	• dollar amount discount or transaction count discount with a maximum amount;
	• time duration, such as an Account Plan may only be available for a limited time or may require renewal every year;
	• method of calculating the discount, such as a transaction-level discount where members get a 50 percent discount on every qualifying toll transaction or a rebate credit on following month based on the frequency of trips within a period of time;
	• monthly maximum discount based on total dollar amount or number of transactions/trips;
	• use of Posting Date or Transaction Date to qualify transactions/trips for a rebate;
	• specific criteria for qualification;
	• a cost to join the Account Plan and
	• proof of eligibility, such as a vehicle registration as proof of registration criteria with ability for customer to upload electronically.
398	The Contractor shall provide the capability to track toll transactions/trips in frequency transponder-based discounts.
399	The Contractor shall provide the capability to apply rebates or toll credits as lump-sum account level credits.
400	The Contractor shall provide the capability to apply and reverse discounts to a range of toll transactions/trips on an account.
401	The Contractor shall provide the capability to clearly indicate which discount was applied to any given transaction/trip.
402	The Contractor shall provide the capability to configure a non-revenue plan (up to 100 percent discount) to a transponder or license plate on all or specific tolling locations for a specific Toll Facility.
403	The Contractor shall provide the capability to associate discount eligibility documentation (such as, a utility bill as proof of residence) to a transponder or vehicle.

1.4.3.1. *Special Access Plans*

404	The Contractor shall provide multiple Special Access Plans providing free or discounted toll rates, including but not limited to:
	• always HOV eligible when in I-405 Express Lanes (designated carpool);
	• motorcycles;
	• eligible CAVs;
	• vehicles with disabled veteran license plate and

	• vehicles with disabled person license plate.
405	With the exception of the occupancy which is validated by the ETTM System and reflected in the discounted toll rate assigned to the transaction/trip by the ETTM System, the Contractor shall provide the capability to validate all vehicles to ensure they meet the requirements for a Special Access Plan, This validation shall include:
	• attach documentation provided by the customer as proof of meeting the requirements for a Special Access Plan and queue for manual verification;
	• manually review the image of the flagged vehicle license plate noting the transponder used in the special access vehicle
	• assign the respective code to the transponder to indicate the respective discount (clean air vehicle, motorcycle, etc);
	• upon successfully matching the transponder to the license plate, charge the appropriate discount to all transactions/trips by that transponder including the first trip;
	• if the transaction/trip including that license plate does not have an associated transponder read, the discounted rate will be charged but the customer will be contacted to rectify the transponder situation and
	• for plates and transponders that are successfully matched include the appropriate code in the CTOC file.

1.4.3.2.   Promotions

The BOS shall be able to manage promotions, promotion codes and credits. Balances related to promotions are tracked individually by promotion and separately from the account balance. Only eligible transactions can be deducted from promotional balances. Promotional balances are not refunded and can only be applied to tolls on the Authority's Toll Facility.

406	The Contractor shall provide the capability to offer a Configurable number of weeks-worth of free travel on the Authority's toll facility for new accounts.
407	The Contractor shall provide the capability to account and track promotions balances individually (for example, by promotion code) separately from the account balance.
408	The Contractor shall provide the capability to display the promotion balances and associated expiration date of the promotion balances so that the CSRs and customers can see the various promotion balances separately from the account's cash balance.
409	The Contractor shall provide the capability (Configurable) to specify what types of transactions/trips are eligible to be deducted from promotional balances.

410	The Contractor shall provide the capability to track multiple promotions within an account and correctly determine which account or promotion balance should be depleted first (for example, by type of promotion, by the earliest issue or expiration end date or maximum discount yielded).
411	The Contractor shall provide the capability to prevent promotional balances from being refunded to customers in the event of account closure or specific customer request.
412	The Contractor shall provide the capability to credit toll payments back to the promotion balance if toll transactions/trips are reversed or adjusted.
413	The Contractor shall provide the capability to set an expiration date for promotions.
414	The Contractor shall provide the capability to offer promotions by Authority or Toll Facility with a combination of features and parameters, including but not limited to: • assignment of a promotion code to a company or event; • Configurable period of time (promotion start date and duration or end date); • Authority offering the promotion; • Toll Facility(ies) where the promotion can be used; • discount percentage per transaction/trip; • discount amount per transaction/trip; • eligibility (new accounts, existing accounts or both; existing accounts opened for more than an amount of time (Configurable)); • source (Self-Service Website or with a CSR); • source advertising channel ("where did you hear about it?"); • entry into a raffle/sweepstakes and • credit to the account.
415	The Contractor shall provide the capability to setup "refer-a-friend" promotion codes where both the referred (new) customer and the customer who referred the new customer enjoy the benefits of the promotion.
416	The Contractor shall provide the capability to apply rebates to accounts sponsored by a third party (such as a shopping mall).
417	The Contractor shall provide the capability to periodically (monthly) invoice the third-party sponsor for all rebates submitted and applied to accounts.
418	The Contractor shall provide the capability to expense promotional credits as used to the Authority where the credit was applied reducing that Authority's toll revenue.

1.4.4. Fees, Penalties and Transactions

Penalties and fees are types of Financial Transactions that are assessed in addition to the toll amount or toll charge or in relation the customer's account management. Penalties and fees can be assessed at the account level, Notification level or transaction level. At the account level, a returned payment fee or a Credit Card decline fee might be assessed in the event a check was returned unpaid by the customer's bank or a Credit Card payment was declined. At the Notification level, a monthly statement fee might be assessed when a statement is mailed to the customer. At the transaction level, penalties are assessed when a transaction/trip is not paid and it becomes a Violation. Fees and penalties should be associated with the lowest possible level. Those fees related to specific transactions/trips should be associated with those transactions/trips. Fees and penalties related to Notification should be associated with that Notification, and all other fees and penalties should be associated with the account as a whole. No fees or penalties should be assessed on a cumulative basis, such as a fee or a penalty assessed and associated to another previously charged fee or penalty. Like adjustments and reversals, fees and penalties are Posted to the current Revenue Day. The BOS shall be capable of reversing fees and penalties automatically or manually, individually or in batches. Fees and penalties, even when associated with a single transaction, should not change the amount of transaction

419	The Contractor shall provide the capability to apply fees and penalties (automatically and manually) to accounts.
420	The Contractor shall provide the capability to apply fees and penalties (currently penalty is assessed to the Violation only), including but not limited to:
	• at the account level;
	• at the transponder level;
	• at the license plate level;
	• at the Notification level and
	• at the transaction level.
421	The Contractor shall provide the capability to define and charge account-related fees and penalties based on a set of Configurable parameters, including but not limited to:
	• hub processing fee (the Authority acting as a hub for other entities);
	• roaming fee (the Authority acting as a hub for other entities);
	• account fee;
	• administrative fee;
	• Interoperable customer transaction fee;
	• returned payment fee – Insufficient Funds;
	• Credit Card decline fee;
	• ACH decline fee;

	transponder purchase fee;
	Excessive I-Toll (Image-Based Toll) fee;
	invoicing fee;
	statement fee, depending on method of delivery;
	late fee;
	delinquent account fee;
	account re-activation fee;
	Violation penalty;
	delinquent Violation penalty;
	collection fee;
	account deactivation fee;
	Account Plan membership fee;
	Registration Hold fee and
	balance below Insufficient Balance Threshold fee.
422	The Contractor shall provide the capability to maintain the parameters (Configurable) related to fees and penalties.
423	The Contractor shall provide the capability to create new fees and penalties.
424	The Contractor shall provide the capability to manually apply custom fees and penalties to accounts.
425	The Contractor shall provide the capability for the assessment of fees based on account activities, for all accounts or specific account type(s).
426	The Contractor shall provide the capability to notify the customer via the channel(s) defined within the Business Rules, Operations Plan and SOPs when a fee or penalty is assessed.
427	The Contractor shall provide the capability to schedule a start and end date/time when a fee or penalty change will go into effect/conclude. For example, the statement fee is $2.00 until July 31, 2024, after which it will increase to $3.00.

1.4.5. Registered Account Replenishment

Registered accounts are established with a valid replenishment method for prepaid balances to be restored as toll and fee transactions deplete the prepaid balance. Account replenishment options are Credit Card, cash, check, ACH and money order. Replenishment by Credit Card can be set up to be automatic (auto-replenishment). For auto-replenishment, the BOS determines the replenishment timing and minimum amount based on parameters (Configurable). Replenishment by cash, check,

ACH or money order requires the customer to replenish the account manually by mailing a check or visiting a WIC. Customers without an auto-replenishment method also may make a one-time payment by Credit Card or ACH.

428	The Contractor shall provide the capability for one or more auto-replenishment methods within an account for all electronic payment methods.
429	The Contractor shall provide separate replenishment parameters (Configurable) for all account types, including but not limited to:
	• fixed replenishment amount;
	• replenishment threshold based on a percentage of the replenishment amount;
	• replenishment thresholds based on the number of transponders on the account;
	• replenishment amount based on the number of transponders on the account;
	• replenishment amounts calculated based on average use for a period (Configurable) of time or a fixed amount, whichever is greater. For example, average use over the prior (3) month period as compared to $30);
	• number of replenishment failures before next method is attempted and
	• number of declines before a replenishment method is suspended based on appropriate reject reasons.
430	The Contractor shall provide the capability for Authorized Users to identify individual accounts that are not subjected to auto-replenishment recalculation.
431	The Contractor shall provide the capability for account replenishment options based on Insufficient Balance Thresholds.
432	The Contractor shall provide the capability for automatic account replenishments via Credit Card and ACH.
433	The Contractor shall provide the capability for a hierarchical usage sequence for auto-replenishment methods for an account, such as primary method ACH and secondary method Visa Credit Card #1.
434	The Contractor shall provide for a stepped approach to failed auto-replenishments where an attempt is made to collect from the primary replenishment method a number of times (Configurable), followed by the secondary method and continuing until attempts have been made to replenish from all replenishment methods.
435	The Contractor shall provide the capability for automatically suspending an auto-replenishment method because of a number of declines (Configurable) and decline reason code. For example, if the reason for a decline is a closed account, the number of retries would be zero.
436	The Contractor shall provide the capability for automatically removing the suspension of an auto-replenishment method when there is an update to the Credit Card number, expiration date or any other related information.

437	The Contractor shall provide the ability to automatically update credit card expiration dates through the Merchant Service Provider.
438	The Contractor shall provide the capability to check if the Credit Card or ACH information is associated with another account when setting up an auto-replenishment method. The Contractor shall provide an Alert to the CSR of such condition and options to cancel or continue.
439	The Contractor shall provide the capability for an Alert to be sent to the PMMS of a failed auto-replenishment event because of BOS or Interface errors.
440	The Contractor shall provide the capability for the manual replenishing of accounts, regardless of payment method, on both a one-time and ongoing basis.
441	The Contractor shall provide the capability to check account balances each time a transaction is Posted to an account, as well as automatically submit an auto-replenishment attempt using the primary valid replenishment method when replenishment criteria is met.

1.4.6.   Adjustments and Reversals

Adjustments and reversals are routinely processed in the BOS and are applied to any type of toll or Financial Transaction. Examples of such adjustments include correcting a toll rate, which would result in a change in toll, accepting a customer dispute for an incorrect charge, which would result in the reversal of the toll, or waiving or reducing a Violation penalty. Adjustments and reversals can be processed for single transactions, such as in the examples above, or in bulk. An example of a bulk adjustment is reversing all charges for a specific Toll Facility during a specific time period, as would be the case for an accident in the general-purpose lanes. Every adjustment and reversal requires the entry of a reason code identifying the reason for the adjustment or reversal. Adjustments and reversals must be associated with the original transaction, butt must not change the original transaction. The original transaction must be preserved in the BOS once the transaction has been Posted to the account. Any adjustments to that transaction would be Posted to the current Revenue Day. The BOS shall have the capability to report on both the unadjusted transaction amount and the adjusted transaction amount based on transaction plaza and lane, hence the reason adjustments to transactions/trips shall be tied to but not change the original transaction.

442	The Contractor shall provide the capability to make corrections, adjustments and reversals to transactions/trips while preserving the original transaction, including the original Transaction Date and amount. Any corrections, adjustments or reversals shall be tied to, but not change, the original transaction/trip.
443	The Contractor shall provide the capability to properly disposition transactions/trips that are adjusted and/or reversed and are already in a Violation Notice stage.
444	All corrections, adjustments and reversals shall be Posted to the current Revenue Date so as not to affect prior closed Revenue Dates.
445	The Contractor shall provide the capability for full reversals of any type of transaction with a reason code (Configurable), preserving complete history.
446	The Contractor shall provide the capability for partial reversals of any type of transaction with a reason code (Configurable), preserving complete history.

