assist anyone contacting it (or their Contractors) to ask how to request information.</p> <p>Requests for information received under EIR can be made verbally as well as in writing. However, a process should be in place to enable Customer Service Representatives to record a written copy of the request. FOIA or EIR requests can be made as part of general correspondence or complaint.</p> <p>Valid requests for information under FOIA and EIR should:</p> <ul style="list-style-type: none"><li>• Make a request for information; and</li><li>• Include a name and address/email address for response.</li></ul> <p>There is no obligation for Applicants to prove their identity, use their real name, mention FOIA or EIR or disclose why they want the information requested.</p>		

D 6.8 3		Mandatory
<p>It is a criminal offence under FOIA to alter, conceal or destroy Information with the intention of preventing the disclosure of that Information to an applicant. However, routine amendments and deletions that would have taken place in any event should continue unless there is a specific reason to prevent this (e.g. a piece of Information that would have been deleted has specifically been requested). The contractor must confirm that it understands this requirement and demonstrate what steps it will to ensure that its staff and contractors do as well.</p>		

D 6.8 4		Mandatory
<p>Where information requested relates to the applicant themselves, the applicant shall be advised to make a SAR under the DPA.</p>		

D 6.8 5		Mandatory
<p>The Contractor must process FOI requests in accordance with London Councils requirements and provide responses in a format for presenting to the customer, such as Data table, graphical representation, documents etc.</p>		

D 6.8 6		Mandatory
<p>The Contractor must process EIR requests in accordance with London Councils requirements and provide responses in a format for presenting to the customer, such as Data table, graphical representation, documents etc.</p>		

D 6.8 7		Mandatory
<p>Final responses to FOIA and EIR requests must be supplied within twenty working days of a request being received by the public authority or the Contractor; therefore the Contractor must forward a FOIA or EIR request to London Councils upon receipt.</p>		

D 6.8 8		Mandatory
<p>The Contractor will be responsible for:</p> <ul style="list-style-type: none"> <li>• Ensuring that there is at all times a member of the Contractor's Personnel with sufficient seniority and understanding to manage SAR;</li> <li>• Ensuring that all Personnel are trained to recognise a FOIA and EIR and know what they should do when one is identified;</li> <li>• To report to London Councils on the number of requests received; and</li> <li>• Liaise with London Councils on any Complaints or policy issues arising in connection with FOIA or EIR</li> <li>• Training its staff to distinguish between information requests; and</li> <li>• Reporting on and forwarding all FOIA and EIR received to London Councils upon receipt of the request.</li> <li>• For the avoidance of doubt, no additional costs will be paid to the Contractor for handling the retrieval of information in response to FOIA or EIR requests.</li> </ul>		

D 6.8 9		Mandatory
<p>The Contractor shall support the retrieval and presentation of the Information in a suitable format required by London Councils.</p> <p>Information does not have to be manipulated or restructured if it is not held in the format the person has requested. But the raw Information that pertains to their request will need to be supplied. However, raw Information may often need to be redacted or restricted to prevent the undesirable disclosure of Information where an exemption or exception applies, or is outside the scope of a request.</p> <p>The Contractor shall supply the Information to London Councils in full even if the Contractor believes an exemption may apply. London Councils will determine whether this is the case.</p> <p>The Contractor shall have logging, tracking and reporting functionality in place to ensure it meets its obligations in respect of London Councils procedure of processing FOIA and EIR requests.</p>		

D 6.8 10		Mandatory
<p>The Contractor shall have a process in place to ensure it:</p> <ul style="list-style-type: none"> <li>• Recognises FOIA and EIR requests;</li> <li>• Forwards FOIA and EIR requests to London Councils</li> <li>• Supplies Information requested by London Councils to respond to a FOIA or EIR request; and</li> <li>• Record its actions to meet reporting requirements.</li> </ul>		

D 6.8 11		Mandatory
<p>The information in Table 5: Freedom of Information Act request / Environmental Information Regulations request checklist gives step-by-step guidance on dealing with FOIA and EIR requests. This must be reflected in the procedure implemented by the Contractor.</p>		

**Table 5: Freedom of Information Act request / Environmental Information Regulations request checklist**

Trigger	Action	Requirements
Individual contacts the Contractor making a request for information under FOIA or EIR	<ul style="list-style-type: none"> <li>• Request is recognised as a request under FOIA or EIR (whether the individual states this or not)</li> <li>• Requests received are logged</li> <li>• Requests are forwarded to London Councils</li> </ul>	<ul style="list-style-type: none"> <li>• Training for staff</li> <li>• Logging, tracking and reporting functionality</li> </ul>



## D 6.9 London Councils Retention Period policy for all service areas

Data Item	Description	London Councils retention period	Reason for retention
<b>Correspondence</b>			
Whitemail received – hard copy	Paper correspondence received from pass holders, members of the public or other local authorities, e.g. scheme enquiries, proof of identity and proof of residency.	<p>Once scanned and saved onto CMS, whitemail should be immediately destroyed.</p> <p>Scans saved onto desktops should be immediately destroyed once saved onto CMS.</p> <p>Any document enclosed with an application form as evidence of identity or residency and is a photocopy must be destroyed. Where an original document, such as a passport or birth certificate, has been provided this must be returned to the individual.</p>	Information required for reference until processed and saved electronically.

Whitemail received – scanned	This Data is required to enable contact centre operatives, borough officers and London Councils staff to respond to enquiries and resolve any data entry disputes.	Scanned images must be deleted at the point that the record has reached its retention period and is deleted.	Required to be retained to support any queries or issues arising from an individual's record.
Emails	Email correspondence received from pass holders, members of the public or other local authorities, e.g. scheme enquiries, proof of identity and proof of residency.	Six months from the date that the email query is resolved the email must be deleted. If an email is needed as part of an ongoing complaint the email must be deleted one month after the complaint is resolved.	Required to be retained to support any queries or issues arising from an individual's record.
Complaints – hard copy, electronic, and scanned	This Data is required to enable contact centre operatives, borough officers and London Councils staff to investigate and respond to complaints regarding the scheme and/or service.	Hard copy must be destroyed at the point the scanned image is saved onto CMS.  Electronically received complaints must be destroyed at the point the scanned image is saved onto CMS  Scanned images must be deleted at the point that the record is deleted.	Required to be retained to support any future queries or issues arising from a complaint.
Call recordings	This Data is required to enable London	Six months from the date of the call the	Required to be retained to

	Councils to monitor quality of customer service, and for contact centre operatives, borough officers and London Councils staff to investigate and respond to complaints regarding the scheme and/or service.	recording must be deleted. If a call is needed as part of an ongoing complaint the call must be deleted one month after the complaint is resolved.	investigate queries relating to customer service.
Application form – paper (first time / renewal)	This Data is required to enable the Contractor to verify an applicant's eligibility for the scheme and, if eligible, produce a pass based on the details and evidence provided.	<p>The original form must be securely destroyed 3 months from the date that the successful application form is scanned and processed.</p> <p>Any document enclosed with an application form as evidence of identity or residency and is a photocopy must be destroyed. Where an original document, such as a passport or birth certificate, has been provided this must be returned to the individual.</p>	Information required for reference until processed and saved electronically.
Application form – online (first time / renewal)	This Data is required to enable the Contractor to verify an applicant's eligibility for the scheme and, if eligible, produce a pass based on the details and	<p>At the point an application is submitted online the data must be securely transferred to the CMS.</p> <p>Where an application is started online</p>	Information required for reference until processed and transferred to the CMS.

	evidence provided.	and not completed within three months, the original details must be deleted, including the account details (username and password).	
Returned Freedom Pass/Taxicard	Freedom Passes/Taxicards that have been lost and found and are returned to the contact centre.	<p>If, after 4 weeks, the pass holder has not been in contact to reclaim their active pass, the pass must be securely destroyed and the record updated and deactivated.</p> <p>Returned passes must be stored securely during this period.</p> <p>If the pass has already been replaced and the returned pass has been hotlisted the pass should be immediately destroyed.</p>	Pass to be retained in case the pass holder contacts the contact centre to replace their lost. Once the address details of the pass holder have been confirmed the active pass can be returned.
Subject Access Request (SAR) for Data	Subject Access Requests for Personal Data under the Data Protection Act 1998.	SARs shall be deleted twelve months following closure of the SAR process or the rejection of a SAR.	Allows for the resolution of any subsequent complaints to London Councils or to the Information Commissioner.
Police Enquiry etc.	Personal data requests (Section 3022 forms) from the Police for the detection	Hard copy 3022 forms must be destroyed at the point the scanned	Allows for the resolution of any subsequent enquiries to London

	and prevention of crime requested under the Data Protection Act 1998.	<p>image is saved onto the record of the pass holder in question.</p> <p>Electronically received 3022 forms must be destroyed at the point the scanned image is saved onto the record of the pass holder in question.</p> <p>Scanned images must be deleted at the point that the record is deleted.</p>	Councils.
<b>Databases</b>			
Customer Management System	Database of pass holder information	<p>Records must be retained until the point that a deactivated record reaches its retention period (see below).</p> <p>There may be a requirement for the Contractor to delete records on an ad hoc basis as part of a data cleanse. These records must be permanently deleted from the CMS.</p>	Required to resolve pass holder enquiries and keep a record of pass holder information.
Deactivated records	<p>Records that have been deactivated for the following reasons:</p> <ul style="list-style-type: none"> <li>• Pass holder is deceased</li> <li>• Pass holder has a duplicate record</li> </ul>	Records that have been deactivated must be deleted from the CMS one year from the date of deactivation, as	In the instance that a pass holder wants to reapply for the scheme within one year of the

	<ul style="list-style-type: none"> <li>• Pass holder has moved out of London</li> <li>• Pass holder no longer requires pass</li> <li>• Pass has been withdrawn from pass holder</li> </ul>	<p>long as there has been no activity (e.g. notes added) or reactivation of the record which may suggest that the applicant is reapplying.</p> <p>This includes the Contractor identifying deceased Pass holders in the existing data set when instructed by London Councils and deleting records.</p>	<p>record being deactivated the record can be reactivated on CMS.</p> <p>Records required for reporting purposes and in the instance that an error has been made.</p>
Active records with no active pass	Records which remain active but the current pass has been hotlisted and not replaced.	Records which have an expired pass that has not been renewed one year since the expiry date must be deactivated and deleted from CMS.	<p>In the instance that a pass holder wants to replace their pass within one year of the card being hotlisted the record can be reactivated on CMS.</p> <p>Records required for reporting purposes and in the instance that an error has been made.</p>
Portals	Online application website which is used by the public to apply for, renew and replace a pass.	<p>At the point that an application is completed the data must be securely transferred to the CMS.</p> <p>Where an application is started online and not completed within three months,</p>	Portal data should be retained in the instance that an applicant wants to later complete an application.

		the original details must be deleted, including the account details (username and password).	
<b>Databases</b>			
Data from London Councils and local authorities	Spreadsheets and emails containing personal data and confidential information.	Data must be deleted at the point that the Data is no longer required for its original purpose.	To allow for the processing of data.
Data from other authorities	Data transfers containing personal data.	Data must be deleted at the point that the Data is no longer required for its original purpose.	To allow for the processing of data.

D 6.9 1		Mandatory
The Contractor must demonstrate how it will adhere to London Councils' data retention policy		

## D7 Management Information Reports

### D 7.1 General Requirements

Section D7 provides detail of current and required management information reports.

This contract will require a number of detailed reports regarding output, turnaround time and status. The final nature, content and frequency of reports will be advised to the successful Contractor by London Councils before the start of the contract. It should be noted that the examples in this section are the minimum which will be required, and the production of management information and reporting must be factored into the unit costs offered in the Cost Schedule which must be submitted as part of any tender. Reports will also need to be broken down by London TCA. London Councils must receive a report of all applications received, all applications status updates and all non-conforming applications.

All reports for Freedom Pass are mandatory and, where indicated, are mandatory for Taxicard should London Councils wish to purchase this service.

D 7.1 1		Mandatory
<p>London Councils must have the ability to create ad hoc reports using any combination of data and/or fields from the database and run without impacting the speed and availability of the system.</p> <p>Contractors must ensure:</p> <p>Accuracy (the data output must be consistent across all reports)</p> <p>The Applicant ID field must be included in every report (this is in order to map information from one report to another)</p> <p>Multiple selections on the dropdown fields must be available (this is in order to extract the whole population of the database in a smaller number of runs)</p> <p>The maximum number of records displayed should not be limited</p> <p>The dates selected 'to' and 'from' should give the same output regardless of the time</p>		



the report is run

There must be flexibility of changes within existing reports

There must be flexibility to build ad-hoc reports

Reports can be exported to Excel or CSV

The following are types of reports, current in 2016. However, these may be subject to change in the future as specified by London Councils. Ideally the contractor will provide a backup of the database from which any combination of data can be extracted and at a minimum must provide the following reports for management information and service delivery purposes for boroughs and London Councils.

## D 7.2 Reports for Management Information

D 7.2 1

Mandatory

The following reports are required for management information purposes. The contractor must provide similar or improved functionality to what is outlined below.

General requirements:

- Card production reports must include cards produced by day, week and month
- Application reports must include applications processed and rejected (online and postal) by day, week and month
- Weekly and monthly stock reports must include cards in stock, cards hologrammed, cards in production, cards encoded (ITSO), cards personalised and cards dispatched
- A weekly highlight report must provide outstanding actions regarding ongoing contractual and service delivery matters
- Monthly invoicing summaries must include change requests and quotes issued
- The Contractor must provide a report of pass holder information, in the data format as and when required by the National Fraud Initiative.

Report Name	Report Description	Data Criteria	Data Output
Monitor Logins (London Councils access only)  <i>Freedom Pass and Taxicard</i>	Provides details of users logged in to CMS with the option to log a user out if the same record needs accessing by another user	<ul style="list-style-type: none"> <li>List of users currently logged in to CMS</li> </ul>	<ul style="list-style-type: none"> <li>User's name</li> <li>Login date and time</li> <li>Logout date and time</li> <li>Period of inactivity (minutes – time to be agreed with London Councils)</li> </ul>
Pending Hotlist (London Councils access only)  <i>Freedom Pass</i>	Provides details of all inactive cards pending the weekly hotlist. Provides the user the option to remove a card from the hotlist report	<ul style="list-style-type: none"> <li>List of inactive cards hotlisted on the CMS record but not exported on the hotlist report</li> </ul>	<ul style="list-style-type: none"> <li>Applicant ID</li> <li>Hotlist reason</li> <li>Date hotlisted on record</li> <li>Entitlement</li> <li>Forename</li> <li>Surname</li> <li>Postcode</li> <li>Borough</li> <li>ISRN / Oyster number</li> </ul>

			<ul style="list-style-type: none"> <li>•</li> </ul>
P401 (London Councils access only) <i>Freedom Pass</i>	Provides a list of oyster numbers by entitlement, status, boroughs, dispatched date and replacement reason for the purpose of London Councils analysing apportionment costs to the boroughs.	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Card dispatched 'From' and 'To'</li> </ul>	<ul style="list-style-type: none"> <li>• Oyster</li> <li>• ISRN</li> <li>• National Insurance Number</li> <li>• Applicant ID</li> <li>• Entitlement</li> <li>• Card Status</li> <li>• Borough</li> <li>• Date dispatched</li> <li>• Replacement reason</li> <li>• Current record status</li> <li>• Date record deactivated</li> </ul>
User / Role Listing <i>Freedom Pass and Taxicard</i>	Provides details of all users on CMS by group	<ul style="list-style-type: none"> <li>• User group (e.g. borough, London Councils, contractor)</li> <li>• User role (e.g. Read Only,</li> </ul>	<ul style="list-style-type: none"> <li>• User name</li> <li>• Telephone number</li> <li>• Email address</li> <li>• User group</li> </ul>

		Administrator)	<ul style="list-style-type: none"> <li>• User role</li> <li>• Borough</li> <li>• Date user created</li> <li>• Last logged in date and time</li> </ul>
Population Counts <i>Freedom Pass</i> <i>and Taxicard</i>	Provides count of records by postcode, ethnicity, age, and entitlement	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Record status</li> <li>• Population query</li> </ul>	<ul style="list-style-type: none"> <li>• Postcode</li> <li>• Ethnicity</li> <li>• Age</li> <li>• Entitlement</li> <li>• Count of records</li> </ul>

### D 7.3 Reports for service delivery

D 7.3 1		Mandatory
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The following reports must provide authorised users, including the customer service centre, with the functionality to deliver the service. The contractor must provide similar or improved functionality to what is outlined which allows for the online and postal verification and upload of photographs and evidence submitted with applications and online account updates.

Report Name	Report Description	Data Criteria	Data Output
Postal Photo Upload <i>Freedom Pass and Taxicard</i>	Report of photographs posted as part of a partial online application. Allows for the photograph to be, edited, accepted or rejected in order to progress the application. If the photograph is accepted a record is created and a pass is put into production. If the photograph is rejected this must trigger a rejection email/letter.	<ul style="list-style-type: none"> <li>Online application submitted with the user opting to post photograph instead of uploading to portal.</li> <li>All other application details must be confirmed to complete the application and upload the photo.</li> <li>The photo must first be checked to ensure it meets the ENCTs requirements</li> </ul>	<ul style="list-style-type: none"> <li>Applicant ID</li> <li>Title</li> <li>Forename</li> <li>Surname</li> <li>Date of Birth</li> <li>Address</li> <li>Borough</li> <li>Status of application</li> <li>Application reference</li> </ul>

		(for Freedom Pass) and is a true likeness of the applicant / has been countersigned	
<p>Postal Evidence Upload</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Report of evidence posted as part of a partial online application. Allows for the evidence to be accepted or rejected in order to progress the application. If accepted a record is created and a pass is put into production. If the evidence is rejected this must trigger a rejection email/letter.</p>	<ul style="list-style-type: none"> <li>• Online application submitted with the user opting to post evidence of identity and residency instead of uploading to the portal.</li> <li>• All other application details must be confirmed to complete the application and upload the evidence.</li> <li>• The evidence must be checked for eligibility for the scheme</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Title</li> <li>• Forename</li> <li>• Surname</li> <li>• Date of Birth</li> <li>• Address</li> <li>• Borough</li> <li>• Status of application</li> <li>• Application reference</li> </ul>
<p>Rejected Applications</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>List of applications that have been rejected because the photograph or evidence provided do not meet the criteria for the scheme</p>	<ul style="list-style-type: none"> <li>• Photograph and evidence submitted as part of an application or account update must be checked</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Title</li> <li>• Forename</li> <li>• Surname</li> <li>• Date of Birth</li> </ul>

		<p>according to the criteria.</p> <ul style="list-style-type: none"> <li>• Rejection email / letter sent to advise the applicant if not eligible.</li> <li>• Must allow the user to reactivate a record if acceptable documents are submitted online or by post at a later date.</li> </ul>	<ul style="list-style-type: none"> <li>• Address</li> <li>• Borough</li> <li>• Status of application</li> <li>• Application reference</li> </ul>
<p>Online evidence check and upload: First Application/Renewal/60+ transfer (Freedom Pass only)/ Account update</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Evidence of identity and/or residency submitted to prove applicant's eligibility for the scheme. Allows for the evidence to be accepted or rejected in order to progress the application. If accepted a record is created and a pass is put into production. If the evidence is rejected this must trigger a rejection email/letter.</p>	<ul style="list-style-type: none"> <li>• Online application submitted with the user opting to upload evidence of identity and residency to the portal.</li> <li>• All other application details must be confirmed to complete the application and upload the evidence.</li> <li>• The evidence must be checked for eligibility for the scheme</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Title</li> <li>• Forename</li> <li>• Surname</li> <li>• Date of Birth</li> <li>• Address</li> <li>• Borough</li> <li>• Status of application</li> <li>• Application reference</li> </ul>

<p>Online photo check and upload:</p> <p>First Time Application/Renewal/60+ transfer (Freedom Pass only)/ Account update</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Photograph of pass holder to be printed on to card. Allows for the photograph to be, edited, accepted or rejected in order to progress the application. If the photograph is accepted a record is created and a pass is put into production. If the photograph is rejected this must trigger a rejection email/letter.</p> <p>The contractor should consider using image recognition software within the CMS and application processing system to compare the likeness of photos where photographic ID has been provided with an application, or where the applicant renewing/replacing their pass has a photograph on record.</p>	<ul style="list-style-type: none"> <li>• Online application submitted with the user opting to upload photograph to the portal.</li> <li>• All other application details must be confirmed to complete the application and upload the photograph.</li> <li>• The photo must first be checked to ensure it meets the ENCTs requirements and is a true likeness of the applicant / has been countersigned</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Title</li> <li>• Forename</li> <li>• Surname</li> <li>• Date of Birth</li> <li>• Address</li> <li>• Borough</li> <li>• Status of application</li> <li>• Application reference</li> </ul>
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## D 7.4 Reports for Boroughs and London Councils

D 7.4 1

Mandatory

All reports must provide the minimum details below:

- Applicant ID
- Forename
- Surname
- Date of birth
- Postcode
- National Insurance Number
- Borough

For data protection purposes boroughs must only be able to view and edit data for pass holders registered under their authority.

Some of the following reports when run by borough officers are therefore restricted to provide records in their own borough.

London Councils must be able to access all data.

Report Name	Report Description	Data Criteria	Data Output
Hotlisted cards (London Councils access only)  <i>Freedom Pass</i>	A report that allows for hotlisted cards to be exported in a form required by ITSO and by TfL. The export must be submitted to ITSO and TFL on a weekly basis or as and when required. Once a hotlisted card has been exported by this report it cannot be reactivated in the card tab.	<ul style="list-style-type: none"> <li>• Card status changed from active to hotlisted</li> <li>• Within specified date range</li> </ul>	<ul style="list-style-type: none"> <li>• Oyster number</li> <li>• Applicant ID</li> <li>• Hotlist reason</li> <li>• Date hotlisted</li> <li>• Issuing authority</li> <li>• TfL hotlist code</li> <li>• ISRN number</li> </ul>
Potential Duplicates (London Councils access only)  <i>Freedom Pass and Taxicard</i>	List of new applications submitted which could be a potential duplicate. These records must be checked every working day and processed as a new applicant or merged to the duplicate record	<ul style="list-style-type: none"> <li>• New application matched to the first initial, surname and date of birth of all records</li> </ul>	<ul style="list-style-type: none"> <li>• Barcode</li> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Postcode</li> <li>• Date of birth</li> <li>• Entitlement</li> <li>• Applicant ID and ID</li> </ul>

			of duplicate record <ul style="list-style-type: none"> <li>• Photo of new application and matched record</li> <li>• Application method / form</li> <li>• Applicant status of matched record</li> <li>• Card status of matched record</li> <li>• Expiry date of card of matched record</li> </ul>
Potential Duplicates (within a different borough) (London Councils access only)  <i>Freedom Pass and Taxicard</i>	List of new records created by the boroughs which could be a potential duplicate record in a different London borough. These records can be checked and processed as a new applicant or merged to the duplicate record.	<ul style="list-style-type: none"> <li>• New records created that match a current record when comparing the first initial, surname and date of birth</li> </ul>	<ul style="list-style-type: none"> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Postcode</li> <li>• Date of birth</li> <li>• Entitlement</li> <li>• Applicant ID and ID of duplicate record</li> </ul>

			<ul style="list-style-type: none"> <li>• Photo of new application and matched record</li> <li>• Application method / form</li> <li>• Applicant status of matched record</li> <li>• Card status of matched record</li> <li>• Expiry date of card of matched record</li> </ul>
<p>Escalations (London Councils access only)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>New applications with a data query must be escalated and investigated. Once the query is resolved and the data validated the record must be created and a pass issued. The escalation reason must be overruled if not valid.</p>	<ul style="list-style-type: none"> <li>• Escalation reasons: Photo is missing or invalid; Title/Gender mismatch, Borough does not contain postcode</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Postcode</li> <li>• Entitlement</li> <li>• Escalation reason</li> <li>• Photo</li> <li>• Application method</li> </ul>

			<ul style="list-style-type: none"> <li>• Date of birth</li> <li>• Application form</li> </ul>
<p>Change of Borough (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Identifies records where the Borough field has changed following a change of address, or correction of borough. For data protection purposes boroughs must only be able to run the report for pass holder's moving in or out of their borough.</p>	<ul style="list-style-type: none"> <li>• Borough 'From' and 'To'</li> <li>• Entitlement</li> <li>• Date of change 'From' and 'To'</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Forename</li> <li>• Surname</li> <li>• Date of birth</li> <li>• Previous Borough</li> <li>• Date of change</li> <li>• New Borough</li> <li>• User (who updated the record)</li> <li>• Entitlement</li> </ul>
<p>Change of Address (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass</i></p>	<p>Identifies records where the address has changed within the same borough</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• Date of change 'From' and 'To'</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Forename</li> <li>• Surname</li> <li>• Date of birth</li> <li>• Previous address</li> <li>• New address</li> <li>• Date of change</li> <li>• User</li> </ul>

			<ul style="list-style-type: none"> <li>Entitlement</li> </ul>
Maintain Applicant (London Councils access. Restricted borough access)  <i>Freedom Pass            and Taxicard</i>	Uses all fields recorded on the database to allow the user to extract data and identify and view correct record	<ul style="list-style-type: none"> <li>ISRN number</li> <li>Oyster Card number</li> <li>Applicant ID</li> <li>Forename*</li> <li>Surname*</li> <li>Gender</li> <li>Date of Birth</li> <li>Entitlement</li> <li>Applicant Status</li> <li>Address 1*</li> <li>Address 2*</li> <li>Address 3*</li> <li>Address 4*:</li> <li>Postcode*</li> <li>Borough:</li> <li>Disability Category</li> <li>National Insurance Number</li> <li>Expiry Date</li> <li>Eligibility Type (For Taxicard</li> </ul>	Data extracted dependent on fields and data inputted

		<p>CMS)</p> <ul style="list-style-type: none"> <li>* indicates use of wildcards</li> </ul>	
<p>Applicant Status (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Counts all records, by entitlement, on the database filtered by Applicant Status. Allows user to view individual records</p>	<ul style="list-style-type: none"> <li>Borough</li> <li>Applicant Status: Active, Deactivated and Pending Eligibility Check</li> </ul>	<ul style="list-style-type: none"> <li>Entitlement</li> <li>Count</li> <li>Total</li> </ul>
<p>Card Status Totals (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Provides a count of cards, including active cards and cards hotlisted, filtered by entitlement and borough</p>	<ul style="list-style-type: none"> <li>Card Status: Active/ Deactivated/ Hotlisted</li> <li>Dispatched From</li> <li>Dispatched To</li> </ul>	<ul style="list-style-type: none"> <li>Entitlement</li> <li>Count</li> <li>Total</li> </ul>
<p>Card Totals by Disability (London Councils access. Restricted borough access)</p>	<p>Provides a count of records showing the number cards issued by entitlement, disability category, and borough</p>	<ul style="list-style-type: none"> <li>Borough</li> <li>Dispatched From</li> <li>Dispatched To</li> <li>Disability category</li> </ul>	<ul style="list-style-type: none"> <li>Borough</li> <li>Disability category</li> <li>Entitlement</li> <li>Count of new cards issued</li> </ul>

<i>Freedom Pass and Taxicard</i>			<ul style="list-style-type: none"> <li>• Count of replacement cards issued</li> <li>• Count of renewal cards issued</li> <li>• Active cards</li> <li>• Total</li> </ul>
Card Totals by Borough (London Councils access. Restricted borough access) <i>Freedom Pass and Taxicard</i>	Provides counts of records showing the number of cards issued by entitlement and borough	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• Dispatched From</li> <li>• Dispatched To</li> </ul>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• Count of new cards issued</li> <li>• Count of replacement cards issued</li> <li>• Count of renewal cards issued</li> <li>• Active cards</li> <li>• Total</li> </ul>
Cards Expiring Details (London Councils access. Restricted)	Provides a list of cards expiring filtered by borough, entitlement and expiry date. Boroughs may use this data as part of their renewal procedures.	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• Expiry Date</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Borough</li> <li>• Issued by (Borough that the original card</li> </ul>



borough access) <i>Freedom Pass</i>			was issued by) <ul style="list-style-type: none"> <li>• Original card issue date</li> <li>• Entitlement</li> <li>• ISRN/Oyster number</li> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Expiry date</li> <li>• Date of birth</li> <li>• National Insurance number</li> <li>• Email address</li> </ul>
Cards Expiring Summary (London Councils access. Restricted borough access) <i>Freedom Pass</i>	Provides a count of cards expiring, filtered by borough, entitlement and expiry date	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• Expiry Date</li> </ul>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Expiry Date</li> <li>• Entitlement</li> <li>• Total</li> </ul>

<p>Assessment Due. On the date of the assessment due, an automatic reminder should be flagged to the borough on CMS (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Provides details of records by assessment due date so that boroughs can identify when a pass holder needs to be reassessed</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• Disability Category</li> <li>• Assessment Due From date</li> <li>• Assessment Due To date</li> <li>• Records without a date</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Entitlement</li> <li>• Disability Category</li> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Assessment due date</li> <li>• Assessed date</li> <li>• Expiry date</li> <li>• Original card dispatched date</li> </ul>
<p>Assessment (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Provides details of records by assessed date. This is the date that the applicant was originally assessed.</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• Disability Category</li> <li>• Assessed From date</li> <li>• Assessed To date</li> <li>• Records without a date</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Entitlement</li> <li>• Disability Category</li> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Assessed date</li> <li>• Assessment Due</li> </ul>

			date <ul style="list-style-type: none"> <li>• Expiry date</li> <li>• Original card dispatched date</li> </ul>
Card History (London Councils access. Restricted borough access)  <i>Freedom Pass and Taxicard</i>	Provides a list of applicants that have had a replacement card issued. For the purpose of reassessments this provides boroughs with a list of pass holders who have received a replacement card with a different expiry date to their original card.	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• Original card dispatched From</li> <li>• Card dispatched To</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Entitlement</li> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Original Card dispatched date</li> <li>• Original card expiry date</li> <li>• Replacement card dispatched date</li> <li>• Replacement card dispatched date</li> <li>• Current expiry date</li> <li>• Date of birth</li> <li>• National Insurance</li> </ul>

			number
Deactivated Records (London Councils access. Restricted borough access)  <i>Freedom Pass and Taxicard</i>	Provides details and count of records deactivated by reason	<ul style="list-style-type: none"> <li>Deactivated reason, e.g. Withdrawn, Deceased, Gone Away, Duplicate, Inactive, Rejected Application.</li> <li>Deactivated From</li> <li>Deactivated To</li> <li>Entitlement</li> <li>Borough</li> </ul>	<ul style="list-style-type: none"> <li>Applicant ID</li> <li>Date record deactivated</li> <li>Deactivation reason</li> <li>Entitlement</li> <li>Forename</li> <li>Surname</li> <li>Date of birth</li> <li>Address</li> <li>National Insurance number</li> <li>User</li> </ul>
Hotlist by borough (London Councils access. Restricted borough access)  <i>Freedom Pass and Taxicard</i>	Provides details of hotlisted cards by borough and hotlist reason within specified date range	<ul style="list-style-type: none"> <li>Borough</li> <li>Hotlist reason</li> <li>Hotlist From date</li> <li>Hotlist To date</li> </ul>	<ul style="list-style-type: none"> <li>Applicant ID</li> <li>User</li> <li>Date card hotlisted</li> <li>Hotlist reason</li> <li>Entitlement</li> <li>Forename</li> <li>Surname</li> </ul>

			<ul style="list-style-type: none"> <li>• Date of birth</li> <li>• Address</li> <li>• Record status</li> <li>• Active card</li> </ul>
<p>Multiple Cards (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Provides details of records that have had multiple card replacements</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Entitlement</li> <li>• 'More than' number of replacement cards</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Number of cards replaced</li> <li>• Borough</li> <li>• Option to view record</li> </ul>
<p>Open Issues (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>List of records that have an open issue or query e.g. Pending Authorisation. Report must include the option to view the individual record</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Issue/Query Type</li> <li>• Issue assigned date</li> <li>• Issue resolved by date</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Borough</li> <li>• Issue/Query Type</li> <li>• Issue assigned date</li> <li>• Issue resolved by date</li> <li>• Forename</li> <li>• Surname</li> </ul>

			<ul style="list-style-type: none"> <li>• Address</li> </ul>
<p>Transaction History (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Lists all the major changes made to the database</p>	<ul style="list-style-type: none"> <li>• User name</li> <li>• User group</li> <li>• Borough</li> <li>• Transaction change 'From' and 'To'</li> <li>• Transaction e.g. card requested, name field edited etc.</li> </ul>	<ul style="list-style-type: none"> <li>• Transaction change date</li> <li>• Transaction change</li> <li>• Applicant ID</li> <li>• User name</li> </ul>
<p>60+ transfer report (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass</i></p>	<p>Provides details of 60+ transfer applicants transferred to London Councils who are due to be eligible for the Freedom Pass, date of application letter/email sent and applications completed</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Letter/email sent From</li> <li>• Letter/email sent To</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Date letter/email sent</li> <li>• Date application completed</li> <li>• Application method</li> <li>• Borough</li> <li>• Forename</li> <li>• Surname</li> <li>• Date of birth</li> <li>• Postcode</li> <li>• Application reference</li> </ul>

			<ul style="list-style-type: none"> <li>• Applicant status</li> </ul>
<p>Fraud by address (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Provides a list of addresses that have multiple active cards.</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Number of records, or more, that are registered at the same address</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Forename</li> <li>• Surname</li> <li>• Address</li> <li>• Postcode</li> <li>• Record count</li> <li>• Borough</li> <li>• Date of birth</li> <li>• Applicant status</li> </ul>
<p>Rejection report (London Councils access. Restricted borough access)</p> <p><i>Freedom Pass and Taxicard</i></p>	<p>Provides details of applicants that have been sent a rejection letter / email if their application is unsuccessful</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Rejection reason</li> <li>• Rejected date From</li> <li>• Rejected date To</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Forename</li> <li>• Surname</li> <li>• Application Reference</li> <li>• Rejected date</li> <li>• Rejected reason</li> <li>• Correspondence method</li> <li>• Applicant status</li> </ul>

<p>Active Expired Cards</p> <p>(London Councils access. Restricted borough access)</p> <p><i>Taxicard</i></p>	<p>Lists all the active cards expiring before a user defined date. It can be filtered by applicant status and card status.</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Card dispatched From</li> <li>• Card dispatched To</li> <li>• Record status</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Taxicard number</li> <li>• Forename</li> <li>• Surname</li> <li>• Date issued</li> <li>• Expiry date</li> <li>• Address</li> <li>• Postcode</li> <li>• Borough</li> <li>• Date of birth</li> <li>• Entitlement Type</li> </ul>
<p>Active Applicants</p> <p>(London Councils access. Restricted borough access)</p> <p><i>Taxicard</i></p>	<p>Report showing members with active Cards</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Card dispatched From</li> <li>• Card dispatched To</li> </ul>	<ul style="list-style-type: none"> <li>• All data fields on Applicant Tab of record</li> </ul>
<p>New members</p> <p>(London Councils access. Restricted</p>	<p>Provides a list of new members by Borough</p>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Record created From</li> <li>• Record created To</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Taxicard number / ISRN</li> </ul>



borough access) <i>Freedom Pass and Taxicard</i>		<ul style="list-style-type: none"> <li>• Card dispatched From</li> <li>• Card dispatched To</li> </ul>	<ul style="list-style-type: none"> <li>• Forename</li> <li>• Surname</li> <li>• Date issued</li> <li>• Expiry date</li> <li>• Address</li> <li>• Postcode</li> <li>• Borough</li> <li>• Date of birth</li> <li>• Entitlement Type</li> </ul>
Partial applications (London Councils access) <i>Taxicard</i>	Lists partial applications for which a record is incomplete because a required piece of information was missing	<ul style="list-style-type: none"> <li>• Borough</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Title</li> <li>• Forename</li> <li>• Surname</li> <li>• Date of birth</li> <li>• Address</li> <li>• Postcode</li> <li>• Date record created</li> <li>• Open Issue</li> </ul>
Applications Borough/London	Provides the total number of days from an application being received at	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Original card dispatched</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Borough</li> </ul>

<p>Councils</p> <p>(London Councils access)</p> <p><i>Taxicard</i></p>	<p>London Councils and assigned to the borough, to a card being issued</p> <p>Measuring:</p> <ol style="list-style-type: none"> <li>1. Time from receipt of form to London Councils action</li> <li>2. Time borough takes to assess</li> <li>3. Time for notification to London Councils to card issue.</li> </ol>	<p>from</p> <ul style="list-style-type: none"> <li>• Original card dispatched to</li> </ul>	<ul style="list-style-type: none"> <li>• User</li> <li>• Date application received</li> <li>• Date application assigned to borough</li> <li>• Date application assigned to London Councils approved</li> <li>• Date card issued</li> <li>• Date card dispatched</li> <li>• Total Days (from Date application received to date card issued)</li> </ul>
<p>Applications</p> <p>London Councils</p> <p>(London Councils access)</p> <p><i>Taxicard</i></p>	<p>Provides the total number of days from an application being received at London Councils to a card being issued</p> <p>Measuring:</p> <ol style="list-style-type: none"> <li>1. Time from receipt of form to card issue.</li> </ol>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Original card dispatched from</li> <li>• Original card dispatched to</li> </ul>	<ul style="list-style-type: none"> <li>• Applicant ID</li> <li>• Borough</li> <li>• User</li> <li>• Date application received</li> <li>• Date card issued</li> </ul>

			<ul style="list-style-type: none"> <li>• Date card dispatched</li> <li>• Total Days (from Date application received to date card issued)</li> </ul>
Proof Maintenance (London Councils access) <i>Taxicard</i>	Lists the evidence accepted for all proofs required, by borough. Must have the option to allow London Councils to edit and add to lists as and when required. This list must reflect the documents required when adding a new member to CMS	<ul style="list-style-type: none"> <li>• Borough</li> <li>• List of documents available to select</li> <li>• List of documents that borough accept</li> <li>• Proof type</li> </ul>	<ul style="list-style-type: none"> <li>• Borough</li> <li>• List of documents available to select</li> <li>• List of documents that borough accept</li> <li>• Proof type</li> </ul>
Operator Statistics (London Councils access) <i>Taxicard</i>	List of all users using the system over a date range, including the transaction carried out on the CMS and the number of records they have added and/or edited.	<ul style="list-style-type: none"> <li>• User name</li> <li>• Transaction type</li> <li>• Entered from</li> <li>• Entered to</li> </ul>	<ul style="list-style-type: none"> <li>• User name</li> <li>• Count of transactions</li> <li>• Transaction type</li> </ul>
Trip Maintenance (London Councils	Lists the number of trips allocated by borough, by month, and by banding	<ul style="list-style-type: none"> <li>• Trip Type: Annual Band/Monthly rollover</li> </ul>	<ul style="list-style-type: none"> <li>• Trip Type: Annual Band/Monthly rollover</li> <li>• Borough</li> </ul>

access) <i>Taxicard</i>	Must have the option to allow London Councils to edit the trip allocation when required. This list must reflect the trip allocation that shows on a member's record. Should automatically calculate the pro-rata allocation for an applicant joining part way through the year (must be capable of being overridden part way through the year).	<ul style="list-style-type: none"> <li>• Borough</li> <li>• Year</li> <li>• Month</li> <li>• Banding</li> </ul>	<ul style="list-style-type: none"> <li>• Year</li> <li>• Month</li> <li>• Banding</li> </ul>
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## **D8. Process Flows**

London Councils has listed the current workflows for the service below. These can be supplied as separate MS Visio or PDF copies on request. The Contractor will be required to work to the process flows outlined below, except in instances where it has proposed an alternative process flow that has been agreed by London Councils.

