

## Revenue Collection Services

# **Schedule 4.8 – Prestige Back Office Services**

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# 1 Introduction

## 1.1 Scope and Purpose

- 1.1.1 This Schedule 4.8 (Prestige Back Office Services) sets out the scope, performance regime, monitoring and reporting requirements for the Prestige Back Office Services.
- 1.1.2 The "**Prestige Back Office Services**" are:
  - (a) the Primary Services provided in relation to the Prestige Back Office Modules; and
  - (b) the following additional services arising from the use of Prestige Cards:
    - (i) central collection, retention, manipulation and dissemination of Data;
    - (ii) the provision of reconcilable Data, as reasonably required by TTL; and
    - (iii) reconciled accounting information.
- 1.1.3 The Contractor shall provide the Prestige Back Office Services in accordance with this Schedule, Schedule 4.1 (Service Delivery) and the terms of the Contract.
- 1.1.4 The Contractor shall be responsible for the maintenance of the System and shall respond proactively to Service Affecting Faults and shall reliably meet and/or exceed the Service Levels set out in this Schedule.

## 1.2 Prestige Back Office Modules

- 1.2.1 The Modules used by the Contractor to deliver the Prestige Back Office Services comprise the following, details of which are set out in Schedule 6.4 (Prestige Back Office System):
  - (a) **Central Systems** – this Module Group is the primary processing and operational data store for transaction loading, station accounting, data warehousing, Prestige Card authentication and management reporting, and includes the following Modules:
    - (i) Central System Application;
    - (ii) Central System Database;
    - (iii) Actuate Reporting – this Module is a dedicated reporting system that allows TTL Authorised Users to run a series of reports extracting Data directly from the Central Systems;
    - (iv) Key Management System – this Module manages the fraud monitoring services and Prestige transport and security keys; and
    - (v) Oyster Card Registration Application;
  - (b) **Ticket Office Back Office** – this Module Group comprises the Ticket Office Database (TODB) and Postcode Address Finder (PAF), which together provide centralised data storage and search services to the Ticket Office Machines supporting Prestige Card registration, ticket refunds, exchanges and replacements;

- (c) **Base Data Processor** – this Module manages the development and preparation of Configuration Data, ticketing Data and Software for all Devices throughout the Front Office Modules; and
- (d) **Bank Card Processor** – this Module provides bank and credit card authorisation services to all Retail Devices which accept such payment methods,

together the "**Prestige Back Office Modules**".

## 2 Performance

### 2.1 Generally

- 2.1.1 The requirements for running and managing the Services are set out in Schedule 4.1 (Service Delivery). Details of the financial impact of the Service Credit and Service Bonus regime (if applicable) are set out in Schedule 12.1 (Charges and the Financial Model).
- 2.1.2 Availability shall be measured during the Prestige Back Office Service Day.
- 2.1.3 The "**Prestige Back Office Service Day**" shall be twenty-four (24) hours per day, seven (7) days per week including Bank Holidays and Christmas Day.
- 2.1.4 In this Schedule where time periods are expressed in Service Hours this shall be measured within the relevant Prestige Back Office Service Day.
- 2.1.5 The Contractor shall provide a secondary capability for disaster recovery purposes for each Prestige Back Office Module. This disaster recovery system shall be able to:
- (a) replicate Data held on the Central System to enable the Prestige Back Office Services to be maintained and to enable TTL Authorised Users to run reports on this server with no consequences to the primary Modules; and
  - (b) provide information to TTL Authorised Users requiring current Data/information, e.g. TTL Customer service helpdesk for Customer queries.
- 2.1.6 The Contractor shall provide revenue and accounting services (as set out in Schedule 11.4 (Revenue and Accounting Services)) for the information necessary for the TTL Group to meet its accounting and related contractual responsibilities, and management information needs. These include, but are not limited to:
- (a) statutory accounting and Period reports required by the Department for Transport (or such other body as may replace the Department for Transport from time to time) and the recording and reporting of revenue;
  - (b) cash generated and consequent debtors and creditors resulting from the sale of Travel Products by any Retail Agent, Bulk Customer or other outlet authorised by TTL to sell Travel Products or other transport operators (e.g. National Rail); and
  - (c) the allocation of revenue collected between those providing transport and those entitled to a share of the associated revenue.
- 2.1.7 The Contractor shall agree Planned Maintenance Windows with TTL in accordance with Schedule 4.1 (Service Delivery).
- 2.1.8 The Contractor shall provide information and reporting services (as set out in Schedule 11.5 (Information and Reporting Services)) to collect, reconcile, maintain and disseminate details of Magnetic Ticket and Prestige Card Travel Product sales, and accounting, Passenger journeys and operational management information.