447	The Contractor shall provide the capability to require that a reason code be entered for every adjustment and reversal.
448	The Contractor shall provide the capability for multiple corrections, adjustments and/or reversals to be made on a single transaction/trip while preventing the sum of such corrections, adjustments and/or reversals to exceed the amount of the original transaction/trip.
449	The Contractor shall provide the capability to establish Courtesy Credit amounts (Configurable) by Courtesy Credit type. Courtesy Credits shall be used for toll charges only on the Authority's Toll Facility and are not refundable and are charged as an expense when issued to customers.
450	The Contractor shall provide the capability to apply Courtesy Credits to accounts and require the entry of comments and reason assignment from allowable reason. The reason selected will determine how the expense is charged (transaction level or account level (50/50).
451	The Contractor shall provide the capability to Authorized Users to configure all relevant parameters related to establishing role-based dollar amount thresholds for transactions that affect Authority's revenue, including but not limited to:
	• adjustments,
	• debits;
	• credits and
	• reversals.
452	The Contractor shall provide the capability for Authorized Users to Post adjustments, credits and reversals up to their role-based threshold amount (Configurable).
453	The Contractor shall provide the capability to establish a Case when Authorized Users are unable to process a transaction as a result of reaching their role-based adjustment, credit or reversal limits (Configurable) or not authorized for the particular action.
454	The Contractor shall provide the capability to establish a Case for a higher-level of approval when Authorized Users are unable to process a transaction as a result of reaching their role-based adjustment, credit or reversal limits (Configurable). The Authorized User who Approved the transaction shall be recorded and associated with the transaction.
455	The Contractor shall provide detailed tracking of individual adjustments, credits and/or reversals and categorize each separately.

456	The Contractor shall provide a trip and/or transaction search and adjustment screen(s) where Authorized Users can enter the selection criteria, retrieve the transactions/trips and make bulk adjustments or reversals. This capability shall allow the selection of groups of transactions/trips to which the correction will apply and adjustment comments entered for the affected transactions/trips. The Authorized User shall be allowed to select/deselect specific transactions/trips within the group. For example, the Authority may require all trips/transactions that include a certain toll point between 2 a.m. and 5 a.m. on a specific date to be fully reversed or all transactions at that toll point to be charged $1.00.
457	The Contractor shall provide the capability to process adjustments and reversals that affect Interoperable Agency customers in accordance with the applicable Interoperable specifications and include these transactions/trips in the reconciliation reporting based on adjustment Posting Date (not original Transaction Date).
458	The Contractor shall provide the capability to transfer transactions/trips (financial or tolls) to another account. For example, a check Posted incorrectly to an account gets reversed and re-Posted to the appropriate account.
459	The Contractor shall provide the capability to adjust the eligibility for discounts and promotions when transactions are corrected, adjusted or reversed.
460	The Contractor shall provide the capability to adjust discounts and promotions when transactions are adjusted, corrected or reversed.

1.4.7. Account Statuses

Account statuses determine how transactions/trips are processed and associated to accounts.

461	The Contractor shall provide account statuses, including but not limited to:
	• active (accounts in good standing);
	• low balance (account below replenishment threshold – credit card has declined or cash account below threshold);
	• delinquent (Registered accounts only – accounts that fall below the Insufficient Balance Threshold);
	• collection (account information has been sent to the Collection Agencies);
	• pending close (Registered accounts only – accounts scheduled to close remain in this status for a Configurable number of days to allow for final transactions/trips to clear) and
	• closed (closed accounts).
462	The Contractor shall provide the capability to automatically, according to Business Rules, transition between account statuses.
463	The Contractor shall provide the capability to set a different period of time (Configurable) before accounts automatically transition from pending close to closed based on the reason the account is to be closed.

464	The Contractor shall provide capability for customer Notification (Configurable) when the account status changes.
465	The Contractor shall provide the capability to use the account's status in determining whether or not to Post a transaction/trip to the account. For example, only Post transactions to an account in active or pending close statuses.
466	The Contractor shall provide the capability to automatically set an account to delinquent status once the account balance reaches below the Insufficient Balance Threshold or a Configurable number of days from the low balance notification.
467	The Contractor shall provide the capability to automatically set accounts to pending close status upon a request to close the account and take automatic actions, including but not limited to:
	• deactivate plates and vehicles on the account;
	• deactivate transponders on the account and
	• prorating of prepaid discount fees.
468	The Contractor shall provide the capability to automatically age an account from pending close to closed status after a period of time (Configurable) and to take automatic actions, including but not limited to:
	• removing payment methods on the account;
	• assessing the appropriate fees;
	• expiring promotion credits;
	• processing the refund amount bringing the balance to zero and
	• processing the refund automatically based on criteria or approval.
469	The Contractor shall provide the capability for capturing multiple levels of reason codes for an account closing at "pending close" time.
470	The Contractor shall provide the capability for the reactivation (back to an active status) of an account in the pending close and closed statuses.
471	The Contractor shall provide the capability to prevent transactions from Posting to closed accounts.
472	The Contractor shall provide the capability for Authorized Users to add comments to closed accounts.

1.4.8.   Account Flags

Account Flags are used to identify meaningful conditions and information about the account, its transactions/trips, vehicles, transponders and payment methods which are used to trigger a Notification or other actions and for reporting. During design, the Contractor shall describe the ways in which these types of information shall be identified to the customers and Authorized Users.

473	The Contractor shall provide the capability to set and maintain Flags (Configurable) that can be displayed on accounts for issues related to the account, a license plate, or transponder on the account.
474	The Contractor shall provide the capability to automatically set Flags on account based on conditions and events, including but not limited to:
	• bad address;
	• bad email address/no email address;
	• bad phone number (for both calls and texts);
	• account closed in collections;
	• account was not completely opened;
	• account has debt which was written-off;
	• account has debt which was written-off in collections;
	• account has an investigative review in process;
	• account has an open refund request;
	• no active vehicles;
	• no active transponder (applicable only to FasTrak accounts);
	• transponder in certain status, for example, lost or stolen (not applicable to Unregistered accounts);
	• excessive toll at license plate level (not applicable to Unregistered accounts);
	• temporary license plate;
	• account is in pending to close status (not applicable to Unregistered accounts);
	• account has an open Case;
	• customer participates in a non-revenue Account Plan (not applicable to Unregistered accounts);
	• customer enrolled in Account Plan (s) (not applicable to Unregistered accounts);
	• Special Access Plan on the account or on a vehicle on the account (not applicable to Unregistered accounts);
	• unresolved returned check;
	• unresolved Credit Card decline on the account;

	•	at least one Credit Card marked by the BOS as bad (not applicable to Unregistered accounts);
	•	at least one Credit Card is expired or is expiring within a number (Configurable) of days (not applicable to Unregistered accounts);
	•	account has at least one suspended auto-replenishment method (not applicable to Unregistered accounts;
	•	account has unpaid Violation(s) not applicable to Unregistered accounts);
	•	account has debt in collections;
	•	one or more vehicles on the account has been placed on Registration Hold;
	•	at least one license plate on the account has an unpaid Violation(s);
	•	an Administrative Review has been scheduled for the account;
	•	at least one Violation associated with the account has a Civil Judgement and
	•	account was subject to Escheatment.
475	The Contractor shall provide the capability for Authorized Users to manually set account Flags, including but not limited to:	
	•	high priority comment;
	•	bad phone number (for both calls and texts);
	•	bad address;
	•	do not accept checks for payment;
	•	inactive account;
	•	account needs to be referred to a supervisor;
	•	account holder is deceased and
	•	CSC has been informed of account holder bankruptcy.
476	The Contractor shall provide the capability to display all active Flags on an account upon accessing the account information.	
477	The Contractor shall provide the capability to automatically clear Flags based on criteria.	
478	The Contractor shall provide the capability for Authorized Users to manually clear Flags no longer applicable to an account.	

1.4.9. Transponders

There are different types of transponders, with each having a distinct purpose. The Authority may issue the types of transponders described below.

- Interior sticker transponders (non-switchable) – are permanently affixed on the inside of a vehicle's windshield. These transponders cannot be moved between vehicles.

- Breakable interior sticker transponders (non-switchable) – are permanently affixed on the inside of a vehicle's windshield. These transponders cannot be moved between vehicles because they are designed to break if removed after they have been applied to a surface.

- Three-position hard-case transponders (switchable) – are mounted on the inside of a vehicle's windshield with mounting strips that allow a customer to switch between three occupancy declaration modes.

- Exterior headlight transponders (non-switchable) – are clear stickers which are permanently affixed to the motorcycle's or vehicle's headlight.

479	The Contractor shall provide for transponder statuses (Configurable), including but not limited to:
	• inactive;
	• valid and
	• invalid.
480	The Contractor shall provide the capability to manually change transponder statuses, such as when a customer calls to report a transponder has been stolen.
481	The Contractor shall provide the capability to automatically change transponder statuses. For example, when a transponder that is in inventory with an inactive status is subsequently added to an account, the status changes to active.
482	The Contractor shall provide the capability to track a transponder's current status and status history.
483	The Contractor shall provide the capability to automatically change the transponder status from valid to invalid for all transponders on an account when the account balance is equal to or below a balance (Configurable).
484	The Contractor shall provide the capability to automatically change the transponder status from invalid to valid for all transponders on an account when the account balance is above a balance (Configurable).
485	The Contractor shall notify the customer when the transponder changes status.

1.4.10.   Incoming Customer Communication

486	The Contractor shall provide the capability to track, store and electronically view all incoming customer contact- related information on all account types.
487	The Contractor shall provide the capability to associate incoming customer communication with the account for all communication channels in accordance with the Security Standards, including but not limited to:

	• phone;
	• email (including attachments);
	• Self-Service Website;
	• Self-Service Mobile Application (Phase II and optional);
	• chat;
	• text messaging;
	• fax;
	• mail and
	• in-person contact.
488	The Contractor shall provide the capability to track and account for all incoming customer communication.
489	The Contractor shall provide the capability for a CSR to upload a file and have it associated with an account, including but not limited to:
	• an audio file from a recorded conversation;
	• a PDF file, such as, an outbound email or mail piece and
	• an image file, such as, a scanned document emailed by a customer.
490	The Contractor shall provide the capability to view data files or play audio files associated with accounts.
491	The Contractor shall provide the capability to scan incoming print communications and save the resulting image in the BOS. The Contractor's solution shall be robust, enterprise-level and integrated with the BOS and with capabilities including but not limited to:
	• bulk scanning;
	• indexing, sorting, collating;
	• bulk demographic data entry and
	• automatic assignment to accounts.
492	The Contractor shall provide the capability to categorize all incoming communication via drop-down menu options (Configurable), including but not limited to:
	• application;
	• account close request;
	• account information change;
	• administrative review request;

	• affidavit of non-liability;
	• bankruptcy document;
	• clean air vehicle proof;
	• complaint;
	• contest notice;
	• death certificate;
	• dispute;
	• divorce decree;
	• financial hardship;
	• general correspondence/inquiry;
	• lease agreement;
	• marriage license;
	• other miscellaneous;
	• payment;
	• police report;
	• proof that the vehicle was rental or leased vehicle;
	• proof that the vehicle was sold/stolen;
	• rental car agreement;
	• returned mail – with forwarding address;
	• returned mail – without forwarding address;
	• sale documentation;
	• transponder request and
	• vehicle registration.
493	The Contractor shall provide the capability to search for all incoming communication.
494	The Contractor shall provide the capability to create a Case for each incoming communication piece scanned into the BOS. Each scanned communications piece will either initiate a new Case or be associated with an existing one, as determined by an Authorized User.

495	Create a customer contact record for all automated customer contacts. For example, if the customer provides a new address and phone number, the BOS shall automatically create a contact record that says customer contacted the BOS via Self-Service Website to update address and cell phone number.
496	The Contractor shall provide the capability to track contacts based on channel or contact reasons.
497	The Contractor shall provide the capability to set and maintain customer contact attributes, including but not limited to: • channels; • date and time; • actions; • contact reasons; • comments and • comment category.

1.5. Image Transfer and Transaction/Trip Processing

1.5.1. Transaction/Trip Transfer

The ETTM System captures transactions and images for Transponder-Based Transactions/Trips and Image-Based Transactions/Trips and handles automatic and manual image review. The transaction/trip is created by the ETTM System. The ETTM System sends the full formed trip, associated transactions, image(s) and license plate data (if needed) to the BOS.

498	The Contractor shall provide the capability to accept and store images related to transactions/trips, Violations, I-Tolls from the ETTM System in accordance with ICD.
499	The Contractor shall provide the capability for customers and Authorized Users to retrieve, view and print images related to transactions/trips, Violations and I-Tolls.
500	The Contractor shall provide the capability to associate images with the related transaction/trip in the BOS based on information provided by the ETTM System.
501	The Contractor shall provide the capability to transmit the status of image acquisition errors to the ETTM System Contractor and the PMMS.
502	The Contractor shall provide the capability to categorize failed images into error codes and exception codes for reporting purposes.
503	Reconcile and report transaction file discrepancies, errors and rejects by reason.