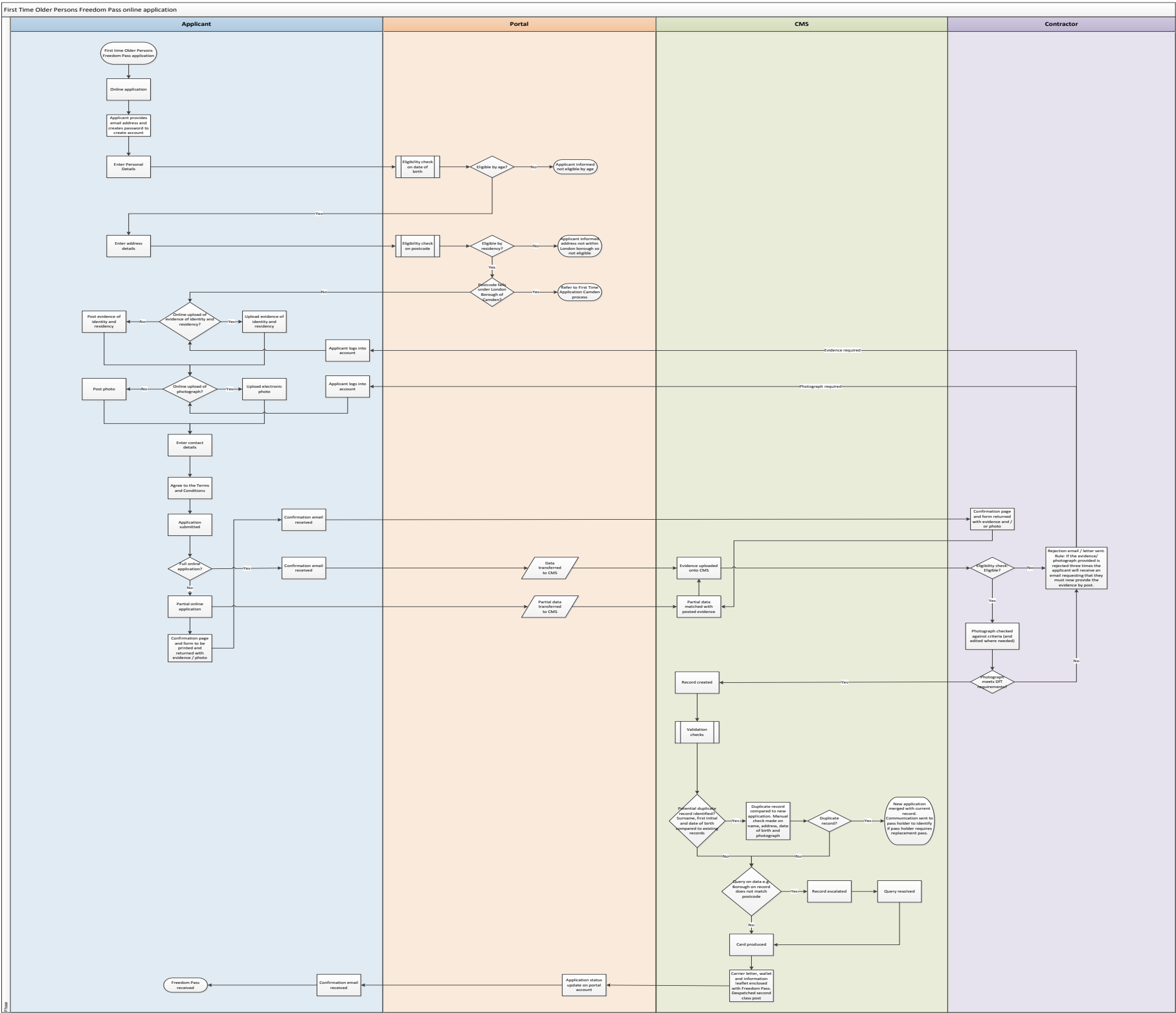
Where the contractor wishes to propose an alternative process flow, it should attach this to its tender.

Contractors may also provide additional suggested process flows to cover any relevant requirements listed above.

D 8.1 First Time Older Persons Freedom Pass online application

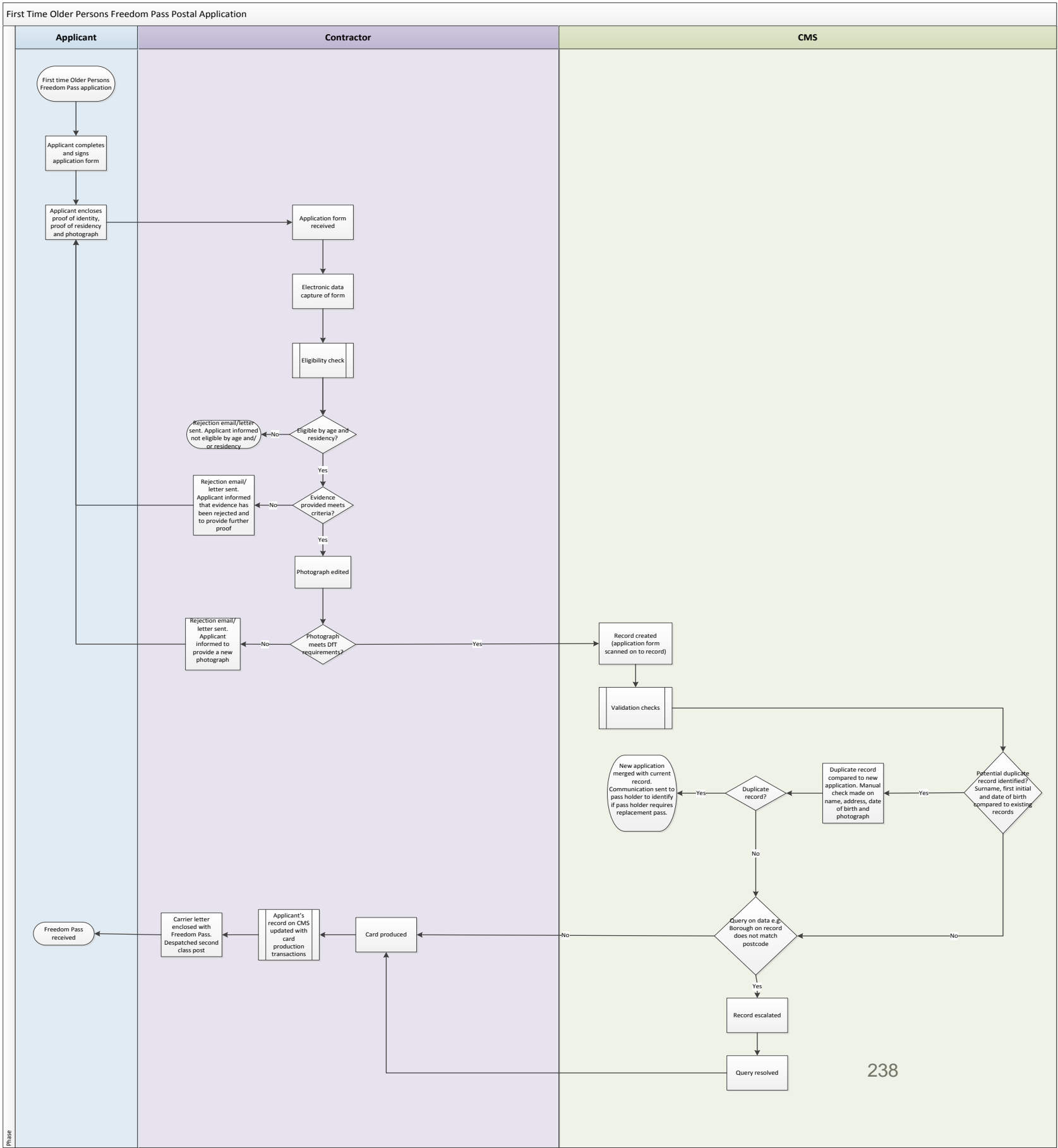
This process flow shows the current process of a first time Older Person's Freedom Pass application submitted online.

In future London Councils envision that, as an alternative to asking applicants to upload evidence, residency and identity checks may be verified using data that is available to local authorities, such as council tax records. The successful contractor will be required to work with London Councils to provide the required interface to enable this to happen.



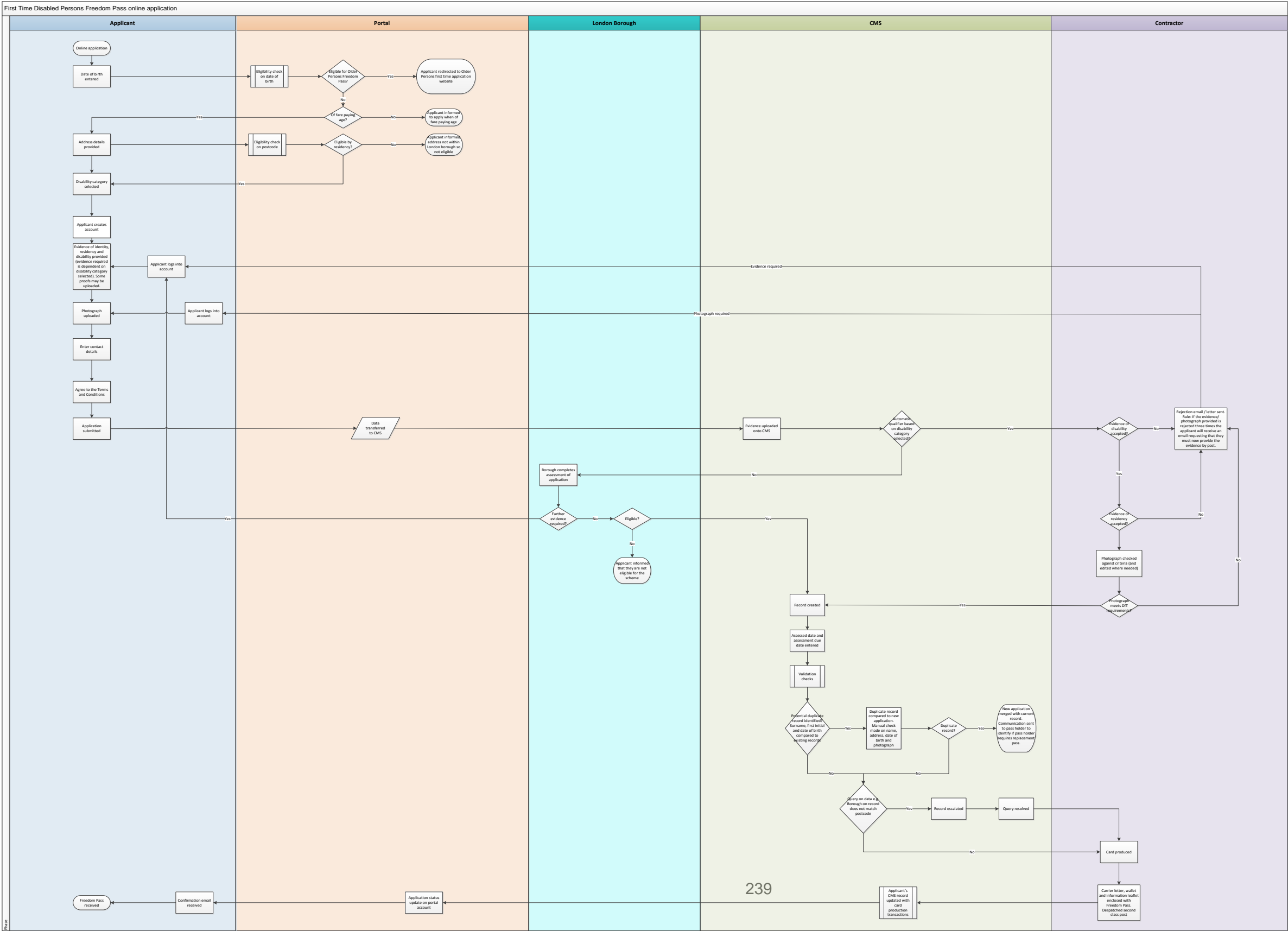
D 8.2 First Time Older Persons Freedom Pass postal application

This process flow describes the current process of a first time Older Person’s Freedom Pass application submitted by post. Whilst London Councils encourage applications to be submitted online, application forms, which have unique barcodes pre-printed on them by the contractor, are available at local libraries and council offices across London, except in the London Borough of Camden.



D 8.3 First Time Disabled Persons Freedom Pass online application

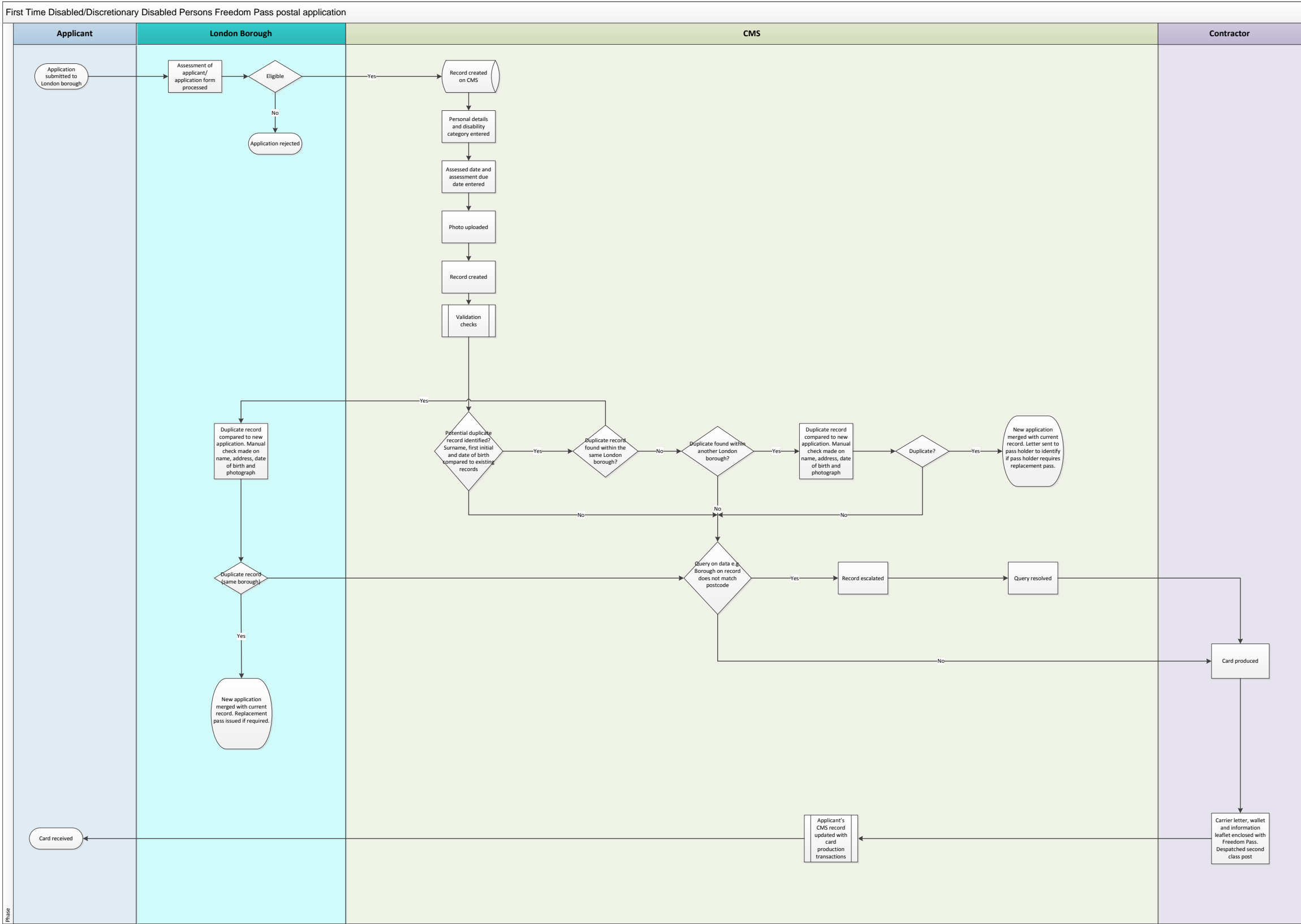
Disabled and Discretionary Disabled Person Freedom Pass applicants have to apply directly to their local borough either by completing an online form on the borough’s website or returning an application form by post. London Councils intends to introduce an online application process for first time Disabled Person’s Freedom Pass applicants. This process flow describes the intended online process.





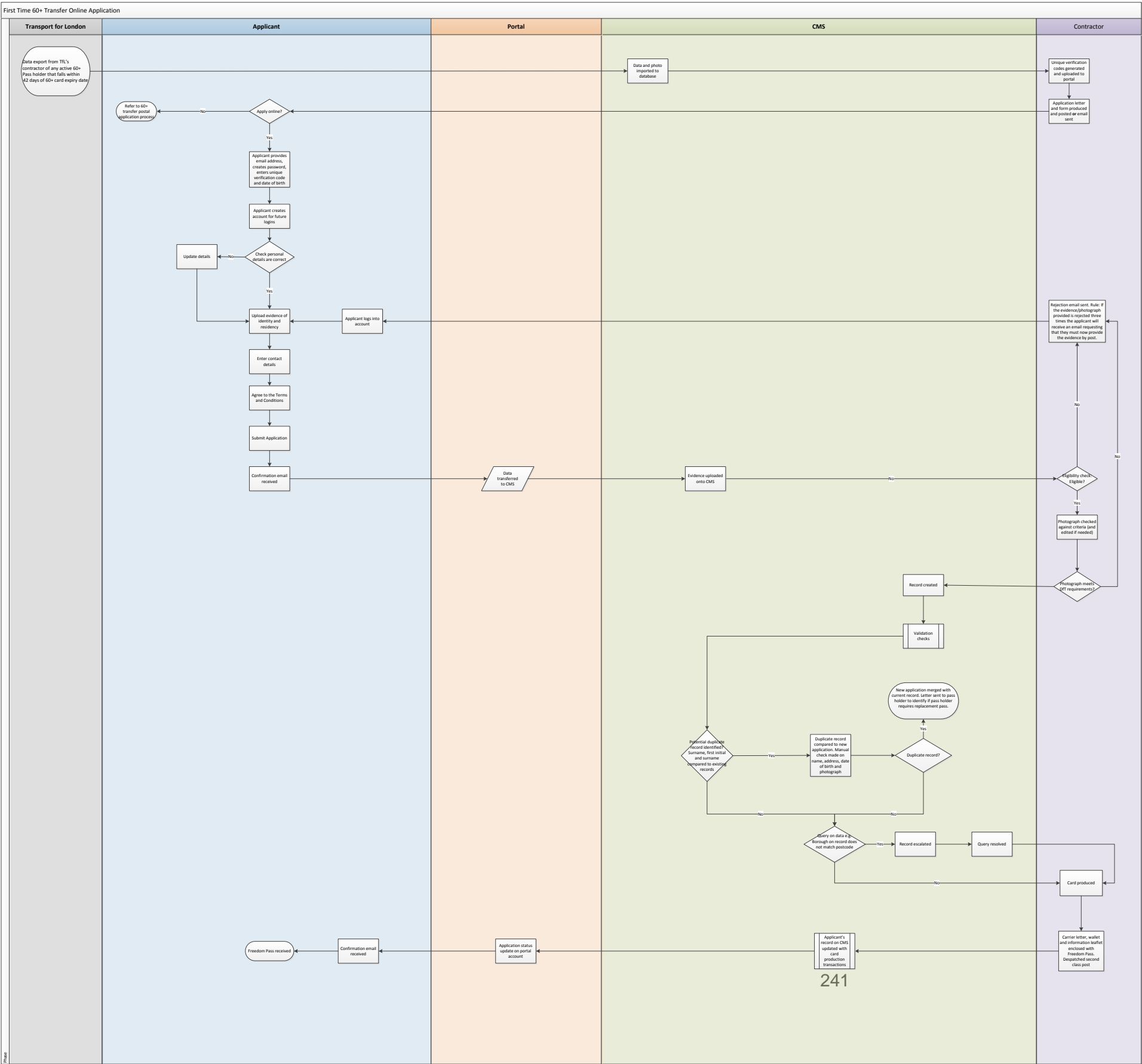
D 8.4 First Time Disabled/Discretionary Disabled Persons Freedom Pass postal application

This process flow describes the current process of a first time Disabled/Discretionary Disabled Person’s Freedom Pass application submitted by post.



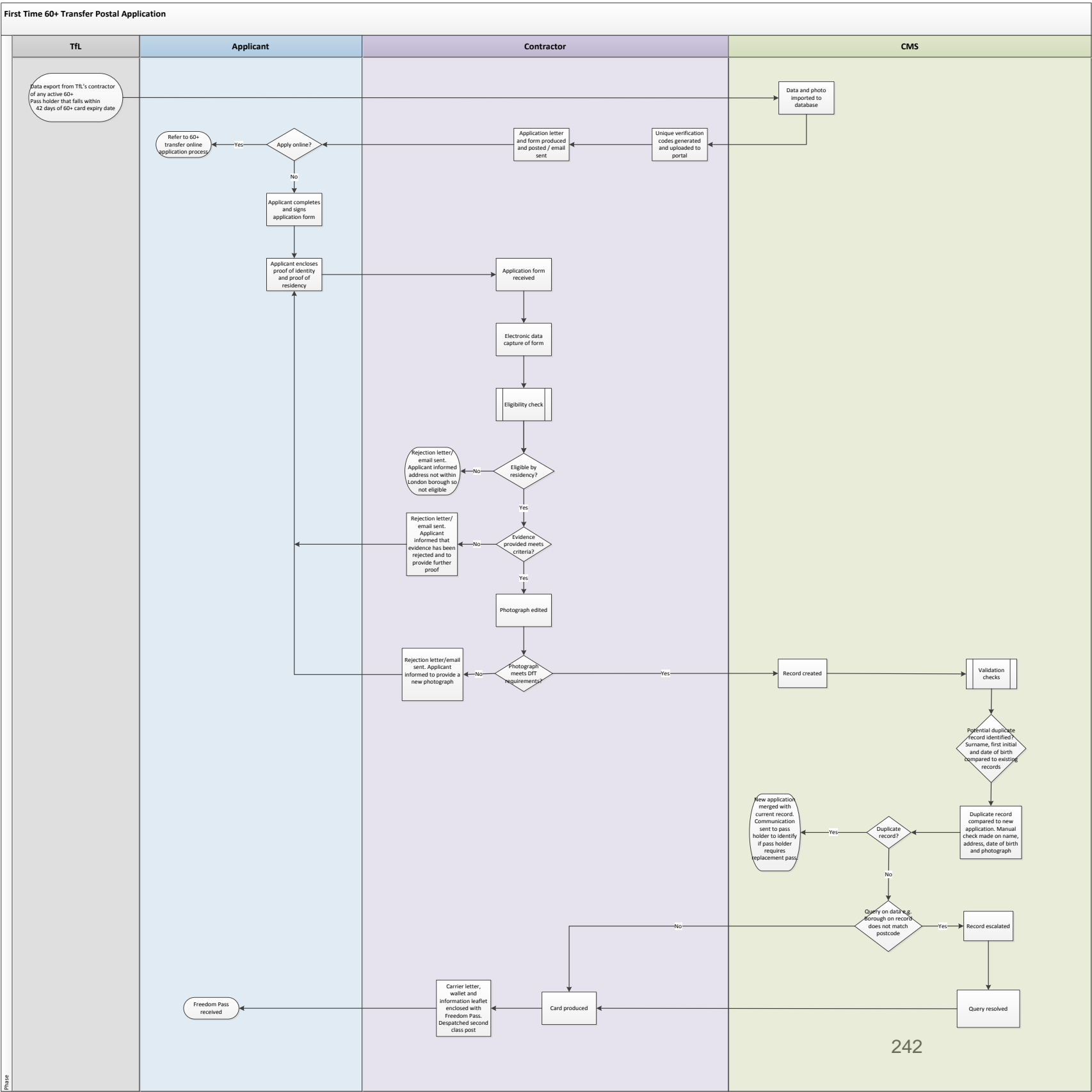
D 8.5 First Time 60+ Transfer Online Application

This process flow describes the process of a first time Freedom Pass application submitted online from an applicant who is the current holder of a 60+ London Oyster photocard and has opted in to sharing their data with London Councils for the Older Persons Freedom Pass scheme. Data is received from TfL’s contractor 42 days in advance of the applicant’s 60+ card expiring (the 60+ card expires two weeks after the date an applicant becomes eligible for the Older Persons Freedom Pass scheme).



D 8.6 First Time 60+ Transfer Postal Application

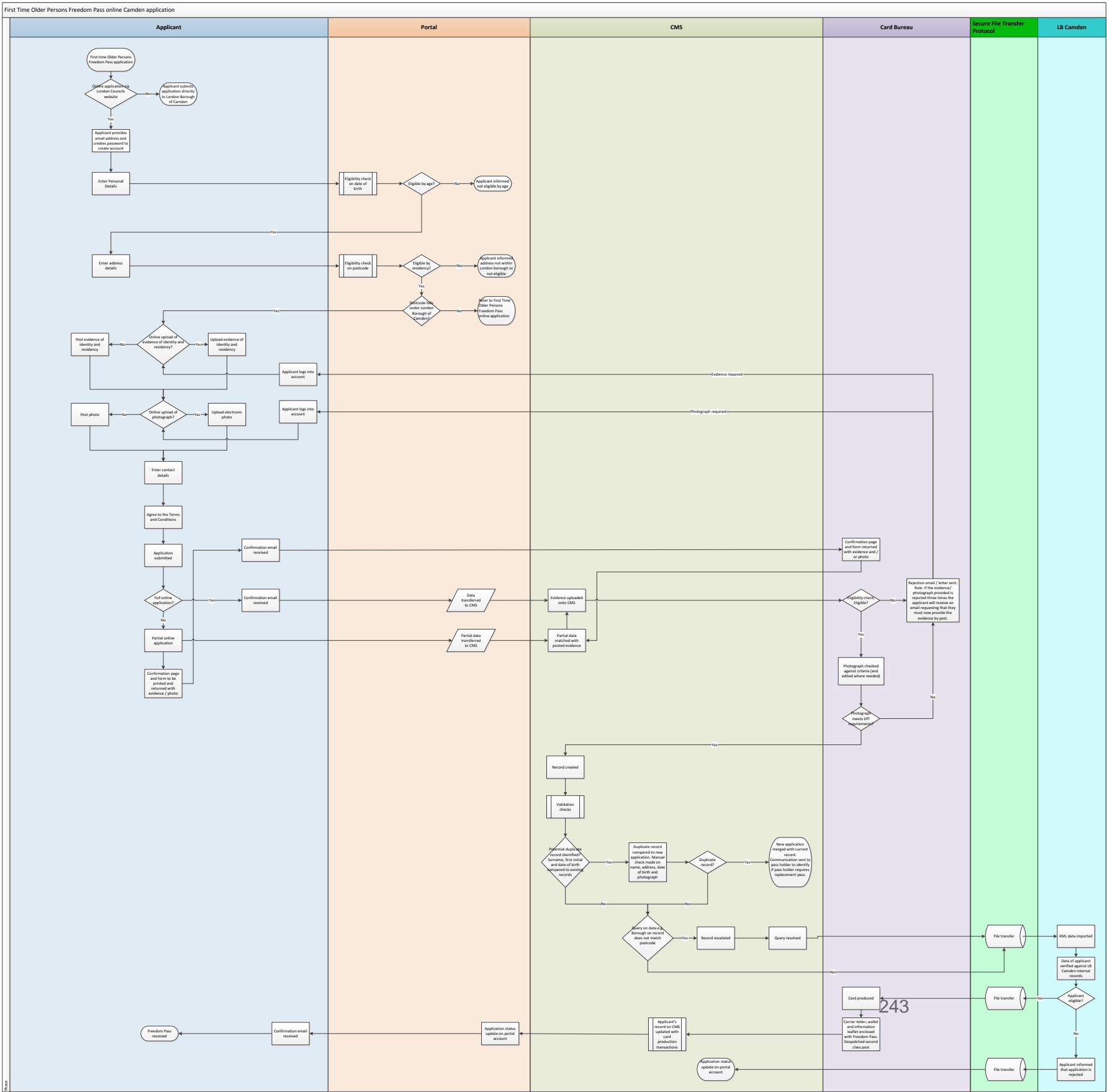
This process flow describes the current process of a first time Freedom Pass application submitted by post from an applicant who is the current holder of a 60+ London Oyster photocard and has opted in to sharing their data with London Councils. Data is received from TfL's contractor 42 days in advance of the applicant's 60+ card expiring (the 60+ card expires two weeks after the date an applicant becomes eligible for the Older Persons Freedom Pass scheme).



D 8.7 First Time Older Persons Freedom Pass online Camden application

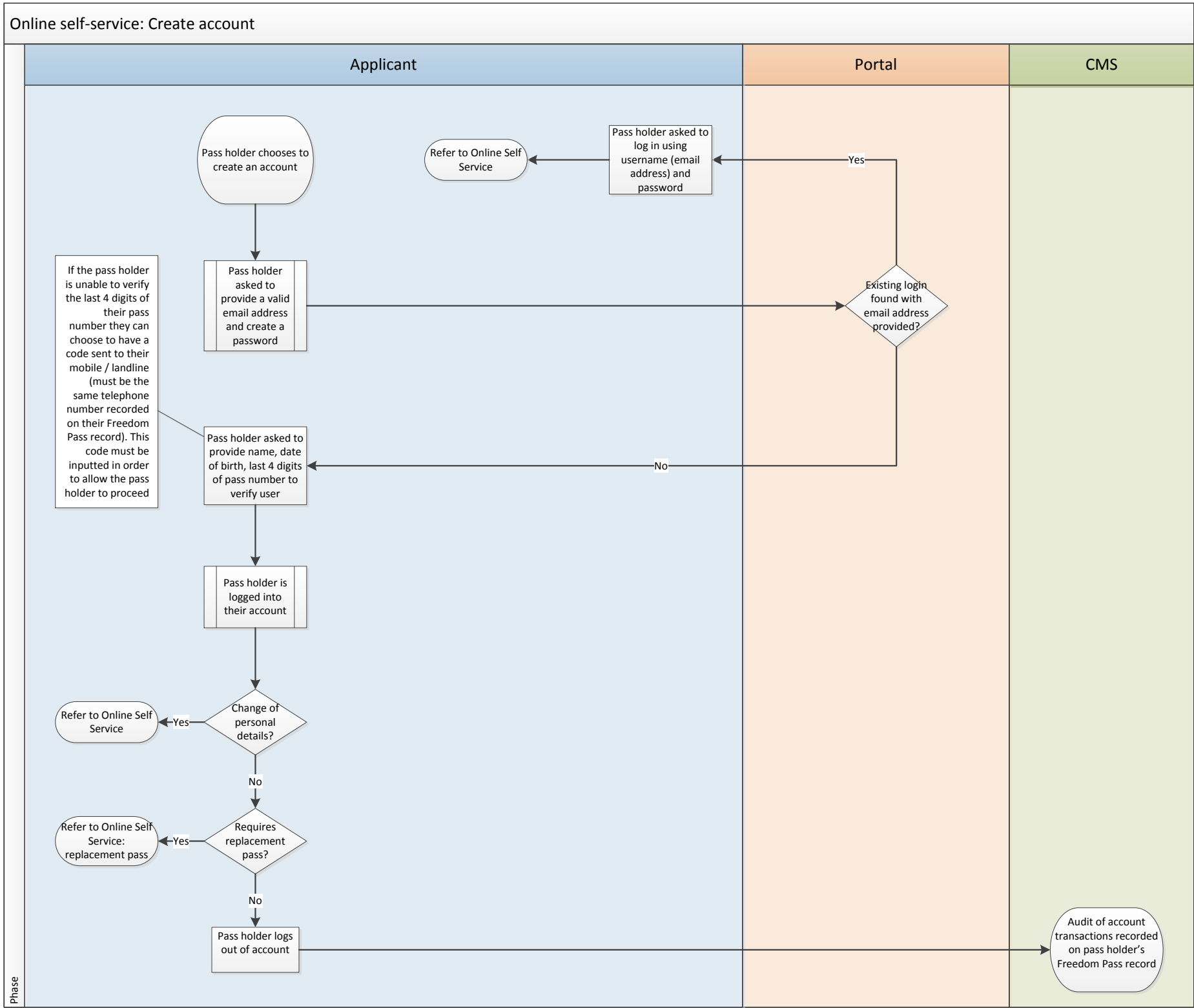
Currently, the London Borough of Camden process and check the eligibility of all Camden applicants for the London Freedom Pass scheme. The data and photograph of those that are eligible is imported to the database via a data import.

This process flow describes the future intended process of a Camden resident submitting a first time Older Persons Freedom Pass application via the online portal.



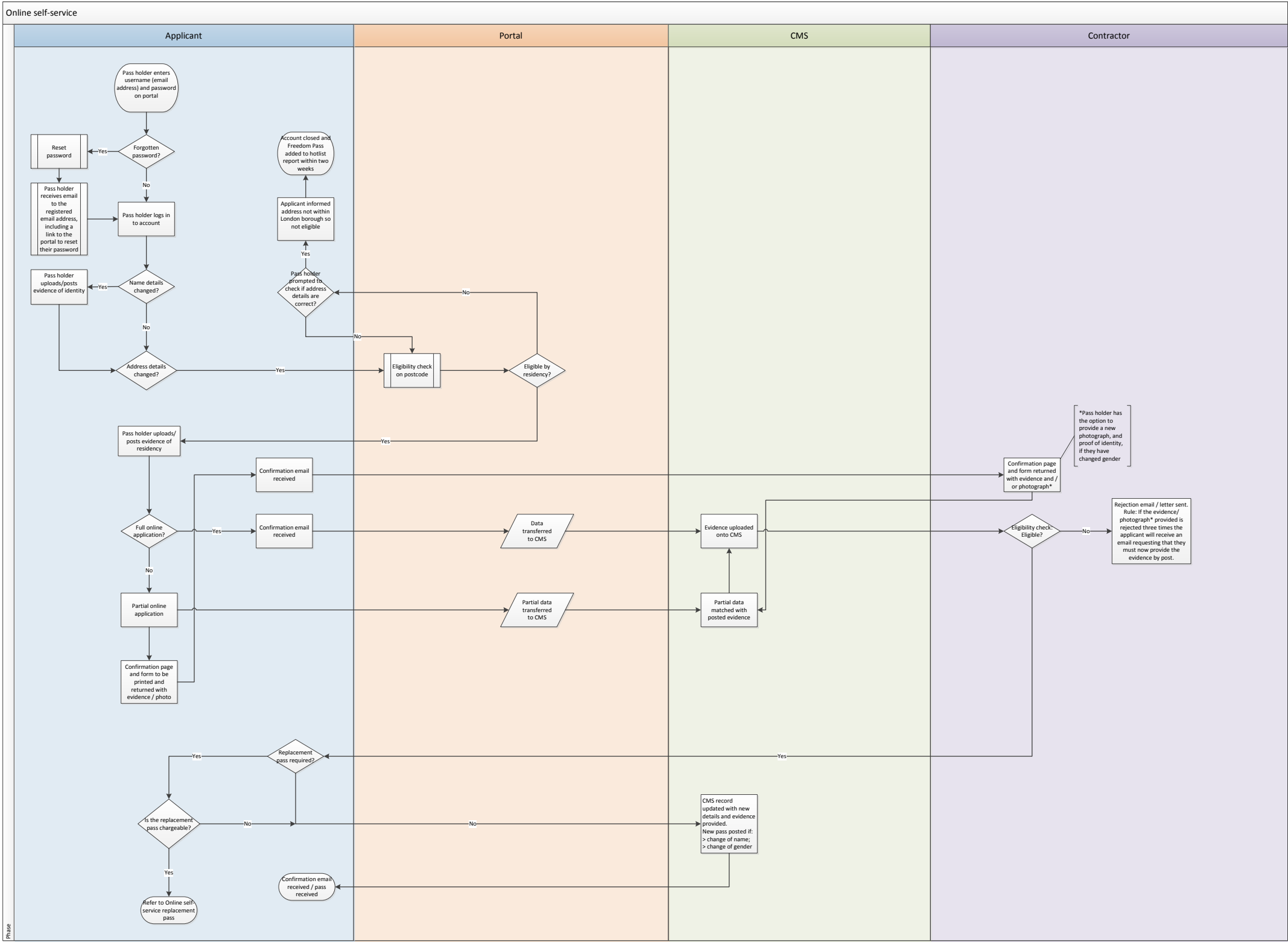
D 8.8 Online self-service: Create account

London Councils provides an online self-service for pass holders who need to update their personal details and/or request and pay for a replacement Freedom Pass. Pass holders must have created an account by providing their email address and creating a password. Pass holder’s accounts are linked to their Freedom Pass records on the CMS. This process flow describes the process of a pass holder creating an account.



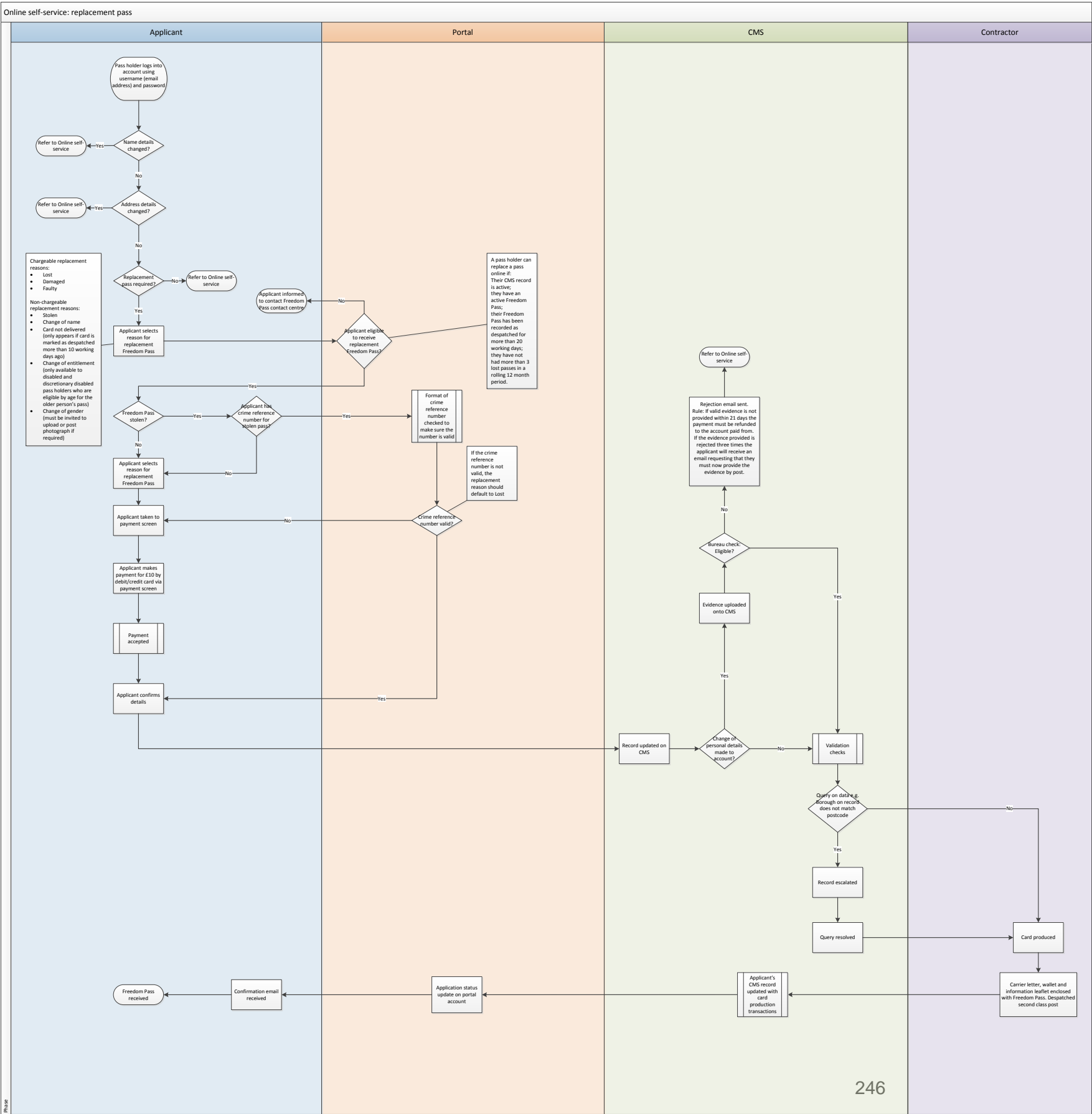
D 8.9 Online Self Service

This process flow describes the process of a pass holder logging into their account to update their name and/or address details.