### 2.2 Central Systems

- 2.2.1 The Contractor shall ensure, throughout the Prestige Back Office Service Day (subject to scheduled maintenance and scheduled downtime periods agreed in accordance with paragraph 2.1.7), that the Central Systems shall provide on-line database enquiry and report generation facilities. These will enable TTL Authorised

Users to perform ad-hoc specific enquiries on the Data and generate Data extracts in a variety of user-defined formats on:

- (a) Detailed Level Data for the most recent eight (8) week rolling period;
- (b) Summarised Level Data for the most recent four (4) year rolling period;
- (c) any additional non-consecutive four (4) weeks of Detailed Level Data, as may be requested by the TTL Authorised User; and
- (d) any additional two (2) years of non-consecutive Summarised Level Data, as may be requested by the TTL Authorised User.

2.2.2 The Contractor shall use reasonable endeavours to ensure that one hundred per cent (100%) of all Prestige Data is stored within the Central Systems in the shortest possible time to allow the TTL Group to utilise this information to support its business operations. A minimum of ninety-nine point nine one per cent (99.91%) of Prestige Data shall be available in the Central Systems to accurately report upon by the third (3<sup>rd</sup>) Prestige Back Office Service Day following the associated presentation of a Prestige Card to a Card Reader. If the Contractor fails to achieve ninety-nine point nine one per cent (99.91%) on the third Prestige Back Office Service Day on more than five (5) separate occasions in a Period, TTL may issue a Minor Warning as set out in Schedule 12.4 (Contract Management). The Contractor shall report to TTL against the performance of this requirement daily.

2.2.3 The Contractor shall measure and report to TTL on the Availability of all the Modules within the Central Systems each Period in accordance with paragraph 4 of this Schedule.

2.2.4 The targets and Service Levels for the Availability of the Central Systems Modules each Period are as set out in the table below. Service Credits shall be applied as set out in paragraph 3 for a failure to meet the Service Levels stated:

Module	Availability Service Level	Service Credits apply
(a) Central System Application	Ninety-nine point seven per cent (99.7%)	Yes
(b) Central System Database	Ninety-nine point seven per cent (99.7%)	Yes
Module	Availability target	Service Credits apply
(c) Actuate Reporting	Ninety-nine point eight per cent (99.8%)	No
(d) Key Management System	Ninety-nine point eight per cent (99.8%)	No
(e) Oyster Card Registration Application	Ninety-nine point eight per cent (99.8%)	No

2.2.5 In the event that the Availability of any Central Systems Module is less than or equal to ninety-nine per cent (99%) in any Period, the Contractor shall provide TTL a Corrective Action Plan in accordance with Schedule 12.4 (Contract Management) to ensure that the Availability in the subsequent Period will exceed ninety-nine per cent (99%).