504	The Contractor shall provide the capability to send and receive all data and files between the ETTM System and the BOS in compliance with the ETTM System Contractor's ICDs, and any updates made to them must meet the Requirements of the Statement of Work and Requirements.
505	The Contractor shall provide the capability to support a list of ETTM Systems with which the BOS shall Interface to receive Transponder-Based and Image-Based Transactions. All received transactions/trips shall be verified against the list of ETTM Systems.
506	The Contractor shall provide the capability to receive and maintain a listing of each Toll Facility's tolling points and lanes (including designation of direction) from which the BOS shall receive transactions/trips. All transactions/trips received shall be verified against the Toll Zone and lane (including designation of direction) listing for each Toll Facility.
507	The Contractor shall provide the capability to receive and process Transponder-Based and Image-Based Transactions/Trips from each ETTM System.
508	The Contractor shall provide the capability to validate the Transponder-Based Transactions/Trips and Image-Based Transactions/Trips transmitted by the ETTM System meet the Requirements of the ICD.
509	The Contractor shall provide the capability to validate the transactions/trips to ensure compliance to Interface Requirements and established parameters for each Toll Facility and identify errors and exceptions.
510	The Contractor shall provide the capability to accept, but not Post to Accounts or process further Transponder-Based and Image-Based Transactions/Trips that have failed the verifications and cannot be processed further as submitted for collecting tolls at the BOS. Such rejected transactions/trips include but are not limited to:
	• transactions/trips are older than the established parameters;
	• transactions/trips do not belong to Toll Facilities on the Toll Facilities list;
	• transactions/trips do not belong to a Toll Zone on the Toll Facility list;
	• internal transponder identification number is not valid;
	• transaction/trip is a duplicate of a Posted Transponder-Based Transaction/Trip on the account;
	• transaction/trip is a duplicate of a Posted I-Toll Transaction/Trip on the account;
	• transaction/trip is a duplicate of a Violation transaction/trip on the account;
	• transaction/trip was rejected by the Interoperable/CTOC Agency and
	• transaction/trip is not in compliance with the ICD.
511	The Contractor shall provide the capability to identify duplicate transaction/trip verification (Configurable) for each Toll Facility, based on various criteria, including but not limited to:

	• Toll Facility;
	• Toll Zone;
	• direction of travel;
	• lane;
	• transaction/trip time differential;
	• transaction/trip type:
	• account type;
	• license plate number and
	• transponder number.
512	The Contractor shall provide the capability to reconcile transmitted transaction/trip counts and errors by date sent to the BOS and Transaction/Trip Date and Time.
513	The Contractor shall provide the capability to categorize failed transactions/trips into error codes and exception codes for reporting purposes.
514	The Contractor shall provide the capability to accept and process corrected transactions/trips that have been previously rejected.

1.5.2. Transmission Error Identification

515	The Contractor shall provide the capability to send status of transaction/trip transmission and/or verification errors to the PMMS.
516	The Contractor shall provide the capability to identify when the actual number of Transponder-Based Transactions/Trips and Image-Based Transactions/Trips received from an ETTM System is a percentage (Configurable) below the expected number for each Toll Zone and lane based on historical volumes and send an Operational Alert Notification to the PMMS.
517	The Contractor shall provide the capability to identify when percentage (Configurable) of trips sent as image-based has increased compared to historical data and send an Operational Alert Notification to the PMMS.
518	The Contractor shall provide the capability to identify when the actual number of images acquired is a percentage (Configurable) below the expected amount for each Toll Zone and lane and send an Operational Alert Notification to the PMMS.
519	The Contractor shall provide the capability to create transmission failure Alerts based on parameters, including but not limited to missing plazas and delayed transactions by Toll Facility and transaction/trip type.
520	The Contractor shall provide the capability to identify if there are missing images from a specific Toll Zone (Configurable number over a Configurable period of time) and send an Operational Alert Notification to the PMMS.

521	The Contractor shall provide the capability (Configurable) to retry the acquisition of images for transactions/trips initially identified as not having images.
522	The Contractor shall provide the capability to match the acquired image with its transaction/trip.
523	The Contractor shall provide the capability to identify transactions/trips for which images were expected but are missing and generate an Operational Alert Notification to the PMMS if images are missing for more than a number of transactions/trips (Configurable) and after an amount (Configurable).
524	The Contractor shall provide the capability to transmit the status of image acquisition errors to Authorized Users.
525	The Contractor shall provide the capability to categorize failed images into error codes and exception codes for reporting purposes.

1.5.3. Interoperability

The Authority is already Interoperable with the other toll agencies in California. During the Implementation Phase and Operations and Maintenance Phase, it is likely that Interoperability will expand to include all U.S. states and regions. The Authority intends to participate in regional and national Interoperability.

The BOS and the Interoperable/CTOC Agencies shall exchange files in accordance with the most current ICDs.

526	Provide the capability to create/transmit and receive/process all Interoperable/CTOC files in accordance with the latest CTOC ICD. See Attachment A: CTOC Technical Specifications for Interagency Data Exchange for current ICD.
527	Provide the capability to create/transmit and receive/process all Interoperable/CTOC files in accordance with the Authority's Business Rules.

1.5.3.1.   OCTA Customers on Interoperable Agency Facilities

Customers who have an Active Registered account may use the Toll Facilities of Interoperable/CTOC Agencies. Transactions/trips generated on the Interoperable facilities will be transmitted to the BOS for processing and Posting to accounts. Interoperable/CTOC Agencies will receive disposition for each submitted transaction/trip in accordance with their individual Interoperable/CTOC Agency ICD. Images will not be provided by Interoperable Agencies. The BOS shall meet the following Requirements related to Transponder-Based Transactions/Trips and Image-Based Transactions/Trips submitted by Interoperable/CTOC Agencies.

528	The Contractor shall provide the capability to create, transmit and exchange all data and files between the BOS and Interoperable/CTOC Agencies in compliance with the existing ICDs and any updates made to them to meet the Requirements of the Statement of Work.

529	The Contractor shall provide the capability to receive and process Transponder-Based Transactions/Trips and Image-Based Transactions/Trips from the Interoperable/CTOC Agencies.
530	The Contractor shall provide the capability to validate that the Transponder-Based Transactions and Image-Based Transactions/Trips transmitted by the Interoperable/CTOC Agencies meet the criteria for qualification, including but not limited to:
	• Transponder-Based Transactions/Trips and Image-Based Transactions/Trips transmitted by the Interoperable/CTOC Agencies are Posted when the associated account and transponder were active;
	• Transponder-Based Transactions/Trips and Image-Based Transactions/Trips meet the Requirements of the ICD and
	• Image-Based Transactions/Trips have a license plate number, Jurisdiction and plate type (if applicable), and the transaction occurred when the associated account and plate were active.
531	The Contractor shall provide transaction/trip disposition to Interoperable/CTOC Agencies for each submitted Transponder-Based Transaction/Trip and Image-Based Transaction/Trip.

1.5.3.2. Interoperable/CTOC Customers on Authority Toll Facility

Interoperable/CTOC Agency customers who have accounts at other Interoperable/CTOC Agencies may use the Authority's Toll Facility. These customers may create Transponder-Based Transactions/Trips and Image-Based Transactions/Trips. The BOS identifies such transactions as Interoperable/CTOC Transactions/Trips, validates such transactions/trips are in compliance with Interoperable/CTOC ICDs and transmits them to the Interoperable/CTOC Agency for processing and Posting to the appropriate accounts. The Authority may assess a Configurable 'roaming/hub processing fee' based on the transaction/trip type. Interoperable/CTOC Agencies will transmit the disposition for each submitted transaction/trip to the BOS in accordance with their individual Interoperable/CTOC ICD.

The BOS shall meet the following Requirements related to Interoperable/CTOC Transponder-Based Transactions/Trips and Image-Based Transactions/Trips.

532	The Contractor shall provide the capability to receive and validate Transponder-Based Transactions/Trips and Image-Based Transactions/Trips from the ETTM System.
533	The Contractor shall provide the capability to validate that the Transponder-Based Transactions/Trips and Image-Based Transactions/Trips are in compliance with the Interoperable/CTOC ICDs.
534	The Contractor shall provide the capability to, if configured, assess the appropriate 'roaming/hub processing fee' based on the transaction/trip type.
535	The Contractor shall provide the capability to identify clean air vehicles and motorcycles for discounts from Interoperable/CTOC Agencies.

536	The Contractor shall provide the capability to transmit Transponder-Based Transactions/Trips and Image-Based Transactions/Trips to the appropriate Interoperable/CTOC Agency.
537	The Contractor shall provide the capability to receive transaction/trip disposition from the Interoperable/CTOC Agencies for each transmitted Transponder-Based Transaction/Trip and Image-Based Transaction/Trip.
538	The Contractor shall provide the capability to invoice IOP, make payments to IOP and receive post payments from IOP, retain and aging of IOP receivables

1.5.4. Monitoring – Operations and System Performance

The Authority requires monitoring tools to effectively track and manage operations with the goals of optimizing efficiency, performance and customer service. The Authority requires clear visual and graphical representation of the workflow statuses and the provision of Alerts to identify backlogs and problems on a timely basis.

539	The BOS shall provide pictorial representations (dashboard) of the BOS operations and performance, and Authorized Users performance and productivity at all stages of inbound customer contact points and operations process flow.
540	The BOS shall provide Authorized Users the ability to customize and personalize their dashboard to display data elements selected by the user.
541	The BOS shall provide user interface in real-time to review and be alerted to problems, exceptions, issues and variance from Performance Measures by means of conditional formatting.
542	The BOS shall provide users with the capability to drill to the individual details and back-up information of any transaction/trip state, status or problem.
543	The BOS shall provide user interface to establish various thresholds (Configurable) to monitor and assess BOS and operations performance in areas such as inbound calls, emails, chat, cases, transponder requests, etc.
544	The BOS shall generate automated notifications to the PMMS when specified deviations from established thresholds are detected within a user defined period of time (Configurable) and provide such notifications on the dashboard.

1.5.5. Transaction/Trip Processing Lists

1.5.5.1. Processing Exception List

The Processing Exception List is a list of license plates and transponders used to identify Transponder-Based Transactions/Trips and Image-Based Transactions/Trips that require manual review and disposition prior to final processing due to known customer service and/or processing issues.

545	The Contractor shall provide the capability to maintain a separate Processing Exception List of license plates and transponders for each Toll Facility.

546	The Contractor shall provide the capability for Authorized Users to add, delete and maintain the Processing Exception List of license plates and transponders.
547	All changes to the Processing Exception List shall require Authority Approval.
548	The Contractor shall provide the capability for Authorized Users to enter effective start and end dates for each license plates and transponder.
549	The Contractor shall provide the capability for Transponder-Based Transactions/Trips and Image-Based Transactions/Trips that are active on the Processing Exception List to not be processed by the BOS until manually reviewed and dispositioned.
550	The Contractor shall provide the capability via a processing exception screen to review each transaction and image and either reintroduce the Transponder-Based Transactions/Trips and Image-Based Transactions/Trips for normal BOS processing or have them remain unprocessed.
551	The Contractor shall provide the capability via a processing exception screen to review Transponder-Based Transactions/Trips and Image-Based Transactions/Trips multiple times before reintroducing them for BOS processing.
552	The Contractor shall provide the capability for reintroduced Transponder-Based Transactions/Trips and Image-Based Transactions/Trips to follow all of the applicable processing rules. For example, if the time process time threshold has been exceeded the normal dispositioning process would occur.
553	All Transponder-Based Transactions/Trips and Image-Based Transactions/Trips subject to the processing exceptions shall be included in all applicable transactional and financial reporting.

1.5.5.2. Plate Correction List

The Plate Correction List contains license plate numbers identified by the CSC Operations as being problematic based on customer disputes or QA processes and requiring analysis and correction by the ETTM System Contractor to prevent recurring issues.

554	The Contractor shall provide the capability to provide a separate Plate Correction List for each Toll Facility.
555	The Contractor shall provide the capability for Authorized Users to add, delete and maintain the Plate Correction List of license plates with all available plate information.
556	The Contractor shall provide the capability for Authorized Users to electronically send the Plate Correction List to the ETTM System Contractor.
557	The Contractor shall provide the capability to search for, retrieve and correct plates added to the Plate Correction List to avoid the same errors from occurring for transactions that are in process.

1.5.6. Customer Validation and Transaction/Trip Posting

Upon the completion of the initial verifications and processing, the BOS shall attempt to Post the transactions/trips to accounts. The sequence in which the Posting occurs is determined during design.

1.5.6.1. Transaction/Trip Posting - General

Generally, the toll rate assigned by the lanes is the rate that the customer is charged. On Express Lane facilities, the toll rate depends on the numbers of occupants in the vehicle. Some transponders have the ability to indicate the number of occupants in the vehicle depending on where the customer has set the switch. Account Plans, plate codes and transponder codes such as the Clean air vehicle or motorcycle may also affect the toll rate. During the Operations and Maintenance Phase, it is anticipated that the occupancy required to receive a discounted or $0 toll rate will change (for example, from 2+ to 3+).