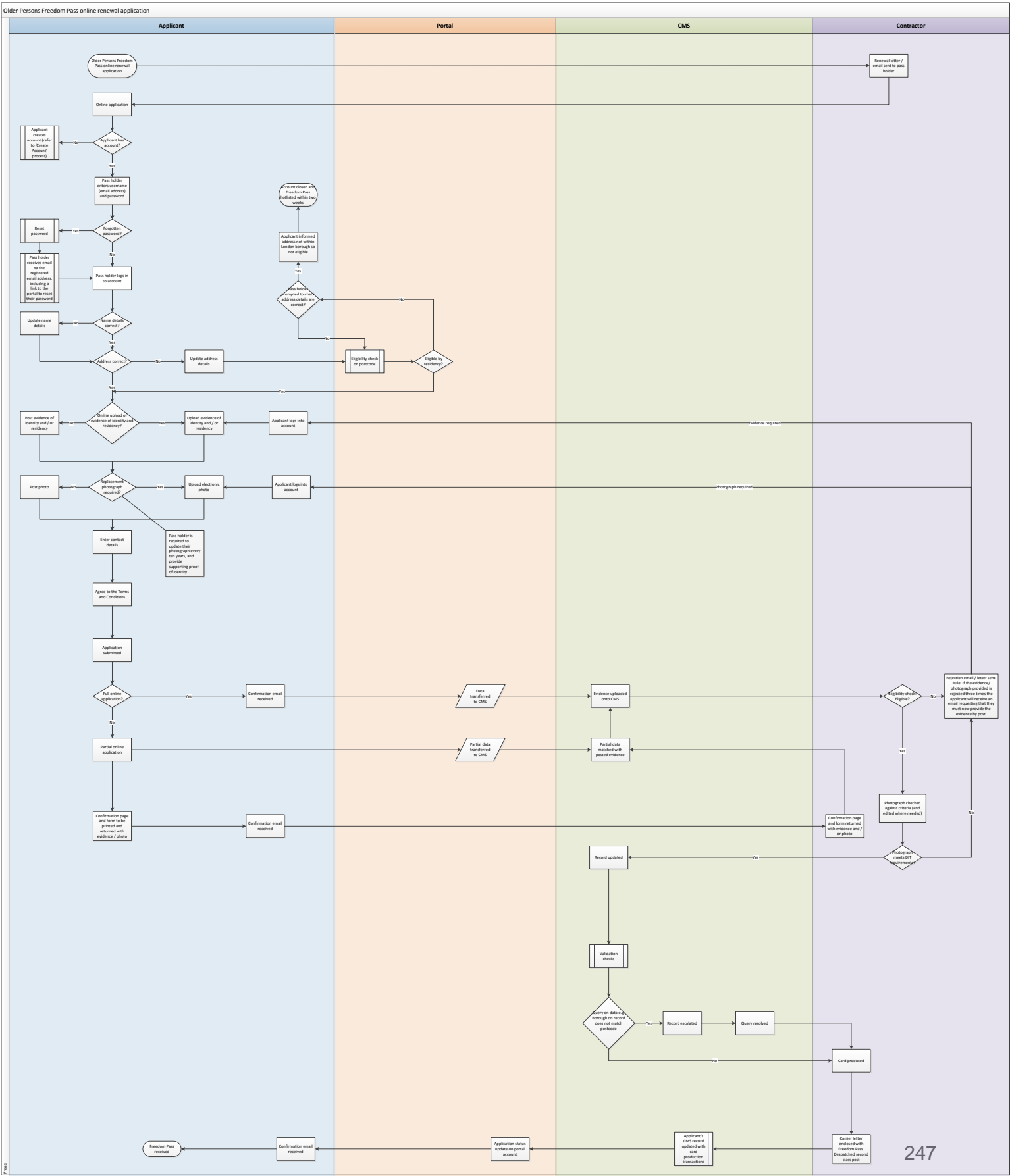
D 8.10 Online self-service: replacement pass

This process flow describes the process of a pass holder logging into their account to replace their Freedom Pass and making a payment if there is a £10 replacement fee.



D 8.11 Older Persons Freedom Pass online renewal application

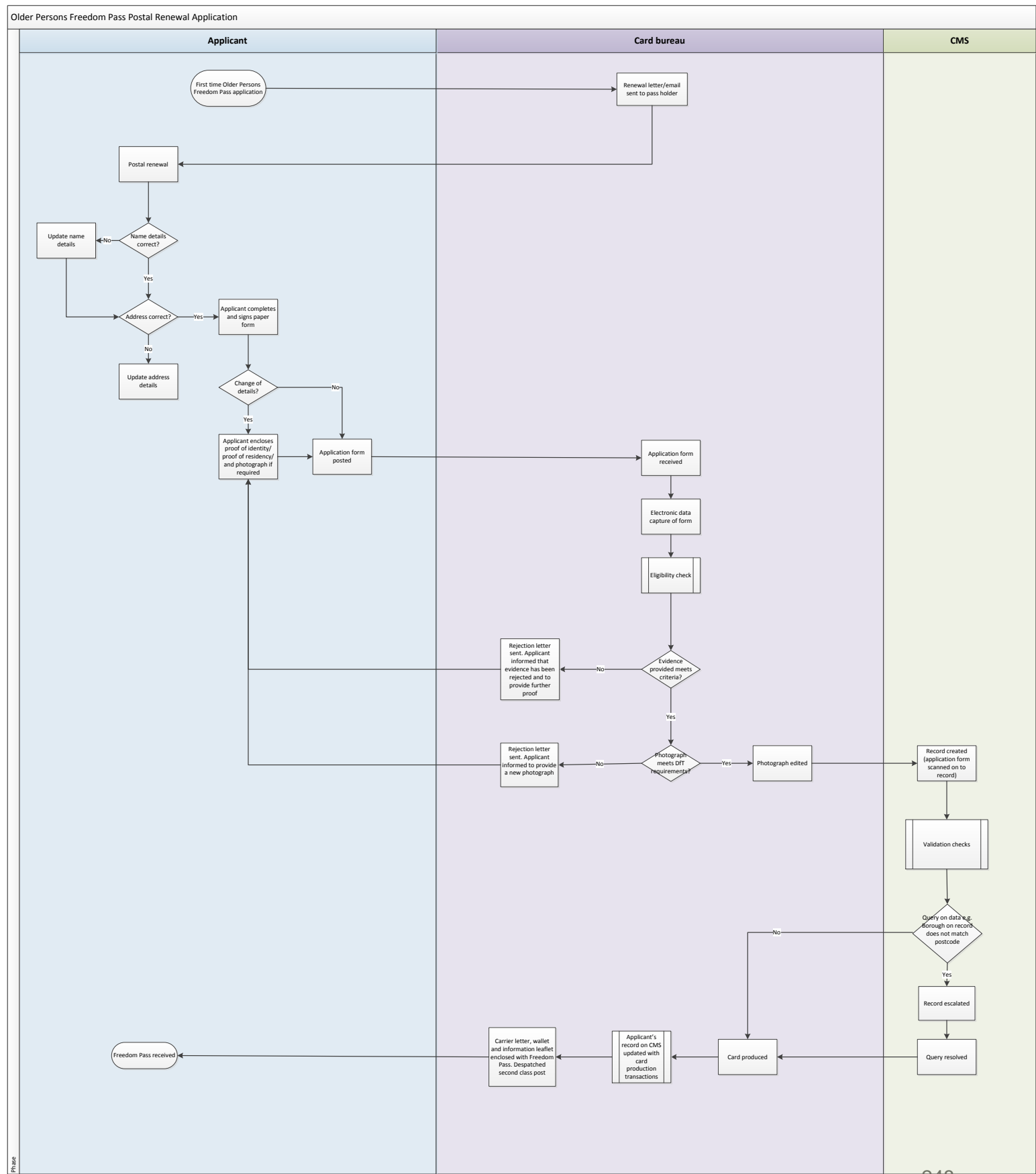
This process flow describes the process of a pass holder logging into their account to renew their Freedom Pass online.





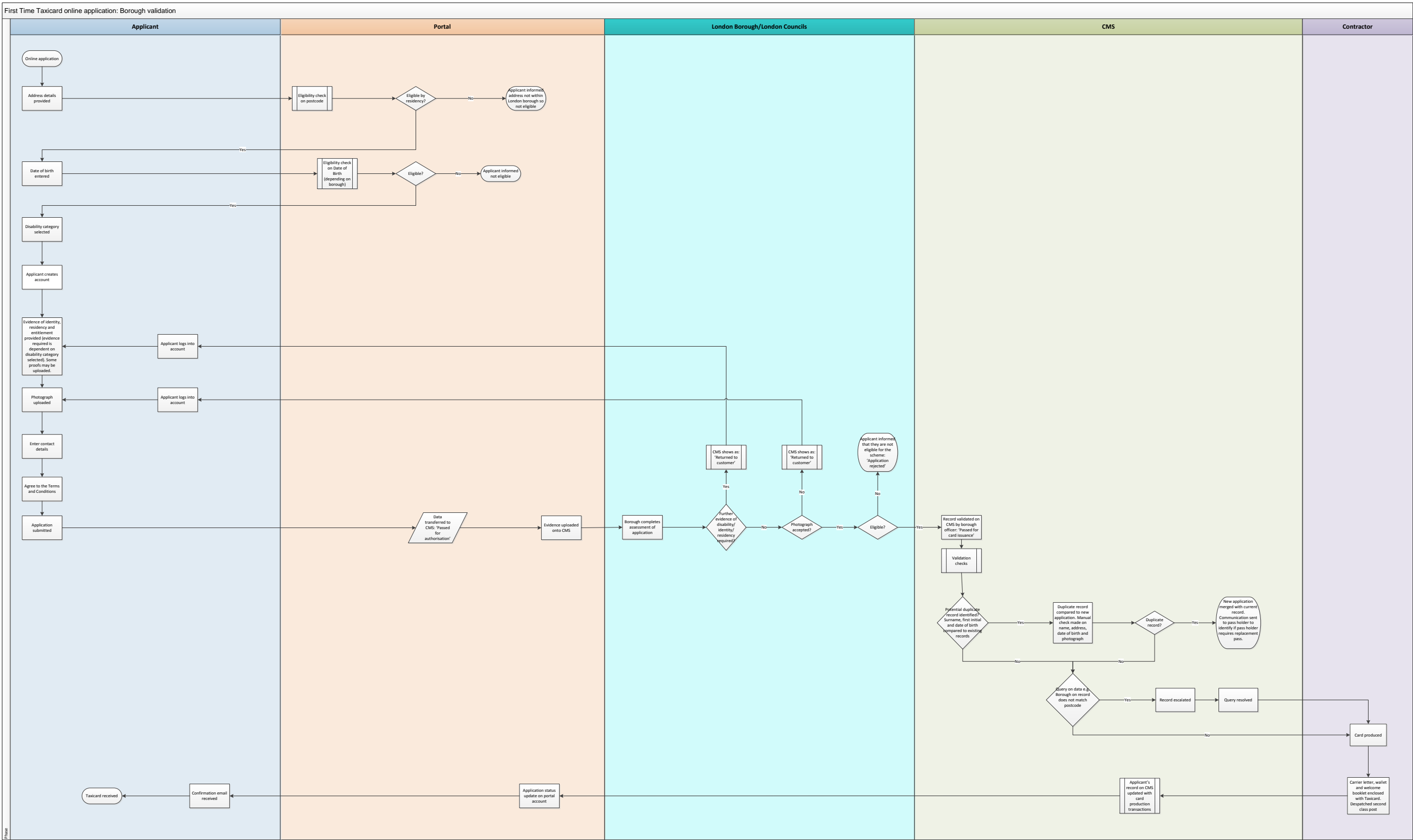
D 8.12 Older Persons Freedom Pass Postal Renewal Application

This process flow describes the process of a pass holder logging into their account to renew their Freedom Pass by post.



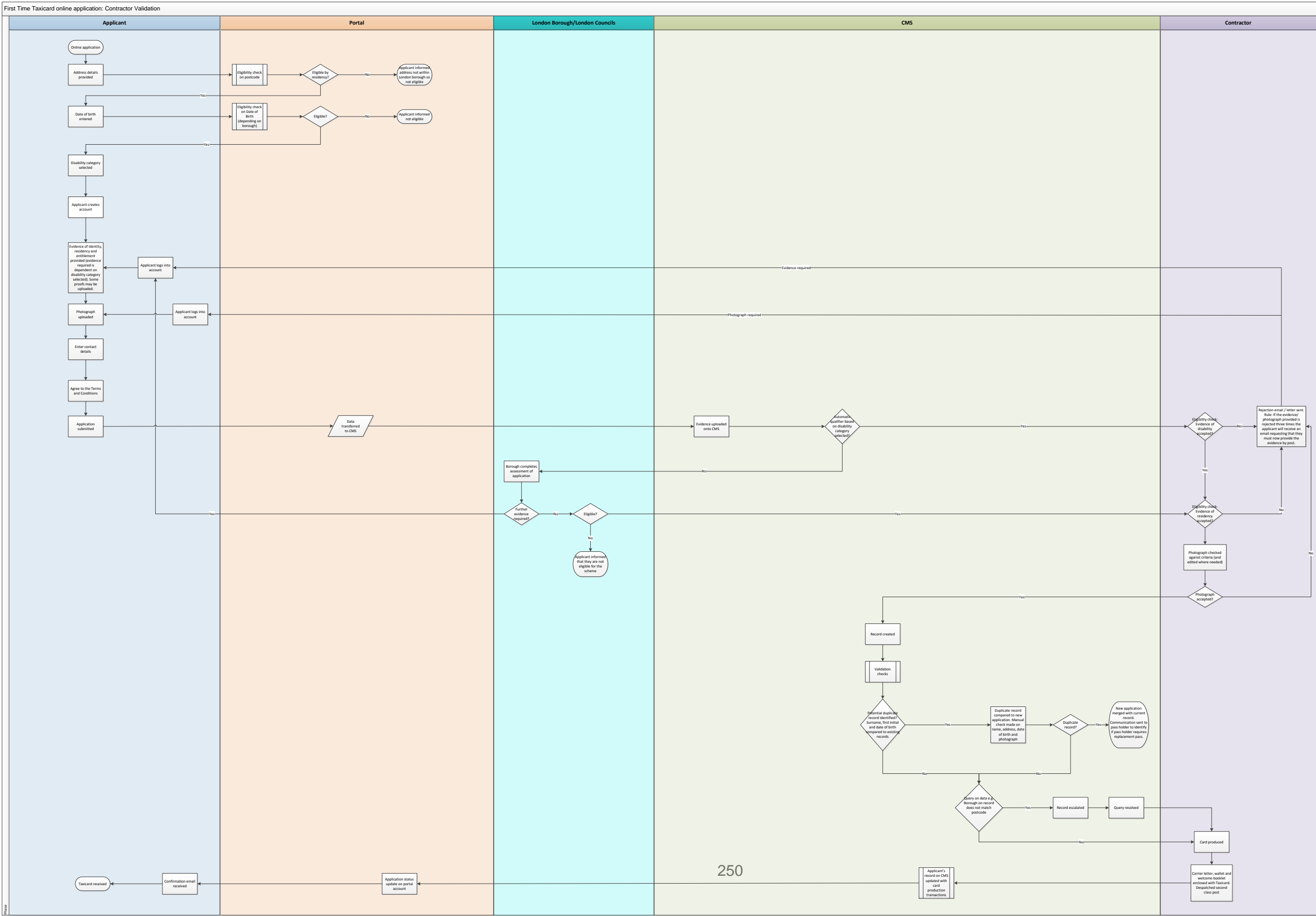
D 8.13 First Time Taxicard Application Online: Borough Validation

This process flow shows the intended process of a first time Taxicard application submitted online with the borough assessing and validating the application.



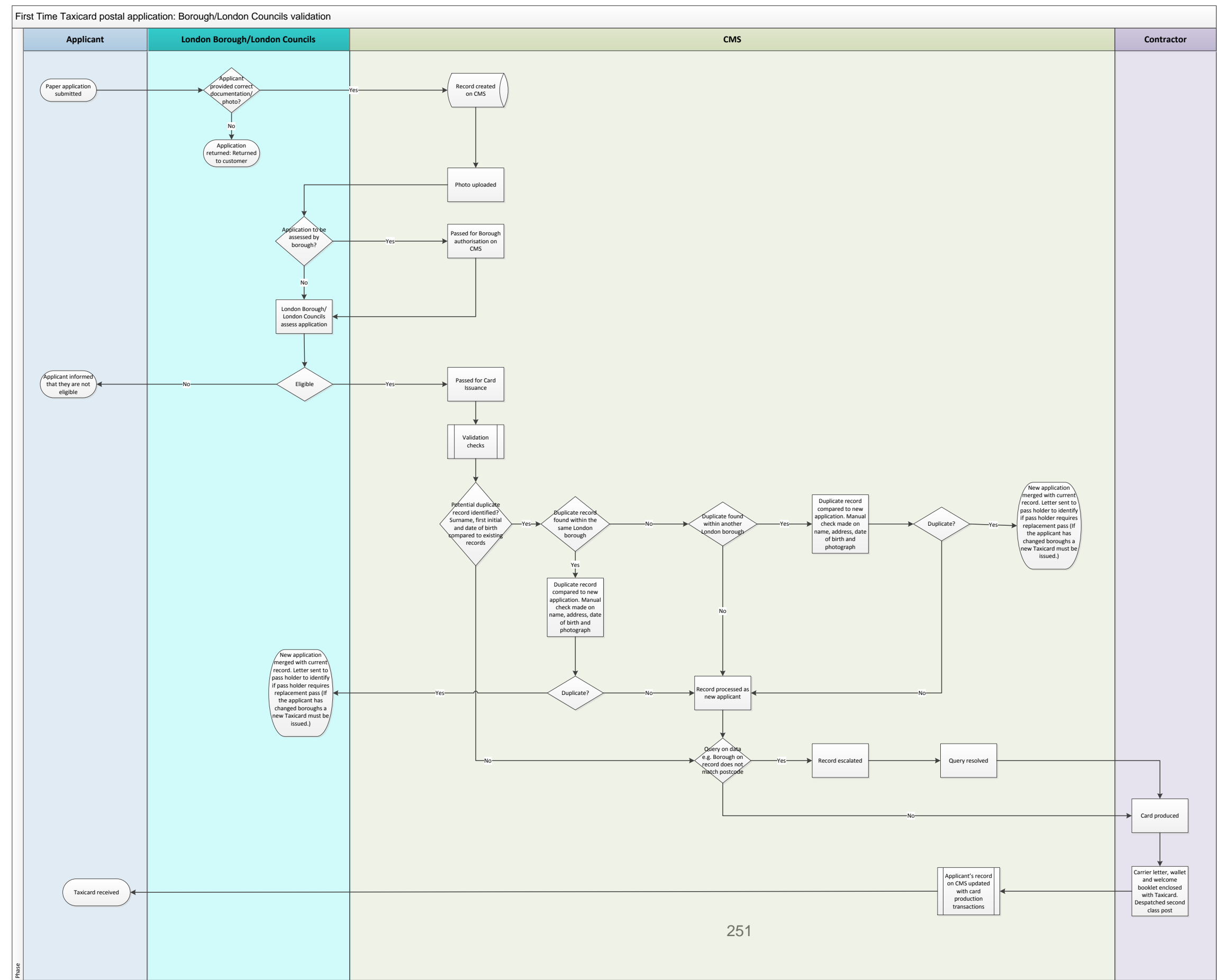
D 8.14 First Time Taxicard Application Online: Contractor Validation (Optional)

Should London Councils wish to purchase this service, the below process flow shows the intended process of a first time Taxicard application submitted online with the Contractor assessing and validating applications from automatic qualifiers for the scheme.



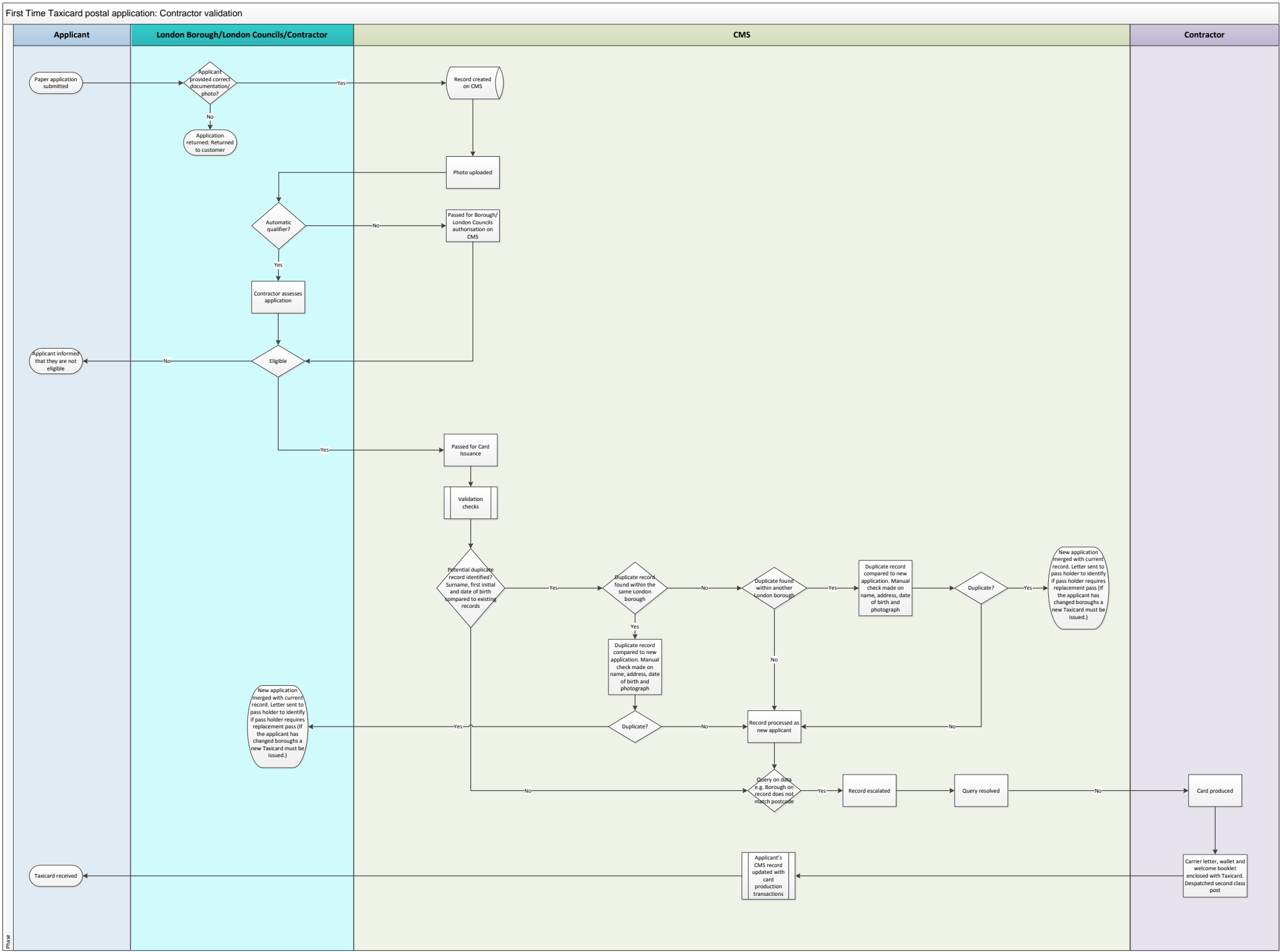
D 8.15 First Time Taxicard Postal Application: Borough/London Councils Validation

This process flow shows the current process of a first time Taxicard application submitted by post with the borough/London Councils assessing and validating the application.



D 8.16 First Time Taxicard Postal Application: Contractor Validation (Optional)

Should London Councils wish to purchase this service, the below process flow shows the intended process of a first time Taxicard application submitted by post with the Contractor assessing and validating applications from automatic qualifiers for the scheme.



## D9 Business Continuity

D 9.1

Mandatory

The contractor must put in place sufficient business continuity plans and measures to ensure full failover of all services.

To assist business continuity the contractor must:

- Restore data if requested, ensuring that the data can be recovered from backups within 24 hours
- Back up of data on a daily basis
- Retain daily backups for 1 week
- Take weekly full backup with retention of 5 weeks
- Store a copy of the weekly backup at an alternative location to the bureau with a retention of two weeks
- Take a full month end backup with retention of 3 months
- Only carry out planned/scheduled downtime only between 20:00-07:59 Monday to Sunday.
- Ensure that card production and customer contact centre activities can be restored within agreed timescales.

## D10 Testing Regime Statement of Requirements

D 10.1

Mandatory

This section sets out the procedures to be followed by the Service Provider in respect of testing the Services and the CMS and portals.

The Service Provider shall Test all elements of the Services and the CMS and

portals ahead of any implementation to prove the service functionality.

Therefore the Service Provider will be required before implementation to develop and provide a Testing plan for discussion and Approval with London Councils for Assurance demonstrating how the Service and CMS and Portals are to be Tested.

The plan should cover:

- Implementation Testing;
- Operational Testing; and
- Defect Resolution.

## D 10.2 Test Plans

D 10.2 1

Mandatory

Any Test Plan shall include, but shall not be limited to:

- an overview of the specific Testing approach and applicable Testing covered by the Test Plan;
- the scope of the Testing for the version or release covered, including without limitation a description of the Software, Systems, constituent parts or functional areas of the Service System(s) under test;
- any specific Testing requirements or objectives covered by the Test Plan;
- a detailed process for Testing of Software versions including but not limited to all required Regression Testing;
- the identification and details of the Environment(s) to be used in carrying out the Testing covered by the Test Plan;
- the detailed entry and exit criteria applicable to the Testing covered by the Test Plan;
- any specific dependencies, pre-requisites, assumptions and risks related to Testing any Software or System version or release;
- identification of the Test Scripts to be executed;
- a detailed schedule for the Testing;
- Roles and responsibilities for all those involved with Testing; and

- a description of the Test Data to be used for Testing, and
- a description of where activities described in the Test Plan represent a deviation from any earlier plans.

D 10.2 2		Mandatory
Any Testing required as a result of any Change will be reflected in the Change documentation and discussions.		

D 10.3 Defect Management		
D 10.3 1		Mandatory
The Service Provider shall ensure that the Test plans ensure the capture of all Defects and these are recorded and notified to London Councils for further discussion.		

D 10.3 2		Mandatory
<p>All defects will be required to be part of a work off plan to be agreed with London Councils. This should include and not be limited to:</p> <ul style="list-style-type: none"> <li>• Name of Defect;</li> <li>• a unique identifier for the Defect sufficient to allow cross-referencing;</li> <li>• a concise description of the Defect;</li> <li>• the current status of the Defect;</li> <li>• the identity of the Requirements/Tests associated with the Defect;</li> <li>• the Severity Level of the Defect;</li> <li>• dates relevant to the observation and investigation of the Defect;</li> <li>• Resolution date of the Defect</li> </ul>		



- Details of any work around being applied, and
- the name of person responsible for progressing the investigation of the Defect.

#### D 10.4 Regression Testing

D 10.4 1

Mandatory

The Service Provider shall perform Regression Testing as necessary to demonstrate that changes to the Software have no adverse impact on the System(s), Interfaces, the Other Service Provider Systems or any Hardware, Software or Systems of London Councils.

#### D10.5 Final Test Reporting

D 10.5 1

Mandatory

The Service Provider shall submit a Final Test Report to London Councils for Acceptance that the Services and Systems are operating in accordance with the Services Agreement for London Councils' Approval and sign off.

D 10.5 2

Mandatory

The Service Provider agrees that, notwithstanding anything to the contrary in this Agreement, London Councils may share Test Reports and Final Test Reports in form or substance with any Third Party for any purpose in respect of this Agreement, the Services and/or the Scheme. Unless otherwise agreed in advance by London Councils in writing, Test Reports and Final Test Reports shall not include references to Test Data which includes Personal Data.

## D 10.6 Testing other Requirements

D 10.6 1

Mandatory

London Councils may, at its sole discretion, require its employees, Agents or sub-contractors witness any of the Testing required for the Services and System(s) provided under the Services Agreement.

D 10.6 2

Mandatory

The Service Provider shall, where required to do so in the fulfilment of its obligations pursuant to this Agreement or where reasonably instructed by London Councils, co-operate and enter into dialogue with any of London Councils' Service Providers or Other Service Providers in relation to Testing.

Unless otherwise directed by London Councils, the Service Provider shall be responsible for the co-ordination of all relevant Testing with Other Service Providers as necessary. The Service Provider shall develop any Testing required in consultation with London Councils and Other Service Providers.

D 10.6 3

Mandatory

Subject always to any contrary written instructions from London Councils (as may be given from time to time), the Service Provider shall ensure that:

- so far as practicable, all Test Data is manipulated, masked or scrambled so that it would no longer constitute Personal Data in a Third Party's hands; and
- the use of Test Data which is Personal Data only occurs when essential to verify testing integrity and then only in a secure test environment, in accordance with Good Industry Practice and guidance issued by the Information Commissioner from time to time.

Without prejudice to any other part of this Services Agreement, all Test Data shall:

- be stored and held securely and otherwise in a manner that is compliant with

any applicable Privacy Legislation, as shall all Data from which Test Data is derived;

- in all but exceptional cases, have been processed to permanently and completely preserve the anonymity of the persons whose Data is contained therein in accordance with Privacy Legislation, best practice guidance that may be issued from time to time by the Information Commissioner, and/or other Good Industry Practice, and Information Governance policies and using irreversible procedures and technology agreed by London Councils in writing in advance of processing and use of such Data or Testing; and
- be securely and promptly destroyed in accordance with relevant Privacy Legislation and Good Industry Practice following completion of the relevant Tests for which such Test Data is being used unless it is required to be retained for any purpose compatible with the Data Protection Act. The Service Provider shall provide written confirmation to London Councils that such Personal Data has been destroyed, as appropriate.

In the exceptional circumstances where the Service Provider believes that specific Testing requires the use of Test Data containing Personal Data such that the anonymity of the persons whose Data is contained therein is not completely established, then the Service Provider shall obtain the prior written approval of London Councils for this use and in requesting such approval shall provide to London Councils all information that London Councils may require in relation thereto. The Service Provider acknowledges and agrees that London Councils may at its absolute discretion decline such a request.

D 10.6 4		Mandatory
Any issues or Disputes arising between the Parties in relation to Testing shall be discussed by the parties involved and, if not resolved within five (5) Working Days shall be referred to the London Councils for discussion and a final decision.		

## SECTION E: Format of Data

### E1. Post Office Freedom Pass Data Format

Until June 2015, all Freedom Pass applications were initially processed by the Post Office. Therefore, for the majority of current pass holders who applied before this date, application data imported into the current CMS was sent via secure transfer from Post Office LTD horizon system. The format of this data is outlined below. This is provided as background information only, and London Councils does not warrant that migrated data will be provided in exactly this format.

**Table 6: Post Office Freedom Pass Data Format**

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
Transaction Record					
Core AP Transaction					
ReceiptRef		AlphaNumeric	0-9	5	
TransactionRef		Numeric	0-9	4	
Amount		Numeric	0-9	11	
PAN		Numeric	0-9	13	Service code (last digit) 1 =

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
POCode		Numeric	0-9	7	
POCounterDate		Yymmdd	Any valid date	6	
DataCapture		Numeric	7	1	Indicates that
Fee		Numeric	Value will always be "000"	3	Not used
PaymentMethod		Numeric	01-Apr	1	Indicates Debit Card respectively
All the above data appears as a fixed string				51	
ADC Transaction Record Data					
<X_DATA>			Start sentinel for ADC		
<MESSAGE1>	Continue	Alpha	"OK" is the only entry that	2	Used to give
<EXISTING_PASS_NO>	NBarCode	Numeric	Algorithm to be applied later	12	Applicable to Renewals only

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
<NEW_PASS_NO>	NBarCode	Numeric	Algorithm to be applied later	12	Applicable to New/First Time, Lost/Stolen, Faulty/Damag
<PREVIOUS_PASS_N	NBarCode	Numeric	Algorithm to be applied	12	Applicable to
<SPOILT_PASS_NO>	NBarCode	Numeric	Algorithm to be applied	12	Applicable to
<DOB>	Date of Birth	dd/mm/ccyy	Age must be 60 and over	10	Elderly
<DOB>	Date of Birth	dd/mm/ccyy	Age must be 5 and over	10	Disabled
<ID_NAME_AGE>	Options	Option List	Freedom Pass (FRP), Pension Entitlement Letter (PEN), Current Passport (PAS), Medical Card (MED), Birth Certificate (BIR). <b>Pink Drv Licence</b>	3	Value in brackets will be in file

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
<ID_ADDRESS>	Options	Option List	Pension Entitlement Letter (PEN), Occupational Pension Letter (OPL), Council Tax Bill /Letter/Paymt Bk (TAX), Council/Housing Rent	3	Value in brackets will be in file
<PHOTOCARD>	Options	Option List	Existing Photocard	3	Value in
<CUSTOMER_NAME>	NameLong				
<Surname>		Free text	A to Z, Apostrophe ('),	21	
<Forename>		Free text	A to Z, Apostrophe ('),	21	
<Initials>		Free text	A to Z, full stop (.), blank*	8	* Field entry is
<Title>		Option List/	Mr, Mrs, Miss, Ms	4	
		Free text	A to Z, Apostrophe ('),	21	
<GENDER>	Options	Option List	Male (M), Female (F)	1	Value in
<CUSTOMER_ADDRESSES>	PAF2				

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
<Result>		Numeric	0	2	Validated
		Numeric	1	2	Validated
		Numeric	10	2	Manually Entered
<QueryType> *					* will not be selected from
		Numeric	1	1	Search via
		Numeric	2	1	Search via
<Errorcode>			QAS Diagnostic use only -		
<Org>		General	A to Z, 0 to 9, other	122	Tags returned
<POBox>		General	A to Z, 0 to 9, other	13	Tags returned
<Subprem>		General	A to Z, 0 to 9, other	30	Tags returned
<Buildname>		General	A to Z, 0 to 9, other	50	Tags returned
<Buildnum>		General	A to Z, 0 to 9, other	4	Tags returned
<Depthoro>		General	A to Z, 0 to 9, other	81	Tags returned



Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
<Thoro>		General	A to Z, 0 to 9, other	81	Tags returned
<Deplocal>		General	A to Z, 0 to 9, other	35	Tags returned
<Local>		General	A to Z, 0 to 9, other	35	Tags returned
<Town>		General	A to Z, 0 to 9, other	30	Tags returned
<County>		General	A to Z, 0 to 9, other	30	Tags returned
<Postcode>		General	A to Z, 0 to 9, other	8	Tags returned
<Premises>		Free Text	A to Z, 0 to 9, other	21	Tags used for
<Address>		Free Text	A to Z, 0 to 9, other	21	Tags used for
<ContAddress>		Free Text	A to Z, 0 to 9, other	21	Tags used for
<TownCity>		Free Text	A to Z, 0 to 9, other	21	Tags used for
<CountyReg>		Free Text	A to Z, 0 to 9, other	21	Tags used for
<PostcodeZip>		Free Text	A to Z, 0 to 9, other	16	Tags used for
<Country>		Free Text	A to Z, 0 to 9, other	21	Tags used for
<MESSAGE2>	Continue	Alpha	"OK" is the only entry that	2	Used to give

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
<BOROUGH>	Alpha	Free Text	Acceptable values are: BND, BAR, BEX, BRE, BRO, CAM, CRO, EAL, ENF, GRE, HAC, HAM, HAR, HAY, HAV, HIL, HOU, ISL, KEN, KIN, LAM, LEW, MER, NEW, RED,	3	
<ORIGIN>	Linked				

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
Type		Option List	British, Irish, Any Other White, Caribbean, African, Any Other Black, White && Black Caribbean, White && Black African, White && Asian, Any Other Mixed, Indian, Pakistani, Bangladeshi, Any Other Asian, Chinese, Any Other, Do not wish to say	23	For all bar 'Any Other ....' Type and Value will be the same. <b>Note:</b> For internal purposes, a double ampersand has to be used. Thus two ampersands
Value		Free text	A to Z, 0 to 9, Space	21	Used if 'Any
<MESSAGE3>	Continue	Alpha	"OK" is the only entry that	2	Used to give
<MESSAGE4>	Continue	Alpha	"OK" is the only entry that	2	Used to give
<APPLICATION_TYPE>	Options	Option List	Lost (L) or Stolen (S)	1	Value in
<APPLICATION_TYPE>	Options	Option List	Faulty (F) or Damaged (D)	1	Value in

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
<PN>	Constant	Fixed	4 digit Product Number. These numbers will be advised once allocated as part of our take on cycle.	4	Elderly Renewal 8655, Elderly New/First Time 8656, Elderly Lost/Stolen
<X_DATA>			End sentinel for ADC		

**Note 1:** “Result” will always be present. The presence of the other fields depends on the exact result obtained. For any specific address only a subset of

these fields is returned, consisting of the set of values provided by the PAF application or entered by the clerk. The last seven tag names in the list above

(Premises – Country) are those used if the address has been entered manually.

Fields/XML Tag Name	Data Type	Format	Entries allowable/ validation	Max Length	Comments
---------------------	-----------	--------	-------------------------------	------------	----------

**Note 2:** Linked Data Type example layout

<ORIGIN><Type>British</Type><Value>British</Value></ORIGIN>

<ORIGIN><Type>Any Other White</Type><Value>CANADIAN</Value></ORIGIN>

**Note 3:** For all manually entry fields, alpha characters will be in UPPER CASE

## **SECTION F: Contract**

To be provided separately to those organisations invited to submit a full tender.

## **SECTION G: Key Performance Indicators and Service Credits**

The Service Levels for the various Service Areas are shown at Section G Appendix 1. Each Service Level is associated with a defined number of Service Points for non-achievement by the Service Provider. The accumulated Service Points during the month, quarter, and year, are translated into a number of Service Credits, as described in the following paragraphs.

### **Service Credits**

In order to incentivise good performance there are Service Credits levied against the Service Provider for failure to meet the Service Levels. The assessment of performance which could result in service credits will commence from 1 January 2018. The Service Provider will have a grace period from 2 October 2017 – 31 December 2017 (inclusive) in which the performance will be monitored and will not be assessed, in terms of performance failures that contribute towards service credits. How Service Credits will be applied is explained in Section G Appendix 1, and

Section G Appendix 2 Service Credits Annex 1 and Section G Appendix 2 Service Credits Annex 2.



