



Enforcement Operations Agreement

Schedule 2

Appendix 19 – Refund Policy

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1. Refund, Ex-gratia and Redress Payments

Refunds and Redress Payments may only be paid against cleared effects; this is to guard against the risk of fraud. For monies paid direct to Transport for London (TfL), or to TfL via the OSE Service Provider, this means:

- business and personal cheques and Banker's Drafts drawn on UK based bank accounts in GB£, may have refunds and redress payments paid on or after the seventh banking day from the date the cheque or draft was deposited into the bank.
- credit/debit/charge card payments, may have refunds and redress payments paid immediately on all cases where transactions have been authorised via TfL's Merchant Acquirer.
- UK Postal Order and UK Money Order payments in GB£, may have refunds and redress payments paid on or after the seventh banking day from the date the Order was deposited into the bank.
- cash payments in GB£, may have refunds and redress payments paid on or after the seventh banking day from the date the cash was deposited into the bank.
- cheques or Banker's Drafts drawn on foreign bank accounts in GB£, or a foreign currency, may have refunds and redress payments paid upon receipt of confirmation of clearance of the payment.
- foreign Money Orders or Postal Orders drawn on in GB£, or a foreign currency, may have refunds and redress payments paid upon receipt of confirmation of clearance of the payment.

Ex-gratia payments are not 'paid against' an incoming payment and therefore ex-gratia payments may be made immediately.

If monies have been paid to Bailiff Companies or EDRA, funds will not be passed to TfL until these Service Providers are satisfied the funds have 'cleared'. Payments against monies remitted to TfL by Bailiff Companies or EDRA may be issued against immediately.

Prior to paying any refunds, ex-gratia or redress payments the appropriate authority must be obtained:

2. Refund payment authorisation levels

Payments may only be issued once the appropriate authorisation has been obtained. The level of authorisation required varies by scheme. The table below details refund authorisation levels for enforcement related CCS and LEZ transactions:

	Congestion Charging (CCS)	Low Emission Zone (LEZ)
Authorised Service Provider Team Leader/Manager	Up to £500.00	Up to £2,000.00
TfL CIO	Up to £2,000.00	Up to £2,000.00
TfL PMA	Up to £7,000.00*	Up to £7,000.00*
TfL Contracted Services Assistant Manager	Up to £25,000.00*	Up to £25,000.00*
TfL Correspondence Manager	Up to £25,000.00*	Up to £25,000.00*
TfL LRUC Operations Manager (or equivalent)	Up to £50,000.00*	Up to £50,000.00*
TfL Head of Contracted Services	Up to £100,000.00*	Up to £100,000.00*
TfL Assistant Director or above	Over £100,000.00*	Over £100,000.00*

* Please see below for information regarding the authorisation of cheque payments for £7,000.00 or above.

The Service Provider is able to authorise payments of up to £500.00 for CCS and £2,000.00 for LEZ without reference to TfL.

The authorisation levels reflect the total amount of payment to be made to a customer. In assessing the level of authorisation required account must be taken of all relevant Bonds, PCs and PCNs. Requests must not be separated into a number of smaller elements to circumvent the authorisation levels.

3. Ex-gratia payment authorisation levels

Ex-gratia payments may only be paid once the appropriate authorisation has been obtained. The level of authorisation required varies by scheme. The table below details ex-gratia payment authorisation levels for enforcement related CCS and LEZ transactions:

	Congestion Charging (CCS)	Low Emission Zone (LEZ)
TfL PMA	Up to £1,000.00	Up to £1,000.00
TfL Assistant Manager	Up to £2,000.00	Up to £2,000.00
TfL Manager	Up to £7,000.00*	Up to £7,000.00*
Head of Operations	Over £7,000.00*	Over £7,000.00*

* Please see below for further information regarding the authorisation of cheque payments for £7,000.00 or above.

4. Redress payment authorisation levels

Redress payments may only be paid once the appropriate authorisation has been obtained. The level of authorisation required varies by scheme. The table below details redress payment authorisation levels for enforcement related CCS and LEZ transactions:

	Congestion Charging (CCS)	Low Emission Zone (LEZ)
TfL PMA	Up to £1,000.00	Up to £1,000.00
TfL Assistant Manager	Up to £2,000.00	Up to £2,000.00
TfL Manager	Up to £7,000.00*	Up to £7,000.00*
Head of Operations	Over £7,000.00*	Over £7,000.00*

* Please see below for further information regarding the authorisation of cheque payments for £7,000.00 or above.

5. Service Provider funded payments

When a payment is to be funded by a Service Provider or Service Providers the monies will initially be paid by TfL and The Service Provider(s) will repay the funds to TfL. In these circumstances, agreement to repay the monies must be obtained from the relevant Service Provider(s) before any monies are paid.

6. Payment Cheques Authorisation

When payment cheques are sent produced to send monies to Customers the cheques must be appropriately authorised.

The authorisation required varies by charging scheme (for example, Congestion Charging or the Low Emission Zone) and the amount of the payment. Details of the requirements are outlined below:

Congestion Charging

Payment amount	Requirements
Up to £249.99	1 authorised signature
Over £250.00	2 authorised signatures

Low Emission Zone

Payment amount	Requirements
Up to £249.99	1 authorised signature
Over £250.00	2 authorised signatures

7. Payment cheques in excess of £7,000.00

For security reasons, TfL's Commercial Team must be notified of all cheque payments of £7,000.00 or more issued against TfL's bank accounts (with TfL's Finance Team being copied in to any communication). TfL's Commercial Team will require full details of the payment cheque, including:

- Payee name
- Amount
- Cheque number
- Date cheque drawn

It is the responsibility of the TfL Manager authorising the payment to provide TfL's Commercial Team with the required information (this responsibility may be devolved to another member of TfL staff). TfL's Commercial Team must be informed of the cheque details prior to the instrument being despatched to the customer.

Upon receiving notification that a cheque of £7,000.00 or more is to be despatched to a customer, TfL's Commercial Team will take the appropriate steps to ensure the payment is honoured. If appropriate authorisation is not obtained the cheque will not be honoured by TfL's bank (nb: the above requirement is in addition to any cheque signatory arrangements that require cheques in excess of certain amounts to bear additional signatures).