558	The Contractor shall provide the capability to set and maintain rules (Configurable) that define the order and sequence in which transactions/trips are processed for Posting to the various account types.
559	The Contractor shall use the Authority's Business Rules and existing hierarchy in developing the rules for Posting trips.
560	The Contractor shall provide the capability to set and maintain rules (Configurable) that define the order in which the transactions/trips shall be processed and their final outcome, including but not limited to: • type of the transaction/trip (Transponder-Based or Image-Based); • the submitting Entity (Toll Facility, Authority or Interoperable/CTOC Agency); • the presence of a transponder in the transaction/trip; • account type; • account status; • the status of the transponder at the time of the transaction/trip and • the availability of an image.
561	The Contractor shall provide the capability to store multiple transponders per transaction/trip and charge the transponder according to the rules.
562	The Contractor shall provide the capability to transmit Interoperable Transponder-Based Transactions/Trips to Interoperable/CTOC Agencies to Post to the Interoperable/CTOC Agency accounts.
563	The Contractor shall provide the capability to validate Transponder-Based Transactions/Trips and account type and support the processing order (Configurable) of transactions/trips with transponders, per Business Rules.

564	The Contractor shall process the transaction as an Image-Based Transaction if a Transponder-Based Transaction/Trip cannot be Posted to an account, but it contains the license plate data, then depending on the reject reason. For example, if a Transponder-Based Transaction/Trip was rejected by an Interoperable/CTOC Agency due to insufficient funds on the account, then the transaction/trip can be processed as an Image-Based Transaction/Trip if an image is available.
565	The Contractor shall provide the capability to reprocess transactions as Image-Based Transactions/Trips if Transponder-Based Transactions/Trips cannot be Posted to an account and are rejected by the BOS, in accordance with the processing order (Configurable) based on the reject reason.
566	The Contractor shall provide the capability to validate the transaction/trip and account type and support the processing order (Configurable) of Image-Based Transactions/Trips per Business Rules.
567	The Contractor shall provide the capability to insert pauses, of durations (Configurable), in transaction processing within the transaction/trip processing sequence to allow for other interactions (for example, a grace period to allow customer to provide payment before a transaction is Posted to a rental car account or an Unregistered account).
568	The Contractor shall provide the capability to configure whether payments are guaranteed for both Transponder-Based Transactions/Trips and Image-Based Transactions/Trips for each Interoperable/CTOC Agency.
569	The Contractor shall provide the capability to Post a Transponder-Based Transaction/Trip that is guaranteed for Interoperable/CTOC Agencies to the account, regardless of the account balance.
570	The Contractor shall provide the capability to Post an Image-Based Transaction/Trip that is guaranteed for Interoperable/CTOC Agencies to the account, regardless of the account balance.
571	The Contractor shall provide the capability to process Transponder-Based Transactions/Trips and Image-Based Transactions/Trips to an account based on date and time the transaction/trip was received by the BOS in First in First Out (FIFO) order.
572	The Contractor shall provide the capability to attempt to Post a toll transaction/trip (OCTA or Interoperable/CTOC) that did not Post to the account initially at Configurable intervals for a Configurable amount of time.
573	The Contractor shall provide the capability to Post tolls/trips based on the particular tolling location. For example, if the transponder has a non-revenue plan for a particular Toll Facility, then transactions/trips for that transponder are charged $0.00 for transactions/trips on that Toll Facility.

1.5.6.2.   I-Toll Transaction/Trip Posting

Transponders sometimes fail to read when the customer uses the Toll Facilities. This results in the capture and processing of the customer license plate image by the ETTM System. An Image-Based Transaction/Trip along with the license plate image(s) and data is ultimately submitted to the BOS

for processing. Accounts with a number of I-Tolls deemed excessive may be notified and those customers may be charged a fee.

The BOS identifies the license plate as belonging to the Authority or Interoperable/CTOC account and verifies that the Image-Based Transaction/Trip is eligible for Posting to the account as an I-Toll transaction/trip. An I-Toll shall be Posted to an account in accordance with Business Rules. For an Interoperable/CTOC account, an I-Toll shall be sent to the Interoperable Agency for processing only if the license plate is on the valid license plate file for the Transaction Date. Image(s) for I-Toll transactions/trips shall be retained by the BOS.

574	The Contractor shall provide the capability to identify and Post I-Tolls belonging to the Authority or Interoperable/CTOC account based on a combination of factors, including but not limited to:
	• the account status at the time of the transaction/trip;
	• current account status;
	• account open date;
	• effective date and time range for the license plate on the account;
	• Account Plans associated with the account, transponder or license plate;
	• license plate number;
	• license plate Jurisdiction;
	• license plate type;
	• license plate status;
	• license plate image;
	• whether the license plate was on the account at the time of the transaction/trip and
	• the account balance.
575	The Contractor shall store the image(s) associated with I-Toll transactions/trips.
576	The Contractor shall provide the capability to check each time a license plate is added to a Registered account and when a license plate start date/time is changed and every day after until resolved to see if any Violations match that license plate and Post all applicable Violations to the account in accordance with Business Rules.
577	The Contractor shall provide the capability to setup the parameters (Configurable) which trigger an Excessive I-Toll Notification.
578	The Contractor shall provide the capability to set up the parameters (Configurable), which trigger the application of the Excessive I-Toll fee, including a grace period after a customer is notified.

579	The Contractor shall provide the capability to apply the Excessive I-Toll fee in the future only when a percentage (Configurable) of monthly transactions are processed by plate.

1.5.6.3. *Toll and Discount Posted*

The transactions/trips submitted by the ETTM System and the Interoperable/CTOC Agencies will contain multiple fares based on the Toll Facility or Interoperable/CTOC Agency, the type of facility and the transaction/trip type (listed below). Based on the Business Rules, the BOS shall apply the applicable discounts and charge the account the correct fare.

580	The Contractor shall provide the capability to apply applicable discounts for Account Plans associated with the account, transponder or license plate to the Transponder-Based and Image-Based Transactions/Trips.
581	The Contractor shall provide the capability to Post the appropriate toll and discounts to Transponder-Based Transactions/Trips and the Image-Based Transactions/Trips based on various conditions (Configurable), including but not limited to: - type of transaction/trip received from the ETTM System, for example non-revenue; - type of transaction/trip received from the Interoperable/CTOC Agencies; - type of Toll Facility, for example Express Lanes; - account balance; - type of transaction/trip at the time of Posting (FasTrak, I-Toll or Violation); - account type; - Flags on the account, for example Excessive I-Toll and - transponder and plate designators (CAV).

1.5.6.4. *Owner Identification*

For those Image-Based Transactions/Trips that do not Post to an existing account or Interoperable/CTOC account, the registered owner name and address information for the vehicle (based on the license plate) needs to be obtained from Registered Owner of the Vehicle (ROV) Lookup sources.

582	The Contractor shall establish a direct interface with the California Department of Motor Vehicles (DMV) to perform an ROV look up for each transaction with California license plates.
583	The Contractor shall establish a direct interface with the Arizona, Oregon and Nevada Department of Motor Vehicles (DMV) to perform an ROV look up for any applicable trip.

584	The Contractor shall provide a ROV Lookup Service Provider to be used to perform an ROV Lookup for each transaction with license plates from all other States, the District of Columbia and the U.S. Government.
585	The Contractor shall provide the capability to identify California temporary plates based on numbering sequence and other information provided by the DMV.
586	The Contractor shall provide the capability to lookup temporary license plates issued by the California DMV utilizing a separate database for temporary plates.
587	The Contractor shall provide the capability to obtain and store Vehicle Identification Number (VIN) for a temporary license plate and using the VIN, associate the temporary license plate to permanent plate to ensure only a single Unregistered account is created for the vehicle and that California DMV hold is placed on the permanent plate, if applicable.
588	The Contractor shall provide the capability to manage addresses associated with Protected Plates agencies, which is the agency name returned from the DMV or ROV Lookup Provider for license plates of customers affiliated with federal, state or local agencies allowed to shield addresses. including but not limited to: - allow Authorized Users to input, delete and update the addresses associated with Protected Plates agencies; - electronically check against the Protected Plate data when a Protected Plate agency name is returned from the DMV or ROV Lookup Provider; - automatically produce the Violation Notice with the Protected Plate agency address; - allow the option for an Authorized User to review, edit and approve the Violation Notice prior to sending and - if there is no match for a Protected Plate agency, hold the Violation for a Configurable period of time and allow an Authorized User to manually enter an address when obtained and send.
589	The Contractor shall provide the capability to establish separate, ROV Lookup parameters (Configurable) to obtain the ROV, based on various criteria including but not limited to: - whether the license plate is issue by a state which there is a direct DMV connection or through an ROV Lookup Service Provider; - whether the license plate is a temporary plate (California only); - Flags on the account, for example if the account has a bad address Flag or ROV is stale, then ROV Lookup is performed at intervals (Configurable) until a new address is obtained and - cost of ROV Lookup, for example if ROV Lookups are at no cost then perform lookup every time (possibly daily) when a Violation Notice is about to be issued for the license plate.

590	The Contractor shall provide the capability to identify and manage Violations which do not meet the criteria for a Violation Notice to be issued because the Violation date is greater than the Configurable number of days old.
591	The Contractor shall provide the capability to identify and manage Violations which do not meet the criteria for a Violation Notice to be issued based on Business Rules.
592	The Contractor shall provide the capability to identify and manage Violations which have no match after ROV Lookup and allow for a Configurable number of days to attempt to obtain the ROV through other methods.
593	The Contractor shall provide the capability to view the transaction/trip and its associated image(s) and select the correct license plate registration information in the event there are multiple ROV matches returned by the ROV Lookup Service Provider for a particular license plate.
594	The Contractor shall provide the capability to review the results and take appropriate action of partial ROV information matches and confirm the account that matches the ROV name and address.
595	The Contractor shall provide the capability to automatically create an Unregistered account for the license plate using the ROV results if there is no match to an existing Registered or Unregistered account.
596	The Contractor shall provide the capability to identify potential match to a Registered account based on name and address and notify the customer and add the plate and transactions.
597	The Contractor shall provide the capability to review the transactions/trips where the registration information is not available. The BOS shall retrieve all images associated with the transactions/trips and make them available to the Authorized User for review. The Authorized User can take the following action on the transactions/trips, including but not limited to:
	• manually enter the ROV data and
	• correct the license plate data.
598	The Contractor shall provide the capability to re-submit license plates for ROV Lookup a number of times (Configurable) and after a period of time (Configurable) if the license plate is returned from the ROV Lookup Service Provider with no match or an error. The configuration shall be based on the type of error and the status of the communications.
599	The Contractor shall provide the capability, if there is no response for the ROV Lookup after the number of retries (Configurable), and license plate registration information cannot be obtained, to automatically set the transaction/trip to "Unknown DMV status".
600	The Contractor shall provide the capability, if the ROV information cannot be obtained, Post the transaction to a Registered account if the transaction/trip also contained an OCTA transponder read.

601	The Contractor shall provide the capability to automatically record, set and maintain the ROV Lookup source based on license plate Jurisdiction.
602	The Contractor shall provide the capability to set the length of time (Configurable by Jurisdiction) before ROV information needs to be rechecked before the license plate registration information is considered stale and must be acquired again.
603	The Contractor shall provide the capability to set the length of time (Configurable) before ROV information for temporary license plates needs to be rechecked individually to obtain the associated permanent license plate number.
604	The Contractor shall provide the capability to retain all historical ROV Lookup information, including but not limited to:
	• source of license plate ROV data;
	• ROV data changes and
	• the date the data was obtained

1.5.6.5. *Transfer of Responsibility*

The California Vehicle Code provides for the registered owner of a vehicle to name another individual as the person responsible for toll evasion notices. In order to comply with this Requirement, the BOS will need to record the named responsible person and process applicable NTEV accordingly.

605	The Contractor shall provide the capability to transfer the responsibility to another party, including but not limited to:
	• uploading supporting documentation;
	• allowing for Authorized Users to enter the responsible party's name and address information for one or many Violation Notices;
	• dismissing the Violation Notices (including applicable tolls and fees) for the original ROV;
	• establishing an unregistered Account for the new ROV;
	• issuing Violation Notice(s) as applicable to the new ROV and
	• maintain history of the responsibility transfer activities.

1.6. Registered and Unregistered Account Notifications

1.6.1. Outgoing Notifications

The creation and sending of outgoing Notifications includes multiple distribution channels, such as electronic transmission (email, text), print and mail, and outbound phone calls. Notification management shall provide several methods of delivery and allow for configuring how each Notification item shall be delivered. All Notifications related to an account shall be associated with that account and Case, if applicable, in the BOS.

Alerts are normally Notifications that customers opt-in for so that they can be notified (usually by text or email) when their account needs attention or when activities occur on their account. Alerts can also be Notifications based on account events of which the Authority would like customers to be informed.