## Section G Appendix 1 Key Performance Indicators

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
1 and 4	Application processing and card production	Freedom Pass and Taxicard	Application processing	Percentage of online applications submitted within any given month shall be processed and available on the CMS (application validated or rejected) within 5 working days of receipt	95% within 5 working days	Monitor only	Number of working days from an application form being submitted online to the day the application is validated or rejected	Applicants are advised to expect their pass up to 10 working days from the date of submitting their application online. Delays in processing an application form may lead to an increase in enquiries to the contact centre and could lead to complaints and requests for travel reimbursement. Taxicard applicants are advised to expect their Taxicard up to 8 weeks from the date of submitting their application to allow for borough processing. Any contractor deliverables should be done within 5 working days.	Monthly
1 and 4	Application processing and card production	Freedom Pass and Taxicard	Application processing	Percentage of paper applications received within any given month shall be processed and available on the CMS (application validated or rejected) within 5 working days of receipt	95% within 5 working days	Monitor only	Number of working days from receipt of a paper application form to the day the application is validated or rejected	Applicants are advised to expect their pass up to 15 working days from the date of posting their application. Delays in processing an application form may lead to an increase in enquiries to the contact centre and could lead to complaints and requests for travel reimbursement. Taxicard applicants are advised to expect their Taxicard up to 8 weeks from the date of submitting their application to allow for borough processing. Any contractor deliverables should be done within 5 working days.	Monthly

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
1 and 2	Application processing and card production	Freedom Pass and Taxicard	Card production	Percentage of cards produced within any given month shall be dispatched within 3 working days of validating a first time application	95% within 3 working days	Monitor only	Number of working days from validating a first time application (online or paper) to the card being dispatched	Applicants are advised to expect their pass up to 10 working days from the date of submitting their application online, and up to 15 working days from the date of posting their application. Delays in receiving the pass may lead to an increase in enquiries to the contact centre and could lead to complaints and requests for travel reimbursement. Taxicard applicants are advised to expect their Taxicard up to 8 weeks from the date of submitting their application to allow for borough processing. Any contractor deliverables should be done within 3 working days.	Monthly
1 and 2	Application processing and card production	Freedom Pass and Taxicard	Application processing and card production	Percentage of cards dispatched within 8 days of receipt of application.	Total SLA for first time application processing and card production: 95% within 8 working days	1 service point per percentage point below KPI	Total of the combined number of working days from receiving, processing and validating a first time application (online or paper) to the card being dispatched	Applicants are advised to expect their pass up to 10 working days from the date of submitting their application online, and up to 15 working days from the date of posting their application. Delays in receiving the pass may lead to an increase in enquiries to the contact centre and could lead to complaints and requests for travel reimbursement. Taxicard applicants are advised to expect their Taxicard up to 8 weeks from the date of submitting their application to allow for borough processing. Any contractor deliverables should be done within 8 working days.	Monthly

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
1 and 4	Application processing and card production	Freedom Pass and Taxicard	Application processing	Percentage of letters and emails sent to reject an application within any given month shall be sent within 3 working days of processing the application	95% within 3 working days	1 service point per percentage point below KPI	Number of working days from processing (validating) an application form (online or paper) to sending a rejection letter or email	Applicants are advised to expect their pass up to 10 working days from the date of submitting their application online, and up to 15 working days from the date of posting their application. Delays in rejecting an application may lead to an increase in enquiries to the contact centre and could lead to complaints and requests for travel reimbursement.. Taxicard applicants are advised to expect their Taxicard up to 8 weeks from the date of submitting their application to allow for borough processing. Any contractor deliverables should be done within 3 working days.	Monthly
2 and 4	Application processing and card production	Freedom Pass and Taxicard	Replacement card production	Percentage of replacement cards produced within any given month shall be dispatched within 3 working days of a card being requested on the CMS	95% within 3 working days	1 service point per percentage point below KPI	Number of working days from receiving a request on CMS to issue a replacement pass to the card being dispatched	Pass holders are advised to expect their replacement pass in the post in 3-10 working days from making the request. Delays in receiving the pass may lead to an increase in enquiries to the contact centre and could lead to complaints and requests for travel reimbursement.	Monthly
2 and 4	Application processing and card production	Freedom Pass and Taxicard	Card production	Percentage of card spoils during production shall remain under target of 0.5% of quarterly production	Under 0.5% of quarterly production	Monitor only	Number of cards spoiled compared to the total number of cards produced	All cards are kept as a cash stock. A high percentage of spoiled Freedom Pass cards impacts our partner, TfL, financially, as they pay for the cards.	Quarterly
2 and 4	Application processing and card production	Freedom Pass and Taxicard	Card production	Stock of information leaflets, welcome booklets and borough wallets shall not fall under 3 months supply in any given period	100%	Monitor only	Number of information leaflets, welcome booklets and wallets in stock compared to the monthly average used	If stock levels are not monitored there is a risk of cards being sent without an information leaflet and wallet.	Monthly
1	Application processing and card production	Freedom Pass	Card management	Hotlist report of all cards hotlisted on CMS (within a week) to be sent to TfL and HOPS supplier at the end of every working week	100%	Monitor only	Number of days from the agreed date of sending the hotlist report to TfL and HOPS supplier to the actual day of sending the report	Cards hotlisted on CMS must be sent to TfL and HOPS supplier to be processed each week to stop cards from being used	Weekly

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
								fraudulently on public transport	
4	Application processing and card production	Taxicard	Card production for other services procured through this contract	Percentage of new and updated Taxicard records to be sent to London Councils contractor via a secure link at least once a day	100%	Monitor only		London Councils contractor must have details of all new and existing member's current details in order to provide the Taxicard service	Monthly
4	Application processing and card production	Taxicard	Card production for other services procured through this contract	Percentage of cards produced as part of other services procured through this contract shall be dispatched within 3 working days of a card being requested	95% within 3 working days	1 service point per percentage point below KPI	Number of working days from receiving a request on CMS to issue a pass to the card being dispatched	Not receiving a card within the advised timeframe can lead to multiple enquiries and complaints	Monthly
1, 2, 3 and 4	Change management	Freedom Pass and Taxicard	Development work and releases	Development work should be fully completed and released to the live environment, after successful QA testing, on the date originally specified by the service provider (subject to the Authority meeting its obligations with regard to its own inputs)	100%	20 service points per week delay (to be applied to the cost of development in question to a maximum of 10% of the cost)	Number of working days from the original release date to the day of the actual release date	Delays to development work can impact the service provided by London Councils and carry a reputational risk	Weekly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Telephony availability	Telephony and IT infrastructure available for target percentage of service core hours (8am - 8pm, seven days a week, 364 days a year) in any given month	99%	1 service point per percentage point below KPI	Number of hours the telephony and IT infrastructure is available as a percentage of total service core hours	Lack of telephony and IT infrastructure prevents contact service centre staff working; lack of telephony prevents the public from making enquiries and replacing cards, which could impact customers	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Percentage of calls to the contact centre shall be answered by an operative within 45 seconds of the end of any automated message	85%	Monitor only	Number of calls answered within 45 seconds compared to the total number of calls answered	If a call is not answered promptly, callers may abandon the call. Not being able to contact the contact centre could lead to complaints and impact eligible pass holders who require a pass to travel	Monthly

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Percentage of calls to the contact centre shall be answered by an operative within 90 seconds of the end of any automated message	90%	Monitor only	Number of calls answered within 90 seconds compared to the total number of calls answered	If a call is not answered promptly, callers may abandon the call. Not being able to contact the contact centre could lead to complaints and impact eligible pass holders who require a pass to travel	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Abandoned call rate at the end of the recorded message shall not exceed 2% of total calls offered	2%	2 service points per percentage point above KPI (2%)	Number of calls abandoned compared to the total number of calls received	Not being able to contact the contact centre could lead to complaints and impact eligible pass holders who require a pass to travel	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Percentage of emails to the contact centre shall be responded to by an operative with a resolution to the enquiry within 3 working days of receiving the email (not including an automated acknowledgement of email or holding email)	95% within 3 working days	2 service points per percentage point below KPI	Number of working days from receiving an email enquiry to the day the email response and resolution to the enquiry is sent	Not receiving a timely response to an email enquiry could lead to multiple enquiries, by letter, phone or email, and complaints. No satisfactory response could impact eligible pass holders who require a pass to travel	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Percentage of whitemail (letters) to the contact centre shall be processed and, where necessary, responded to by an operative with a resolution to the enquiry within 3 working days of receiving the letter (not including an automated acknowledgement of letter)	95% within 3 working days	2 service points per percentage point below KPI	Number of working days from receiving a written enquiry to the day the written response and resolution to the enquiry is posted	Not receiving a timely response to an email enquiry could lead to multiple enquiries, by letter, phone or email, and complaints. No satisfactory response could impact eligible pass holders who require a pass to travel	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Card management	Returned passes to be destroyed one month from day of receipt (except where correspondence has been received from the pass holder / if replacement card has not already been issued)	100%	Monitor only	Number of passes returned against number of passes destroyed	Passes must be securely destroyed according to London Councils information retention policy	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Reports of cheques and postal orders made payable to London Councils that have been banked to be emailed to London Councils finance team at month end (spreadsheet of payee details and copy of pay-in slip)	100%	Monitor only	Record of date payment received against date payment banked, cheque/postal order number and details of payee	For finance purposes	Monthly

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Valid cheques/cash/postal orders received by contact centre to be validated, processed and banked within 2 working days of receipt	100%	Monitor only	Record of date payment received and date payment banked	For security purposes	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Invalid cheques and postal orders to be rejected and returned to the pass holder within 2 days of receipt	98%	Monitor only	Record of date payment received and date payment banked	For security purposes	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Complaints received by the contact centre to be acknowledged in writing/by email within 2 working days	98%	Monitor only	Number of working days from the contact centre receiving a complaint (by email/letter/telephone/social media) to the day the complaint is formally acknowledged	Complaints affect the reputation of London Councils and boroughs and the service provided	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	Complaints received by the contact centre to be resolved and responded to within 15 working days	100%	Monitor only	Number of working days from the contact centre receiving a complaint (by email/letter/telephone/social media) to the day the complaint is formally responded to	Complaints affect the reputation of London Councils and boroughs and the service provided	Monthly
3 and 4	Customer Contact Centre	Freedom Pass and Taxicard	Contact centre service	75% of customers rating their satisfaction with the service they have received at seven or above on a scale of 1-10 where 1 is very poor and 10 is excellent.	From a sample of at least 500 at least once a quarter	Monitor only	A scale of 1-10 where 1 is very poor and 10 is excellent.	Dissatisfied customers affect the reputation of London Councils and boroughs and the service provided	Quarterly
1 and 4	IT service and infrastructure	Freedom Pass and Taxicard	CMS availability	A CMS for Freedom Pass records, and other services available, shall be available for target percentage of service core hours (8am - 8pm, seven days a week, 364 days a year) in any given month	99%	1 service point per percentage point below KPI	Number of hours the CMS is available as a percentage of total service core hours	Lack of CMS prevents all users working and impacts the service to members of the public, which could affect the reputation of London Councils	Monthly
1 and 4	IT service and infrastructure	Freedom Pass and Taxicard	CMS availability	A CMS for Freedom Pass records, and other services available, shall be available for target percentage outside of service core hours (8pm - 8am, seven days a week, 364 days a year) in any given month	95%	1 service point per percentage point below KPI	Number of hours the CMS is available as a percentage of total non service core hours	Borough officers and London Councils may require access to CMS outside of service core hours. Lack of CMS prevents all users working and the service to members of the public, which could affect the reputation of London Councils	Monthly

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
1 and 4	IT service and infrastructure	Freedom Pass and Taxicard	Portal availability	Portal for applicants and pass holders of Freedom Pass, and other services procured through this contract, for target percentage of service core hours (6am - 12 midnight, seven days a week, 364 days a year) in any given month	99%	1 service point per percentage point below KPI	Number of hours the portal is available as a percentage of total service core hours	Lack of portal access prevents customers of the scheme from completing transactions online, which could result in an increase in contacts with the customer service centre and impact London Councils financially and reputationally	Monthly
1 and 4	IT service and infrastructure	Freedom Pass and Taxicard	Portal availability	Portal for applicants and pass holders of Freedom Pass and other services procured through this contract for target percentage outside of service core hours (12 midnight - 6am, seven days a week, 364 days a year) in any given month	95%	1 service point per percentage point below KPI	Number of hours the portal is available as a percentage of total non service core hours	Lack of portal access prevents customers of the scheme from completing transactions online, which could result in an increase in contacts with the customer service centre and impact London Councils financially and reputationally	Monthly
1, 3 and 4	IT service and infrastructure	Freedom Pass and Taxicard	IT support related to the CMS, Portal and Telephony	Percentage of emails to the service desk reporting issues that prevent users of the CMS, portal or telephone service undertaking business as usual activities, shall be acknowledged with an incident reference number within 1 hour of receiving the email during a working day (Monday to Friday, 8am - 6pm)	100%	Monitor only	Number of hours (during a working day) from an issue being reported to the service desk to the time the issue is acknowledged with an incident reference number	Incidents raised need to be investigated and resolved urgently to avoid further problems impacting the level of service received by the public and users of the CMS	Monthly
1, 3 and 4	IT service and infrastructure	Freedom Pass and Taxicard	IT support related to the CMS, Portal and Telephony	Percentage of reported issues that prevent users of the CMS, portal or telephone service undertaking business as usual activities diagnosed within 3.5 hours (Monday to Friday)	95%	Monitor only	Number of hours (during a working day) from an issue being reported to the service desk to the time the issue is diagnosed	Incidents raised need to be investigated and resolved urgently to avoid further problems impacting the level of service received by the public and users of the CMS	Monthly
1, 3 and 4	IT service and infrastructure	Freedom Pass and Taxicard	IT support related to the CMS, Portal and Telephony	Percentage of reported issues that prevent users of the CMS, portal or telephone service undertaking business as usual activities to be resolved within 1 working day of receiving notification of the issue.	95%	1 service point per percentage point below KPI	Number of hours (during a working day) from an issue being acknowledged by the service desk to the time the issue is resolved	Incidents raised need to be resolved urgently to avoid further problems impacting the level of service received by the public and users of the CMS	Monthly

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
1, 3 and 4	IT service and infrastructure	Freedom Pass and Taxicard	CMS performance	Percentage of all screen responses for reports shall be within 10 seconds of depressing the key or mouse button (with the exception of the P401 report)	95%	1 service point per percentage point below KPI	Number of screen responses outside 10 seconds against total number	A delay in screen responses affects the productivity of borough officers and London Councils staff	Monthly
1, 3 and 4	IT service and infrastructure	Freedom Pass and Taxicard	CMS performance	Percentage of all screen responses (including scanned images, but excluding reports) shall be within 3 seconds of depressing the key or mouse button	95%	1 service point per percentage point below KPI	Number of screen responses outside 3 seconds against total number	A delay in screen responses affects the productivity of all users, including borough officers and contact centre staff	Monthly
1	Renewals	Freedom Pass	Renewal applications: online	Percentage of online renewal applications submitted within any given month shall be processed and validated (evidence accepted or rejected) within 3 working days of receipt	95%	1 service point per percentage point below KPI	Number of working days from a renewal application being submitted online to the day the renewal application is validated (accepted or rejected)	Pass holders are advised to expect their renewed pass up to 4 weeks from completing a valid application, and before the expiry date of their current pass. Delays in sending a renewed pass may lead to an increase in enquiries to the contact centre, could lead to complaints and impact the transport network if pass holders do not have valid passes to travel.	Weekly during a renewal period
1	Renewals	Freedom Pass	Renewal applications: paper	Percentage of paper renewal applications submitted within any given month shall be processed and validated (evidence accepted or rejected) within 5 working days of receipt	95%	1 service point per percentage point below KPI	Number of working days from a renewal application being received by post to the day the renewal application is validated (accepted or rejected)	Pass holders are advised to expect their renewed pass up to 4 weeks from completing a valid application, and before the expiry date of their current pass. Delays in sending a renewed pass may lead to an increase in enquiries to the contact centre, could lead to complaints and impact the transport network if pass holders do not have valid passes to travel.	Weekly during a renewal period



Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
2	Renewals	Freedom Pass	Renewal card production	Percentage of renewal cards produced within a renewal period shall be dispatched within 4 weeks of a complete renewal application being submitted by the passholder.	95%	1 service point per percentage point below KPI	Number of working days from a renewal application being validated (accepted or rejected) to the day the card is dispatched	Pass holders are advised to expect their renewed pass up to 4 weeks from completing a valid application, and before the expiry date of their current pass. Delays in sending a renewed pass may lead to an increase in enquiries to the contact centre, could lead to complaints and impact the transport network if pass holders do not have valid passes to travel.	Weekly during a renewal period
3	Renewals	Freedom Pass	Renewals calls	Percentage of renewal related calls to the contact centre shall be answered by an operative within 45 seconds of the end of any automated message	85%	Monitor only	Number of calls answered within 45 seconds compared to the number of calls answered	If a call is not answered promptly, callers may abandon the call. Not being able to contact the contact centre could lead to complaints and impact eligible pass holders who require a replacement pass to travel	Weekly during a renewal period
3	Renewals	Freedom Pass	Renewals calls	Percentage of renewal related calls to the contact centre shall be answered by an operative within 90 seconds of the end of any automated message	90%	Monitor only	Number of calls answered within 90 seconds compared to the number of calls answered	If a call is not answered promptly, callers may abandon the call. Not being able to contact the contact centre could lead to complaints and impact eligible pass holders who require a replacement pass to travel	Weekly during a renewal period
3	Renewals	Freedom Pass	Renewal calls	Abandoned call rateafter 90 seconds shall not exceed 2% of total calls offered	2%	1 service point per percentage point below KPI	Number of calls abandoned compared to the total number of calls offered after 90 seconds	Not being able to contact the contact centre could lead to complaints and impact eligible pass holders who require a pass to travel	Weekly during a renewal period
3	Renewals	Freedom Pass	Renewal emails	Percentage of renewal related emails to the contact centre shall be responded to by an operative with a resolution to the enquiry within 3 days of receiving the email (not including an automated acknowledgement of email)	95%	1 service point per percentage point below KPI	Number of working days from receiving an email enquiry to the day the email response and resolution to the enquiry is sent	Not receiving a timely response to an email enquiry could lead to multiple enquiries, by letter, phone or email, and complaints. No satisfactory response could impact eligible pass holders who require a pass to travel	Weekly during a renewal period

Service Area	KPI group	Applies to Freedom Pass / Taxicard	What is being measured?	Service Level	Key Performance Indicator	Service Points if KPI not met	How measured?	Why measured?	How often measured?
3	Renewals	Freedom Pass	Renewal whitemail	Percentage of whitemail (letters and faxes) to the contact centre shall be responded to by an operative with a resolution to the enquiry within 3 working days of receiving the letter (not including an automated acknowledgement of letter)	100%	1 service point per percentage point below KPI	Number of working days from receiving a written enquiry to the day the written response and resolution to the enquiry is posted	Not receiving a timely response to an email enquiry could lead to multiple enquiries, by letter, phone or email, and complaints. No satisfactory response could impact eligible pass holders who require a pass to travel	Weekly during a renewal period

This Schedule provides details of the Service Credits that will apply in the event that the Service Provider for any reason fails to meet the various levels of service and associated criteria, as defined in Section G Appendix 1, which the Service Provider shall achieve in the delivery of the Services in order to facilitate the achievement by London Councils of its business objectives.

The Schedule also contains details of the thresholds associated with Service Credits and termination of the Agreement.

Throughout this Schedule and its annexes:

- Montspeh means a calendar month;
- Quarter means a period consisting of any 3 consecutive calendar months; and
- Year means a period consisting of any 12 consecutive calendar months.

## **Service Credits**

London Councils shall accrue Service Points (SPs) when, through no fault of London Councils or the TCAs, the Service Provider fails to meet the KPIs defined in Section G Appendix 1.

SPs shall accrue at the rates and over pre-defined periods as specified in Section G Appendix 1.

SPs shall accrue only in respect of Services (or Service elements) that incur an actual failure and shall not accrue in respect of Services which are unavailable because another Service is down.

Accrual of SPs shall be on a cumulative basis for each Service Level set out in Section G Appendix 1. For the avoidance of doubt, this means that SPs shall be calculated separately on the occurrence of any area of underperformance against the KPI groups listed in Section G Appendix 1 and then they shall be added together to give the total SPs which will feed into the Service Credit regime.

There shall be no limit on the number of SPs which may accrue in any period.

Each month SPs shall be converted to a Service Credit which shall be set as a percentage of the relevant Charge and credited to London Councils in accordance with the provisions in

Section G Appendix 2 Service Credits Annex 2 to this schedule. This amount (called the Service Credits Payment) shall be subject to a monthly/annual cap as set out below and shall be credited to London Councils on a monthly basis in respect of accrued Service Credits for each relevant Measurement Period.

The amount of Service Credits in any month, quarter or year shall be limited to a maximum of 10% of the total Charge for the Service in question as set out in

SECTION H Appendix 6: Pricing Schedule. For example, service credits relating to service areas 1-3 for Freedom Pass will be applied independently of Service Credits relating to service areas 1-3 for Taxicard (or other services) and vice versa, as these are separate services that have separate budget codes and will be invoiced separately. Service Credits related to, renewals and change control items which shall be levied solely against the agreed, renewal or change control in question.

The Service Credits Payment shall either be paid directly to London Councils or deducted from payments due by London Councils.

The Service Provider shall be responsible for monitoring Service Levels and for accruing Service Points, and for reporting details of these to London Councils on a monthly basis, as set out in Section G Appendix 1. The Service Provider must report Service Points and Service Credits relating to each service area separately even if the same service levels apply across all of the services. For example, the Service Provider is required to report on application processing and card production for Freedom Pass and Taxicard separately.

### **Service Credit and Termination Thresholds**

There are two (2) thresholds associated with Service Credits, each of which is measured in numbers of service points:

- Service Credits Threshold;
- Termination Threshold.

Each KPI group of the Service shall have separate Service Credit and Termination Thresholds. The Termination Threshold may also be calculated across all the Services for each KPI Group.

Each threshold is equivalent to a specific number of Service Points (SPs), accumulated over a Month, or a Quarter, or a Year, as set out in the Service Credits Thresholds table in

## Section G Appendix 2 Service Credits Annex 2.

In the event that accrued SPs equal or exceed the number specified for any Month or any Quarter or any Year for each KPI group, then the relevant threshold will have been breached and London Councils shall be entitled to take the appropriate action as follows :

- A. No action shall be taken provided the number of SPs remains below the Service Credits Threshold;
- B.** If the number of SPs in any Month, Quarter or Year is equal to or greater than the Service Credits Threshold, then Service Credit payments shall accrue to London Councils as detailed in

- C. Section G Appendix 2 Service Credits Annex 2;
- D. London Councils may, at its discretion, take such remedial action as it deems necessary to ensure restoration and/or continuation of the Services in accordance with the Service Levels, and the Service Provider shall be liable for all reasonable associated costs incurred by London Councils.

If the number of SPs in any Month, Quarter or Year is equal to or greater than the Termination Threshold, then

- the provisions of B and C above shall apply; and
- the Service Provider shall be in material Default of this Agreement. This shall constitute a Service Provider Termination Event, which shall entitle London Councils to terminate the Agreement in accordance with the provisions of SECTION F: Contract.

For the avoidance of doubt, if the Termination Threshold is breached and London Councils decides not to terminate the Agreement as set out in B above, then the provisions as set out in C above shall continue to apply.

## **Section G Appendix 2 Service Credits Annex 1**

This Annex, which should be read alongside Section G Appendix 1 contains Service Credits in respect of IT Service and Infrastructure; Application Processing and Card Production; Customer Contact Centre; Renewals; and Change Management.

### **SERVICE CREDITS for IT Service and Infrastructure**

Service points will be converted to Service Credits at the rate 20 SPs = 1 Service Credit

### **SERVICE CREDITS for Application Processing and Card Production**

Service points will be converted to Service Credits at the rate 20 SPs = 1 Service Credit

### **SERVICE CREDITS in Customer Contact Centre**

Service points will be converted to Service Credits at the rate 20 SPs = 1 Service Credit.

### **SERVICE CREDITS for Renewals**

Service points will be converted to Service Credits at the rate 20 SPs = 1 Service Credit.

### **SERVICE CREDITS for Change Management**

Service points will be converted to Service Credits at the rate 10 SPs = 3 Service Credit.



## Section G Appendix 2 Service Credits Annex 2

### Service Credit Thresholds and Service Credits Payment Process

#### Service Credit and Termination Thresholds

Accrual of Service Points:

The Service Provider shall monitor Service Levels and shall calculate the number of Service Points (SPs) which have accrued to London Councils during each Month, Quarter and Year.

Thresholds for each KPI Group:

The Service Credits Threshold and the Termination Threshold for each Service are specified in the table below.

**Table 7: Service Credit and Termination thresholds**

<b>KPI Group(s)</b>	<b>Service Credit Threshold (Measured in number of Service Points)</b>	<b>Termination Threshold (Measured in number of Service Points)</b>	<b>Monitoring Period</b>
IT Service and Infrastructure	100 SPs 300 SPs 1,200 SPs	1,000 SPs 3,000 SPs 12,000 SPs	Month, Quarter, Year
Application Processing and Card Production	100 SPs 300 SPs 1,200 SPs	500 SPs 1,500 SPs 6,000 SPs	Month, Quarter, Year
Customer Contact Centre	100 SPs 300 SPs 12,000 SPs	500 SPs 1,500 SPs 6,000 SPs	Month, Quarter, Year
Renewals	300 SPs	500 SPs 1,500 SPs	Week Month
Change Management	80 SPs	800 SPs	Week

If the number of Service Points (SPs) is equal to or greater than the number specified then the particular threshold for the specified KPI Group has been reached and each service credit will be converted to 1% of the total value of the total invoiced charges for the period in question.

If the Service Credit Threshold has been reached for a particular service or services, then the total incurred SPs for that service or services shall be converted to Service Credits at the rates set out in

Section G Appendix 2 Service Credits Annex 1, and the resulting Service Payment shall be deducted from the Service Provider's overall payment for the period in question.

For example, if the number of service points accrued in a month for Application Processing and Card Production totalled 108, the Service Credit Threshold (100 service points) would have been breached. This would result in the Service Points being converted into Service Credits at the rate specified in

Section G Appendix 2 Service Credits Annex 1 i.e. 1 Service Credit for every 20 Service Points. Consequently, 5.4 Service Credits would be awarded, resulting in a 5.4% reduction to the total amount payable to the provider in that month.

If the Termination Threshold has been reached for a particular KPI Group or KPI, then the Service Provider shall be in material Default of the Agreement. Termination Thresholds will be measured across months, quarters and annually.

#### Termination Threshold across Services

In the event that, at any single point in time, the relevant Service Credit Thresholds have been reached in respect of all five (5) KPI Groups against any one Service Level, this shall also constitute a breach of the Termination Threshold and the Service Provider shall be in material Default of the Agreement.

#### Persistent Service Failure

In the event that for any three (3) consecutive months, the Service Credit Threshold has been reached in respect of all five (5) KPI Groups against any one Service Level, this shall also constitute a breach of the Termination Threshold and the Service Provider shall be in material Default of the Agreement.

#### Service Credits Payments

Each Service Credit shall have a monetary value equivalent to one 1% of the total value of the total invoiced charges for the period in question.

### **Service Credits Payment Process**

#### **Service Credits Report**

At the commencement of each Month, the Service Provider shall produce a Service Points Summary Report, as set out in Section G Appendix 1.

This report records the Service Points (SPs) which have accrued for

- the preceding Month;
- the preceding Quarter; and
- the preceding Year.

#### **Conversion of Service Points (SPs) to Service Credit Payment**

Service Credits shall be determined on a Monthly basis, based upon the SPs which have accrued during the preceding Month, preceding Quarter and preceding Year.

Each Month, if for any Service Level the SPs for the preceding Month, Quarter or Year are respectively equal to or greater than the relevant Monthly, Quarterly or Yearly Service Credits Threshold, then the SPs above each SC Threshold shall be converted to a Service Credit payment, as defined in the table included in

Section G Appendix 2 Service Credits Annex 2, and all such Service Credits shall be added together to arrive at the total Service Credit payment for the Month.

Each Service Credit shall be equivalent to a monetary value equal to 1% of the Monthly Service Charges then due in the relevant Service Period.

**Payment of Service Credits**

Any Service Credits shall be paid or credited to London Councils as set out in above, subject to an overall maximum amount of 10% of the overall payment to the Service Provider for the period in question.

## SECTION H: PQQ and Tender Response

Note to interested parties / tenderers: Interested parties are only required to submit SECTION H APPENDIX 1: Pre-Qualification Questionnaire (below) at the PQQ stage. Please do not complete or submit any of the other appendices in section H (below) unless and until you are invited to submit a full tender.

### SECTION H APPENDIX 1: Pre-Qualification Questionnaire

This section sets out both the requirements and criteria for assessing the economic standing, financial and technical capacity and capability of prospective suppliers of the services. Tenderers should note that the first stage of assessing the tenders will focus upon this aspect of their bid, and only the five highest scoring bids (or fewer if insufficient numbers of expressions of interest are received) following the assessment of these criteria will then be invited to submit a full tender

.

#### **Notes for completion**

1. The “Authority” means the public sector contracting Authority, or anyone acting on behalf of the contracting Authority, that is seeking to invite suitable Suppliers to participate in this procurement process.

2. “You”/ “Your” or “Supplier” means the body completing these questions **i.e. the legal entity seeking to be invited to the next stage of the procurement process and responsible for the information provided.** The ‘Supplier’ is intended to cover any economic operator as defined by the Public Contracts Regulations 2015 and could be a registered company; charitable organisation; Voluntary Community and Social Enterprise (VCSE); Special Purpose Vehicle; or other form of entity.

3. This Pre-Qualification Questionnaire (PQQ) has been designed to assess the suitability of a Supplier to deliver the Authority’s contract requirement(s). If you are successful at this stage of the procurement process, you will be selected for the subsequent award stage of the process.

4. Please ensure that all questions are completed in full, and in the format requested. Failure to do so may result in your submission being disqualified. If the question does not apply to you, please state clearly ‘N/A’.

5. Should you need to provide additional Appendices in response to the questions, these should be numbered clearly and listed as part of your declaration. A template for providing additional information is provided at the end of this document.

### **Verification of Information Provided**

1. Whilst reserving the right to request information at any time throughout the procurement process, the Authority may enable the Supplier to self-certify that there are no mandatory/ discretionary grounds for excluding their organisation. When requesting evidence that the Supplier can meet the specified requirements (such as the questions in section 7 of this PQQ relating to Technical and Professional Ability) the Authority may only obtain such evidence after the final tender evaluation decision i.e. from the winning Supplier only.

### **Sub-contracting arrangements**

8. Where the Supplier proposes to use one or more sub-contractors to deliver some or all of the contract requirements, a separate Appendix should be used to provide details of the proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for.

9. The Authority recognises that arrangements in relation to sub-contracting may be subject to future change, and may not be finalised until a later date. However, Suppliers should be aware that where information provided to the Authority indicates that sub-contractors are to play a significant role in delivering key contract requirements, any changes to those sub-contracting arrangements may affect the ability of the Supplier to proceed with the procurement process or to provide the supplies and/or services required. Suppliers should therefore notify the Authority immediately of any change in the proposed sub-contractor arrangements. The Authority reserves the right to deselect the Supplier prior to any award of contract, based on an assessment of the updated information.

### **Consortia arrangements**

10. If the Supplier completing this PQQ is doing so as part of a proposed consortium, the following information must be provided;

- names of all consortium members;
- the lead member of the consortium who will be contractually responsible for delivery of the contract (if a separate legal entity is not being created); and
- if the consortium is not proposing to form a legal entity, full details of proposed arrangements within a separate Appendix.

11. Please note that the Authority may require the consortium to assume a specific legal form if awarded the contract, to the extent that a specific legal form is deemed by the Authority as being necessary for the satisfactory performance of the contract.



12. All members of the consortium will be required to provide the information required in all sections of the PQQ as part of a single composite response to the Authority i.e. each member of the consortium is required to complete the form.

13. Where you are proposing to create a separate legal entity, such as a Special Purpose Vehicle (SPV), you should provide details of the actual or proposed percentage shareholding of the constituent members within the new legal entity in a separate Appendix.

14. The Authority recognises that arrangements in relation to a consortium bid may be subject to future change. Suppliers should therefore respond on the basis of the arrangements as currently envisaged. Suppliers are reminded that the Authority must be immediately notified of any changes, or proposed changes, in relation to the bidding model so that a further assessment can be carried out by applying the selection criteria to the new information provided. The Authority reserves the right to deselect the Supplier prior to any award of contract, based on an assessment of the updated information.

### **Confidentiality**

15. When providing details of contracts in answering section 6 of this PQQ (Technical and Professional Ability), the Supplier agrees to waive any contractual or other confidentiality rights and obligations associated with these contracts.

16. The Authority reserves the right to contact the named customer contact in section 6 regarding the contracts included in section 6. The named customer contact does not owe the Authority any duty of care or have any legal liability, except for any deceitful or maliciously false statements of fact.

17. The Authority confirms that it will keep confidential and will not disclose to any third parties any information obtained from a named customer contact, other than to the Cabinet Office and/or contracting authorities defined by the Public Contracts Regulations.

## 1 - Supplier information – this is not a scored section

1.1 Supplier details	Answer	
Full name of the Supplier completing the PQQ		
Registered company address		
Registered company number		
Registered charity number		
Registered VAT number		
Name of immediate parent company		
Name of ultimate parent company		
Please mark 'X' in the relevant box to indicate your trading status	i) a public limited company	<input type="checkbox"/> Yes
	ii) a limited company	<input type="checkbox"/> Yes
	iii) a limited liability partnership	<input type="checkbox"/> Yes
	iv) other partnership	<input type="checkbox"/> Yes
	v) sole trader	<input type="checkbox"/> Yes

	vi) other (please specify)	<input type="checkbox"/> Yes
Please mark 'X' in the relevant boxes to indicate whether any of the following classifications apply to you	i) Voluntary, Community and Social Enterprise (VCSE)	<input type="checkbox"/> Yes
	ii) Small or Medium Enterprise (SME) <sup>1</sup>	<input type="checkbox"/> Yes
	iii) Sheltered workshop	<input type="checkbox"/> Yes
	iv) Public service mutual	<input type="checkbox"/> Yes
<b>1.2 Bidding model</b>		
<b>Please mark 'X' in the relevant box to indicate whether you are;</b>		
a) Bidding as a Prime Contractor and will deliver 100% of the key contract deliverables yourself	<input type="checkbox"/> Yes	
b) Bidding as a Prime Contractor and will use third parties to deliver <u>some</u> of the services  If yes, please provide details of your proposed bidding model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for.	<input type="checkbox"/> Yes	
c) Bidding as Prime Contractor but will operate as a Managing Agent and will use third parties to deliver <u>all</u> of the services  If yes, please provide details of your proposed bidding	<input type="checkbox"/> Yes	

<sup>1</sup> See EU definition of SME: <http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-definition/>

model that includes members of the supply chain, the percentage of work being delivered by each sub-contractor and the key contract deliverables each sub-contractor will be responsible for.		
<p>d) Bidding as a consortium but not proposing to create a new legal entity.</p> <p>If yes, please include details of your consortium in the next column and use a separate Appendix to explain the alternative arrangements i.e. why a new legal entity is not being created.</p> <p>Please note that the Authority may require the consortium to assume a specific legal form if awarded the contract, to the extent that it is necessary for the satisfactory performance of the contract.</p>	<input type="checkbox"/> Yes <p><b><u>Consortium members</u></b></p> <p><b><u>Lead member</u></b></p>	
<p>e) Bidding as a consortium and intend to create a Special Purpose Vehicle (SPV).</p> <p>If yes, please include details of your consortium, current lead member and intended SPV in the next column and provide full details of the bidding model using a separate Appendix.</p>	<input type="checkbox"/> Yes <p><b><u>Consortium members</u></b></p> <p><b><u>Current lead member</u></b></p> <p><b><u>Name of Special Purpose Vehicle</u></b></p>	

<b>1.3 Contact details</b>	
Supplier contact details for enquiries about this PQQ	
Name	
Postal address	
Country	
Phone	
Mobile	

E-mail	
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1.4 Licensing and registration (please mark 'X' in the relevant box)		
1.4.1	<p>Registration with a professional body</p> <p>If applicable, is your business registered with the appropriate trade or professional register(s) in the EU member state where it is established (as set out in Annex XI of directive 2014/24/EU) under the conditions laid down by that member state).</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If Yes, please provide the registration number in this box.</p>
1.4.2	<p>Is it a legal requirement in the state where you are established for you to be licensed or a member of a relevant organisation in order to provide the requirement in this procurement?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If Yes, please provide additional details within this box of what is required and confirmation that you have complied with this.</p>

## 2 - Grounds for mandatory exclusion

You will be excluded from the procurement process if there is evidence of convictions relating to specific criminal offences including, but not limited to, bribery, corruption, conspiracy, terrorism, fraud and money laundering, or if you have been the subject of a binding legal decision which found a breach of legal obligations to pay tax or social security obligations (except where this is disproportionate e.g. only minor amounts involved).

If you have answered “yes” to question 2.2 on the non-payment of taxes or social security contributions, and have not paid or entered into a binding arrangement to pay the full amount, you may still avoid exclusion if only minor tax or social security contributions are unpaid or if you have not yet had time to fulfil your obligations since learning of the exact amount due. If your organisation is in that position please provide details using a separate Appendix. You may contact the Authority for advice before completing this form.

2.1 Within the past five years, has your organisation (or any member of your proposed consortium, if applicable), Directors or partner or any other person who has powers of representation, decision or control been convicted of any of the following offences?	Please indicate your answer by marking 'X' in the relevant box.	
	Yes	No
(a) conspiracy within the meaning of section 1 or 1A of the Criminal Law Act 1977 or article 9 or 9A of the Criminal Attempts and Conspiracy (Northern Ireland) Order 1983 where that conspiracy relates to participation in a criminal organisation as defined in Article 2 of Council Framework Decision 2008/841/JHA on the fight against organised crime;		
(b) corruption within the meaning of section 1(2) of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;		
(c) the common law offence of bribery;		
(d) bribery within the meaning of sections 1, 2 or 6 of the Bribery Act 2010; or section 113 of the Representation of the People Act 1983;		

(e) any of the following offences, where the offence relates to fraud affecting the European Communities' financial interests as defined by Article 1 of the Convention on the protection of the financial interests of the European Communities:		
(i) the offence of cheating the Revenue;		
(ii) the offence of conspiracy to defraud;		
(iii) fraud or theft within the meaning of the Theft Act 1968, the Theft Act (Northern Ireland) 1969, the Theft Act 1978 or the Theft (Northern Ireland) Order 1978;		
(iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985, article 451 of the Companies (Northern Ireland) Order 1986 or section 993 of the Companies Act 2006;		
(v) fraudulent evasion within the meaning of section 170 of the Customs and Excise Management Act 1979 or section 72 of the Value Added Tax Act 1994;		
(vi) an offence in connection with taxation in the European Union within the meaning of section 71 of the Criminal Justice Act 1993;		
(vii) destroying, defacing or concealing of documents or procuring the execution of a valuable security within the meaning of section 20 of the Theft Act 1968 or section 19 of the Theft Act (Northern Ireland) 1969;		
(viii) fraud within the meaning of section 2, 3 or 4 of the Fraud Act 2006; or		
(ix) the possession of articles for use in frauds within the meaning of section 6 of the Fraud Act 2006, or the making, adapting, supplying or offering to supply articles for use in frauds within the meaning of section 7 of that Act;		
(f) any offence listed—		

(i) in section 41 of the Counter Terrorism Act 2008; or		
(ii) in Schedule 2 to that Act where the court has determined that there is a terrorist connection;		
(g) any offence under sections 44 to 46 of the Serious Crime Act 2007 which relates to an offence covered by subparagraph (f);		
(h) money laundering within the meaning of sections 340(11) and 415 of the Proceeds of Crime Act 2002;		
(i) an offence in connection with the proceeds of criminal conduct within the meaning of section 93A, 93B or 93C of the Criminal Justice Act 1988 or article 45, 46 or 47 of the Proceeds of Crime (Northern Ireland) Order 1996;		
(j) an offence under section 4 of the Asylum and Immigration (Treatment of Claimants etc.) Act 2004;		
(k) an offence under section 59A of the Sexual Offences Act 2003;		
(l) an offence under section 71 of the Coroners and Justice Act 2009		
(m) an offence in connection with the proceeds of drug trafficking within the meaning of section 49, 50 or 51 of the Drug Trafficking Act 1994; or		
(n) any other offence within the meaning of Article 57(1) of the Public Contracts Directive—		
(i) as defined by the law of any jurisdiction outside England and Wales and Northern Ireland; or		
(ii) created, after the day on which these Regulations were made, in the law of England and Wales or Northern Ireland.		