2.2.6 The Contractor shall ensure that the Central Systems process Data overnight to deliver the following:

- (a) a set of Critical Output Files and on-line availability of Detailed Level Data and Summarised Level Data in accordance with Schedule 11.4 (Revenue and Accounting Services) and Schedule 11.5 (Information and Reporting Services); and
  - (b) a set of Accounting and Reconciliation Outputs in accordance with Schedule 11.4 (Revenue and Accounting Services).
- 2.2.7 The Contractor shall ensure that the Central Systems have completed the processing of Data and delivered all reports required under paragraph 2.2.6 by 08:00 every Prestige Back Office Service Day. Service Credits as set out in paragraph 3 shall be applied for failure to deliver the required files, Data and outputs in accordance with paragraph 2.2.6 to the required landing areas designated by TTL by 08:00. Further Service Credits shall be applied if the files, Data and outputs have not been delivered by 12:00 on the relevant Prestige Back Office Service Day.
- 2.2.8 The Contractor shall deliver to the required landing areas designated by TTL weekly reports (covering the period from Sunday to Saturday) by 08:00 on the Sunday of the relevant week. These reports shall set out the Critical Output Files for that week. Service Credits as set out in paragraph 3 shall be applied for failure to deliver the reports by 08:00 on the Sunday. Further Service Credits shall be applied if the reports have not been delivered by 12:00 on that Sunday.
- 2.2.9 The Contractor shall deliver to the required landing areas designated by TTL Period end reports to TTL by 08:00 on the first Prestige Back Office Service Day after the end of each Period. These reports shall set out the Critical Output Files for each Period. Service Credits as set out in paragraph 3 shall be applied for failure to deliver the reports by the specified time. Further Service Credits as set out in paragraph 3 shall be applied if the reports are not delivered within four (4) Service Hours of 08:00 on the first Prestige Back Office Service Day after the end of each Period.
- 2.2.10 The Contractor shall deliver TTL Financial Year end reports to TTL by 08:00 on 1 April of the subsequent TTL Financial Year. These reports shall set out the Critical Output Files for the TTL Financial Year. Service Credits as set out in paragraph 3 shall be applied for failure to deliver the reports by 08:00 on 1 April of the subsequent TTL Financial Year.
- 2.2.11 The Central Systems shall produce and deliver apportionment files as set out in Schedule 11.4 (Revenue and Accounting Services) on a daily and Period basis. These files shall contain a breakdown of the cost of fares that should be apportioned between TTL Group and the Train Operating Companies
- 2.2.12 The Contractor shall ensure that apportionment files are delivered to TTL by 08:00 every Prestige Back Office Service Day. Service Credits as set out in paragraph 3 shall be applied if the apportionment files are not delivered to TTL by 12:00 on the relevant Prestige Back Office Service Day. Further Service Credits as set out in paragraph 3 shall be applied if the Contractor fails to deliver the apportionment files on more than three (3) Prestige Back Office Service Days in any given Period.
- 2.2.13 The Contractor shall provide TTL with a Corrective Action Plan as set out in Schedule 12.4 (Contract Management) in the event that the apportionment file deadline set out in paragraph 2.2.12 is missed more than three (3) times in any given Period.
- 2.2.14 The Contractor shall report to TTL for each Prestige Back Office Service Day by 08:00 on the following Prestige Back Office Service Day on the reconstruction of any Prestige Data as set out in Schedule 6.4 (Prestige Back Office System) and in accordance with Schedule 11.4 (Revenue and Accounting Services).

- 2.2.15 The Contractor shall report to TTL each Prestige Back Office Service Day on all Devices that have not sent their End of Day Reports to the Central Systems. The Contractor shall use reasonable endeavours to determine why such Devices have not sent their End of Day Reports and take any appropriate remedial action and report to TTL on such remedial action.
- 2.2.16 The Contractor shall be responsible for ensuring that the Central Systems produce a file of the receipt of requests for Auto Top Up and Ad-hoc Load (together the "**Automated Off-System Sales Fulfilment Services**") made by Customers and TTL Authorised Users.
- 2.2.17 The Contractor shall ensure that the file containing all Automated Off-System Sales Fulfilment Services as set out in paragraph 2.2.16 shall be sent down to the Station Computer on LU Sites and/or Rail Sites as appropriate by 04:00 every Prestige Back Office Service Day. Service Credits as set out in paragraph 3 shall be applied if the Station Computer at more than two (2) of the LU Sites and/or Rail Sites has not received the specified file on any Prestige Back Office Service Day.
- 2.2.18 The Contractor shall report to TTL in accordance with paragraph 4 on the delivery and collection by Customers of the Automated Off-System Sales Fulfilment Services.



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## 2.3 Ticket Office Back Office

- 2.3.1 The Contractor shall measure and report to TTL on the Availability of all the Modules within the Ticket Office Back Office each Period in accordance with paragraph 4 of this Schedule.
- 2.3.2 The target for the Availability of the Ticket Office Back Office Modules for reporting purposes shall be as follows:

Module	Availability target	Service Credits apply
(a) Ticket Office Database	Ninety-nine point eight per cent (99.8%)	No
(b) Postcode Address Finder	Ninety-nine point eight per cent (99.8%)	No

## 2.4 Base Data Processor

- 2.4.1 The Contractor shall measure and report to TTL on the Availability of the Base Data Processor each Period in accordance with paragraph 4 of this Schedule.
- 2.4.2 The target for the Availability of the Base Data Processor each Period for reporting purposes shall be ninety-nine point nine nine per cent (99.8%).

## 2.5 Bank Card Processor

- 2.5.1 The Contractor shall measure and report to TTL on the Availability of the Bank Card Processor each Period in accordance with paragraph 4 of this Schedule.
- 2.5.2 The target for the Availability of the Bank Card Processor each Period for reporting purposes shall be ninety-nine point nine nine per cent (99.8%).