Notifications are sent using distribution channels, such as email, text, phone call and United States Postal Service (USPS) mail.

There are unique Notification items, for example, a Notice of Toll Evasion Violation, an insufficient balance letter or an email Notification that the customer's account has been replenished.

Each Notification item has criteria which triggers its generation. When an account meets specified criteria, the account qualifies for a specific Notification item. For example, an account qualifies for a Credit Card Expiring Notification one month before the Credit Card expiration date and an account qualifies for a Violation Notice after the ROV information has been obtained.

606	The Contractor shall provide all outgoing Notifications with a standard look and feel and submit samples of all Notifications to the Authority for Approval, prior to distribution to customers.
607	The Contractor shall provide a Notification management process regardless of the Notification item or the distribution channel used to send the Notification.
608	The Contractor shall develop a communication matrix for configuring the Notifications and their allowable distribution channel. This matrix shall be configurable and will change over the life of the Contract.
609	The Contractor shall provide a process to automatically issue each Notification when the criteria in the Business Rules is met.
610	The Contractor shall produce and deliver Print Notifications to the USPS Monday – Friday.
611	The Contractor or its Print/Mail House Service Provider (optional) shall produce and deliver the Notifications to the USPS within two (2) Business Days of the Notification meeting the Business Rules for generation.
612	The Contractor shall produce and deliver all electronic or phone Notifications to the customer within one (1) Business Day of the Notification meeting the Business Rules for generation.
613	The Contractor is responsible for the quality and accuracy of the all Notification and shall review Notifications produced in-house or by its Print/Mail House Service Provider (optional), as the Contractor deems necessary to ensure accuracy of the notifications for complete addresses, correct information and Notification template/version and accurate dates.
614	The Contractor shall provide the capability to automatically associate all outbound Notifications with the appropriate account and Case, if applicable.

615	The Contractor shall provide the capability for customers to opt-in for Alerts and select the conditions that will result in the creation of Alerts. Customer shall have a choice of selecting the method in which they receive the Alert; a text or email.
616	The Contractor shall provide the capability to automatically initiate customer Alert Notification based on account events, including but not limited to:
	• an I-Toll was Posted to the account;
	• Violation on license plate registered to customer's address on file;
	• transponder order placed;
	• transponder shipped;
	• Credit Card expiry date within days (Configurable) of expiry;
	• account balance an amount above Insufficient Balance Threshold (Configurable);
	• daily account balance;
	• payment Posted to account;
	• returned check;
	• account auto-replenishment (Credit Card) failure/declined Credit Card;
	• an ACH transaction is rejected and
	• account changes (Configurable), such as the addition of a vehicle to the account or change of password.
617	The Contractor shall provide the capability to automatically initiate customer communications and Notifications based on account events including but not limited to the following.
	• account creation welcome letter/account profile;
	• Excessive I-Toll threshold is exceeded;
	• account auto-replenishment (Credit Card) failure/declined Credit Card;
	• an ACH transaction is rejected;
	• Credit Card update successful (from the Credit Card update service);
	• Credit Card update failure (from the Credit Card update service);
	• Credit Card is within a number of days (Configurable) from its expiration;
	• Credit Card has expired;
	• partial payment;

	• temporary license plate expired;
	• auto-replenishment suspended;
	• auto-replenishment recalculation;
	• returned check;
	• account suspended;
	• delinquent account second notice;
	• Warning of Registration Hold (Configurable to only send based on the amount of time since the delinquent Notification);
	• statement available;
	• postpaid invoice;
	• Notice of Toll Evasion Violation generated;
	• Notice of Delinquent Toll Evasion Violation generated;
	• Violation dispute accepted;
	• Violation dispute rejected by reason;
	• incomplete Affidavit of Non-Liability;
	• customer-initiated review-related Notification;
	• Administrative Hearing scheduled;
	• account balance level is below the Insufficient Balance Threshold;
	• account is flagged with a bankruptcy;
	• undeliverable mail;
	• undeliverable email;
	• bad phone (for both calls and text)/fax situation;
	• forgotten password, PIN or username and
	• account status changes (Configurable).
618	Distribute Notifications through distribution channels, including but not limited to:
	• mail;
	• email;
	• text messaging;

	• Self-Service Mobile Application push Notifications (Phase II and optional);
	• fax;
	• outbound CSR call by developing a list of calls to be made and
	• automated outbound call.
619	The Contractor shall provide the capability for electronic Notifications to be sent as the body of an email in a format (Configurable), including but not limited to text and HTML.
620	The Contractor shall provide the capability for electronic Notifications to be sent as a link to the Self-Service Website in the body of an email.
621	The Contractor shall provide the capability (Configurable) to define Notification type and size, for example, postcard or letter.
622	The Contractor shall provide settings (Configurable) for distribution channel for each Notification item, including but not limited to:
	• Authority required distribution channel(s);
	• customer preference and
	• preferred address type for mailing, for example, home, business or ROV Lookup provided.
623	The Contractor shall provide the capability for a Notification item to be distributed using multiple distribution channels. For example, send the Notification to the customer's preferred distribution channel, which is email and by mail, based on the Authority's preference.
624	The Contractor shall provide the capability to identify multiple Notifications that are generated for a customer and combine their mailing.
625	The Contractor shall provide the capability to check the NCOA database before a Notification is mailed and use the NCOA address if it is the latest.
626	The Contractor shall provide the capability to validate the existing email address anytime a new email address is provided.
627	The Contractor shall provide the capability to send manually-generated, bulk email Notifications.
628	The Contractor shall provide the capability to send scheduled and ad-hoc, bulk text Notifications.
629	The Contractor shall provide the capability to send scheduled and ad-hoc, bulk mail Notifications.
630	The Contractor shall provide the capability to read, capture, and create the USPS Intelligent Mail Barcode on incoming and outbound mail.

631	The Contractor shall provide the capability for Notifications to include images, graphics, and lists (for example, lists of license plates and/or transponders) as well as text.
632	The Contractor shall provide standard templates for each Notification item.
633	The Contractor shall provide the capability to add a barcode, scan line or Quick Response Code to each outgoing Notification piece (excluding text and email body copy Notifications) so the returned Notification can be scanned and automatically associated with the proper account and, if applicable, Case. The barcode shall be visible in the top of the envelope window so as not to interfere with the USPS but to be available to scan as returned mail without having to open the envelope.
634	The Contractor shall provide the capability to add checksum digits to barcodes on Notices and other correspondence that will likely return to the BOS or Lockbox Service Provider (optional) or Collection Agency. Barcode readers shall be able to support such checksum on barcodes and the BOS shall validate it.
635	The Contractor shall provide the capability to ensure historical Notifications associated with accounts do not change (maintain original form and content) regardless of any changes that are subsequently made to the template for that Notification item.
636	The Contractor shall provide the capability to create and assign version numbers/dates to Notification templates.
637	The Contractor shall provide the capability to manage/configure Notifications and their attributes according to Business Rules, including but not limited to: - add new Notifications; - deactivate Notifications; - view and select for activation past versions of Notifications; - criteria; - frequency; - escalation path; - whether based on actual account balance or balance due (calculated); - whether to send for third-party address look up; - a variable due date based on the number of days (Configurable) until payment is due; - a fixed date due (for example, monthly customer Anniversary Day); - number of days until action must be taken; - the number of days between the due date and escalation to the next Notification level; - number of days between the creation date and issue date;

	• a fixed issue date (for example, monthly customer Anniversary Day);
	• the number of Business Days between the due date and escalation to the next Notification level;
	• number of Business Days between the creation date and issue date;
	• number of times to resend;
	• number of days before the Notification is resent;
	• whether or not to resend or reissue if a new address is received;
	• whether to escalate but not print if address is marked 'bad';
	• allowable distribution channel(s);
	• distribution channel escalation;
	• number of days from the mailing of the dispute reject letter to extend the Violation Notice payment date;
	• eligible address type, for example, Notice of Toll Evasion Violation must be mailed to the ROV's address as provided by the ROV Lookup source;
	• address source priority, for example, mail to the ROV Lookup address and if that piece is returned with a forwarding address then use forwarding address;
	• Notification response address, for example, some Notifications may require that payment go to the Lockbox Service Provider (optional) while others require response be sent to the BOS;
	• Notification return address, for example, some Notifications may use the return address of the Collection Agency while others will use the mail house address;
	• Notification quality review sample size and
	• whether Notification quality review and approval is required.
638	The Contractor shall provide the capability for Notification to have a mailing date match the actual mail date of the USPS on the Notification. For example, if quality review activities and printing take two days, then the issue date would be two (2) days later than the date that the Notification was created.
639	The Contractor shall provide the capability for Authorized Users to view all versions of each Notification item (including those items that have been modified), including but not limited to:
	• date modified;
	• version number;
	• Authorized User who made the modification(s) and

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	• samples of the Notification as it looked in all previous versions.
640	The Contractor shall provide the capability to select a Notification target audience, for either pre-developed or ad-hoc Notification, using criteria including but not limited to:
	• use of a particular Toll Facility (overall or by direction);
	• use of a particular Toll Zone (overall or by direction);
	• use of a particular Toll Facility or Toll Zone during a specified period of time;
	• use of a particular payment method;
	• transactions/trips by time period;
	• transactions/trips by ZIP code;
	• transactions/trips by Vehicle Type;
	• transactions/trips by account type;
	• transactions/trips by Account Plan;
	• transactions/trips by transponder type;
	• recipients of Notice of Toll Evasion Violation issued for selectable Toll Facility use;
	• recipients of Notice of Toll Evasion Violation issued for selectable time periods and
	• recipients of Notice of Toll Evasion Violation issued for a combination of selectable Toll Facility use and selectable time period.
641	The Contractor shall provide the capability to view and Approve Notifications prior to distribution to the customer.
642	The Contractor shall provide the capability to email, send to the Print/Mail Service Provider (optional) for printing and mailing or reprint at a local printer any Notification directly from the account, Case or Notification search screens. For example, the customer called about a Case and requests that the CSR resend the letter by email to the customer. The CSR is in the Case and clicks to resend the letter to the provided email address.
643	The Contractor shall design the Notifications to meet all criteria for receiving the lowest postage rate.
644	The Contractor shall employ bulk mail rates and other mailing economies, including, the capacity for pre-sorting mail by zip code and USPS Intelligent Mail Barcode to ensure the most cost-effective postage rates are obtained.
645	The Contractor shall provide all postage meters and establish all post office boxes needed for customer communications.

646	Outgoing mailed Notification materials shall use the following materials:
	• all mailed Notifications - 24lb paper;
	• all mailed Notifications up to 3 pages - #10 window envelope;
	• all mailed Notifications 4- 9 pages – 6"x 9" envelope;
	• all mailed Notifications 10 or more pages – 9"x 12";
	• the non- Authority provided flyer - a single 8.5" x 11" piece of paper and
	• all return envelopes - #9 window envelopes.
647	All Notifications printed in color shall use two colors.

1.6.1.1. Print/Mail Service Provider (optional)

The use of a third-party Print/Mail House Service Provider is at the discretion of the Contractor and shall be at no additional cost to the Authority. If provided, the following Requirements apply.

648	If the Contractor elects to use a third-party Print/Mail House Service Provider (optional), the selected third-party Print/Mail House Service Provider shall be located in and mailing the Authority's Notifications from the State of California.
649	The Contractor shall provide the capability to resend any files rejected or not received by the Print/Mail House Service Provider and update the Notifications with new mail and due dates as applicable.
650	The Contractor shall provide the capability to transmit fully created Notification items for printing and distribution to the Print/Mail House Service Provider, if utilized, for example, in Adobe PDF or XML format.
651	The Contractor shall provide the capability to transmit Notification items as a data file for printing and distribution to the Print/Mail House Service Provider, if utilized.

1.6.1.2. Notification Tracking, Distribution and Returned Mail Processing

652	The Contractor shall provide the capability to track the USPS Intelligent Mail Barcode Notification delivery response for each individual Notification.
653	The Contractor shall provide the capability to send an Operational Alert Notification to the PMMS if reconciliation from the Print/Mail House Service Provider (optional) has not been received in a specified amount of time (Configurable).
654	The Contractor shall provide the capability to assign a status to each individual Notification, including but not limited to:
	• qualified;
	• in quality review;
	• sent to Print/Mail House Provider (optional);

	• acknowledged by the Print/Mail House Provider (optional);
	• distributed;
	• undeliverable and
	• reissued.
655	The Contractor shall provide the capability to create a Notification record for each Notification generated, including but not limited to:
	• distribution channel;
	• date the account qualified to have that Notification generated;
	• date the Notification was generated;
	• date the Notification was sent to the Print/Mail House Provider (optional);
	• due date (if applicable);
	• date the Notification was printed;
	• date the Notification was mailed;
	• date the Notification was identified as undeliverable and
	• date the Notification was reissued, for example, if a Notification is returned with a forwarding address, a new Notification is sent to the new address.
656	The Contractor shall provide the capability to check the NCOA database before a Notification is mailed and use the NCOA address if it is the latest based on the address selection hierarchy (Configurable) for the Notification item.
657	The Contractor shall provide the capability to automatically associate and store a copy of the Notification with the account upon successful mailing of the Notification as verified and provided by the BOS or Print/Mail House Provider (optional).
658	The Contractor shall provide the capability to process returned mail and enter a new address, if notified by the Print/Mail House Provider (optional) or the USPS.
659	The Contractor shall provide the capability to process returned mail and mark the address as undeliverable if notified by the Print/Mail House Provider (optional) or the USPS.
660	The Contractor shall provide the capability to process returned mail in bulk and mark the address as undeliverable if notified by the Print/Mail House Provider (optional) or the USPS without having to access each account and individual Notification in BOS. For example, by scanning the Notification barcode into a BOS form for an entire batch of returned mail.
661	The Contractor shall provide the capability to Flag returned mail as undeliverable and Flag the address as bad.