<p><b><u>Non-payment of taxes</u></b></p> <p><b>2.2 Has it been established by a judicial or administrative decision having final and binding effect in accordance with the legal provisions of any part of the United Kingdom or the legal provisions of the country in which your organisation is established (if outside the UK), that your organisation is in breach of obligations related to the payment of tax or social security contributions?</b></p> <p>If you have answered Yes to this question, please use a separate Appendix to provide further details. Please also use this Appendix to confirm whether you have paid, or have entered into a binding arrangement with a view to paying, including, where applicable, any accrued interest and/or fines?</p>		
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### 3. Grounds for discretionary exclusion – Part 1

The Authority may exclude any Supplier who answers ‘Yes’ in any of the following situations set out in paragraphs (a) to (i);

3.1 Within the past three years, please indicate if any of the following situations have applied, or currently apply, to your organisation.	Please indicate your answer by marking ‘X’ in the relevant box.	
	Yes	No
(a) your organisation has violated applicable obligations referred to in regulation 56 (2) of the Public Contracts Regulations 2015 in the fields of environmental, social and labour law established by EU law, national law, collective agreements or by the international environmental, social and labour law provisions listed in Annex X to the Public Contracts Directive as amended from time to time;		
(b) your organisation is bankrupt or is the subject of insolvency or winding-up proceedings, where your assets are being administered by a liquidator or by the court, where it is in an arrangement with creditors, where its business activities are suspended or it is in any analogous situation arising from a similar procedure under the laws and regulations of any State;		
(c) your organisation is guilty of grave professional misconduct, which renders its integrity questionable;		
(d) your organisation has entered into agreements with other economic operators aimed at distorting competition;		
(e) your organisation has a conflict of interest within the meaning of regulation 24 of the Public Contracts Regulations 2015 that cannot be effectively remedied by other, less intrusive, measures;		
(f) the prior involvement of your organisation in the preparation of the procurement procedure has		

resulted in a distortion of competition, as referred to in regulation 41, that cannot be remedied by other, less intrusive, measures;		
(g) your organisation has shown significant or persistent deficiencies in the performance of a substantive requirement under a prior public contract, a prior contract with a contracting entity, or a prior concession contract, which led to early termination of that prior contract, damages or other comparable sanctions;		
(h) your organisation— (i) has been guilty of serious misrepresentation in supplying the information required for the verification of the absence of grounds for exclusion or the fulfilment of the selection criteria; or (ii) has withheld such information or is not able to submit supporting documents required under regulation 59 of the Public Contracts Regulations 2015; or		
(i) your organisation has undertaken to		
(aa) unduly influence the decision-making process of the contracting Authority, or		
(bb) obtain confidential information that may confer upon your organisation undue advantages in the procurement procedure; or		
(j) your organisation has negligently provided misleading information that may have a material influence on decisions concerning exclusion, selection or award.		

### **Conflicts of interest**

In accordance with question 3.1 (e), the Authority may exclude the Supplier if there is a conflict of interest which cannot be effectively remedied. The concept of a conflict of interest includes any situation where relevant staff members have, directly or indirectly, a financial, economic or other personal interest which might be perceived to compromise their impartiality and independence in the context of the procurement procedure.

Where there is any indication that a conflict of interest exists or may arise then it is the responsibility of the Supplier to inform the Authority, detailing the conflict in a separate Appendix. Provided that it has been carried out in a transparent manner, routine pre-market engagement carried out by the Authority should not represent a conflict of interest for the Supplier.

### **Taking Account of Tenderers' Past Performance**

In accordance with question (g), the Authority may assess the past performance of a Supplier (through a Certificate of Performance provided by a Customer or other means of evidence). The Authority may take into account any failure to discharge obligations under the previous principal relevant contracts of the Supplier completing this PQQ. The Authority may also assess whether specified minimum standards for reliability for such contracts are met.

In addition, the Authority may re-assess reliability based on past performance at key stages in the procurement process (i.e. Supplier selection, tender evaluation, contract award stage etc.). Suppliers may also be asked to update the evidence they provide in this section to reflect more recent performance on new or existing contracts (or to confirm that nothing has changed).

### **'Self-cleaning'**

Any Supplier that answers 'Yes' to questions 2.1, 2.2 and 3.1 should provide sufficient evidence, in a separate Appendix, that provides a summary of the circumstances and any remedial action that has taken place subsequently and effectively "self cleans" the situation referred to in that question. The Supplier has to demonstrate it has taken such remedial action, to the satisfaction of the Authority in each case.

If such evidence is considered by the Authority (whose decision will be final) as sufficient, the economic operator concerned shall be allowed to continue in the procurement process.

In order for the evidence referred to above to be sufficient, the Supplier shall, as a minimum, prove that it has;

- paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
- clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
- taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures taken by the Supplier shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Authority to be insufficient, the Supplier shall be given a statement of the reasons for that decision.

#### **4. Grounds for discretionary exclusion – Part 2**

The Authority reserves the right to use its discretion to exclude a Supplier where it can demonstrate the Supplier's non-payment of taxes/social security contributions where no binding legal decision has been taken.

Please note that Section 4 relating to tax compliance only applies where the Authority has indicated that the contract is over £5million in value, and the Authority is a Central Government Department (including their Executive Agencies and Non-Departmental Public Bodies).

“Occasion of Tax Non-Compliance” means:

(a) any tax return of the Supplier submitted to a Relevant Tax Authority on or after 1 October 2012 is found to be incorrect as a result of:

1. a Relevant Tax Authority successfully challenging the Supplier under the General Anti-Abuse Rule or the Halifax Abuse Principle or under any tax rules or legislation that have an effect equivalent or similar to the General Anti-Abuse Rule or the Halifax Abuse Principle;

2. the failure of an avoidance scheme which the Supplier was involved in, and which was, or should have been, notified to a Relevant Tax Authority under the DOTAS or any equivalent or similar regime; and/or

(b) the Supplier's tax affairs give rise on or after 1 April 2013 to a criminal conviction in any jurisdiction for tax related offences which is not spent at the Effective Date or to a penalty for civil fraud or evasion

From 1 April 2013 onwards, have any of your company's tax returns submitted on or after 1 October 2012; (Please indicate your answer by marking 'X' in the relevant box).		
4.1	Given rise to a criminal conviction for tax related offences which is unspent, or to a civil penalty for fraud or evasion;	<input type="checkbox"/> Yes  <input type="checkbox"/> No
4.2	Been found to be incorrect as a result of: <ul style="list-style-type: none"> <li>▪ HMRC successfully challenging it under the General Anti-Abuse Rule (GAAR) or the "Halifax" abuse principle; or</li> <li>▪ A Tax Authority in a jurisdiction in which the legal entity is established successfully challenging it under any tax rules or legislation that have an effect equivalent or similar to the GAAR or the "Halifax" abuse principle; or</li> <li>▪ the failure of an avoidance scheme which the Supplier was involved in and which was, or should have been, notified under the Disclosure of Tax Avoidance Scheme (DOTAS) or any equivalent or similar regime in a jurisdiction in which the Supplier is established.</li> </ul>	<input type="checkbox"/> Yes  <input type="checkbox"/> No
<p>If answering "Yes" to either 4.1 or 4.2 above, the Supplier may provide details of any mitigating factors that it considers relevant and that it wishes the Authority to take into consideration. This could include, for example:</p> <ul style="list-style-type: none"> <li>• Corrective action undertaken by the Supplier to date;</li> </ul>		

- Planned corrective action to be taken;
- Changes in personnel or ownership since the Occasion of Non-Compliance (OONC); or
- Changes in financial, accounting, audit or management procedures since the OONC.

In order that the Authority can consider any factors raised by the Supplier, the following information should be provided:

- A brief description of the occasion, the tax to which it applied, and the type of “non-compliance” e.g. whether HMRC or the foreign Tax Authority has challenged pursuant to the GAAR, the “Halifax” abuse principle etc.
- Where the OONC relates to a DOTAS, the number of the relevant scheme.
- The date of the original “non-compliance” and the date of any judgement against the Supplier, or date when the return was amended.
- The level of any penalty or criminal conviction applied.

## 5 - Economic and Financial Standing

This is a scored section London Councils expects suppliers to have had a minimum annual turnover of £2 million in each of the last two years. London Councils also reserves the right to use credit rating agencies to assess financial standing.

FINANCIAL INFORMATION									
5.1	<p><b>Please provide one of the following to demonstrate your economic/financial standing;</b></p> <p>Please indicate your answer with an 'X' in the relevant box.</p> <table border="1"> <tr> <td>(a) A copy of the audited accounts for the most recent two years</td> <td></td> </tr> <tr> <td>(b) A statement of the turnover, profit &amp; loss account, current liabilities and assets, and cash flow for the most recent year of trading for this organisation</td> <td></td> </tr> <tr> <td>(c) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position</td> <td></td> </tr> <tr> <td colspan="2">(d) Alternative means of demonstrating financial status if any of the above are not available (e.g. Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).</td> </tr> </table>	(a) A copy of the audited accounts for the most recent two years		(b) A statement of the turnover, profit & loss account, current liabilities and assets, and cash flow for the most recent year of trading for this organisation		(c) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position		(d) Alternative means of demonstrating financial status if any of the above are not available (e.g. Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).	
(a) A copy of the audited accounts for the most recent two years									
(b) A statement of the turnover, profit & loss account, current liabilities and assets, and cash flow for the most recent year of trading for this organisation									
(c) A statement of the cash flow forecast for the current year and a bank letter outlining the current cash and credit position									
(d) Alternative means of demonstrating financial status if any of the above are not available (e.g. Forecast of turnover for the current year and a statement of funding provided by the owners and/or the bank, charity accruals accounts or an alternative means of demonstrating financial status).									
5.2	<p>The Authority has specified a minimum level of economic and financial standing and/or a minimum financial threshold within the evaluation criteria for this PQQ, please self-certify by answering 'Yes' or 'No' that you meet the requirements set out here.</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>								
5.3	<p><b>(a) Are you are part of a wider group (e.g. a subsidiary of a holding/parent company)?</b></p> <p>If yes, please provide the name below:</p> <table border="1"> <tr> <td>Name of the organisation</td> <td></td> </tr> <tr> <td>Relationship to the Supplier completing the PQQ</td> <td></td> </tr> </table> <p>If yes, please provide Ultimate / parent company accounts if</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>	Name of the organisation		Relationship to the Supplier completing the PQQ					
Name of the organisation									
Relationship to the Supplier completing the PQQ									



	<p>available.</p> <p>If yes, would the Ultimate / parent company be willing to provide a guarantee if necessary?</p> <p>If no, would you be able to obtain a guarantee elsewhere (e.g from a bank?)</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>
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## 6 – Technical and Professional Ability

<b>6</b>	<p style="text-align: center;"><b>Relevant experience and contract examples</b></p> <p>Please provide details of up to <u>three</u> contracts, in any combination from either the public or private sector, that are relevant to the Authority's requirement. Contracts for supplies or services should have been performed during the past <u>three</u> years. Works contracts may be from the past <u>five</u> years, and VCSEs may include samples of grant funded work.</p> <p>The named customer contact provided should be prepared to provide written evidence to the Authority to confirm the accuracy of the information provided below.</p> <p>Consortia bids should provide relevant examples of where the consortium has delivered similar requirements; if this is not possible (e.g. the consortium is newly formed or a Special Purpose Vehicle will be created for this contract) then three separate examples should be provided between the principal member(s) of the proposed consortium or Special Purpose Vehicle (three examples are not required from each member).</p> <p>Where the Supplier is a Special Purpose Vehicle, or a managing agent not intending to be the main provider of the supplies or services, the information requested should be provided in respect of the principal intended provider(s) or sub-contractor(s) who will deliver the</p>
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	supplies and services.			
		Contract 1	Contract 2	Contract 3
6.1	Name of customer organisation			
6.2	Point of contact in customer organisation Position in the organisation E-mail address			
6.3	Contract start date Contract completion date Estimated Contract Value			
6.4	In no more than 500 words, please provide a brief description of the contract delivered including evidence as to your technical capability in this market.			
6.5 If you cannot provide at least one example for questions 6.1 to 6.4, in no more than 500 words please provide an explanation for this e.g. your organisation is a new start-up.				



### Additional PQQ modules

N/A

### A – Project specific questions to assess Technical and Professional Ability – this section is a scored section

Further project specific questions relating to the technical and professional ability of the Supplier.

With reference to the answers provided in section 6 above, please state in no more than 1,500 words, why you consider you have the relevant technical and professional ability to deliver this contract.

---

Responses will be scored using the following framework:

Grade	Interpretation	Criteria
0	Unacceptable	Nil or inadequate response. Fails to demonstrate technical and professional ability.
1	Poor	Response is partially relevant but generally poor. The response demonstrates some technical and professional ability, but contains insufficient/limited detail or explanation to demonstrate required capability and capacity to undertake the Contract.
2	Adequate	Response meets the requirements of the question is relevant and acceptable. The response provides sufficient evidence of required some technical and professional ability to undertake the contract but may lack details on how the requirement will be fulfilled in certain areas.
3	Good	Response performs well against the question showing considerable relevant evidence of some technical and professional ability to meet the Contract requirements. The response is sufficiently detailed to demonstrate a good understanding and provides details on how the requirements will be fulfilled.

## B - Insurance

1.	<p>Please self-certify whether you already have, or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated below:</p> <p>Employer's (Compulsory) Liability Insurance = £10million  Public Liability Insurance = £5million  Professional Indemnity Insurance = £2million  Product Liability Insurance = £5million</p> <p>* It is a legal requirement that all companies hold Employer's (Compulsory) Liability Insurance of £10million as a minimum. Please note this requirement is not applicable to Sole Traders.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No
----	---	---

## C – Compliance with equality legislation

For organisations working outside of the UK please refer to equivalent legislation in the country that you are located.		
1.	In the last three years, has any finding of unlawful discrimination been made against your organisation by an Employment Tribunal, an Employment Appeal Tribunal or any other court (or in comparable proceedings in any jurisdiction other than the UK)?	<input type="checkbox"/> Yes  <input type="checkbox"/> No
2.	<p>In the last three years, has your organisation had a complaint upheld following an investigation by the Equality and Human Rights Commission or its predecessors (or a comparable body in any jurisdiction other than the UK), on grounds of alleged unlawful discrimination?</p> <p>If you have answered “yes” to one or both of the questions in this module, please provide, as a separate Appendix, a summary of the nature of the investigation and an explanation of the outcome of the investigation to date.</p> <p>If the investigation upheld the complaint against your organisation, please use the Appendix to explain what action (if any) you have taken to prevent unlawful discrimination from reoccurring.</p> <p>You may be excluded if you are unable to demonstrate to the Authority’s satisfaction that appropriate remedial action has been taken to prevent similar unlawful discrimination reoccurring.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No
3.	If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations?	<input type="checkbox"/> Yes  <input type="checkbox"/> No

## D - Environmental Management

1.	<p>Has your organisation been convicted of breaching environmental legislation, or had any notice served upon it, in the last three years by any environmental regulator or Authority (including local Authority)?</p> <p>If your answer to this question is “Yes”, please provide details in a separate Appendix of the conviction or notice and details of any remedial action or changes you have made as a result of conviction or notices served.</p> <p>The Authority will not select bidder(s) that have been prosecuted or served notice under environmental legislation in the last 3 years, unless the Authority is satisfied that appropriate remedial action has been taken to prevent future occurrences/breaches.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No
2.	<p>If you use sub-contractors, do you have processes in place to check whether any of these organisations have been convicted or had a notice served upon them for infringement of environmental legislation?</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No

## E - Health and Safety

1.	<p>Please self-certify that your organisation has a Health and Safety Policy that complies with current legislative requirements.</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No
2.	<p>Has your organisation or any of its Directors or Executive Officers been in receipt of enforcement/remedial orders in relation to the Health and Safety Executive (or equivalent body) in the last 3 years?</p>	<input type="checkbox"/> Yes  <input type="checkbox"/> No

	<p>If your answer to this question was “Yes”, please provide details in a separate Appendix of any enforcement/remedial orders served and give details of any remedial action or changes to procedures you have made as a result.</p> <p>The Authority will exclude bidder(s) that have been in receipt of enforcement/remedial action orders unless the bidder(s) can demonstrate to the Authority’s satisfaction that appropriate remedial action has been taken to prevent future occurrences or breaches.</p>	
3.	<p>If you use sub-contractors, do you have processes in place to check whether any of the above circumstances apply to these other organisations?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p>

## 8 - Declaration

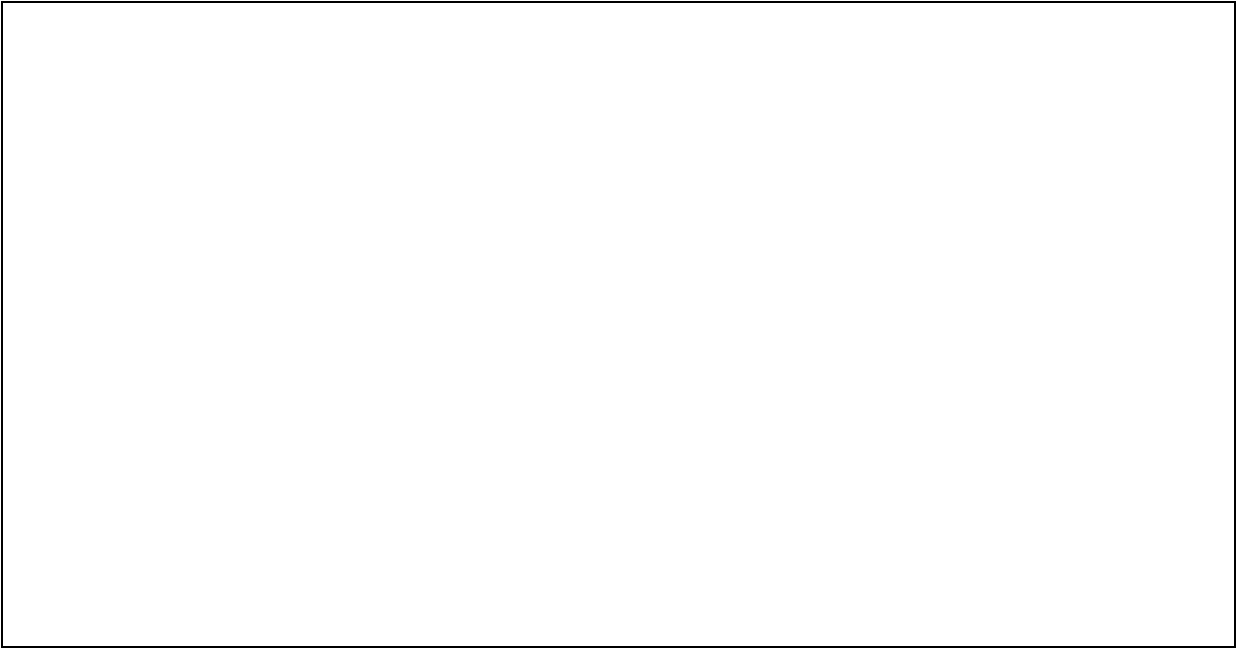
	<p>I declare that to the best of my knowledge the answers submitted to these questions are correct. I understand that the information will be used in the selection process to assess my organisation’s suitability to be invited to participate further in this procurement, and I am signing on behalf of..... (<b>Insert name of Supplier</b>).</p> <p>I understand that the Authority may reject my submission if there is a failure to answer all relevant questions fully or if I provide false/misleading information. I have provided a full list of any Appendices used to provide additional information in response to questions.</p> <p>I also declare that there is no conflict of interest in relation to the Authority’s requirement.</p> <p>The following appendices form part of our submission;</p>
--	---



	<b>Section of PQQ</b>		<b>Appendix number</b>	
<b>PQQ COMPLETED BY</b>				
8.1	Name			
8.2	Role in organisation			
8.3	Date			
8.4	Signature			

**PQQ – Template for Appendices (as provided by the Supplier in their response)**

<b>Appendix Number -</b>
<b>PQQ section -</b>
<b>Question Number -</b>



## PQQ Responses Evaluation Template

The Evaluation Template for PQQ responses and scoring/weighting criteria is shown below:

**Table 8: PQQ Responses Evaluation Template**

PQ Q	Referenc e	Part 1	Part 2	Part 3	Part 4	Part 5	Part 6	Part 7 A	Part 7 B	Part 7 C	Part 7 D	Part 7 E	Part 8	Total Score
<b>Information requested</b>		Supplier Information	Mandatory Exclusions	Discretionary Exclusions Part 1	Discretionary Exclusions Part 2	Economic & Financial Standing	Technical & Professional Ability (TPA)	Project specific questions to assess TPA	Insurance	Compliance with Equality Legislation	Environmental Management	Health & Safety	Declaration	<b>Sum of Parts 5 and 7A</b>
<b>% Weightings</b>		Not scored but must be completed	Bidders that have indicated Y to the mandatory exclusions will not be considered	Bidders that have indicated Y to the mandatory exclusions will not be considered	Bidders that have indicated Y to the discretionary exclusions may not be considered	30%	0.00	70%	Not scored but must be completed	Not scored but must be completed	Not scored but must be completed	Not scored but must be completed	Not scored but must be completed	<b>100 %</b>
	<b>Expression 1</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	2.50	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
	<b>Expression 2</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
	<b>Expression 3</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>

<b>Expression 4</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
<b>Expression 5</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
<b>Expression 6</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
<b>Expression 7</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
<b>Expression 8</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
<b>Expression 9</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
<b>Expression 10</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>
<b>Expression 11</b>	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	0.00	0.00	0.00	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	Confirm Y or N	<b>0</b>

## H1 Tender Evaluation and Award Criteria

Tenderers are required to provide a detailed submission on how they will deliver the services required as specified in Section D. In addition the Pricing Schedule at Appendix 5 must be completed in full.

The offer should clearly set out the entire cost including supply, implementation, support and maintenance, and project management.

Tenders will be evaluated against the Award Criteria. Please see Evaluation Criteria

Suppliers must state clearly where the offered products/services are sub-contracted to another Supplier or third party.

London Councils reserves the right to amend any of the requirements contained within this document. And should it identify significant issues that call into question a bidder's suitability to deliver the services as a result of responses received at any part of the qualitative assessment, London Councils reserves the right to score the entire section at 0.

London Councils is not obliged to accept the lowest cost bid submitted through this process. The intention is to award the contract on balance of quality and cost of the content of the Tender.

The weighting for this Tender is

QUALITY      60%

PRICE                      40%

Consideration will be given to the following criteria:

## Evaluation Criteria

**Table 9: Evaluation Criteria**

<b>Criteria</b>	<b>Weighting</b>	<b>Sub-weightings applied to quality submission (as a % of total score).</b>
Quality	60%	
Price	40%	
Tender response		40%
Interview		10%
References		10%

## SECTION H APPENDIX 2: Form of Tender



Tender for the Procurement of Smart Cards:

Electronic Data Capture, Application Data Validation, Card Management, Card Production, and Customer Support.

To: London Councils,

1.1 I/We having read the Conditions of Contract, Specification and other documents supplied (collectively referred to as "the Contract Documents") and having inspected and made all necessary enquiries do hereby offer to execute and complete the Services described by or referred to in the Contract Documents for the rates stated in the Pricing Schedule excluding Value Added tax.

1.2 I/We declare that the tender price or any other figures or other information in connection with the tender have not been disclosed by me/us to any other party (including any other company or part of a company forming part of a group of companies of which I/we are a part) nor to any sub-contractor or supplier whomsoever or any other person to whom such disclosure could have the effect of preventing or restricting full competition in this tendering exercise and that I/we have not otherwise colluded with any person with such intent nor have I/we any knowledge either of the sum quoted or of any other particulars of any other tender for this contract by any other party. I/We also accept that offering an inducement of any



kind in relation to obtaining this or any other contract will disqualify my/our tender from being considered.

1.3 I/We further acknowledge that any breach of the foregoing provisions shall lead to the immediate disqualification of this tender and may further lead to criminal or civil proceedings.

1.4 I/We certify that I/We as Tenderer will carry out the order for the Services, that I/We hold all appropriate and required CIS certification, that I/We will provide copy of same when called upon to do so prior to the letting of the formal contract to us and I/We accept that London Councils is entitled to disqualify this tender if I/We fail to provide such CIS certification when required.

1.5 I/We acknowledge that, while London Councils, shall so far as possible, treat any tender received in confidence, London Councils reserves the right to make the same available to Trading Standards Departments, the Office of Fair Trading, and/or any other statutory regulatory authority either having jurisdiction over the Services or who may now or at any future time have statutory power to require disclosure of this tender or otherwise as it may be obliged by Statute so to do, including in relation to any requests made pursuant to the Freedom of Information Act 2000 (FoIA) or the Environmental Information Regulations 2004 (EIR).

1.6 I/We agree that must obvious errors in pricing or errors in arithmetic be discovered in the Contract Documents submitted by me/us before the acceptance of this offer, the errors shall be dealt with in accordance with Alternative 2 of the Joint Contracts Tribunal Practice Note 6 – Main Contract Tendering.

1.7 I/We further warrant that in the event of a Contract being placed for the Services: -

1.8 I/We shall comply with any statutory provisions concerning equal opportunities for the time being in force and all relevant areas of London Councils Equal Opportunities Policy

1.9 I/We shall ensure that our agents and / or sub contractors shall likewise comply with the foregoing provisions.

1.10 I/We further acknowledge that this tender is submitted at my/our own expense and that neither the lowest nor any tender will necessarily be accepted and that London Councils shall not be obliged to disclose the reason for the non-acceptance of any such tender.

1.11 I/We undertake that in the event of acceptance by London Councils of this tender I/we will execute a contract embodying or incorporating all the conditions and terms referred to in the Contract Documents above referred to and forming part of the Invitation to tender.

1.12 I/We understand that nothing in this tender or its appendices or any other communication made between London Councils and any other party including ourselves shall be taken as constituting a contract, agreement or representation between London Councils and any other party - including ourselves (save for the award of contract made in writing by the London Councils), nor shall such be taken as constituting a contract, agreement or representation that any contract shall be offered in accordance herewith or at all. I/We also understand that except as otherwise expressly provided, no communication to you shall have any validity under any resultant contract unless made in writing and agreed by London Councils

1.13 I/We further acknowledge and confirm that this tender will remain open for acceptance without variation in either terms or price for a period of **120 days** from the date upon which this tender was due.

SIGNED.....

DATED.....

For and on behalf of

.....

Position or status within Company

.....

Address

.....

.....

.....

1.14 Tenderers are further reminded that any qualifications made by them to the terms forming part of this Invitation to Tender may lead to their tenders being disqualified.

1.15 London Councils abides by the rules laid down by the EU in respect to tendering and in this regard in open and restricted procedures London Councils will

only exceptionally, and at its sole discretion, entertain discussions with Tenderers for the purpose of clarifying or supplementing the content of their tenders or the requirements of London Councils as contracting authority and provided this does not involve discrimination.

## SECTION H APPENDIX 3: Freedom of Information Questionnaire



London Councils is subject to the Freedom of Information Act 2000.

If you consider that any information supplied for the purposes of this procurement or which will be supplied during the performance of the contract is either commercially sensitive or confidential in nature (within the meaning of the aforementioned Act), this should be highlighted in the body of the submission and the reasons for its sensitivity and applicability for exemption given in the table below.

London Councils does not guarantee to comply with your request for reserved information, which will be considered only at the time of any request for the information. London Councils will wherever possible revert to you in the event of an Information Request. However a failure to indicate in this table that information is in your view exempt may be seen as consent for automatic release of unreserved information. Requests for Exemption may not be considered at a later date.

It is the Tenderer's responsibility to obtain independent legal advice on the provisions of the Act. The City of London is not offering advice in regard to the Act, and nor are its officers responsible or authorised to provide any such advice.

Information Class	Exemption (section of the Act)	Detailed Reason for Application of Exemption	No. of Years Exemption to Last

Signed: ..... Dated: .....

For and On behalf of:

.....

Position within Company:

.....

## SECTION H APPENDIX 4: Tender Submission Checklist

To be returned with the Form of Tender with the requisite documents attached

Name of Tenderer	
------------------	--

Document name	Please Tick if enclosed
Executive Summary	
Signed Form of Tender	
Completed Freedom of Information Questionnaire	
Equal Opportunities Questionnaire	
Confirmation of understanding of TUPE position	

Document	Please Tick if enclosed
Completed Qualitative (non-Price) Schedule	
Completed Pricing Schedule including Excel Workbook	

Document	Please list documents enclosed
Any other information the Tenderer may feel pertinent to this tender.	



## SECTION H APPENDIX 4: TUPE Information

TUPE information will be provided to tenderers on request only at the ITT stage and following the receipt of the **Error! Reference source not found.** Requests should be submitted to: [Tmtenders@londoncouncils.gov.uk](mailto:Tmtenders@londoncouncils.gov.uk)

### General information

- 1 It is anticipated that:
  - 1.1 For service areas 1-3, a total of up to 42 staff are potentially affected
  - 1.2 For service area 4, a total of up to four staff would be potentially affected

### Submission requirements

- 2 Service Providers must submit with their bids:
  - 2.1 confirmation that they will comply with any information and consultation requirements under TUPE;
  - 2.2 details of the measures, including non-transfer related changes to terms and conditions, which they would propose to take in respect of any staff transferring to their employment;
  - 2.3 details of the pension or compensation proposals they would intend to make;
  - 2.4 their track record as a bidding entity (or their parent or associated companies if appropriate) in dealing with TUPE, their approach to TUPE in past transactions and in managing staff transfers; and
  - 2.5 a transition plan for taking on staff under TUPE, which demonstrates that the company understands and can manage obligations under TUPE and describes its intended approach to negotiation of measures with the workforce.

### Pension

NOTE TO TENDERERS, THIS SECTION WILL BE UPDATED AND CIRCULATED TO ALL TENDERERS AS PART OF A TENDERERS' CIRCULAR.

## SECTION H APPENDIX 5: Qualitative (non-price) Schedule

### Notes on Completion

1. Tenderers should complete and submit their Tender Response as indicated in SECTION C: Instructions to Tenderers and below.
2. Tenders will be evaluated against the Award Criteria. A statement that a particular requirement (Qualitative Criteria) will be met is not in itself sufficient. Such responses, or responses that are ambiguous, may be taken as failing to meet the requirement. Detailed information regarding how, when and to what extent a requirement can be met must be provided where appropriate. In evaluating a given requirement, scores will be awarded accordingly. Furthermore, if any requirement or part of a requirement cannot be met, this must be stated explicitly along with the reason why.
3. The 60 per cent of the award criteria which is attributable to quality will be based on the Tenderer's response in the Qualitative (non-price) Tender Response Schedules below, the Tenderer's presentation on how they will deliver the services (and answers to any follow-up questions) and references taken up by London Councils. The relative weightings are shown below:

**Table 10: Weightings**

Criteria	Weighting	Sub-weighting
Tender response	60%	40%
Interview		10%
References		10%

4. London Councils reserves the right not to use interviews and/or references in calculating the final score for the qualitative (non-price) section. Should London Councils exercise its discretion in this matter, the remaining elements of the qualitative assessment it chooses to use will account for 60% of the final score awarded.
5. Tenderers should assume that the evaluation panel has no knowledge of their organisation, its activities, experience or previous work undertaken for London Councils or for other contracting authorities.
6. Tenderers should provide full details for any claims, statements or examples used to address the qualitative criteria. Assessors will be looking for evidence that the Tenderer understands the Authority's goals, that it can identify any issues pertinent to the achievement of these goals, that it details the features to be included in the service (and that these meet the specifications), that it describes the benefits to the authority of its approach and that it has proofs that the approach works. Responses that do not satisfy these requirements will lose marks, as assessors will not only be marking tender responses against each of the requirements (points will be scored for each of the requirements specified), but also applying a further score of 1-4 to each section where:
  - 0 = the tenderer has supplied no convincing information and evidence to support the claims being made.
  - 1 = 'the tenderer has not supplied enough convincing information and evidence to support the claims being made'
  - 2 = 'the tenderer has supplied some information and convincing evidence to support the claims being made'
  - 3 = 'the tenderer has supplied mostly convincing information and evidence to support the claims being made'
  - 4 = 'the tenderer has supplied fully convincing information and evidence to support the claims being made'

7. For example, if a tender response met all of the requirements in relation to question two (see below), but only provide some information and convincing evidence in support of the claims being made, it would score  $204 \times (2/4) = 102$ .
8. Scores will then be converted to percentages (e.g. 50% in the above example) and further weightings will be applied to each question. Final scores will be awarded in percentages.
9. The maximum scores and weighting for each element of the Tender Response are described in the tables below. Tenderer's should note that London Councils reserves the right not to consider tenders that score below 50% on any individual question.

Tender Response		
Question	Maximum Score	Weighting %
<p>Q1.a) Explain <u>how</u> your service and CMS will meet the requirements specified in the ENCTS Smart Permits Technical Guidance for Travel Concession Authorities</p> <p>Q1b) Describe how you will ensure that your staff are sufficiently trained to deliver the service.</p> <p>Q1c) Describe how you will train London Councils and borough staff on the use of your CMS. (D1.1-D1.1.4)</p>	4	7.50%
<p>Q2. Explain <u>how</u> your service and CSM will meet the general requirements for application processing and data managements and how it will meet the requirements for processing first time applications. Your answer should cover first-time older persons applications, 60+ transfers, and disabled and discretionary disabled applications. (D2.1 – D2.4.4.4)</p>	204	7.50%

Q3. Explain <u>how</u> your service and CMS will meet the requirements specified for renewals. Include details of how you will scale up delivery to meet likely demand. (D2.5.1 - D2.6.4.1)	67	7.50%
Q4. Explain <u>how</u> your service and CSM will meet the requirements specified for replacement passes. (D2.6.5.1 – D2.7.13.3)	37	7.50%
Q5. Explain <u>how</u> your service and system will meet the further requirements regarding assessing eligibility, application processing, rejecting applications and providing an audit trail. (D2.8.1 – D2.10.11.2)	140	7.50%
Q6. Explain <u>how</u> your service and system will meet the requirements regarding card production and dispatch. (D3.1 – D3.4.6)	102	7.50%
Q7. Explain <u>how</u> your service and system will meet the specified requirements with regard to the customer service centre. (D4.1 – D4.5.9)	73	7.50%
Q8. Explain <u>how</u> your service and system will meet the specified requirements with regard to the elements of the Taxicard service where a start date of 2 October 2017 is indicated (D5.1 – D5.5.4). NB tenderers may refer to previous responses, but must demonstrate an understanding of the specific requirements of the Taxicard scheme.	311	7.50%
Q9. Explain <u>how</u> your service and system will meet the specified requirements with regard to the other elements of the Taxicard/other services as indicated (D5.6.1 – D5.12.7). NB tenderers may refer to previous responses,	155	3.89%

but must demonstrate an understanding of the specific requirements of the Taxicard scheme.		
Q10. Explain <u>how</u> your service and CMS will meet the specified information governance requirements (D6.1.1-D6.9.1)	264	3.89%
Q11. Explain <u>how</u> your service and CMS will meet the requirements specified for with regard to management information reports (D7.1-D7.4.1).	393	3.89%
Q12. Explain <u>how</u> your service and CMS will meet the requirements specified by London Councils with regard to process flows (D8)	15	3.89%
Q13. Explain <u>how</u> your system will meet the requirements specified with regard to business continuity (D9)	5	3.89%
Q14. Explain <u>how</u> your system will meet the requirements specified with regard to testing (D10)	49	3.89%
Q15. Explain your proposed approach to integration with other systems. Your response should cover both Freedom Pass and Taxicard.	3	3.89%
Q16. Explain <u>how</u> your service will meet the requirements regarding service levels and KPIs, including project management.	46	3.89%
Q17. Explain your approach to implementation, including; project management, transition, data migration, understanding London Councils' business requirements, and ensuring that customers are not impacted by change.	6	5.00%
Q18. Explain <u>how</u> your service will introduce innovation	5	3.89%

and reduce the cost of the current service over the lifetime of the contract.		
TOTAL		100.00%

## Qualitative (non-price) Tender Response Pro Forma

Tenderers should answer the questions as set out above in the preceding section of this Appendix, and in addition provide an executive summary. Please note, in the interests of fairness, tenderers should use A4, Arial font, size 11 and limit their Qualitative (non-price) Tender Response to 200 pages (attachments such as Gantt charts and organisation structure charts do not count towards this total).



## SECTION H Appendix 6: Pricing Schedule

### Notes on Completion

1. Pricing will be evaluated on the basis of applying consistent volumes to the prices offered in the Pricing Schedule. Tenderers must complete the tab 1 and tab 2 Pricing Schedule in Section H appendix 6 Pricing Schedule Annex 1 for all of the services indicated. Tab 2 is required to provide London Councils with an idea of how the services will be resourced and to assist with judgements related to abnormally low tenders.
2. Prices quoted should be inclusive of all fees and development costs for delivering the services described in the specification excluding VAT. A price must be provided for all items listed in the schedule for which the Tenderer is bidding. Tenders will be scored on the whole life cost (i.e. 5 + 1 +1 years) of the contract.
3. The volumes used to evaluate the pricing schedule are for price comparison and evaluation processes only; and are not a guarantee of future volumes or are an indication of the volumes of services that will be required particularly during re-issue periods when there is a significant level of demand. For the purposes of evaluation, the prices used in the evaluation will be those that would be applicable on the first day of the contract which is 2 October 2017, there will not be an assumption of increases in price for the purpose of the evaluation.
4. For ease of evaluation there is no inflation assumption in terms of years two onwards of the contract term.
5. London Councils reserves the right to take into account (individually, or severally), or not, the prices tendered for service area four for the purposes of

evaluation and award. London Councils also reserves the right to take into account (or not) the prices tendered for disabled person's application (data capture and validation of evidence (paper and online)).

6. Whilst the assessment of Disabled Person applicants currently resides with the TCA and is not a requirement for the current contractor to verify eligibility for the scheme, tenderers must note that it may be required in future and therefore should provide prices as set out in the schedule. London Councils does not provide any guarantee that it will purchase this element of the service.
7. Cards (Oyster encoded) will be provided to the Contractor through London Councils without charge, and stored as cash stock under such conditions as may be specified by Transport for London.
8. In view of the high volume of cards which will be required during re-issue periods, Tenderers are also required to offer a percentage discount per card against the reissue of cards. The discount shall apply to all cards produced during the reissue period. The discount must reflect the economies of scale available to the Tenderer. Historic volumes are indicated in Section E.
9. The price per card produced should be based on an end-to-end service incorporating data receipt and sort, scanning of forms and additional documents, the manipulation and presentation of photos, correction of minor obvious data errors, application of hologram to blank media prior to print, card printing, ITSO encoding, fulfilment onto pass holder and envelope only, and 2<sup>nd</sup> class post: In addition the unit cost must cover all other cost including management of the contract, management information and reporting to London Councils.

10. Tenderers must note that the fees listed will only be paid for calls that are answered in person by a customer services operator in the call centre. Incoming calls which are not answered by an operator or only progress as far as the customer hearing a pre-recorded message, will not qualify for payment.
11. Tenders are reminded to note that the maximum increase in charges that is permissible is an annual increase in line with the prevailing rate of CPI at August in each year. The first annual increase allowed will be from October 2018.

“LONDON LIVING WAGE (LLW)

12. London Councils, the Client for the purposes of this tender promotes the LLW for London Councils contractors, taking account, like other organisations who have promote the LLW of the legal, financial and operational circumstances that apply when considering contracts on a case by case basis.
13. London Councils has determined that the Services to be provided under this competition will be suitable for LLW considerations. Tenderers must therefore when submitting Tenders take into consideration and include within their Tender Responses the following information:-
  - a) Details of actual wage rates provided for within the Labour prices set out in the Pricing Schedule (i.e. at minimum equivalent to LLW rates).
  - b) The benefits of paying LLW to their employees, this must include matters such as improved service delivery requirements.
  - c) A copy of any policy which they may have in respect of LLW.”

