

Monitoring & Compliance

The following is an illustrative list of what will be tested under the Monitoring and Compliance arrangements under Rail Delivery Group's Compliance Activity.

- a) A range of transaction scenarios to measure the impartialityⁱ and accuracy with which information is provided and sales transacted.
- b) Whether or not:
 - All Fares applicable to a journey were provided impartialityⁱⁱ and accurately;
 - Customers were made aware of the National Rail Conditions of Travel;
 - There was a means for customers to make comments about the service provided;
 - The Agent adequately dealt with issues raised in customer comments about the service or comments about a Rail Product or journey made;
 - The Agent was compliant with any standards or guidelines required of him in the Licence, for example in respect of comments about the service provided; comments about a Rail Product or journey made; the process for enabling customers to apply for a refund;
 - The prescribed contact details were provided to enable customer seeking a refund to contact the Agent;
 - The process for changing a seat reservation was easy to understand;
 - The options for sending tickets to customers were clearly explained;
 - The Agent explained what to do if a ticket sent by post does not arrive in time for the journey;
 - customers were advised of any charges for alternative methods of ticket dispatch;
 - charges for alternative methods of ticket dispatch were kept separate from the price of the transaction;
 - The following was displayed on Internet Site services;
 - the range of Rail Products and services offered
 - the conditions of purchase that apply to Rail Product transactions and the National Rail Conditions of Travel
 - a working link to the National Rail website
 - the arrangements for the dispatch of tickets and any special conditions relating to ticket delivery arrangements
 - the National Rail Accreditation Mark where the Agent is required to do so

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- the name, address and registered office of the company operating the service
 - the arrangements for obtaining telephone help or for contacting the Agent by electronic means
 - Any information provided was out of date;
 - It was made clear that all information and transactions relating to the sale of National Rail Products was provided impartially between Operators;
 - Written communications received from the Agent included the name, address, telephone and email address of the Agent;
 - A call to a Telephone Help Service provided by the Agent was available during the times stated in any relevant Standard and whether or not it was answered promptly;
 - It was possible to contact the service by electronic mail if it should have been;
 - The service was compliant with the Disability Discrimination Act;
 - Details of the validity and conditions of purchase of a Rail Product being enquired about were provided;
 - The enquirer was asked to confirm acceptance of the terms and conditions applying to the purchase before or at the time of purchase;
 - The Agent provided arrangements to enable the enquirer to obtain written details of the conditions applying to the purchase;
 - The Agent provided a secure and recognised method of payment where applicable;
 - The design guidelines for the application of the National Rail Accreditation Mark were applied correctly.
- c) The process the Agent uses to inform customers how to obtain information on, and how to purchase, National Rail Products and Services that he does not offer.
- d) Whether customers were satisfied with the way complaints about the service were dealt with.

ⁱ Relevant to Third Party Investor Licences, International Licences and Season Retailing Licences

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