662	The Contractor shall provide the capability to prevent Notifications from being escalated and sent to addresses marked as undeliverable or to continue to escalate and generate such Notifications but not print them (Configurable).
663	The Contractor shall provide the capability for an Authorized User to initiate a manual Skip Tracing process on an individual record.
664	The Contractor shall provide the capability, when a mailing address is found to be bad, to automatically perform Skip Tracing and add the acquired mailing address or other contact information to the account and identify the source of the address as Skip Tracing.
665	The Contractor shall, if a new address was provided, automatically mark the returned Notification as returned and generate a new Notification with new dates as applicable. Escalation dates, if applicable, in the BOS shall be updated based on the new Notification dates.
666	The Contractor shall provide the capability to manually select Notifications to be re-sent, for example, when a new address has been provided and manually entered.
667	The Contractor shall provide the capability to send a Notification to a customer regarding an undeliverable mail situation by using a different distribution channel (Configurable).
668	The Contractor shall provide periodic checks for bad (bounced) emails and mark them as undeliverable after a number of failed delivery attempts (Configurable).
669	The Contractor shall provide the capability to send a Notification to a customer regarding an undeliverable email situation by using a different distribution channel (Configurable).
670	The Contractor shall provide the capability to mark phone (for both calls and text) and fax numbers as bad after a number of failed contact attempts (Configurable).
671	The Contractor shall provide the capability to send a Notification to a customer regarding a bad phone (for both calls and text)/fax number situation by using a different distribution channel (Configurable).

1.6.2.   Registered Account Statements, Postpaid Invoices and Violation Notices – General

Statements – statements are generated for customers with Registered accounts, which customers can choose to receive by mail or email, or they can access statements online or via a mobile device.

Postpaid Invoices – if the Authority elects to offer postpaid accounts, those customers will receive an invoice on their Anniversary Day listing each transaction/trip for the billing cycle. If a postpaid account has no new transactions or other financial activity for a billing cycle, the customer will not receive an invoice. Non-payment of the first invoice shall result in the generation of a late invoice with additional fees. Non-payment of the late invoice shall result in the account being flagged as delinquent. The postpaid account shall continue to receive invoices for subsequent transactions/trips and delinquent debt may be placed in collections. At such time each unpaid transaction/trip identified by the users will be considered a Violation and the customer shall receive a Notice of Toll Evasion Violation with each unpaid transaction.

Violation Notices – issued in accordance with the California Vehicle Code (CVC) and Authority business rules.

672	The Contractor shall provide the capability to determine the account Anniversary Day, based on account type, including but not limited to:
	• account type;
	• account creation date;
	• date of first transaction and
	• date of initial invoice.
673	The Contractor shall provide the capability to generate the statements on the Anniversary Day even if the account has no transactions/trips and other financial activity for the current statement cycle (Configurable).
674	The Contractor shall provide the capability to generate the invoices on the Anniversary Day only if there are unpaid transactions/trips or other financial activity on the account that have not appeared on an invoice (Configurable).
675	The Contractor shall provide the capability to automatically change the Anniversary Day when a new invoice is issued in place of an old invoice that is canceled. For example, if an invoice is issued on 1/5 and then returned by the USPS on 1/10, then reissued 1/15, reset the Anniversary Day from 1/5 to 1/15 to give the customer enough time to pay the 1/15 invoice before sending the next one.
676	The Contractor shall provide the capability to generate the appropriate type of correspondence (statement, invoice), based on the account type, and account balance on the Anniversary Day or during the billing cycle.
677	The Contractor shall provide the capability (Configurable) to set and maintain statement, invoice and Violation Notice generation parameters, including but not limited to:
	• type of correspondence based on account type, such as a Registered account receives a statement and Unregistered (violator) account a receives Violation Notice;
	• whether to include multiple Violations on a single notice by number of days since first transaction or number of transactions;
	• date when statement is generated, such as fixed end of the month for all accounts, any fixed date within a month or Anniversary Day;
	• type of statement, invoice, such as monthly, quarterly, annual;
	• delivery channel, such as electronic or mail;
	• acceptable payment methods;
	• acceptable payment channels;
	• invoice fee assessed each time an invoice is mailed and
	• document fee amount, such as a fee for a paper statement and electronic statements are no cost.

678	The Contractor shall provide the capability to generate each type of statement, invoice and Violation Notice based on, including but not limited to:
	• rolling Anniversary Day;
	• fixed day;
	• number of days from transaction (Configurable);
	• customer specified day of the month;
	• dollar amount threshold;
	• number of transactions/trips;
	• fixed time period;
	• Transaction Date;
	• combination of number of transactions/trips and fixed time period;
	• combination of dollar amount threshold and fixed time period and
	• combination of number of transactions/trips and dollar amount threshold.
679	The Contractor shall provide the capability for distributing statements, suppressing the delivery of statements and assessing statement fees (if applicable) based on the following, including but not limited to:
	• account type;
	• Flag on the account. For example, accounts with USPS Coding Accuracy Support System (CASS™) lookup failure or bad address shall not be mailed a statement;
	• delivery channel and
	• delivery status. For example, if a statement fails CASS™ for address lookup, the fee shall not be charged.
680	The Contractor shall provide the capability (Configurable) to utilize various addresses on the account for mailing statements, invoices and Violation Notices.
681	The Contractor shall provide the capability to generate statements, invoices and Violation Notices manually, such as when specifically requested by the customer, in any format available for BOS-generated Notifications. Applicable fee(s) shall be charged for those statements.
682	The Contractor shall provide the capability to balance the generation of statements, invoices and Violation Notices over a period of time, based on volume.
683	The Contractor shall provide a numbering methodology for invoices, Violation Notices and accounts for the purposes of proper lifecycle documentation, reporting, adjudication and customer service.

1.6.3.   Customer Statements – Registered Accounts

Account statements for Registered accounts are generated monthly/quarterly as selected by the customer and as allowed by the Business Rules on the date Configured in the BOS.

684	The Contractor shall provide the capability to generate Registered account statements that detail all account activity, including but not limited to:
	• prior balances on the account;
	• toll transaction/trip activity on the account (posting date, entry/exit location, date, and time, toll amount);
	• payments on the account (replenishment and one-time payments);
	• adjustments and credits;
	• discounts and rebates;
	• other financial activity on the account;
	• addition of transponders and purchase of inventory items;
	• account status;
	• customer message and global message;
	• fees assessed on the account and
	• current balance on the account.
685	Registered account statements shall list individual transactions that Posted to the account, including but not limited to:
	• Transponder-Based Transactions/Trips that Posted to the account by transponder and
	• I-Toll transactions/trips that Posted to the account by license plate.
686	The Contractor shall provide the capability to include customer communication inserts along with customer statements based on user selected criteria, for example zip code and account type.

1.6.4. Customer Invoices – Postpaid Accounts

Most Authority customers are required to maintain a prepaid account balance in order to avoid Violations. In the future, the Authority may enter into postpaid agreements with customers which will permit the use of the Authority's Toll Facility without a prepaid balance. Under this circumstance, the BOS shall periodically bill customers for usage in accordance with the following Requirements.

687	The Contractor shall provide the capability to support account-based invoicing on postpaid accounts, where the monthly invoice reflects the license plate and transponder transactions that Posted to the account during the billing cycle.
688	The Contractor shall provide the capability to generate a late invoice which include applicable fees if the first invoice is not paid in full by the payment due date.
689	The Contractor shall provide the capability to Flag the postpaid account as delinquent and generate an Operational Alert Notification if the late invoice is not paid in full by the payment due date.

690	The Contractor shall provide Authorized Users the capability to suspend a delinquent postpaid account at which time. all subsequent transactions/trips on the account are considered Violations.
691	The Contractor shall provide the capability to initiate the delinquency process once the account is suspended on the unpaid transactions/trips which includes generation of Notice of Delinquent Toll Evasion Violation and escalation of the delinquent balance on the account to collections.
692	The Contractor shall provide the capability to generate postpaid invoices that fully detail all activity, including but not limited to: • prior balance; • current charges; • payments; • adjustments; • detailed listing of all transponder transactions/trips on the account; • detailed listing of I-Toll transactions/trips on the account and • detailed listing of all license plate transactions/trips on the account.
693	The Contractor shall provide the capability (Configurable) to set and maintain invoice generation and transaction aging parameters, including but not limited to: • invoice generation and aging timeline, for example, generate the monthly invoice thirty-days from the Anniversary Day, and amount owed is considered past due and eligible for delinquency process if not paid within five-days of the due date; • account suspension parameters, for example, if account is not suspended by a user within number of days (Configurable) of it being delinquent then BOS shall suspend the account; • number of invoices to issue before account is considered delinquent; • grace period for aging unpaid invoices on an account, for example, a five-day grace period is applied before a late invoice is generated for an unpaid invoice; • eligibility criteria, for example, if customer has at least one (Configurable) un-invoiced toll transaction/trip or other Financial Transaction within the billing cycle then generate a monthly invoice; • aging thresholds and values, for example, if the past due amount on the account is more than $5.00 and is more than thirty days past due then late fee is assessed; • payment thresholds based on underpayment amount for each status or workflow stage, for example, if invoice is underpaid by less than $0.25, then the amount owed on the invoice is considered closed and • fee structure, for example, the fees to be assessed and whether the fees are to be assessed at the invoice level or transaction level.
694	The Contractor shall provide the capability at each status or workflow stage to perform the following actions, including but not limited to:

	• identify the transactions/trips that are eligible for invoicing;
	• add applicable fees;
	• add applicable advisory language;
	• generate next invoice for the time frame established and
	• transmit the invoice to the customer.
695	The Contractor shall provide the capability to enter a forwarding address obtained from returned mail communicated via interface from an external vendor or manually input, which will result in the re-issue of the monthly invoice and its associated transactions/trips into the transaction aging process. The re-issued invoice shall have a new issue date and a new due date.

1.6.5. Violations Notification

Violators receive a Notice of Toll Evasion Violation when their Violations are eligible for Notification. A Notice of Toll Evasion Violation referred to as Violation Notice may have multiple Violations on the notice where each unpaid transactions/trip is assessed penalties or may only have one Violation per notice. Each Notice of Toll Evasion Violation will contain transaction(s)/trip(s), as well as a fee amount, a penalty, and other information as required by the California Vehicle Code.

Violation Noticing and escalation is divided into the following stages:

• Noticing – In this stage violators are notified of their Violation(s) when the unpaid transactions/trips escalate to Violations. The Notice of Toll Evasion Violation will list the Violation(s) that occurred during the time period with each Violation showing the toll amount, the fee amount and the penalty due. Failure to pay the Notice of Toll Evasion Violation within the timeline will result in the escalation of the Violation(s) and the generation of Notice of Delinquent Toll Evasion Violation. Each Violation may be assessed additional fees/penalties.

• Registration Hold – If the Violation(s) on the Notice of Delinquent Toll Evasion Violation remains unpaid past the payment due date, the Violation(s) are eligible for a Registration Hold. Currently Registration Holds are only placed for vehicles registered in California.

• Tax Intercept –Unpaid Violations may be sent to the California Franchise Board for collection through the Tax Intercept Program.

• Collections – Unpaid Violations may be sent to a third-party Collection Agency. The Contractor may be required to send a pre-collection letter using updated information from the Collections Agency.