**Table 11: Bands**

Score	%
Lowest	100%
+1-10% compared with the lowest	95%
+10.1-20% compared with the lowest	90%
+20.1-30% compared with the lowest	85%
+30.1-40% compared with the lowest	80%
+40.1-50% compared with the lowest	75%
+50.1-60% compared with the lowest	70%
+60.1-70% compared with the lowest	65%
+70.1-80% compared with the lowest	60%
+80.1-90% compared with the lowest	55%
+90.1-100% compared with the lowest	50%
+100.1-110% compared with the lowest	45%
+110.1-120% compared with the lowest	40%
+120.1-130% compared with the lowest	35%
+130.1-140% compared with the lowest	30%
+140.1-150% compared with the lowest	25%
+150.1-160% compared with the lowest	20%
+160.1-170% compared with the lowest	15%
+180.1-190% compared with the lowest	10%
+190.1-200% compared with the lowest	5%

+200% compared with the lowest	0
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14. When considering both the fixed and variable cost elements of the tenderers' prices London Councils' assessors will apply sensitivity testing to the quoted prices based on the following assumed fluctuations in volumes across each of the service areas: -50%, -40%, -30%, -20%, -10%, +10%, +20%, +30%, +40%, +50%. This information (alongside the qualitative, non-pricing score) will be used by assessors and the project board to evaluate which Tenderer has made the most economically advantageous offer.
15. When assessing Tenderers' Pricing Tender Response, London Councils will take into consideration:
16. The relative costs of each Service Provider's Pricing Tender Response compared to the current costs of the service using the following methodology:
  - The cheapest Tender will score 100%
  - Other Tenders will be scored in relation to the cheapest Tender according to the following bands (see Table 11: Bands):
17. Abnormally Low Tender: The price proposal will be reviewed to consider if any ITT response appears to be abnormally low. An initial assessment will be undertaken using a comparative analysis of the price proposal received from all Tenderers, with reference to the methods proposed by the tenderers.
18. If the assessment shows that an ITT response may be abnormally low, then a written explanation of the tender, or those parts which London Councils considers contributes to the ITT response being abnormally low, will be requested from the tenderers. London Councils will take into account the written explanation received from the tenderers.
19. On receipt of the written explanation provided by the tenderers, London Councils will verify the tender or parts of the tender with the tenderer.
20. If London Councils is still of the opinion that an abnormally low offer has been submitted, London Councils will confirm this to the tenderers and will advise either:
  - 20.1 that the tender is rejected; or

20.2 that London Councils will for tender evaluation purposes make an adjustment to the price proposal to take account of any consequences of accepting an abnormally low tender.

21. Failure to disclose all material information (facts that we regard as likely to affect our evaluation process), or disclosure of false information at any stage of this procurement process may result in ineligibility for award. You must provide all information requested and not assume that we have prior knowledge of any of your information. We actively seek to avoid conflicts of interest and reserve the right to reject tenderers as ineligible where we perceive an actual or potential conflict of interest. You must advise and discuss all potential conflicts of interest with the London Councils prior to submission of your completed tender.

This information (alongside the qualitative, non-pricing score) will be used by assessors and the project board to evaluate which Tenderer has made the most economically advantageous offer.

## Pricing Schedule

**Table 12: Pricing Schedule**

Contract name:	Smart Cards: Electronic Data Capture, Application Data Validation, Card Management, Card Production, and Customer Support
Tender for ( <i>type of work</i> ):	Services
Length of Contract ( <i>months/years</i> ):	5 Years, plus a maximum of 2 one year extensions to be agreed by Negotiation subsequent negotiation

## CONTRACTOR DETAILS

Name of Contractor:	
Address:	
Postcode:	



Telephone:	
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## **SECTION H Appendix 7: Mutual Non-Disclosure Agreement**

To be provided separately to those organisations invited to submit a full tender.

ANNEX A: Information and Statistics

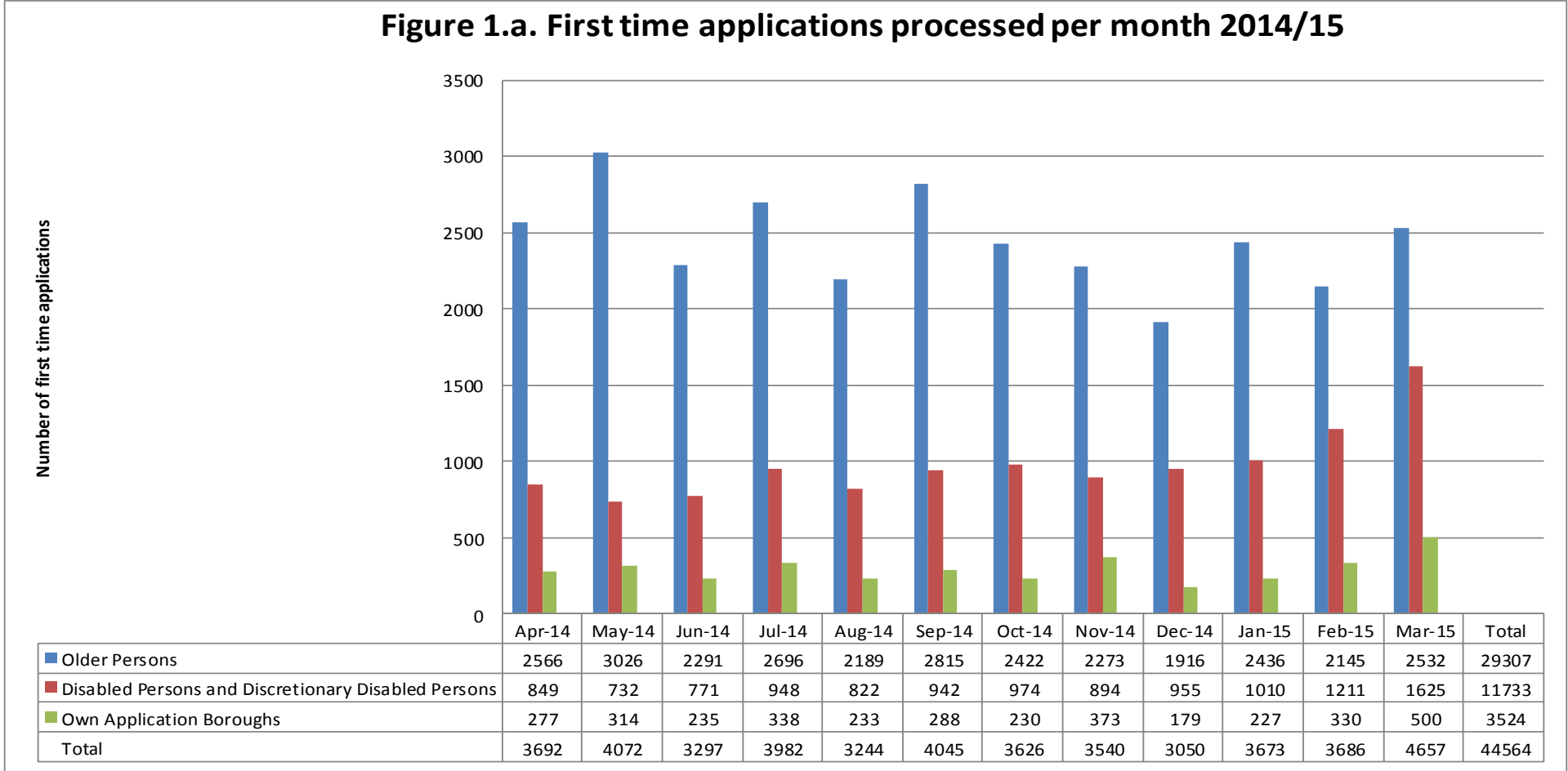
The information in Annex A is provided as a guide only and not a guarantee of future volumes.

Note to tenderers that the method of applying for the Freedom Pass scheme changed in June 2015. Some figures provide a full year’s available data for 2014/15; however a number of figures will only show data to include statistics of when the service changed.

Business as usual statistics

First time applications processed per month 2014/15

Figure 1.a. shows the number of first time applications processed for Older Persons, Disabled Persons, and Discretionary Disabled Persons per month in 2014/15. Before June 2015 first time Older Person applicants for the Freedom Pass scheme submitted a paper application form and their photograph to their local Post Office counter who verified the applicants’ eligibility. The Post Office was required to enter the applicants’ details onto their system which was transferred electronically to the Freedom Pass CMS. The paper form and photograph was posted to the card bureau and then matched to the electronic data. Disabled Person applicants submitted a Letter of Authorisation to their local Post Office counter, which proved that the applicant had been assessed by their local authority and was eligible for the scheme. The London boroughs of Barking and Dagenham, Camden, and Sutton handled their own application process and the details, application forms and photographs of the applicants who were eligible were transferred electronically to the Freedom Pass CMS.



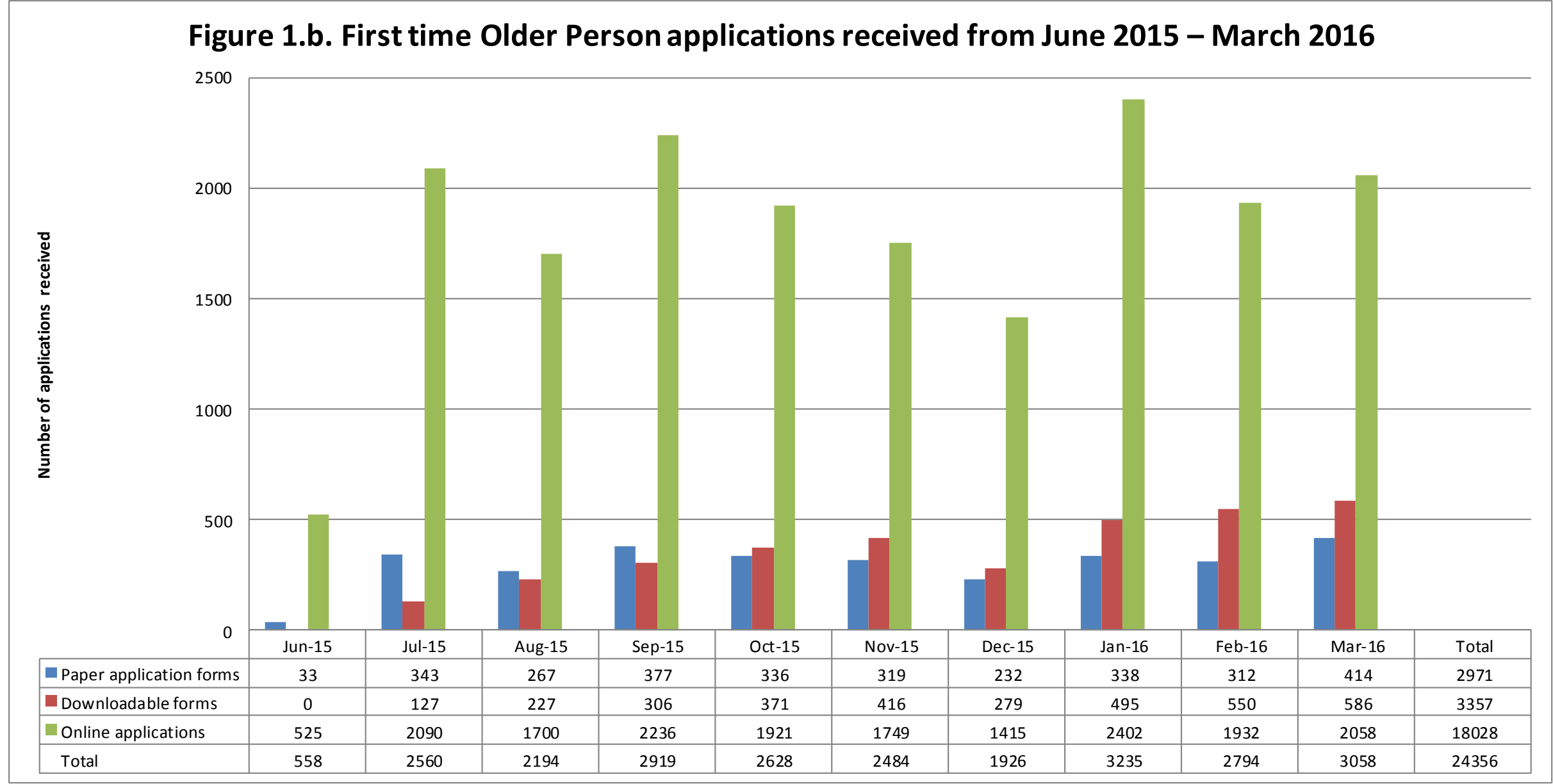
First time Older Person Freedom Pass applications processed per month from June 2015 – March 2016

Figure 1.b. shows the number of first time Older Person applications submitted online and by post from June 2015 – March 2016.

In June 2015 London Councils introduced a new application process; applications can be made online or by paper for first time applicants for the Older Persons Freedom Pass scheme.

Applicants for the Disabled Persons and Discretionary Disabled Persons Freedom Pass scheme apply directly to their local borough. The borough completes an assessment and if the applicant is eligible, the borough officer creates a record on the Freedom Pass database and issues a pass.

The figures in 1.b. exclude applications processed in the London Borough of Camden. Currently, the data and photographs of eligible Older Person and Disabled Person applicants who reside in Camden are transferred from the borough electronically to the Freedom Pass CMS.

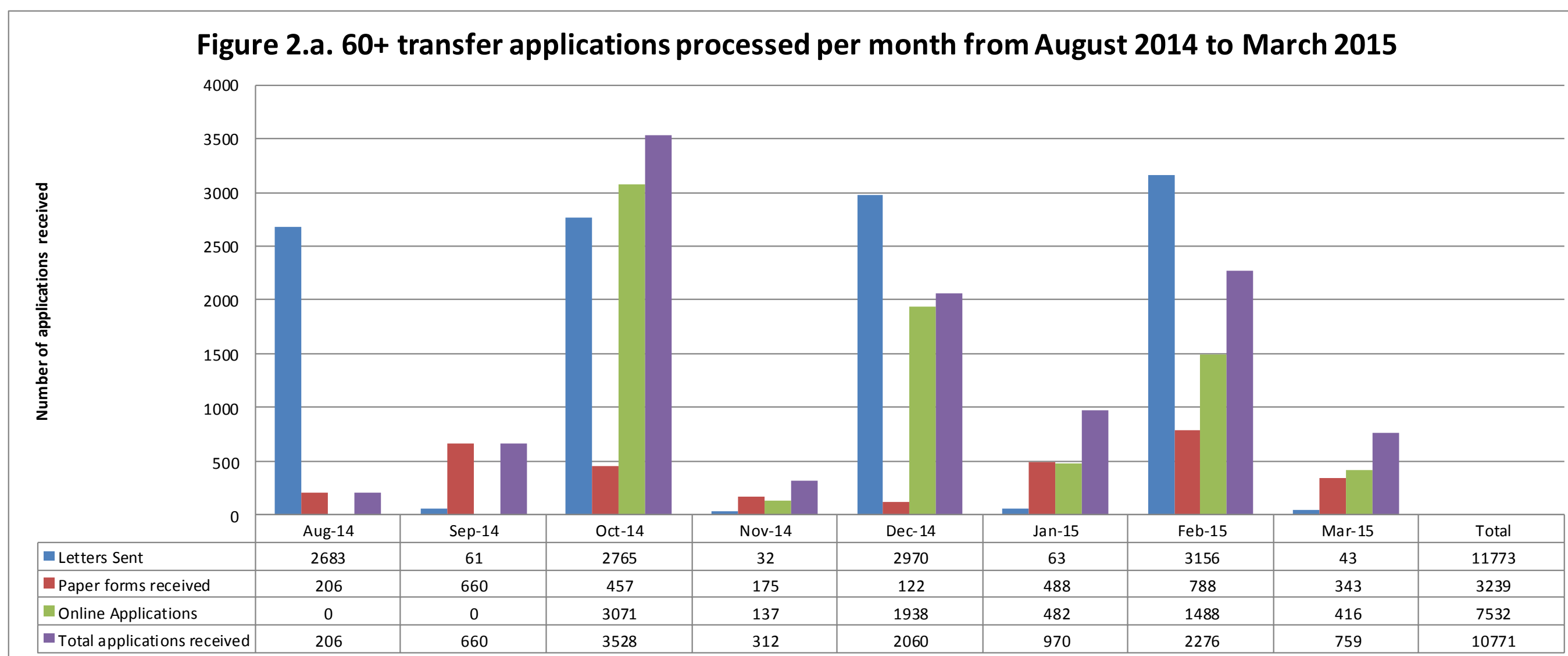


## 60+ transfer applications processed per month from August 2014 to March 2015

Figure 2.a. shows the number of 60+ transfer applications processed per month from August 2014 to March 2015.

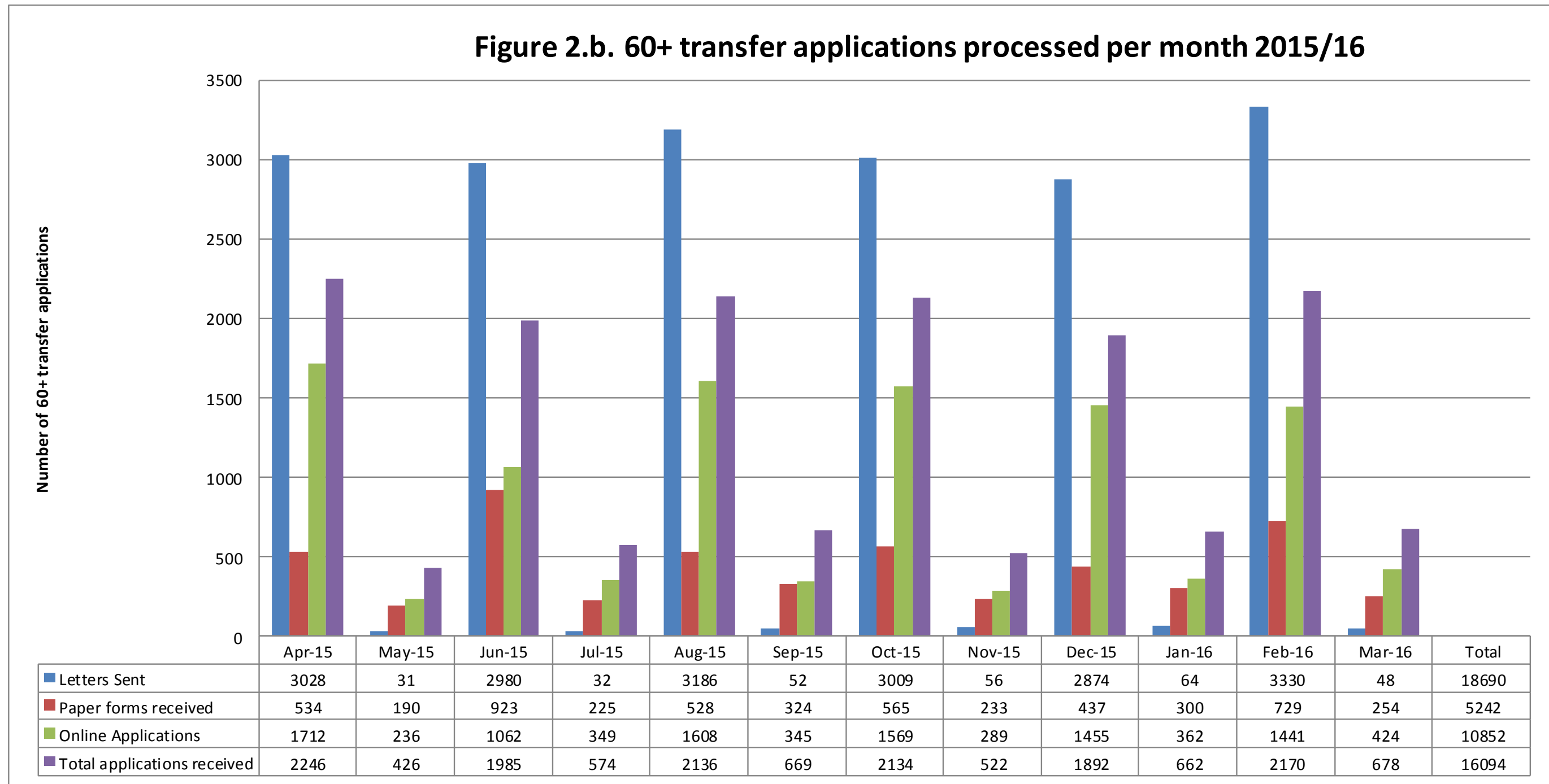
In May 2013 Transport for London introduced the 60+ London Oyster photocard scheme. Data and photographs of 60+ holders, who opt in to sharing their data with London Councils, are written to 42 days in advance of their 60+ card expiring. Applicants are invited to apply online for the Older Persons Freedom Pass scheme or to complete and return the enclosed application form by post, enclosing the required proof of identity and residency.

Before August 2014 60+ transfers could only apply by returning their application form by post.



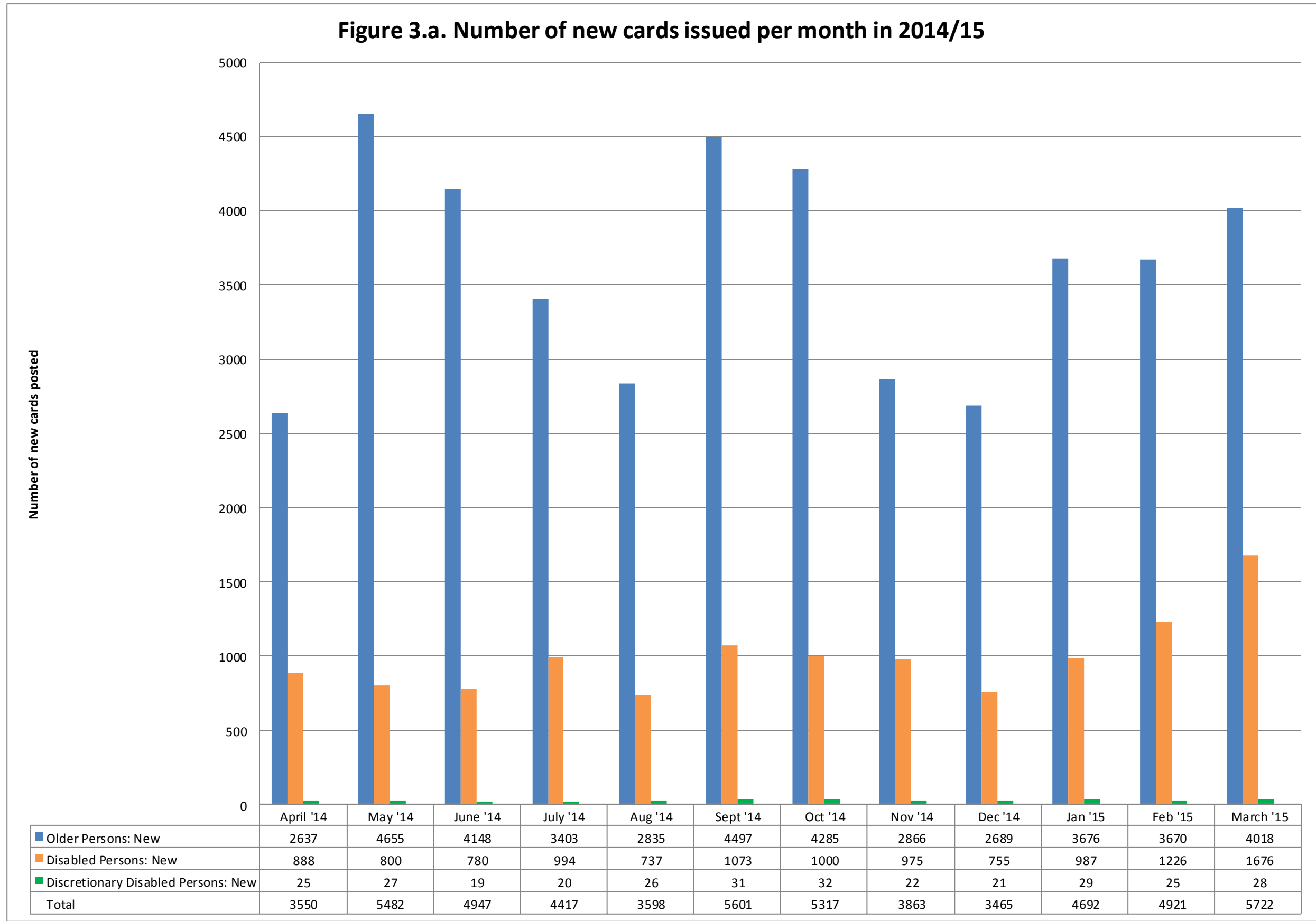
60+ transfer applications processed per month in 2015/16

Figure 2.b. shows the number of 60+ transfer applications processed per month in 2015/16.



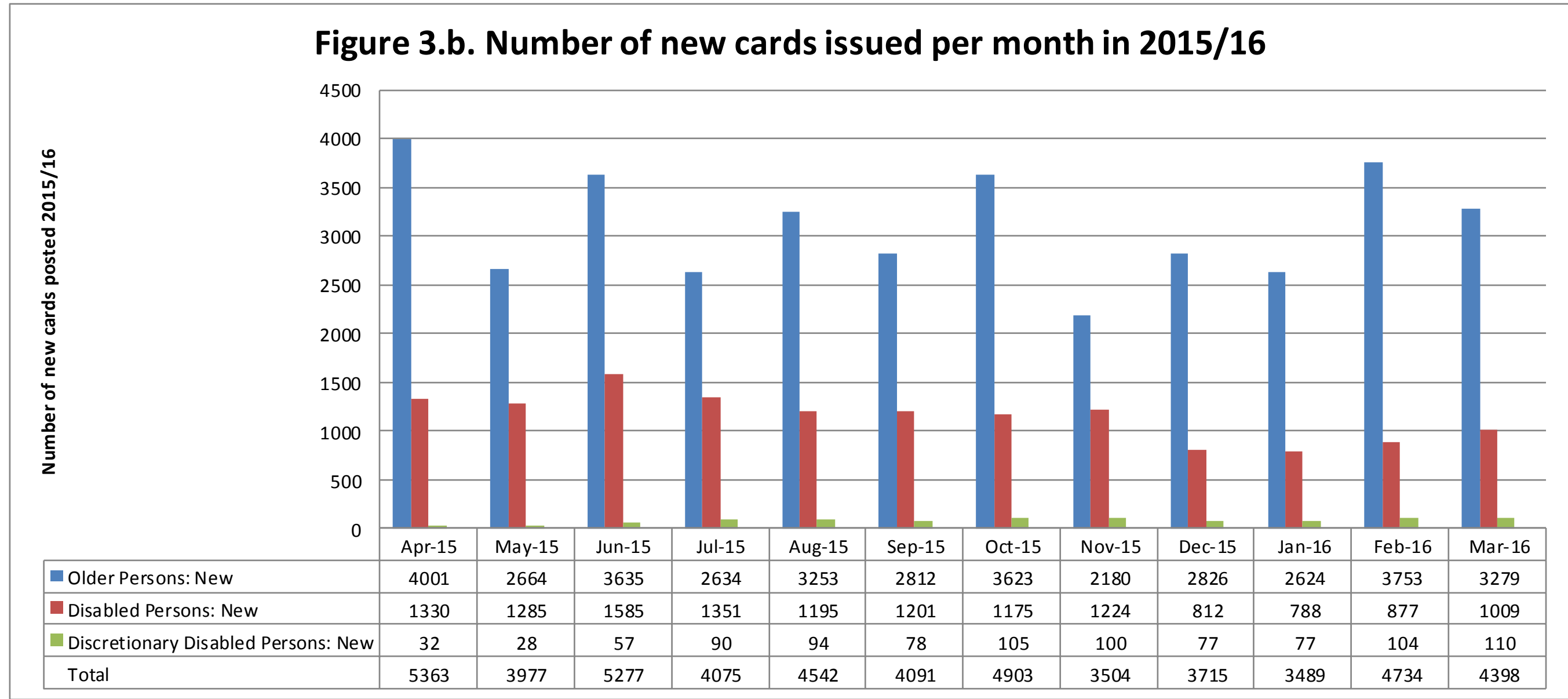
New Freedom Passes issued per month in 2014/15

Figure 3.a. shows the number of new Freedom Passes issued and dispatched per month in 2014/15 to eligible Older Person, Disabled Person and Discretionary Disabled Person applicants.



New Freedom Passes issued per month in 2015/16

Figure 3.b. shows the number of new Freedom Passes issued and dispatched per month in 2015/16 to eligible Older Person, Disabled Person and Discretionary Disabled Person applicants.

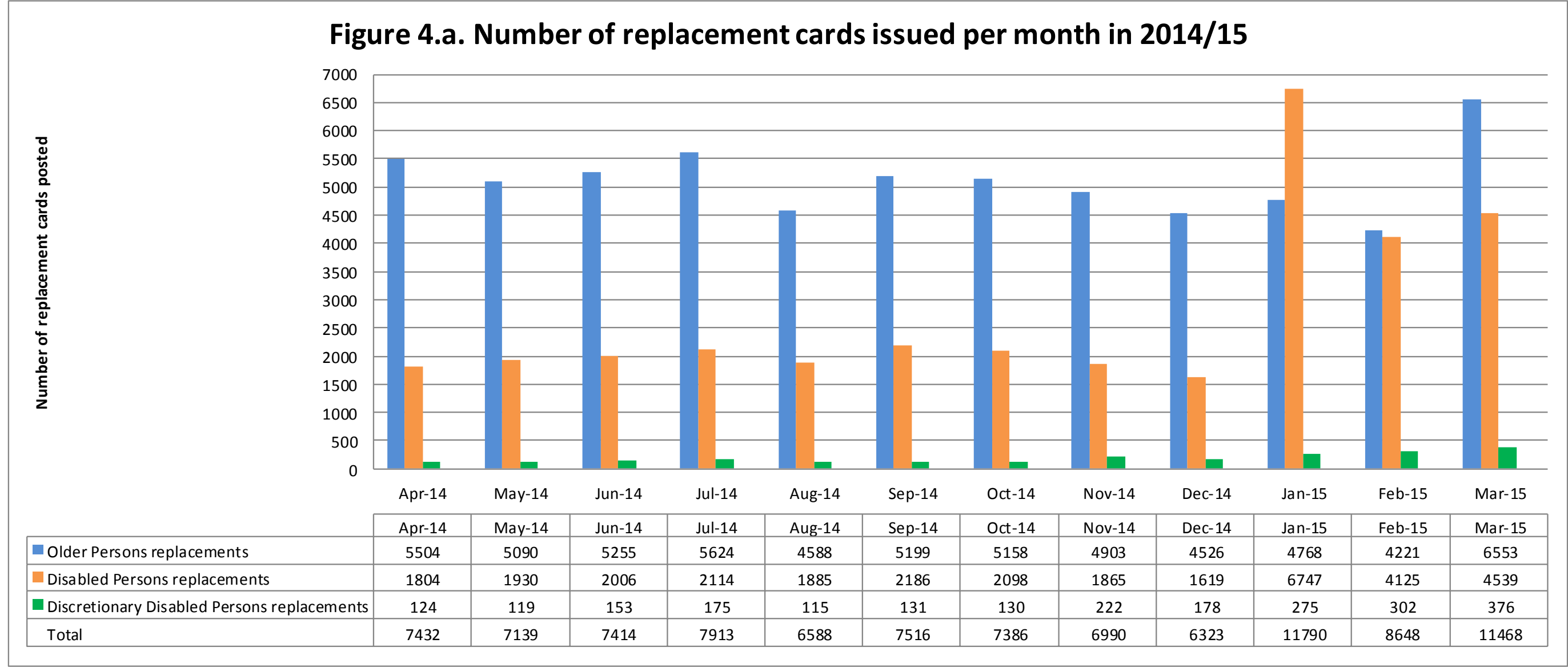




Replacement Freedom Passes issued per month in 2014/15

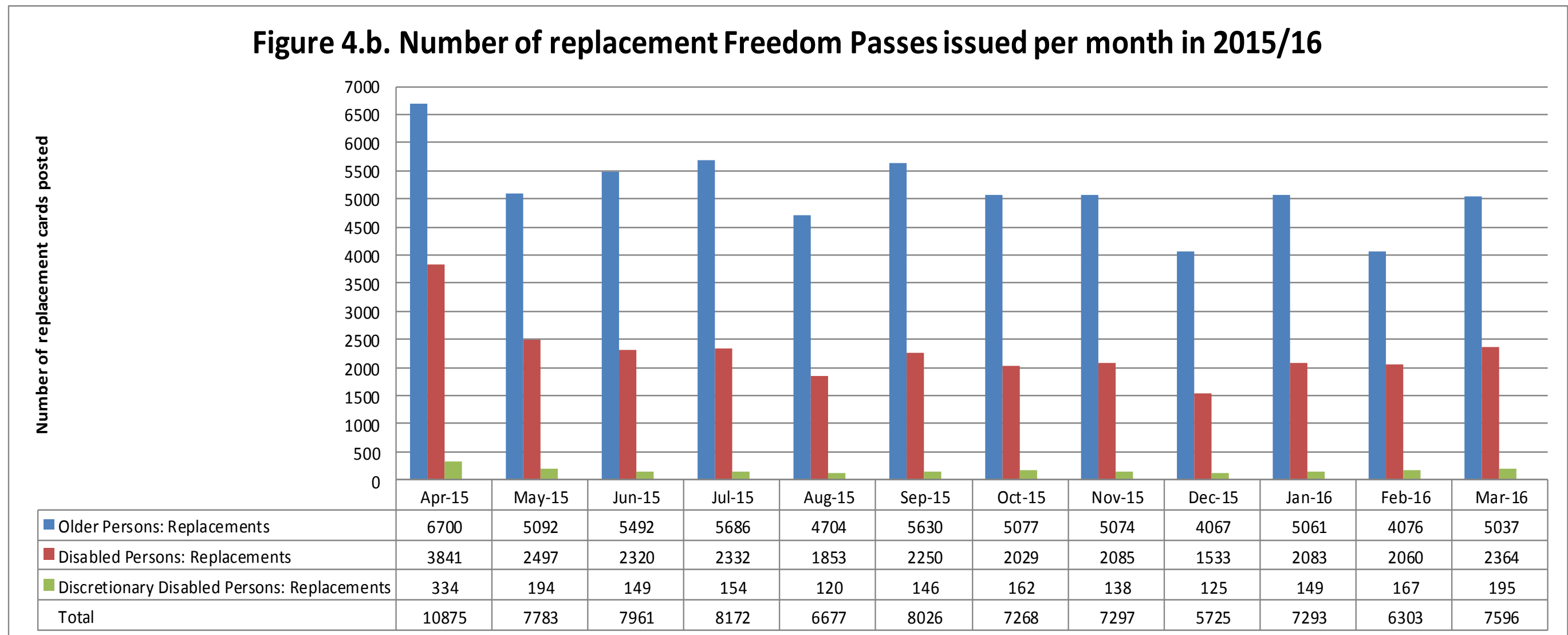
Figure 4.a. shows the number of replacement Freedom Passes issued and dispatched per month in 2014/15 to eligible Older Person, Disabled Person and Discretionary Disabled Person Freedom Pass holders. A pass may be replaced because it has been lost, damaged, stolen, withdrawn etc.

The number of replacement passes issued to Disabled and Discretionary Disabled Person Freedom Pass holders issued increased between January 2015 – April 2015 as a result of reassessments of continued eligibility for the scheme. Disabled and Discretionary Disabled Person pass holders who had a pass that expired in March 2015 had to complete a reassessment with their local authority by the end of December 2014 in order to receive a renewed pass. If the pass holder did not complete a reassessment their Freedom Pass was hotlisted by the borough at the end of December 2014. If a pass holder subsequently completed a reassessment after their pass had been stopped and their eligibility was confirmed, a replacement pass was issued by the borough officer from the CMS. For pass holders who completed their reassessment on time and continued to meet the eligibility criteria, new passes were issued separately in a bulk renewal card production process. Figures for passes renewed in the 2015 renewal can be found in Figure 14.



## Replacement Freedom Passes issued per month in 2015/16

Figure 4.b. shows the number of replacement Freedom Passes issued and dispatched per month in 2015/16 to eligible Older Person, Disabled Person and Discretionary Disabled Person Freedom Pass holders. A greater number of Freedom Passes were replaced in April 2015 as a result of pass holders replacing passes after their pass had expired.



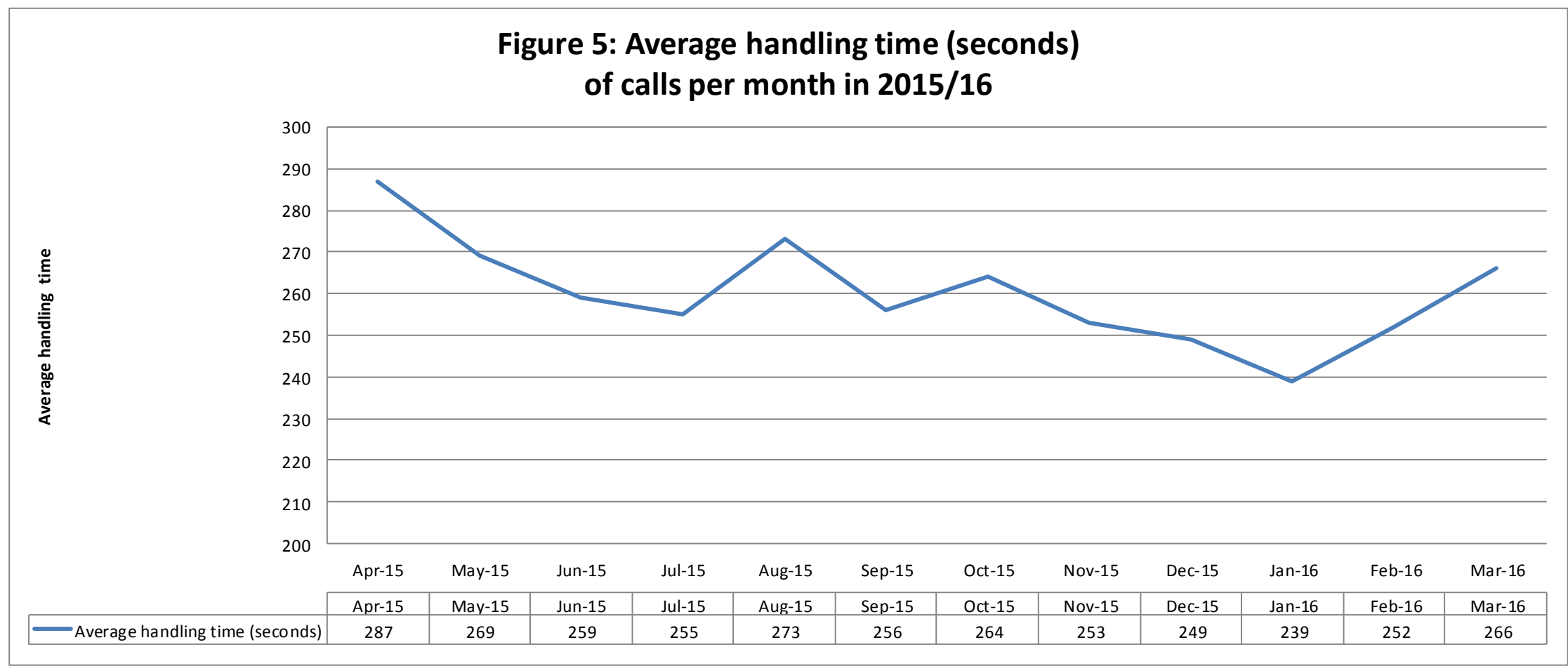
## Types of Freedom Pass enquiries received

The following list provides an overview of the types of general enquiries received by the customer service centre in relation to the Freedom Pass scheme. This list is not absolute and may change depending on changes to the scheme or exercises carried out, such as renewals, reassessments, mid-term reviews and National Fraud Initiative exercises.