## 3 Service Credits

### 3.1 Calculation of Service Credits

3.1.1 Service Credits shall be applied in accordance with the following:

Para.	Event / Criteria	Service Credits
2.2.4(a)	A failure to achieve the Availability Service Level for the Central System Application in any Period	Twenty five (25) Service Credits per zero point two per cent (0.2%) increment or part thereof below the Availability Service Level
2.2.4(b)	A failure to achieve the Availability Service Level for the Central System Database in any Period	Twenty five (25) Service Credits per zero point one per cent (0.1%) increment or part thereof below the Availability Service Level
2.2.7	A failure to deliver Critical Output Files and on-line availability of Detailed Level Data and Summarised Level Data and Accounting and Reconciliation Outputs by 08:00 on any Prestige Back Office Service Day  A failure to deliver the files and Data by 12:00 on the relevant Prestige Back Office Service Day	Twenty five (25) Service Credits per Prestige Back Office Service Day  A further twenty five (25) Service Credits per Prestige Back Office Service Day
2.2.8	A failure to deliver weekly reports by 08:00 on the Sunday of the relevant week  A failure to deliver weekly reports by 12:00 on the Sunday of the relevant week	One hundred and twenty five (125) Service Credits per week  A further one hundred and twenty-five (125) Service Credits per week
2.2.9	A failure to deliver Period end reports by 08:00 on the first Prestige Back Office Service Day of the next Period following the report Period  A failure to deliver the reports by 12:00 on the first Prestige Back Office Service Day of the next Period following the report Period	Six hundred and twenty five (625) Service Credits per Period  A further six hundred and twenty-five (625) Service Credits per Period
2.2.10	A failure to deliver TTL Financial Year end reports by 08:00 on 1 April of the subsequent TTL Financial Year	Five thousand (5,000) Service Credits per year
2.2.12	A failure to deliver apportionment files by 12:00 on a Prestige Back Office Service Day	Fifty (50) Service Credits per day
2.2.12	A failure to deliver apportionment files by 08:00 on a Prestige Back Office Service Day more than three (3) times in any	Two hundred and fifty (250) Service Credits per Period

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	single Period	
2.2.17	A failure to deliver the Automated-Off System Sales Fulfilment Services files to more than two (2) Station Computers by 04:00 on any Prestige Back Office Service Day	Fifty (50) Service Credits per Prestige Back Office Service Day

3.1.2 The Contractor shall report on Service Credits as set out in paragraph 4.

## 4 Reporting

### 4.1 The Service Performance Report

4.1.1 In respect of the Prestige Back Office Services, as a minimum, the Contractor shall report to TTL on the following in each Service Performance Report delivered as set out in Schedule 4.1 (Service Delivery):

Para.	Report
2.2.3	Availability of all the Modules within the Central Systems
2.3.1	Availability of all the Modules within the Ticket Office Back Office
2.4.1	Availability of the Base Data Processor
2.5.1	Availability of the Bank Card Processor
3	The specific performance and/or events giving rise to the application of Service Credits and the number of Service Credits to be applied in the Period

4.1.2 Each report set out in the table in paragraph 4.1.1 above shall be provided in respect of the Period prior to the date of provision of the Service Performance Report, unless otherwise specified by TTL.

4.1.3 In addition, the Contractor shall report to TTL on the following, in the frequencies set out in the table below:

Para.	Report	Frequency
2.2.2	Performance against the following targets:  a minimum of ninety-nine point nine one per cent (99.91%) of Prestige Data shall be available in the Central Systems to accurately report upon by the third (3 <sup>rd</sup> ) Prestige Back Office Service Day following the associated presentation of the Prestige Card to the Card Reader	Daily by 08:00 the following Prestige Back Office Service Day
2.2.8	Critical Output Files for the week	Weekly by 08:00 on the Sunday of the relevant week
2.2.9	Critical Output Files for the Period	Every Period on the first day of the following Period
2.2.10	Critical Output Files for the TTL Financial Year	Every TTL Financial Year end by 08.00 on 1 April of the next TTL Financial Year
2.2.14	The reconstruction of any Prestige Data as set out in Schedule 6.4 (Prestige Back Office System)	Daily by 08:00 the following Prestige Back Office Service Day
2.2.15	Provision of the End of Day Report to the Central Systems within one (1) Prestige Back Office Service	Daily by 08:00 the following Prestige Back

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	Day	Office Service Day
2.2.18	Delivery and collection by Customers of the Automated Off-System Sales Fulfilment Services	Daily by 08:00 the following Prestige Back Office Service Day