1.6.5.1. Violator Notifications

696	The Contractor shall, based on the Violation Notice eligibility criteria, per the Business Rules, provide the capability to perform Violation Notice, including but not limited to:
	• first level Notice or the Notice of Toll Evasion Violation;
	• escalate to second level Notice or Notice of Delinquent Toll Evasion Violation, and

	• Registration Hold warning Notice, if eligible.
697	The Contractor shall provide the capability to process Image-Based Transactions/Trips through the Violation process, per the Business Rules, including but not limited to:
	• verify that the Configurable time frame for making a payment has passed;
	• convert the Image-Based transactions/trips to a Violation by assessing the applicable fees and penalties;
	• verify that no Internal Review, Administrative Hearing or Superior Court Appeal has been requested;
	• verify that there is no account hold (occurs when there is a Case that requires the CSR to investigate the violator Account and all Violation workflow events are suspended) on the Violations;
	• verify that there is no account hold on the Notice;
	• verify that there is no account hold on the Account;
	• verify that license plate is not on an account that has account balance above the Insufficient Balance Threshold;
	• verify that the required number of Violations are open;
	• verify that the Notice is open;
	• verify that the payment due date has passed;
	• verify that the Configurable payment mailing/processing grace period has passed;
	• verify that the Violations are eligible for escalation to a Notice;
	• verify that the Notice is eligible for the next level of noticing;
	• escalate the Notice to the next level;
	• add applicable penalties and
	• notify the violator of the escalated Notice.
698	The Contractor shall provide the capability for a CSR to manage all Notices on the account, including but not limited to:
	• list all open Notices on the account;
	• view all open Notices on the account;

	• re-print any Notice;
	• view all open Notices by escalation level;
	• view selected Notices;
	• view all closed Notices;
	• view all closed Notices by escalation level;
	• process Notice payments;
	• process Violation payments;
	• dismiss an open Notice;
	• dismiss fees and/or penalty on a Violation but never the toll amount without the approval of an Authorized User with the authority to dismiss tolls;
	• dismiss Violations within an open Notice;
	• process Violations for Posting to a customer's transponder or Registered License Plate account;
	• process Violations for Posting to an Interoperable/CTOC Agency account if license plate is on the Interoperable/CTOC Agency plate list and
	• process other Flagged Violations on the license plate for Posting to an Interoperable/CTOC Agency account if license plate is on the Interoperable/CTOC Agency plate list.
699	The Contractor shall provide the capability to establish a "sinner to saint" program where part or full amount of the fee and/or penalty is credited to the account as a toll credit. The "sinner to saint" program is offered to violator that meet certain criteria including but not limited to:
	• first time violator and
	• less than a Configurable number of Violations.
700	The Contractor shall provide the capability to offer violators an "early bird special" a Configurable percent reduction in fee and penalty amounts are made if the violator makes an early payment. The "early bird special" program shall be made available to all Violation payments or the first time the violator gets a Violation Notice (Configurable).
701	The Contractor shall provide the capability to Configure the BOS to support Notice-based Violation escalation, for example if first level Notice is not resolved within the timeline established, then the first level Notice is escalated to the second level Notice that reflects only the outstanding balance on the first level Notice plus additional penalties per unpaid Violation, even though the account may have additional Violations.

702	The Contractor shall provide the capability to dismiss selected individual Violations on a Notice and prevent their escalation, while allowing the remaining Violations/Notice to escalate.
703	The Contractor shall provide the capability to place a Notice on account hold and enter the account hold reason at any escalation level. When an Account hold is placed, the Violation aging process is suspended.
704	The Contractor shall provide the capability to place selected individual Violations on hold at any escalation level, including Violations that are not on a Notice.
705	The Contractor shall provide the capability to prevent the aging and escalation of Violations and Notices that are placed on account hold.
706	The Contractor shall provide the capability to continue processing the Violations and Notices a Configurable number of Calendar Days after an account hold is released.
707	The Contractor shall provide the capability to restart the Violation aging timeline a Configurable number of Calendar Days after the issuance of the dispute rejected Notification.
708	The Contractor shall provide the Configurable capability to automatically initiate multiple escalations on a Notice at the same time based on the type of license plate, for example initiate a vehicle Registration Hold and escalate the Notice to Collections if the license plate was issued in a Jurisdiction that permits concurrent Registration Hold and Collections.
709	The Contractor shall provide the capability to process Violations for the rental car license plate transactions/trips with the same license plate number and within the same renter's rental period, per the Configurable Business Rules.
710	The Contractor shall provide the capability to identify Unregistered Accounts that qualify as "repeat violators" on a Configurable basis based on Business Rules including but not limited to:
	• number of open Violations on the account;
	• no ROV information obtained;
	• outstanding balance on the account and
	• total number of Violations on the account for a given time period.
711	The Contractor shall provide the capability to assess additional penalties on Violations/Notices on Unregistered accounts that are Flagged as repeat violator.
712	The Contractor shall provide the capability to transmit the license plate data of repeat violator to the ETTM System at Configurable intervals to support manual enforcement of repeat violators.

713	The Contractor shall provide the capability for Authorized Users to force selected Notices from one escalation level to another and by-pass the eligibility criteria.
714	The Contractor shall provide the capability to configure and maintain Violation Notice parameters for each escalation level, including but not limited to:
	• the minimum number of Violations over a Configurable period of time to initiate a Violation Notice;
	• the aging timelines for escalation of Notices, for example the timeline for escalating from a first level Notice to a second level Notice if the Notice is not paid or dismissed;
	• the penalties assessed on individual Image-Based Transaction/Trip;
	• the individual Notice level penalties;
	• maximum penalty that can be assessed on individual Image-Based Transaction/Trip and account;
	• the Notice underpayment percentage thresholds to prevent escalation;
	• the Notice underpayment amount thresholds to prevent escalation;
	• the maximum Notice amount to be paid to by-pass an escalation level;
	• the maximum number of Violations on the Notice to halt escalation;
	• the maximum amount due on a Notice to halt escalation;
	• allowable "sinner to saint" offers for Violators who establish Registered accounts and
	• allowable "early bird special" offers.
715	The Contractor shall provide the capability to automatically advance to the proper Notice processing screen when the Notice barcode is read via the barcode reader.
716	The Contractor shall provide the capability to escalate or place on hold the Notices Flagged as 'bad address' as defined by the Business Rules.
717	The Contractor shall provide the Configurable capability to process Notices if a good address is subsequently found for a Notice or account that is Flagged as a 'bad address' based on the escalation level, including but not limited to:
	• retain the new address;
	• reissue the Notice to the new address, for example if it is a second level Notice then the second level Notice is reissued to the new address with a new due date and

	• reintroduce the Notice and its associated Violations into the Violation workflow at the appropriate place, per the Business Rules.
718	The Contractor shall provide the capability to process Violation against a home account or Interoperable/CTOC Agency per the Business Rules, including but not limited to:
	• Post the Violation transactions/trips;
	• Post the transaction/trips at the appropriate toll rate;
	• dismiss part of the fees or the whole fee amount;
	• dismiss part of the penalties or the whole penalty amount;
	• pay the fees and
	• pay the penalties.
719	The Contractor shall provide the capability to identify and retrieve Violation related records into a search results grid, including but not limited to:
	• Violation ID number;
	• Notice ID number;
	• location of Violation;
	• license plate number;
	• license plate type;
	• license plate Jurisdiction;
	• customer name;
	• customer address;
	• transaction/trip date range;
	• user ID;
	• phone numbers;
	• email addresses;
	• Violation escalation status;
	• account Flags (for example Notice on hold);
	• address type;

	• bad address;
	• Violation disposition reason;
	• Violation disposition statuses (for example paid);
	• payment receipt number;
	• comments and
	• Alerts.
720	The Contractor shall provide the capability to drill down from the final open or closed escalated Notice to the related previous Notices.
721	The Contractor shall provide the capability to drill down from the current Notice that is open to the related Violations and images.
722	The Contractor shall provide the capability to generate an on-demand Violation Notice and activity statement based on various, Configurable selection criteria that shows the history of Violations, including but not limited to:
	• all related Notice ID number(s);
	• all individual Violations;
	• payments made;
	• adjustments made;
	• related disputes and results;
	• Violation dismissals;
	• settlements that closed Violations;
	• history of holds placed on Notice;
	• current status of Notice and
	• current status for each Violation.
723	The Contractor shall provide the capability to generate an on-demand summary violator account statement based on various, Configurable selection criteria that shows the history of the account, including but not limited to:
	• number of Notices on the account by escalation;
	• all related Notice ID number(s) and current status;
	• all individual Violations and current status;

	• payments made;
	• adjustments made;
	• related disputes and results;
	• Violation dismissals and reason;
	• Notice dismissals and reason;
	• settlements that closed Violations;
	• history of holds placed on Notices;
	• current status for each Notice and
	• current status for each Violation.
724	The Contractor shall provide the capability to generate a detailed violator account statement based on various selection criteria that shows the history of the account, including but not limited to:
	• listing of all Notices on the account and their escalation status;
	• listing of all disputes on the account that were accepted and rejected;
	• payments made against the Notices;
	• listing of all Violations closed due to dismissals;
	• listing of all Violations closed due to settlements and
	• listing of all account holds or Flags on the account.
725	The Contractor shall provide the capability to attach the generated Statement to the account and make it automatically available through the account history.

1.6.5.2.   Registered Account Violators

When a prepaid Registered account's balance reaches an Insufficient Balance Threshold and all replenishment attempts have failed or when a postpaid, Registered account's invoice is past due, future transactions are Violation transactions/trips and Unregistered accounts are established. Registered account holders usually resolve any account issues bringing the account balance back to good standing so an approach that easily resolves Violations in such situations must be provided along with a method to inform customer of outstanding Violations for plates on their account.

726	The Contractor shall provide the capability to associate the Unregistered account(s) and Violations created for vehicles on a Registered account while maintaining the privacy of all account holders (both Registered and Unregistered).

| 727 | The Contractor shall provide the capability to inform Registered account holders of outstanding Violation on vehicles registered to their account while maintaining the privacy of all account holders (both Registered and Unregistered). |

1.7. Payment Processing

1.7.1. Payment Processing – General Requirements

728	The Contractor shall utilize the Authority's Bank Accounts in accordance with the flow of funds depicted in Figure 1-3 Customer Transaction Settlement, in Section 1.14.3.
729	The Contractor shall comply with the California Civil Code Section 1747.08 related to personal identification laws.
730	The BOS shall initiate Credit Card payments with the Merchant Service Provider(s) that will process the electronic payments and deposit funds in the Bank Accounts provided by the Authority in accordance with the flow of funds depicted in Figure 1-3 Customer Transaction Settlement, in Section 1.14.3.
731	The Contractor shall comply with PCI and all applicable merchant card association agreements and other applicable regulations for the exchange of Credit Card payments.
732	The BOS shall accept payments through all commercially-available payment methods, including but not limited to: cash, check, money order, certified check, cashier's check, ACH and Credit Card.
733	Certain payment methods, such as cash, EMV chip integrated circuit card and mobile contactless NFC shall be accepted only at WICs.
734	The BOS shall accept payments through its agreements with Lockbox Service Provider (optional) and Collection Agency.
735	The Contractor shall implement appropriate controls to ensure the security of payment transactions, including controls over cash, checks and customer Credit Card information. These controls shall be PCI and GAAP compliant and meet the requirements for a Statement on Standards for Attestation Engagements (SSAE)-18 Type II Audit.
736	Credit Card and ACH information shall be tokenized and the information shall be stored by a certified 3rd party processor. The 3rd party processor(s) may also be the Contractor-provided Merchant Services Provider and/or another Contractor-provided certified 3rd Party.
737	The Contractor shall process, deposit and record all customer payments the same day received from the customer, using the most efficient and cost-effective methods available in the industry (for example, by utilizing remote deposit/Check 21 as opposed to sending physical checks to the bank).
738	The BOS shall provide the capability to process all payments accepted and apply them toward, including but not limited to: • prepaid balance,

	• specific toll transactions,
	• specific account fees,
	• purchase of inventory items (ex. transponders),
	• invoice payments,
	• Violation Notice payments and
	• Account Plans.
739	The BOS shall handle all payment exceptions including but not limited to:
	• partial payments,
	• overpayments,
	• return payment,
	• chargebacks,
	• errors in applying payments,
	• refunds and
	• reversals.
740	All successful payments made via Credit Card shall have a viewable, searchable authorization code for the transaction which shall be included on applicable reports.
741	The Contractor shall provide the capability to process transactions, including but not limited to:
	• sales;
	• chargebacks, chargeback reversals and representments;
	• returned payments (for example, returned checks);
	• payment plan payments;
	• adjustments;
	• reversals;
	• voids and
	• refunds (except for cash).
742	The Contractor shall provide for the processing of all payments and account replenishments, including but not limited to:
	• account prepaid balance;

	• tolls;
	• fees;
	• penalties;
	• invoices;
	• Notices;
	• non-toll transactions;
	• transponder sales (full price, warranty sale, no sale, promos and coupons);
	• Account Plans and
	• inventory purchases, including transponders.
743	The Contractor shall provide real-time, fully automated payment clearing and processing for all electronic payment methods.
744	The Contractor shall interface with one or more Merchant Service Providers (no more than three) for the purpose of settling Credit Card transactions.
745	The Contractor shall send replenishment requests to, and capture the results returned from, the Merchant Service Provider and update accounts accordingly.
746	The Contractor shall provide the capability to process a payment for multiple, unrelated charges (bulk payments) and accommodate the reversal of such payment. For example, pay an invoice or Violation Notice (for one or multiple Violations) in one account and fund another account's prepaid balance or Post batch payments from rental processors for individual transactions/Violation Notices.
747	The Contractor shall provide a proven and reliable method of communicating with the Merchant Service Provider(s).
748	The Contractor shall provide the capability to identify and process overpayments, including but not limited to:
	• re-assign to an alternate account;
	• apply to unpaid transactions/trips;
	• refund overpaid amounts and
	• apply overpaid amounts to account balance.
749	The Contractor shall provide the capability to notify the customer about all partial and overpayments.
750	The Contractor shall provide tracking of payment transactions by, including but not limited to:
	• Transaction Date;