- Lost, stolen, damaged and faulty cards
- Payment for replacement card
- Application process, e.g.:
  - What stage of production is my pass
  - My pass has not been received
  - Difficulties applying online/by post
  - How to apply for a card: Older Persons process and Disabled Persons process
  - Calls relating to items of proof of eligibility required to apply for a Freedom Pass
  - 60+ transfer process
- General enquiries, e.g.:
  - Incorrect details on a card
  - Change of address
  - Calls relating to pass holders who are deceased
- Renewal enquiries, e.g. how to renew a pass
- Extent of travel allowed with a Freedom Pass, e.g.:
  - Calls relating to the TfL and National Rail networks
  - Calls relating to whether someone can travel outside of London
  - General questions about travel
- General questions about the London scheme – policy related
- Police enquiries
- Revenue control enquiries
- Calls relating to finding out the journey history of a particular card
- TfL's 60+ Oyster photocard scheme and other TfL scheme enquiries

Average handling time (in seconds) of calls per month in 2015/16

Figure 5. shows the average handling time in seconds of calls handled per month in 2015/16.

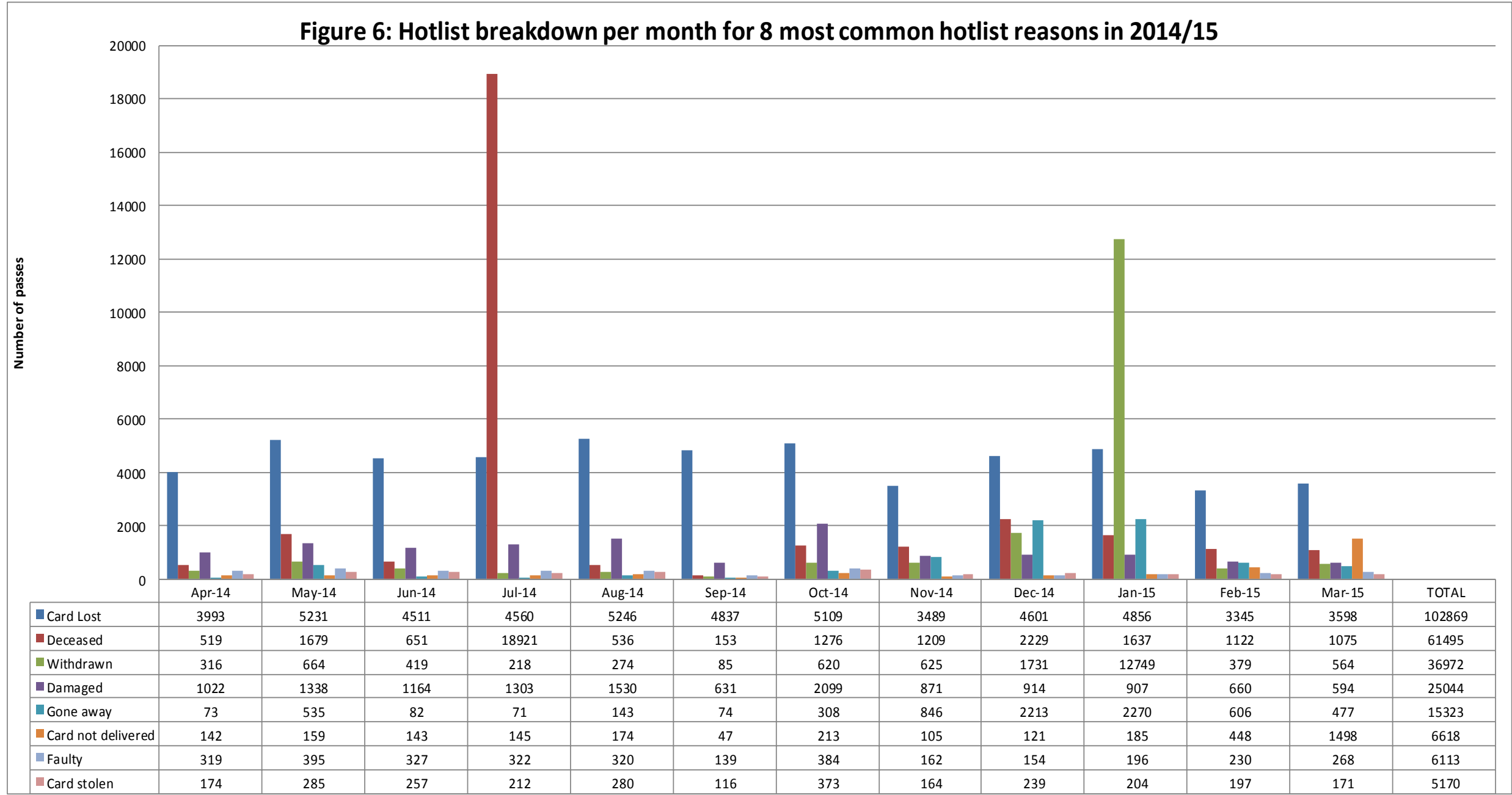


Hotlist breakdown for 8 most common hotlist reasons per month in 2014/15

Figure 6 provides a breakdown of Freedom Passes hotlisted by month in 2014/15 according to the eight most used reasons for hotlisting a pass.

Note to tenderer that the high figure for cards hotlisted as deceased in July 2014 was the result of a National Fraud Initiative (NFI) exercise. Details of pass holders identified as deceased in the NFI exercise are supplied to the contractor to hotlist the card, add a note to the CMS record and deactivate the record.

The high figure for cards hotlisted as withdrawn in January 2015 is the result of the 2015 Freedom Pass renewal. Boroughs had a deadline of 31 December 2014 to deactivate records (and hotlist cards) for Disabled and Discretionary Disabled Person Freedom Pass holders who either did not complete an assessment or, were confirmed as no longer eligible for the scheme. These cards were added to the hotlisting report in the first week of January 2015.



## Hotlist breakdown per month for all hotlist reasons in 2014/15

Figure 7 shows the number of passes hotlisted per month for all hotlist reasons in 2014/15.

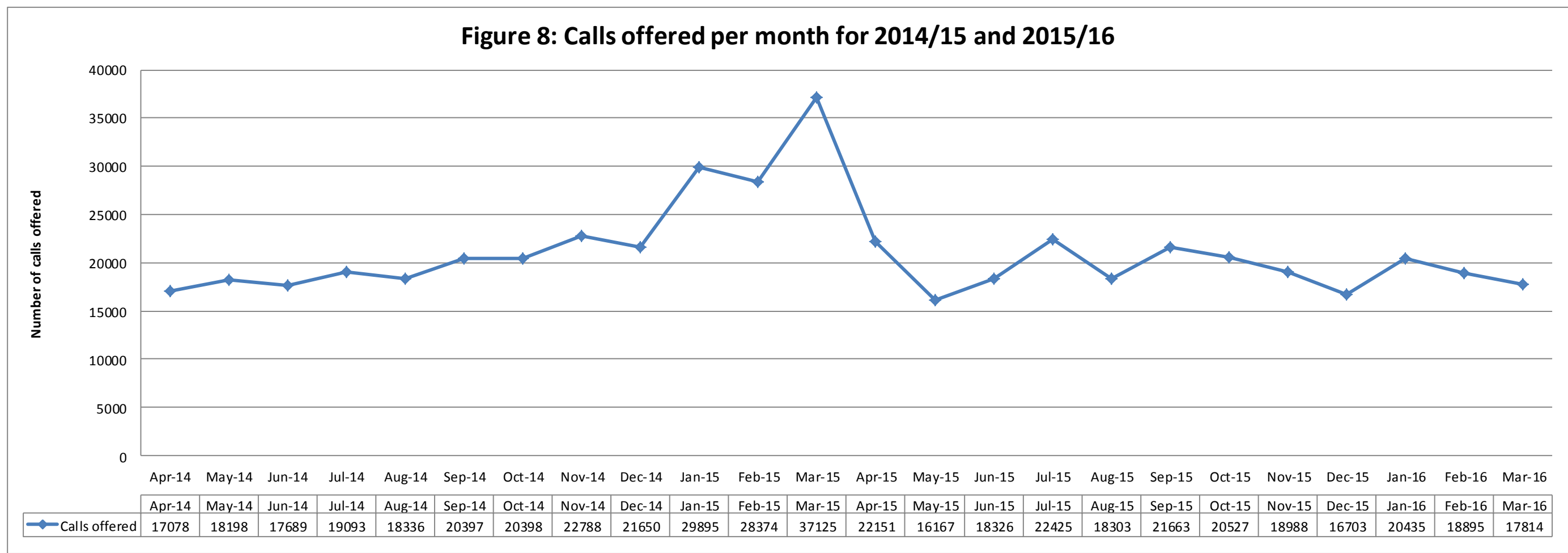
Figure 7: Hotlist breakdown per month for all hotlist reasons in 2014/15

Hot list reason	Apr-14	May-14	Jun-14	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	TOTAL
<b>2015 JC Renewal</b>									1	897	788	166	3704
<b>Card Lost</b>	3993	5231	4511	4560	5246	4837	5109	3489	4601	4856	3345	3598	102869
<b>Card not delivered</b>	142	159	143	145	174	127	132	133	121	185	448	1498	6645
<b>Card stolen</b>	174	285	257	212	280	116	373	164	239	204	197	171	5170
<b>Card superseded</b>	13	13	8	6	9	10	23	6	6	13	52	47	399
<b>Change address</b>	30	15	21	29	23	11	18	11	42	70	291	773	2638
<b>Change gender</b>	3	1	2	5	4	1	2	4	2	2	0	1	51
<b>Change name</b>	21	15	15	17	16	2	29	10	18	21	68	98	639
<b>Change of entitlement</b>	79	27	38	18	41	44	101	220	297	429	151	58	2927
<b>Damaged</b>	1022	1338	1164	1303	1530	1406	1294	1151	914	907	660	594	25294
<b>Deceased</b>	519	1679	651	18921	536	153	1276	1209	2229	1637	1122	1075	61495
<b>Duplicate card</b>	15	162	11	9	14	9	23	114	76	76	49	41	1183
<b>Expired</b>	0	0	0	6	1	0	1	1	7	0	13	56	170
<b>Faulty</b>	319	395	327	322	320	139	384	162	154	196	230	268	6113
<b>Gone away</b>	73	535	82	71	143	156	222	1205	2213	2270	606	477	15678
<b>Inactive</b>	25	64	95	6	14	27	40	83	158	68	252	23	1685
<b>Incorrect address</b>	17	24	14	14	11	9	20	4	13	24	118	323	1165
<b>Incorrect name details</b>	27	82	51	26	36	9	65	23	24	38	244	305	1833
<b>Incorrect photo attached</b>	4	2	5	0	4	2	5	1	4	12	28	57	244
<b>Not known at this address</b>	1	1	16	33	13	0	7	28	169	373	47	65	1505
<b>Returned no longer needed</b>	75	18	12	6	13	6	20	68	160	55	33	34	925
<b>Withdrawn</b>	316	664	419	218	274	85	620	625	1731	12749	379	564	36972
<b>Total</b>	<b>6868</b>	<b>10710</b>	<b>7842</b>	<b>25927</b>	<b>8702</b>	<b>3513</b>	<b>13545</b>	<b>8044</b>	<b>13179</b>	<b>25082</b>	<b>9121</b>	<b>10292</b>	<b>278782</b>

Calls offered per month in 2014/15 and 2015/16.

Figure 8 shows the number of calls offered to the Freedom Pass helpline per month in 2014/15 and 2015/16.

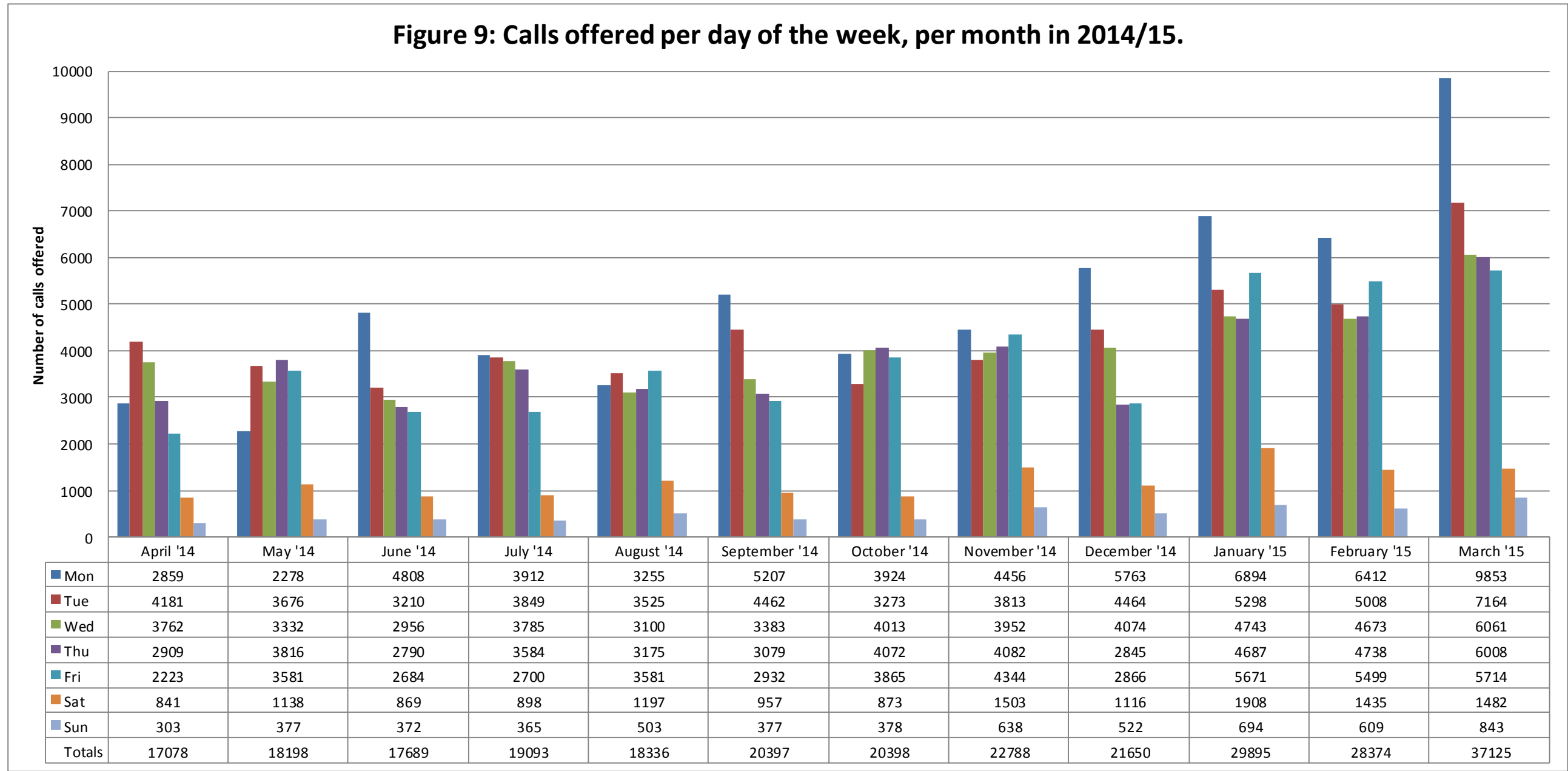
During Freedom Pass renewal periods an IVR is used to separate business as usual enquiries from renewal enquiries. From November 2014 – March 2015, calls offered to the business as usual team started to increase as a result callers selecting the incorrect IVR option when enquiring about the 2015 Freedom Pass renewal. Older Person pass holders, who held a 31 March 2015 expiry date pass, were invited by letter in November 2014 to complete their renewal online or by post. Disabled Person pass holders were reassessed by their local authority.



Calls offered per day of the week, per month in 2014/15.

Figure 9 shows the number of calls offered to the Freedom Pass helpline by day of the week, per month in 2014/15. The Freedom Pass helpline is available seven days a week from 8.00am, - 8.00pm.

From November 2014 – March 2015, calls offered started to increase as a result of the 2015 Freedom Pass renewal.

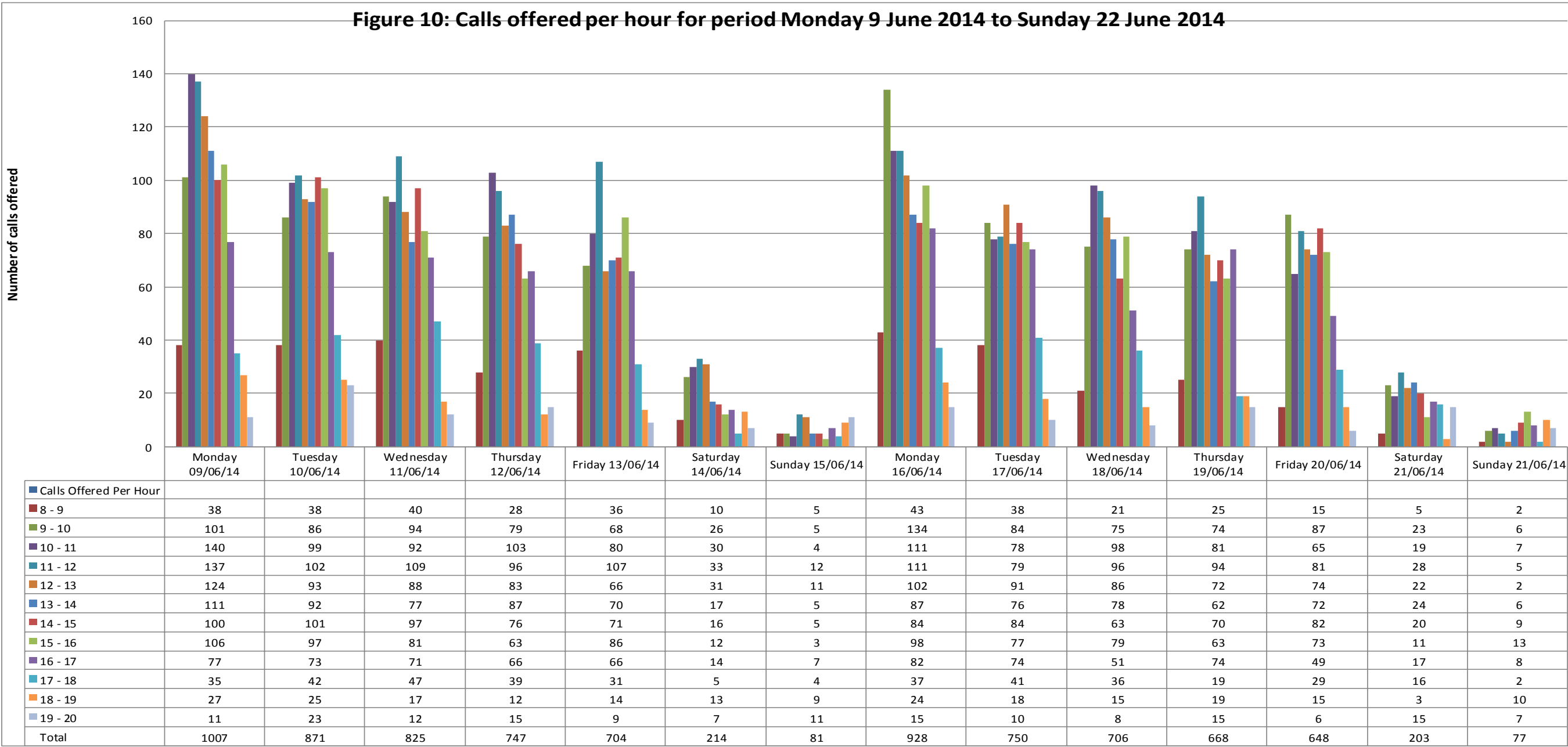




Calls offered per hour for period Monday 9 June 2014 to Sunday 22 June 2014

Figure 10 shows the number of calls offered to the Freedom Pass helpline, per hour and day, for the period of Monday 9 June 2014 to Sunday 22 June 2014. This period reflects two weeks of calls offered to the helpline during business as usual opening hours, Monday – Sunday, 8am – 8pm. The helpline is available Monday-Sunday, 8am-8pm.

Tenderers must note that the information provided below is provided as a guide only and not a guarantee of future hourly and weekly trends during business as usual.

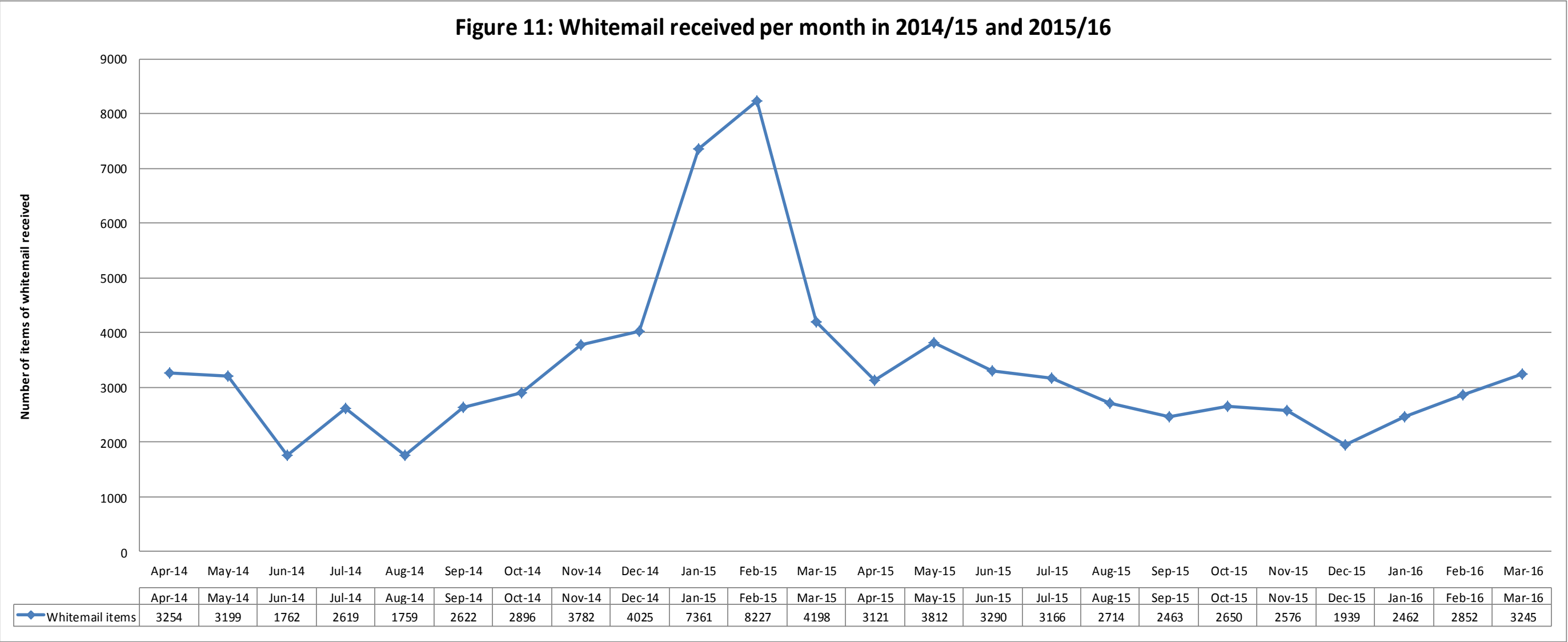


Number of items of whitemail received per month in 2014/15 and 2015/16.

Figure 11 shows the number of items of mail received by the Freedom Pass team per month in 2014/2015 and 2015/16.

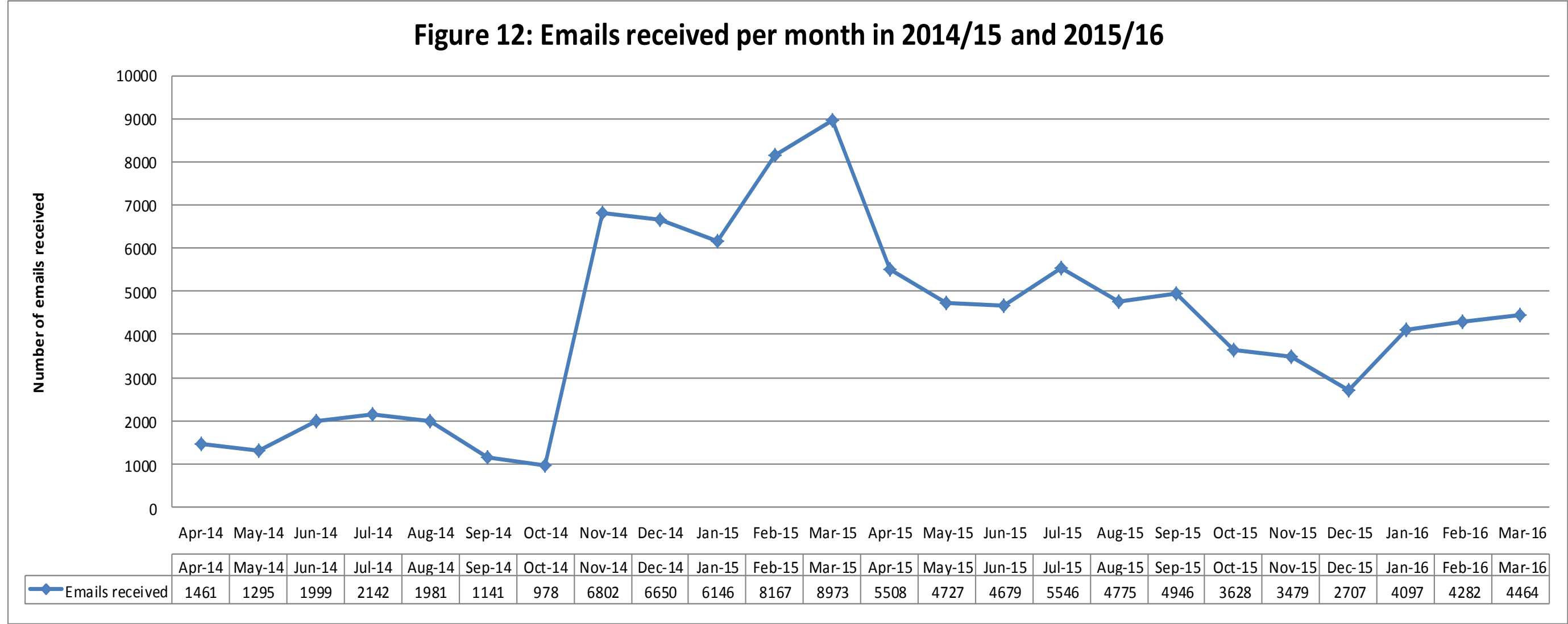
Whitemail enquiries can include, but is not limited to, general scheme enquires, payments for replacement passes, proof of new name or address details, complaints, compliments and returned passes.

In November 2014, the volume of whitemail received started to increase as a result of the 2015 Freedom Pass renewal. Just under 950,000 Older Person pass holders, who held a 31 March 2015 expiry date pass, were invited by letter to complete their renewal online or by post. Written correspondence increased as a result of renewal enquiries and pass holders updating their address details.



Emails received per month in 2014/15 and 2015/16.

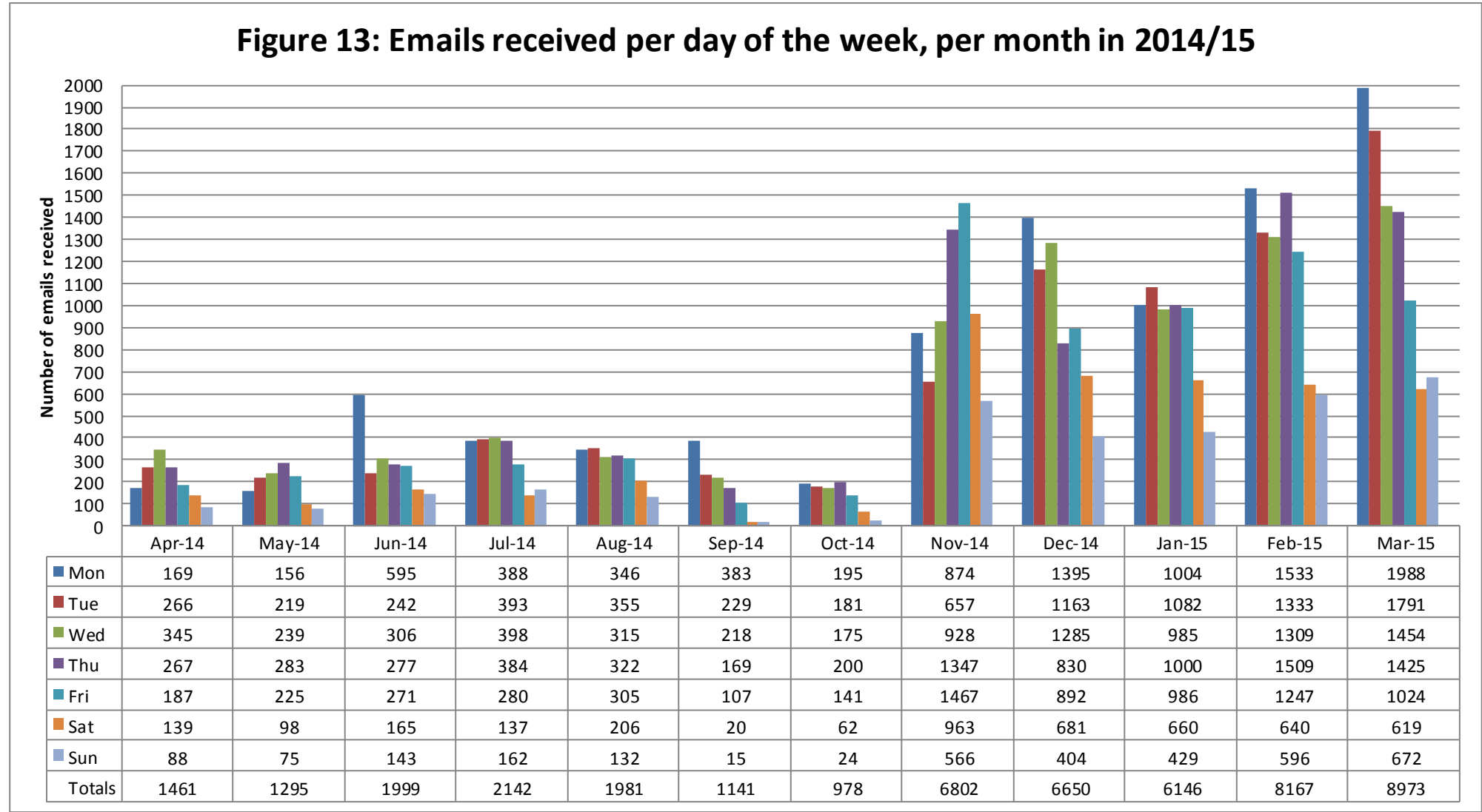
Figure 12 shows the number of emails received by the Freedom Pass team per month in 2014/15 and 2015/16. Email enquiries received can include, but is not limited to, general scheme enquires, change of personal details attaching scans of documents, Police and revenue officer enquires, borough correspondence and complaints and compliments. In November 2014, the volume of emails received started to increase as a result of the 2015 Freedom Pass renewal.



Emails received per day of the week, per month in 2014/15

Figure 13 shows the number of emails received by the Freedom Pass team per day of the week, per month in 2014/15.

In November 2014, the volume of emails received started to increase as a result of the 2015 Freedom Pass renewal. Older Person pass holders, who held a 31 March 2015 expiry date pass, were invited by letter to complete their renewal online or by post. Email enquiries increased as a result of renewal enquiries and pass holders updating their name and address details.



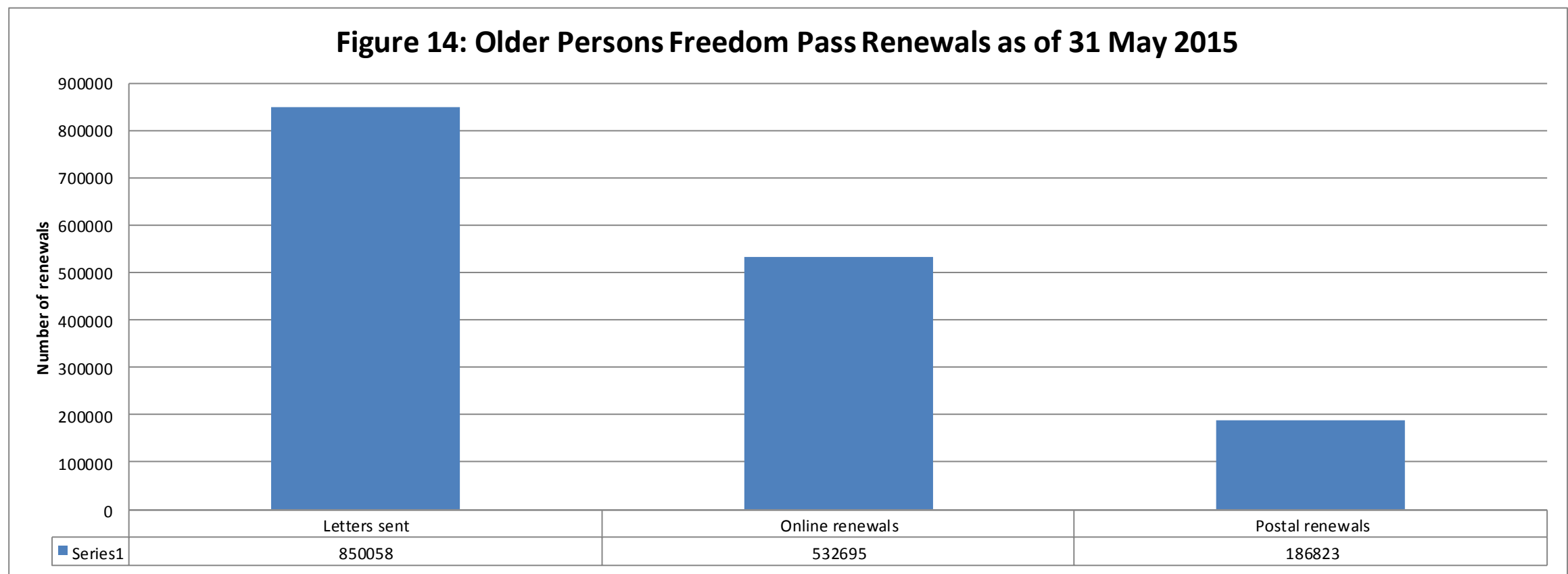
Renewal statistics

Renewal statistics from the 2015 Older Persons Freedom Pass renewal.

On 31 March 2015 just under 950,000 Older, Disabled and Discretionary Disabled Person Freedom Passes expired.

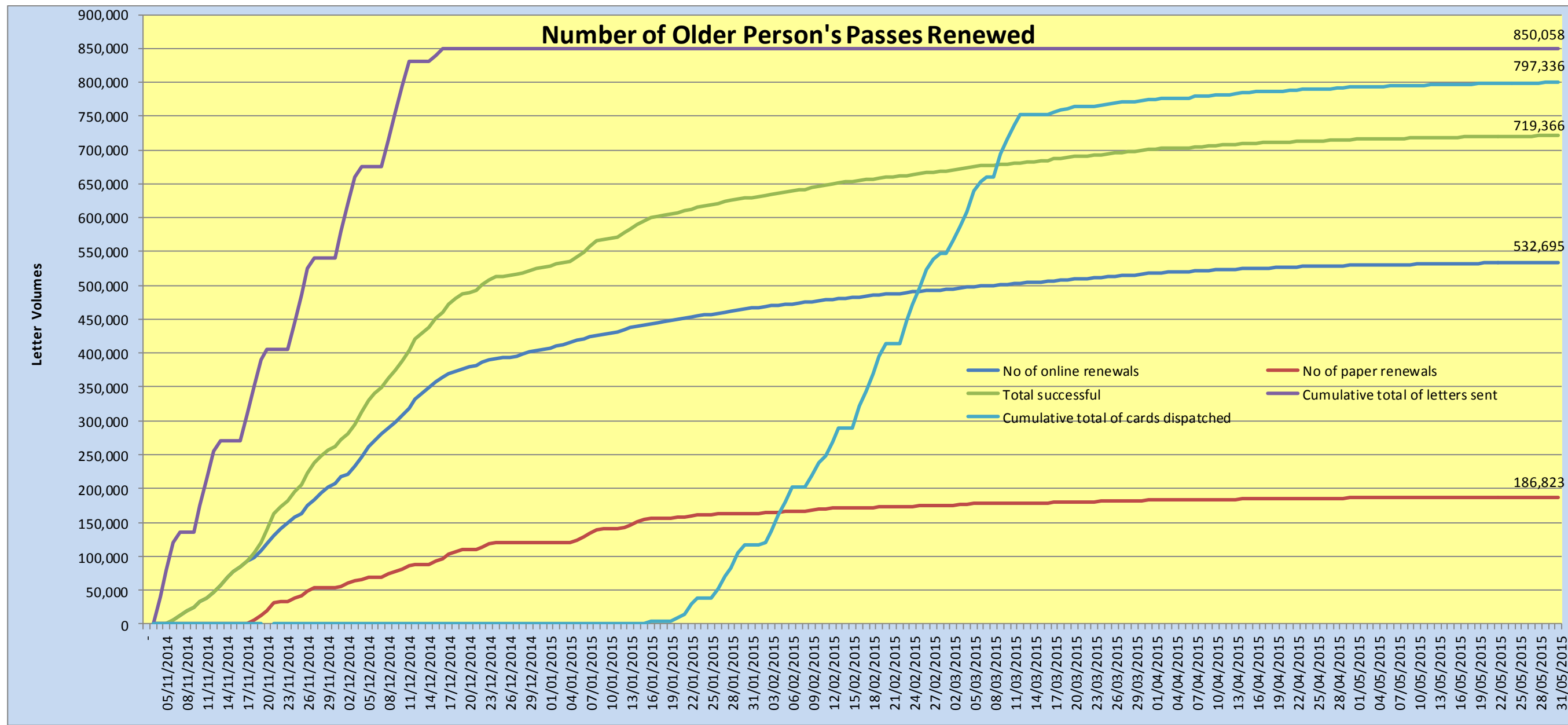
Older Person Freedom Pass holders were invited to renew their pass online or by post between November 2014 and March 2016. As of 31 March 2015 82% of Older Person pass holders had completed their renewal. Pass holders could continue to renew their pass online until the end of May 2015. Pass holders who resided in the London Borough of Camden were not written to by London Councils but sent their pass once the borough had confirmed their residency.

Figure 14 provides shows the number of Older Person pass holders written to and the number of passes renewed online and by post up until 31 May 2015



Number of Older Persons Freedom Passes renewed from November 2014 – May 2015.

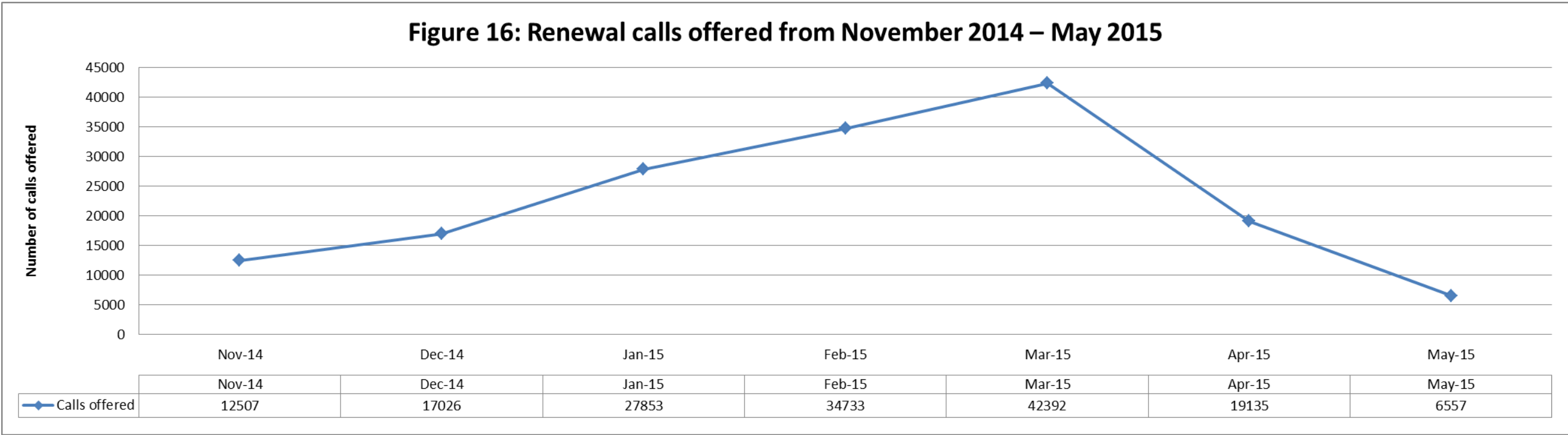
Figure 15 shows the number of Older Persons renewals completed online and by post between November 2014 and March 2015 against the number of renewal cards issued.



Renewal calls offered from November 2014 –May 2015.

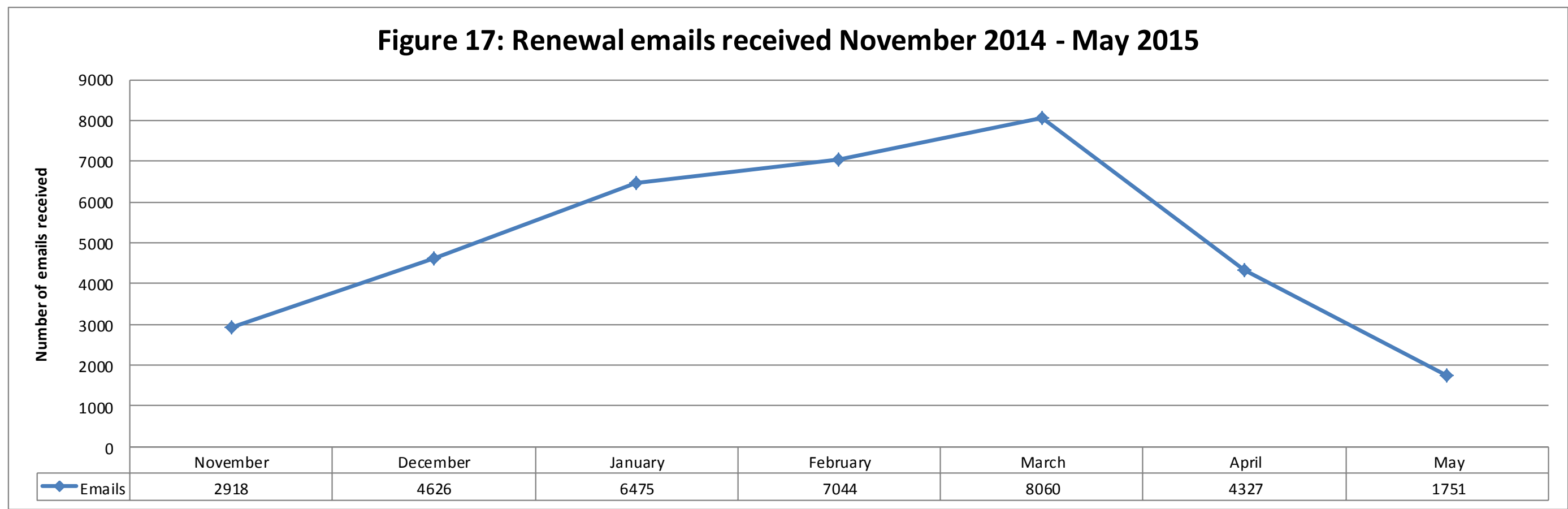
Figure 16 provides the number of renewal calls offered to the Freedom Pass helpline from November 2014 – May 2015.

Around 950,000 Freedom Passes expired on 31 March 2015; which resulted in an increase in calls offered in March 2015. During Freedom Pass renewal periods an IVR is used to separate business as usual enquiries from renewal enquiries; the figures in Figure 16 do not include renewal calls offered to the business as usual team (as a result of callers selecting the incorrect IVR option).



Renewal emails received from November 2014 –May 2015

Figure 17 shows the number of renewal related emails received by the Freedom Pass team from November 2014 – May 2015. Around 950,000 Freedom Passes expired on 31 March 2015; which resulted in an increase in emails received in March 2015.





### Number of cards expiring by year (as of 1 September 2016).

Freedom Passes are issued with a five year life span and expire on the 31st of March in the year the card is due to expire.

There was bulk issue of passes in 2010 when all pass holders had to reapply for the scheme, therefore every five years there is a bulk renewal. As new applicants join the scheme each year, and as lost and damaged passes are replaced, new cards are issued with new expiry dates, five years from the date of issue.

The renewals in between the bulk renewals will be of smaller volumes. There will not be a renewal in 2017.

As cards are replaced and records deactivated the total volume of cards due to expire will decrease.

**Table 13: Volumes of Freedom Passes by expiry date**

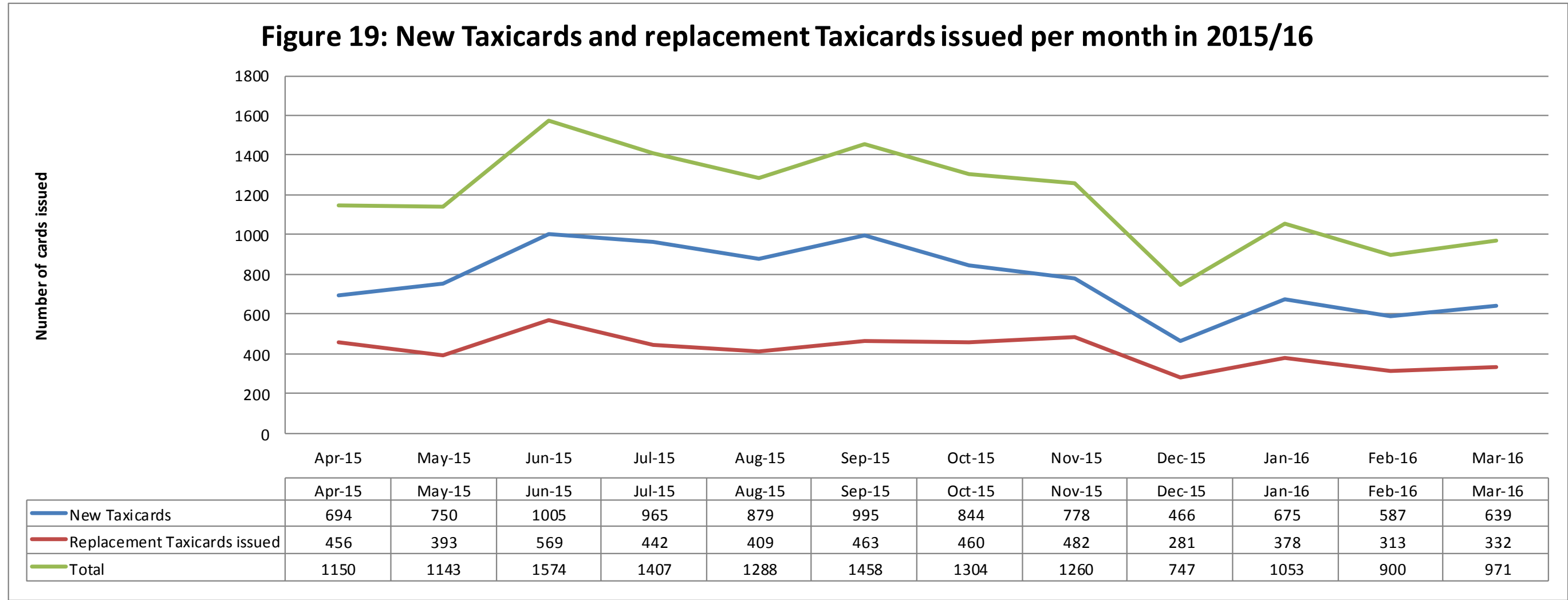
<b>Expiry Date</b>	<b>Entitlement</b>	<b>Total</b>
31/03/2018	Older Persons	72,406
	Disabled Persons	12,337
	Discretionary Disabled Persons	590
31/03/2019	Older Persons	52,223
	Disabled Persons	12,257
	Discretionary Disabled Persons	835
31/03/2020	Older Persons	810,567
	Disabled Persons	108,006
	Discretionary Disabled Persons	5,314
31/03/2021	Older Persons	122,442

	Disabled Persons	22,970
	Discretionary Disabled Persons	1,668

Taxicard statistics

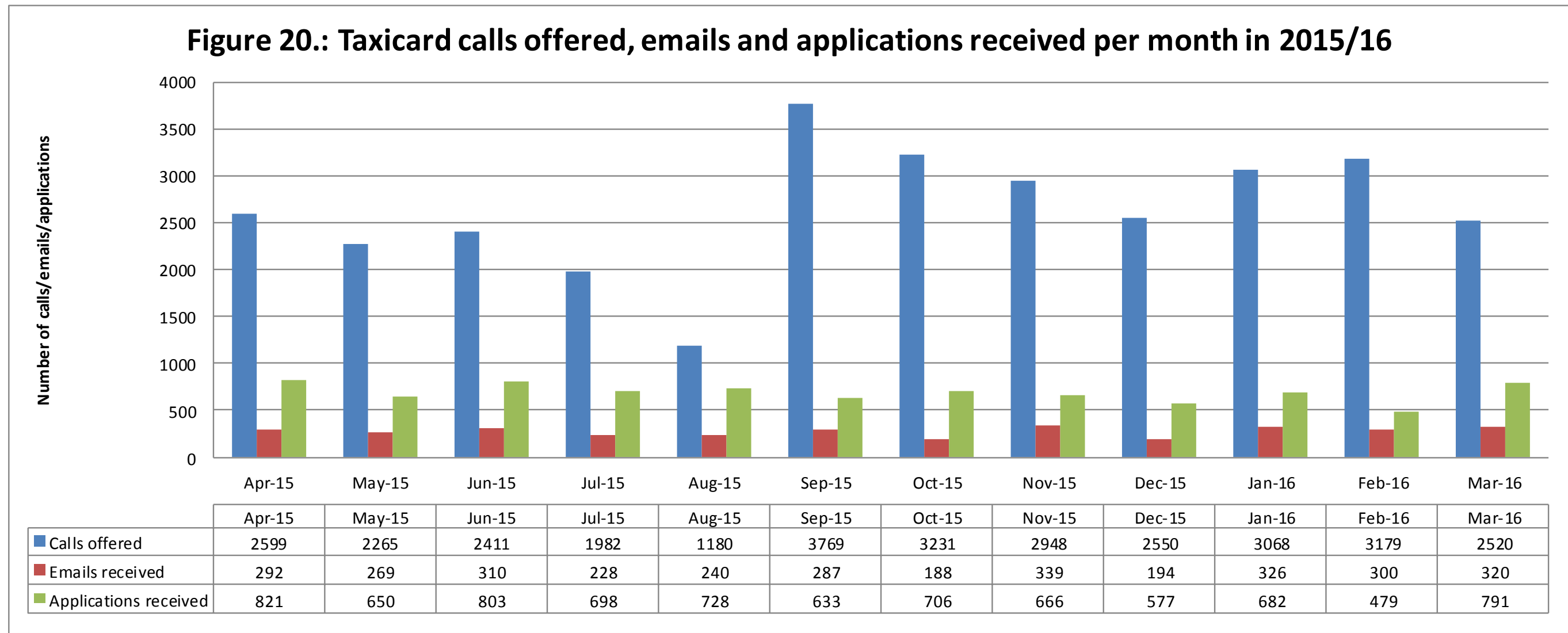
New and replacement Taxicards issued per month in 2015/16.

Figure 19 shows the number of new and replacement Taxicards issued to eligible members per month in 2015/16.



Taxicard calls offered, emails received, and application forms received per month in 2015/16.

Figure 20 shows the number of calls offered, emails received and application forms received by the Taxicard team per month in 2015/16.



## ANNEX B: Concessionary Pass Images (Publicity Samples)

The Regulations set out the position and format of the standard elements of the ENCTS pass - the holder's photograph, their name, the expiry date, the hologram, the unique identifying number, the ITSO logo, the rose logo, and the ribbon background.



ENCTS pass design shown above: Crown Copyright



London Scheme Discretionary Disabled Freedom Pass and Pass reverse: Copyright London Councils.

## ANNEX C: Application forms

### Older Persons Freedom Pass application form (as updated February 2016)

#### REPLACING LOST, STOLEN, DAMAGED OR FAULTY PASSES OR CHANGE OF NAME OR ADDRESS

Do not use this form to replace lost, stolen, damaged or faulty passes or to change name or address. Instead, contact the Freedom Pass helpline on **0300 330 1433** (local call rate) between 8am-8pm Monday-Sunday.

##### Lost or damaged passes:

You will be charged £10 to replace a lost or damaged pass. If you lose your pass multiple times or your pass is confiscated and you request a replacement you may be asked to attend an interview. You cannot hold more than one concessionary pass at a time.

If you find a pass you have previously lost, it will no longer work. Please send it to the following address:

FREEDOM PASS, PO BOX 6618, ARBROATH DD11 9AT

##### Stolen passes:

You must supply a police crime reference number relating to the theft. You do not have to pay for a replacement if a police crime reference number is provided. Where this is not provided your pass will be deemed to be lost and you will be charged.

##### Change of name or address:

You must inform the Freedom Pass team: **0300 330 1433** (local call rate) or email [info@freedompass.org](mailto:info@freedompass.org). If we do not hold your correct address, residency checks may lead to your pass being cancelled.

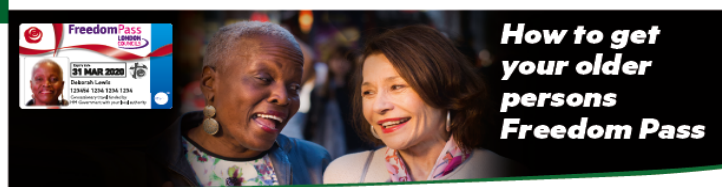
#### ALL PASSES ARE ISSUED SUBJECT TO THE FOLLOWING CONDITIONS

1. The Freedom Pass is issued subject to the operator's Conditions of Carriage. Please contact the relevant operator for a copy of their up to date conditions.
2. The Freedom Pass remains the property of London Councils and is not transferable. It may only be used by the holder whose name appears on the front and may not be used by anyone else.
3. The Freedom Pass must be shown to ticket checking staff. It must be produced for inspection on each journey on demand.
4. The Freedom Pass is not valid if illegible, damaged or altered. Ticket checking staff may withdraw any pass which appears to be invalid or is being used incorrectly.
5. The Freedom Pass is available for free or reduced fare travel only at the times and on the services shown on [www.freedompass.org](http://www.freedompass.org) and in the leaflet issued with the pass or in other notices.
6. All services and timetables are subject to alteration without notice.
7. Freedom Passes are issued to eligible older people whose sole or principal residence is in Greater London. If the passholder no longer has their sole or principal residence in the Greater London area or the pass is no longer in use then the pass must be surrendered to the following address:  
FREEDOM PASS, PO BOX 6618, ARBROATH DD11 9AT
8. Freedom Pass data will be provided to the Audit Commission for the National Fraud Initiative and will be used for cross-system and cross-authority comparison for the prevention and detection of fraud.

The Freedom Pass is the 'travel permit' for the purposes of the Greater London Authority Act 1999 and the Concessionary Bus Travel Act 2007.

The Freedom Pass scheme is managed by London Councils on behalf of the London boroughs.

#### OLDER PERSONS FREEDOM PASS



#### WHAT IS A FREEDOM PASS?

The Freedom Pass for older people is funded by your local borough council and gives free travel on most public transport in London 24 hours a day (after 9.30am on most National Rail services within the London area), including all day at weekends and on public holidays. This pass may also be used to travel on local bus services in the rest of England under the terms of the Concessionary Bus Travel Act 2007.

For further details, see the leaflet that will be sent to you with your pass or visit our website [www.freedompass.org](http://www.freedompass.org)

#### WHO IS ELIGIBLE?

Your sole or principal home must be in a London borough and you must be of the eligible age to apply. If you were born before 6 February 1953 you can apply now. If you were born between 1953 and 1954 find out when you will be eligible by using the table on page 3 or visiting [www.freedompass.org](http://www.freedompass.org). If you were born on or after 6 October 1954 you will be eligible on your 66th birthday.

If you're a London resident, aged 60 or over and not yet eligible for a Freedom Pass you may be eligible for TfL's 60+ London Oyster Photocard. Find out more at [tfl.gov.uk](http://tfl.gov.uk) and search for 60 plus.

#### HOW DO I APPLY?

##### YOU CAN APPLY ONLINE AT [WWW.FREEDOMPASS.ORG](http://WWW.FREEDOMPASS.ORG)

Applying online is the quickest way. You'll need to scan a photograph and the documents (listed over the page) to prove your name, age and address (see page 2).

##### APPLY BY POST

If you can't apply online you can complete the enclosed application form and return it to:

**Freedom Pass Application, PO Box 572, Hull HU9 9LP**

However, if you live in the borough of Camden, you must contact them directly about their application procedure.

**Do not complete a paper form if you have already applied online.**

##### YOU MUST PROVIDE A PHOTOGRAPH WITH YOUR APPLICATION

Passport style colour photograph (45mm x 35mm).

##### WHEN WILL I RECEIVE MY FREEDOM PASS?

You will usually receive your pass in the post within 15 working days of the date of posting your application. You can track the progress of your application at [www.freedompass.org](http://www.freedompass.org). Please allow five working days from the date of application before using the tracker to allow time for your form to arrive and be processed.

[www.freedompass.org](http://www.freedompass.org)

FREEDOM PASS APPLICATION FORM ENCLOSED



## Older Persons Freedom Pass guidance notes (as updated February 2016)

<b>APPLICATION FORM FOR OLDER PERSONS FREEDOM PASS</b> <b>(DO NOT PHOTOCOPY)</b>	
<p><b>IMPORTANT:</b> You must provide correct proofs. See checklist on guidance notes.  Please complete your details in CAPITAL LETTERS.</p>	
<p>FEMALE <input style="width: 30px; height: 20px;" type="checkbox"/>      MALE <input style="width: 30px; height: 20px;" type="checkbox"/></p>	
<p><b>*REQUIRED INFORMATION</b></p>	
*TITLE	<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; width: 30px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px; margin-right: 5px;"></div> <div style="border: 1px solid black; width: 30px; height: 20px; margin-right: 5px;"></div> </div> <div style="margin-left: 10px;">MR, MRS, MISS, MS, or other</div>
*SURNAME	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>
*FIRST NAME	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>
*PERMANENT ADDRESS	<div style="border: 1px solid black; width: 100%; height: 20px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
*FULL POSTCODE	<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; width: 100px; height: 20px; position: relative;"> <div style="background-color: black; width: 20px; height: 10px; position: absolute; top: 5px; left: 40px;"></div> </div> <div style="border: 1px solid black; width: 100px; height: 20px; margin-left: 10px;"></div> </div>
*LONDON BOROUGH IN WHICH YOU LIVE	<div style="border: 1px solid black; width: 100%; height: 20px;"></div> <p style="font-size: 0.8em; margin-top: 5px;">(If you are unsure about which borough you live in, ask at your nearest town hall or library)</p>
*DATE OF BIRTH	<div style="display: flex; align-items: center;"> <div style="margin-right: 10px;"> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">D</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">D</div> <div style="margin: 0 5px;">/</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">M</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">M</div> <div style="margin: 0 5px;">/</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> <div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">Y</div> </div> <div style="margin-left: 10px;">             AGE <div style="border: 1px solid black; width: 30px; height: 20px; display: inline-block;"></div> </div> </div>
TELEPHONE NUMBER (HOME OR MOBILE)	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>
EMAIL ADDRESS	<div style="border: 1px solid black; width: 100%; height: 20px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
NATIONAL INSURANCE NO	<div style="border: 1px solid black; width: 100%; height: 20px;"></div>
<p><b>Do not use this form for lost, stolen, faulty, damaged passes or change of address. Contact London Councils on: 0300 330 1433</b></p>	
<p>Please tick <input style="width: 20px; height: 15px;" type="checkbox"/> I enclose my photograph and copies of the required proofs of name, age and residence (see attached guidance notes).</p> <p>Please check the eligibility table on page 3 or at <a href="http://www.freedompass.org">www.freedompass.org</a> to make sure you are of the eligible age before you apply.</p>	<div style="border: 1px solid black; padding: 10px; text-align: center;"> <p style="font-size: 0.8em; margin: 0;">STICK PHOTO HERE PEEL BACK ADHESIVE COVER</p>    <p style="font-size: 0.8em; margin: 0;">Write your name, postcode and date of birth on the back of the photograph</p> </div>
<p><b>FREEDOM PASS</b></p> <p>The Freedom Pass is a 'travel concession permit' for eligible older persons. The service is managed by London Councils on behalf of all London local authorities.</p> <p>For more information about the Freedom Pass please visit: <a href="http://www.freedompass.org">www.freedompass.org</a> or contact us on: <b>0300 330 1433 (local call rate)</b> or email <a href="mailto:Info@freedompass.org">Info@freedompass.org</a></p>	



## APPLICATION FORM (CONTINUED)

### USING YOUR PERSONAL INFORMATION

London Councils and the London Borough in which you live will be responsible for your information which they, and their agents, will use to administer the Freedom Pass scheme, for customer services and for research. Your information will not be used for marketing and will only be shared with other organisations (e.g. other local authorities, Transport for London, government departments and law enforcement agencies) to provide the services or where it is legal to do so (e.g. to detect and prevent crime and protect public funds). Your information may be matched with data from other sources, including CCTV or ticket usage data.

From time to time we may wish to contact you about initiatives which we believe may be of direct benefit to you

Please tick the box if you DO WISH to be contacted ☐

### YOUR DECLARATION (APPLICANT TO COMPLETE)

I understand that: my information will be used to provide me with Freedom Pass services as stated above; my entitlement to a Freedom Pass will be reviewed and the services may be withdrawn before the expiry date on the pass if my circumstances change; and if I give information that is false you may take action against me, including court action.

I acknowledge I have read, understand and accept the Freedom Pass conditions of use which are available on the guidance notes and on the Freedom Pass website at: [www.freedompass.org](http://www.freedompass.org)

I declare that the information about me on this form is correct and complete, and my sole or principal residence is within the borough of

INSERT LOCAL BOROUGH NAME

SIGNATURE OF THE APPLICANT

DATE

## ETHNIC ORIGIN\*

Tick the relevant box

### (a) WHITE

☐ British/English/  
Welsh/Scottish/  
Northern Irish

☐ Irish

☐ Gypsy or Irish  
Traveller

☐ Any other White  
please write in above

### (b) BLACK OR BLACK BRITISH

☐ Caribbean

☐ African

☐ Any other Black  
please write in above

### (c) MIXED

☐ White/Black  
Caribbean

☐ White and Asian

☐ White/Black  
African

☐ Any other mixed  
please write in above

### (d) ASIAN OR ASIAN BRITISH

☐ Indian

☐ Pakistani

☐ Bangladeshi

☐ Chinese

☐ Any other Asian  
please write in above

### (e) OTHER ETHNIC GROUP

☐ Arab

☐ Any other please  
write in above

☐ I do not wish to say

The purpose of this section is to provide information on whether we are delivering services in an appropriate manner across the whole community. This information is confidential and failing to complete it will not prejudice your application. If you do not wish to fill it in please tick the 'I do not wish to say' box above. \*These categories are taken from census 2011.

## POST (stamp required)

Please return this application form and required proofs to:

**Freedom Pass Application**  
PO Box 572  
Hull HU9 9LP

Please make sure you put enough postage on the envelope to ensure your application is delivered.

Updated February 2016

**Taxicard application form (for applicants assessed by London Councils  
on behalf of some London local authorities)**

**APPLICATION FORM FOR THE LONDON TAXICARD SCHEME**



## Section 1 - PERSONAL DETAILS

**IMPORTANT:** You must supply correct proofs. See the accompanying 'Guidance to the completion of the Taxicard application form'. Please complete your details in **BLACK INK AND CAPITAL LETTERS**.

FEMALE	<input type="checkbox"/>	MALE	<input type="checkbox"/>														
TITLE	<input type="text"/>																
SURNAME	<input type="text"/>																
FIRST NAME (in full)	<input type="text"/>																
PERMANENT ADDRESS	<input type="text"/>																
	<input type="text"/>																
	<input type="text"/>										POST CODE	<input type="text"/>					
I AM A RESIDENT IN THE LONDON BOROUGH OF	<input type="text"/>																
	<input type="text"/>																
	(If you are unsure about which borough you live in check online at <a href="http://cti.voa.gov.uk/cti">cti.voa.gov.uk/cti</a> or ask at your nearest town hall or library)																
TELEPHONE NUMBER (Land Line)	<input type="text"/>																
MOBILE PHONE NUMBER	<input type="text"/>																
EMAIL ADDRESS	<input type="text"/>																
	<input type="text"/>																
DATE OF BIRTH	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
NATIONAL INSURANCE NUMBER	<input type="text"/>																

### Section 2 PHOTOGRAPH

PLEASE ENCLOSE  
ONE COLOUR  
PASSPORT SIZE  
PHOTOGRAPH  
TAKEN WITHIN THE  
LAST 12 MONTHS

**TAXICARD** The Taxicard is a travel concession permit for eligible persons. The service is managed by London Councils on behalf of all London Local Authorities. For more information about the Taxicard Scheme please visit: [www.londoncouncils.gov.uk/services/taxicard](http://www.londoncouncils.gov.uk/services/taxicard) or contact us: by email: [taxicard@londoncouncils.gov.uk](mailto:taxicard@londoncouncils.gov.uk) By telephone: 020 7934 9791

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### Section 3 - AUTOMATIC QUALIFICATION

**IMPORTANT:** You must supply correct proofs. See the accompanying 'Guidance to the completion of the Taxicard application form'.

I claim that I am eligible for the Taxicard scheme because:

**PLEASE TICK ONE BOX ONLY IN THIS SECTION**

- ☐ I receive the Higher Rate Mobility Component of the Disability Living Allowance and I attach a photocopy of my letter of entitlement.
- ☐ I receive 8 points or more for the moving around activity component of PIP and I attach a photocopy of my letter of entitlement, including the front page and pages that show the points breakdown
- ☐ I am registered severely sight impaired/blind and I attach a photocopy of evidence of registration with my Local Authority, e.g. CVI
- ☐ I receive a War Pension Mobility Supplement and I attach a photocopy of my letter of entitlement.
- ☐ I receive the Armed Forces Independence Payment (Mobility Element ) and I attach a photocopy of my letter of entitlement.
- ☐ I receive the Higher Rate Attendance Allowance and I attach a photocopy of my letter of entitlement.\*

\*Not all London Boroughs accept this benefit as an automatic qualifier. See the accompanying 'Guidance to the completion of the Taxicard application form (page 2, section 3), to see whether your borough accepts this.

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### Section 3a - OTHER BENEFITS RECEIVED

If you are not in receipt of the above benefits and are not registered as a blind person or as someone with a severe visual impairment, you may need to be assessed by your local council's mobility assessor.

**If you are in receipt of any other disability related benefits, please list these here:**


All applicants must complete every section of this form, as it will assist with your assessment, and may determine the number of Taxicard trips you are allocated. Failure to do so may result in delays to your application or your application being returned to you.

---

### Section 4 - TRANSPORT SERVICES

**A) Public transport services:** Please indicate whether you use any of the following public transport services, ticking either the yes or no box after each service.

PLEASE TICK AS APPROPRIATE

London Dial-a-Ride	<input type="checkbox"/> Y	<input type="checkbox"/> N
Trains	<input type="checkbox"/> Y	<input type="checkbox"/> N
Tubes	<input type="checkbox"/> Y	<input type="checkbox"/> N
Buses (any type)	<input type="checkbox"/> Y	<input type="checkbox"/> N

Comments

--

You can find out more about public transport services by telephoning Transport for London on 0343 222 1234 or on the website [www.tfl.gov.uk](http://www.tfl.gov.uk).

**B) Other transport services:** We would like to know what other assisted transport you have available to you. Please indicate whether or not you use any of the following services, ticking either the yes or no box after each service.

PLEASE TICK AS APPROPRIATE

Older Person's Freedom Pass	<input type="checkbox"/> Y	<input type="checkbox"/> N	Comments
Disabled Person's Freedom Pass	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Scooter loan scheme	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Access to Work scheme	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Community Transport Services	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Council Transport Voucher (if scheme is available in your area)	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Social Services Transport to Day Centre	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Shopmobility scheme	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Motorbike/Scooter	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Taxis	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Private Hire Vehicles	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Friend's/Relative's Vehicles	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Residential Home Transport	<input type="checkbox"/> Y	<input type="checkbox"/> N	
Other (e.g. Tram, please specify)	<input type="text"/>		

If you want to find out whether specific schemes operate in your area please contact your council.

**C) Blue Badge disabled persons parking scheme**

Do you have a Blue Badge Parking Permit? ☐ Y ☐ N

If you have a Blue Badge please enter the Serial Number here:

Issuing Authority

Are you a driver? ☐ Y ☐ N

Or passenger? ☐ Y ☐ N

Or both? ☐ Y ☐ N

When does the badge expire?

**Section 5 - YOUR HEALTH/DISABILITY**

If you have any supporting medical evidence from a health care professional to support the statements in Section 5 and 6, please provide a copy with your application.

**A) What are your health/mobility difficulties?**


How long have you had the above?   Years   Months

**B) Please explain how your health/mobility difficulties affect your ability to use public transport?**


How often is your ability to use public transport affected in this way? (please tick)

All the time ☐ Sometimes ☐ If sometimes, how often?

**Section 6 - GETTING AROUND OUTSIDE**

The following questions are to help us understand your mobility difficulties outside of your home.

**A) Your Mobility**

Are you able to stand? ☐ Y ☐ N

Do you have difficulty in standing? ☐ Y ☐ N

If yes, how long are you able to stand?

--

What prevents you from standing longer?


How far can you usually walk in metres or yards?  
(This includes when using a walking aid)

--

Can you climb steps and stairs without difficulty? ☐ Y ☐ N



Is there anything else you would like to tell us about your mobility difficulties outside the home?


**B) Use of wheelchairs/walking aids outside.**

To ensure your safety, if you need to use a wheelchair when travelling in a licensed London taxi you must travel facing the rear of the taxi with your back to the partition and use the attachment belts provided. Many larger electric wheelchairs cannot be positioned and safely secured in this way, due to their size, and so are unsuitable for use when travelling on the Taxicard scheme.

Many mobility scooters cannot be safely secured or are too heavy to use the ramps in licensed London taxis and therefore cannot be used when travelling on the Taxicard scheme.

However, the customer can travel if the electric wheelchair can be safely secured and the scooter is not too heavy and the customer can transfer from it to the back seat of the taxi in order to travel.

If you use a wheelchair or scooter, we need some additional information from you so that we can establish the best way that we can provide the Taxicard service for you. Our ability to provide a suitable vehicle for you will be limited if you do not have access to a wheelchair of a type which can be safely secured in a London taxi and you are not able to transfer to a seat when travelling.

*Please tick if any of the following apply to you*

**Manual wheelchair**

Do you use a manual wheelchair? ☐ Y ☐ N

Can you transfer to a seat when travelling? ☐ Y ☐ N

Do you rely on someone else to push you in your manual wheelchair? ☐ Y ☐ N

My manual wheelchair was recommended by

--

Does your manual wheelchair have leg extensions? ☐ Y ☐ N

**Mobility scooter**

Do you use a mobility scooter?

☐ Y☐ N

Can you transfer to a seat when travelling?

☐ Y☐ N

Manufacturer

Model

**Powered/electric wheelchair**

Do you use a powered/electric wheelchair?

☐ Y☐ N

Manufacturer

Model

My powered/electric wheelchair was  
recommended by:

Does your powered/electric wheelchair have leg extensions?

☐ Y☐ N**Outside walking aids**

I use a walking frame: Sometimes

☐

Always

☐

I use a walking stick: Sometimes

☐

Always

☐I use other walking equipment/aid  
(please specify)  

I use this equipment: Sometimes

☐

Always

☐My walking equipment/aid was  
recommended by



**C) Healthcare Professional/Social Services Officer**

Please complete either C1 or C2 below.

**C1) Details of a healthcare professional**

Please give details below of a healthcare professional who knows about your mobility difficulties and who may be contacted for more information if necessary.

Please let them know that they may be contacted.

Job title (please tick)

General Practitioner ☐ District Nurse ☐

Physiotherapist ☐ Consultant ☐

Occupational Therapist ☐

Title (Mr/Mrs/Miss/Ms/Other)
Name
Address
Postcode
Telephone
Email

**C2) Details of a social services officer**

If there isn't a healthcare professional that we may contact but you have a Social Services Officer who knows about your mobility difficulties, please give their details.

Please let them know that they may be contacted.

Job title (please tick)

Social Worker ☐ Care Manager ☐

Title (Mr/Mrs/Miss/Ms/Other)
Name
Address
Postcode
Telephone
Email

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**Section 7 - COMMUNICATION**

In case we need to contact you regarding your application, we will try to accommodate any communication needs that you have.

Please tick if any of the following apply to you (please tick)

I am hard of hearing ☐

I am profoundly/severely deaf ☐

I have a speech impairment ☐

English is not my first language and I need an interpreter ☐

If you need an interpreter or someone to help with the application process and you know someone who can do this for you, please give us their name, address and telephone number.

Title (Mr/Mrs/Miss/Ms/Other)
Name
Address
Postcode
Telephone
Relationship to applicant

---

**Section 8 - ETHNIC ORIGIN\*****TICK THE RELEVANT BOX**

(a) White	(b) Black or Black British	(c) Mixed	(d) Asian or Asian British	(e) Other Ethnic Group
<input type="checkbox"/> British	<input type="checkbox"/> Caribbean	<input type="checkbox"/> White/Black Caribbean	<input type="checkbox"/> Indian	<input type="checkbox"/> Arab
<input type="checkbox"/> Irish	<input type="checkbox"/> African	<input type="checkbox"/> White and Asian	<input type="checkbox"/> Pakistani	
<input type="checkbox"/> Gypsy or Irish Traveller		<input type="checkbox"/> White/Black African	<input type="checkbox"/> Bangladeshi	
			<input type="checkbox"/> Chinese	
<hr/>				
<input type="checkbox"/> Any other White please write in above	<input type="checkbox"/> Any other Black please write in above	<input type="checkbox"/> Any other Mixed please write in above	<input type="checkbox"/> Any other Asian please write in above	<input type="checkbox"/> Any other please write in above
<hr/>				
<input type="checkbox"/> I do not wish to say				

The purpose of this section is to provide information on whether we are delivering services in an appropriate manner across the whole community. This information is confidential and failing to complete it will not prejudice your application. If you do not wish to fill it in please tick the box 'I do not wish to say' above.

\* These categories are taken from Census 2011.

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**Section 9 - DATA PROTECTION**

In order to provide you with this service your information will be disclosed to the London borough in which you reside. Your information will be used by London Councils and the London boroughs to process your application for a Taxicard, to promote and achieve equal opportunities and to improve the scheme (including to assess the services available to Taxicard users), and may also be used for other compatible purposes: London Councils and your London borough may disclose personal data to third parties, but only where it is necessary;

- to comply with a legal obligation
- where permitted under the Data Protection Act, (e.g. to detect and prevent crime and protect public funds)
- where it is necessary to allow a third party working for or on behalf of the Council or London Councils. For example, your information may be disclosed to a company contracted to conduct mobility assessments. Please note that all personal information you provide on this form or in support of your application, will be processed by London Councils and the London boroughs in compliance with the Data Protection Act 1998.

Your information may also be used to contact you about initiatives which we believe to be of direct benefit to you or to consult you about the Taxicard Scheme, with the aim of improving the services to you. If you do not wish to receive this information or to be consulted, please indicate below by ticking the boxes below.

I am willing to be consulted. ☐ Y ☐ N I wish to be contacted about other services and initiatives. ☐ Y ☐ N

How did you hear about the London Taxicard Scheme?

<input type="checkbox"/> Newspaper	<input type="checkbox"/> Magazine	<input type="checkbox"/> TV/Radio	<input type="checkbox"/> Internet
<input type="checkbox"/> Leaflet	<input type="checkbox"/> Transport for All	<input type="checkbox"/> Word of Mouth	<input type="checkbox"/> Local Council Office
<input type="checkbox"/> Other	<input type="text" value="(Please specify):"/>		

---

## Section 10 - PROOF OF IDENTITY AND RESIDENCE

You must provide **ONE** example from Section 10a below as proof of identity

**(These should be photocopies. Please do not send originals as these cannot be returned to you)**

### Section 10a

- ☐ Copy of current Passport
- ☐ Copy of European Identity Card
- ☐ Copy of NHS Medical Card
- ☐ Copy of Birth Certificate (unless your name has changed)
- ☐ Copy of Marriage/Divorce Certificate
- ☐ Copy of photocard or paper Driving Licence
- ☐ Copy of letter of entitlement to the Higher Rate Mobility Component of the Disability Living Allowance
- ☐ Copy of letter of entitlement to PIP, including breakdown of how many points are awarded (moving around activity)

You must provide **ONE** example from the Section 10b below as proof of residence

**(These should be photocopies and be dated in the last 12 months. Please do not send originals as these cannot be returned to you)**

The items below marked with an \* must be dated in the last 3 months

### Section 10b

- ☐ Copy of current Council Tax Bill/Letter/Payment Book
- ☐ Copy of current Council Housing Association Rent Book/Statement/Letter
- ☐ Copy of current Television Licence/exemption letter
- ☐ Copy of home or contents insurance documents
- ☐ Copy of tenancy agreement
- ☐ Residential utility bill/letter (excluding mobile phone bill) e.g. gas, electricity, phone, water \* (dated in the last 3 months)
- ☐ Copy of HM Revenue and Customs letter \* (dated in the last 3 months)
- ☐ Copy of letter of entitlement to benefits or pension \* (dated in the last 3 months)
- ☐ Copy of domiciliary care bill \* (dated in the last 3 months)

Please note that if the application form is incomplete or you do not provide the required supporting documentation it will be necessary to return it, leading to a delay in processing your application.

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### CHECKLIST I ENCLOSE:

- ☐ PROOF OF ENTITLEMENT
- ☐ PROOF OF IDENTITY AND RESIDENCE
- ☐ ONE PASSPORT SIZED COLOUR PHOTOGRAPH
- ☐ MEDICAL EVIDENCE (if applicable)

## Section 11 - DECLARATION OF CONSENT

I declare that the information given on this form is true in all respects. Should any changes occur in my mobility needs, I will inform my local council immediately. I understand that you may prosecute me if I have given any information on this form, which may be wrong or untrue, or any supporting documentation, which is false or fraudulent.

I authorise my healthcare professional, Social Services Officer and any contact person nominated on this form to disclose any necessary information for the purpose of assessing my eligibility for a Taxicard.

I acknowledge that I have read, understand and accept the Taxicard conditions of use which are located in the accompanying 'Guidance to the completion of the Taxicard form' and on the Taxicard website at:

[www.londoncouncils.gov.uk/services/taxicard](http://www.londoncouncils.gov.uk/services/taxicard)

APPLICANT'S SIGNATURE	DATE <table border="1" style="display: inline-table;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

If you are unable to sign the declaration yourself it may be signed on your behalf by your relative/spouse/person of authority/friend. If you are under 16 years of age your parent or legal guardian must sign this form.

SIGNATURE OF AUTHORISED PERSON	DATE <table border="1" style="display: inline-table;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

PRINT SURNAME	<table border="1" style="display: inline-table;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																				
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RELATIONSHIP TO APPLICANT	<table border="1" style="display: inline-table;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																				
TELEPHONE NUMBER:	<table border="1" style="display: inline-table;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																				

Please return this form to:  
**London Councils Taxicard Section**  
**59½ Southwark Street**  
**London**  
**SE1 0AL**

Please make sure you put the correct postage on the envelope to ensure your application is delivered. You can find the cost at [www.royalmail.com/price-finder](http://www.royalmail.com/price-finder) or by visiting your local post office.

### For Office Use Only

Authorising Officer:

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Signature

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Date

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Annual/Monthly Trip Allocation

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