	•	Posting Date and
	•	payment channel.
751	The Contractor shall provide the capability to apply multiple payment methods for a single payment. For example, for a $30.00 amount due, allow payment of $20.00 from a Credit Card associated with the account and $10.00 cash.	
752	The reversal of any payment shall result in the items paid being marked as unpaid, having the same effect as if those items had never been paid (for example, when a Violation payment is returned, escalation resumes at the point where it left off as opposed to restarting from the beginning of the escalation process).	
753	The Contractor shall provide the capability to use the available account balance as payment for all inventory items (for example, transponders) and show the detailed changes in account balance in the user Interface, to customers on the Self-Service Website and on customer statements.	
754	The Contractor shall engineer the payment process to prevent double-payments, for example, prevent an Authorized User or customer from making two identical payments by clicking the payment button twice.	
755	The Contractor shall engineer the payment process to prevent an Authorized User or customer from making payments in excess of a certain amount (Configurable).	
756	The Contractor shall display a confirmation page that includes payment method details (Credit Card numbers obscured) and amount to be paid prior to the Authorized User or customer being allowed to submit a payment.	
757	The Contractor shall provide audit trail and exception reporting that helps reconcile discrepancies between the BOS and the Merchant Service Provider.	
758	The Contractor shall provide summary and detail data by payment type on the processing status of all transactions, including a description of all failures.	
759	The Contractor shall provide Authorized Users the detailed reasons for Credit Card declines, including but not limited to:	
	•	invalid card number;
	•	name mismatch;
	•	card Security Code mismatch;
	•	contact Credit Card company and
	•	address mismatch.
760	The Contractor shall create an audit trail and an Operational Alert Notification via the PMMS regarding failures in the processes that Interface with the Bank.	

761	The Contractor shall create an audit trail and an Operational Alert Notification via the PMMS regarding failures in the processes that interface with the Merchant Service Provider or with the communications to the Merchant Service Provider.
762	The Contractor shall provide the capability to notify customers of failures in the processes that interface with the Merchant Service Provider (for example, when there is a loss of communication between the BOS and the Merchant Service Provider).
763	The Contractor shall provide the capability to notify customers about various auto-replenishment activities. For example, replenishment was successful with secondary payment method, or replenishment failed.
764	The Contractor shall provide detailed tracking and reconciliation of payments.
765	The Contractor shall provide the capability to accept payments to a Registered account resulting in the payment of all unpaid Violation Notices and Violations on the linked Unregistered accounts plus fees and/or penalty based upon escalation stage (Configurable).
766	The Contractor shall provide the capability to set a payment hierarchy for Registered accounts (Configurable) that determines the order in which payments are applied, including but not limited to:
	• in FIFO order;
	• by Transaction Date;
	• by Posting Date;
	• by payment item type (for example, tolls then fees) and
	• by combination of date and transaction/trip type.
767	The Contractor shall provide the capability to set a payment hierarchy Configurable for Unregistered accounts that determines the order in which payments are applied, including but not limited to:
	• in FIFO order;
	• by Transaction Date;
	• by Posting Date;
	• by payment item type (for example, Violation Notices, penalties then fees) and
	• by combination of date and transaction/trip type.
768	The Contractor shall provide the capability to accept payments for specific items as requested by the customer (and allowed under the Business Rules).
769	The Contractor shall produce receipts for all payments in both real-time (on demand) and automatic (for auto replenishment).
770	The Contractor shall transmit receipts to customers on customer request via any Notification channel.

771	The Contractor shall allow for reprinting of receipts for all payments in a PCI-compliant format. Reprinted receipts shall be exact copies of the original receipt and shall include the duplicative nature of the document and include the date of the reprint (for example, the reprinted receipt shall be marked "COPY" and indicate the date of the copy with the original receipt date also reflected on the document).
772	The Contractor shall provide the capability to trace each payment to the transactions paid and each transaction paid or prepayment to a payment, including but not limited to:
	• invoices;
	• Violation Notices;
	• tolls;
	• prepaid tolls;
	• fees and
	• penalties.
773	The Contractor shall provide the capability to accept payments for transactions/trips associated with a license plate that has not yet been associated with an account.
774	All receipts shall contain a payment reference number that is traceable through the entire payment clearing process. For example, a Credit Card payment's reference number as printed on the receipt will also appear on the customer's Credit Card statement and is a searchable field in the database, enabling a CSR to identify a payment applied to an account from only the details available on a customer's Credit Card statement.
775	The Contractor shall provide the capability to convert an unregistered account to a registered account, taking one payment for the outstanding Violation amounts and the amount required to open a registered account.
776	The Contractor shall provide the capability to search for a payment by date, payment source, credit card # or bank account information.
777	The Contractor shall provide the capability for Authorized Users to conduct research on un-allocated funds, including viewing images of original payment items (checks), correspondence, and data entered into the BOS at the time the check was Posted.
778	The Contractor shall provide the capability for Authorized Users to Post payments from un-allocated funds to accounts while preserving the payment's audit trail (for example, once applied to the account, Authorized Users shall have the ability to determine when the payment was Posted to un-applied, any activity that occurred while it was in that status, and when it was Posted from un-applied to the account).
779	The Contractor shall provide the capability to age un-applied payments, to report on such payments and to generate Alerts when un-applied payments have exceeded a specified age (Configurable).

1.7.2.   Payment Methods and Handling

780	The Contractor shall provide the capability to accept payments, including but not limited to:
	• in-person at WICs;
	• over the phone with a CSR;
	• over the phone via the IVR;
	• automatic payments;
	• via the Self-Service Website;
	• via the Self-Service Mobile Application (Phase II and optional);
	• via mail and
	• via the Lockbox Service Provider (optional).
781	The Contractor shall provide the capability to calculate the required payment during account creation based on, but not limited to:
	• the prepayment Requirements;
	• cost of inventory items (for example, transponders) and
	• any Account Plan fees.
782	The Contractor shall provide the capability to store Credit Card information for one-time payments (for example, permit customers to enter Credit Card information once and then use that stored Credit Card to make one-time payments on their account without being required to rekey the Credit Card information).
783	The Contractor shall provide the capability to accept payments, including but not limited to:
	• one-time payments;
	• recurring fixed amount payments;
	• recurring varying amount payments;
	• a combination of fixed and varying amounts (payment plan monthly payment plus recurring auto replenishment);
	• recurring maximum replenishment amount per payment method on the account (for example, if the replenishment amount is $10,000 but maximum replenishment allowed for that Credit Card is $1,000 there should be 10 $1,000 replenishments);
	• recurring payments on a fixed day of the month;
	• recurring payments every "x" number of days (for example, every 28 days);

	• recurring payments for Postpaid accounts as, fixed number of days after the invoice is issued (Configurable) and
	• recurring payments triggered by account balance.
784	The Contractor shall provide the capability to accept and Post in the BOS payments and adjustments transmitted from the Collection Agency.
785	The Contractor shall provide the capability to process payments directly in the BOS for all accounts in any status with any balance.
786	The Contractor shall provide the capability to accept the following types of payments made in-person or by mail at all Approved locations, including but not limited to:
	• cash (at in-person locations only);
	• check;
	• cashier's check;
	• certified check;
	• money order;
	• e-check (not available by mail);
	• Credit Card;
	• ACH;
	• EMV chip integrated circuit card (at in-person locations only) and
	• mobile contactless NFC (at in-person locations only).
787	The Contractor shall provide the capability to accept Credit Card payments made via the IVR, via the Self-Service Website and via the Self-Service Mobile Application (Phase II and optional).
788	The Contractor shall provide the capability to accept all major Credit Cards, including:
	• Visa;
	• MasterCard;
	• American Express and
	• Discover Card.
789	The Contractor shall provide the capability for accepting Credit Card, EMV and mobile contactless NFC payments via POS devices for payments made in-person.
790	The Contractor shall provide the capability for accepting Credit Card payments by manually entering Credit Card information for payments made in-person.

791	The Contractor shall provide the capability to Post payment transaction(s) to the account when payment related actions occur, including but not limited to:
	• successful payment processing, and
	• unsuccessful payment processing, for example recording a failed attempt.
792	The Contractor shall provide the capability to refund checks that have been Posted to the BOS but cannot be matched successfully to an account.
793	The Contractor shall provide the capability to flag that an account has had returned checks.
794	The Contractor shall provide the capability to flag that an account has had declined Credit Card charges.
795	The Contractor shall provide the capability for an Authorized User to correct or reverse payments applied in error, including but not limited to payments applied to multiple transactions or accounts, via Cases.
796	The Contractor shall provide the capability to require approvals for payment corrections via Cases.
797	The Contractor shall provide the capability to prevent corrections to or reversals of payments that have already been refunded, for example, payments that have been reversed entirely cannot be reversed again or refunded.
798	The Contractor shall ensure all adjustments to payments are shown on the account and are reconciled.
799	The Contractor shall provide the capability to process multiple chargebacks on a payment if the previous chargebacks are reversed or represented.
800	The Contractor shall provide detailed tracking of payments by payment categories, for example, payments, declines, reversals, returned payments, chargebacks, chargebacks reversals, chargeback representments, refunds, voided refunds and replenishment.
801	The Contractor shall provide detailed tracking of payments by payment methods, for example, cash; check; Credit Card; ACH and mobile contactless NFC.
802	The Contractor shall provide detailed tracking of payments by payment type, for example, Visa; MasterCard; American Express and Discover Card.
803	The Contractor shall provide detailed tracking of payments by payment items, for example, invoices; Violation Notices; fees; penalties; tolls and prepaid tolls.
804	The Contractor shall provide detailed tracking of payments by payment locations, for example, Self-Service Website, Self-Service Mobile Application (Phase II and optional), Lockbox Service Provider (optional) and Collection Agency.

1.7.3. Merchant Service Provider (MSP)

The MSPs shall process all Credit Card, Debit Card and ACH Services described in these Requirements.

805	The Contractor shall contract with two (2) separate MSPs for processing of BOS payments. The Contractor shall work with the Authority in determining the volumes and types of processing assigned to each MSP, which may result in shared processing or all processing being assigned to one (1) of the MSPs.
806	The Contractor and MSPs shall provide Credit Card and Debit authorization for the BOS (card not present / internet and card present for the walk-in center) utilizing one or more merchant identification numbers.
807	The Contractor and MSPs shall provide ACH clearing for the BOS.
808	The Contractor and MSPs shall provide complete, flexible and timely online reporting services, including detailed transactions on chargebacks, card transactions, deposit totals and batch totals and summary information per merchant and for the Authority overall.
809	The Contractor and MSPs shall provide all reporting online.
810	The Contractor and MSPs shall provide a monthly analysis statement showing detailed charges for all account services for each merchant ID, including a combined statement analysis.
811	The Authority shall be assigned dedicated MSP account representatives that can be contacted through a toll-free number and email.
812	The MSPs shall provide customer support during business hours Monday through Friday 7:00 a.m. until 6:00 p.m. PST.
813	The MSPs shall provide seven (7) days per week technical support utilizing a customer service phone number.
814	The Contractor and MSPs shall cooperate with the Authority on assignment of accounts. The Authority will assign all bank accounts for the Authority's settlements and merchant activity. No merchant numbers or identifications shall be assigned to the Authority without written notice from the MSPs and Approved by the Authority.
815	The Contractor and MSPs shall provide payment, settlement, and refunding services.
816	The Contractor and MSPs shall provide daily settlement of merchant accounts.
817	The Contractor and MSPs shall make next day deposits after settlement into the OCTA bank accounts.
818	The Contractor and MSPs shall provide immediate online access to outstanding retrieval requests and chargebacks.
819	The Contractor and MSPs shall provide a fully electronic online chargeback system that will accept electronic signatures and support files to satisfy outstanding retrieval requests and chargebacks.
820	The Contractor and MSPs shall provide the ability to generate ad hoc reports with extracted information based on user-defined parameters.

1.7.4.　　　Payment Processing and Lockbox (optional)

The use of a Lockbox Service Provider is at the discretion of the Contractor and shall be at no additional cost to the Authority. If provided, the following Requirements apply.

821	The Contractor shall process, Post to the appropriate accounts, and reconcile payments transmitted by the Lockbox Service Provider if the Contractor elects to utilize a Lockbox Service Provider.
822	The Contractor shall create an audit trail and an Operational Alert Notification via the PMMS regarding failures in the processes that Interface with the Lockbox Service Provider.
823	The Contractor shall provide the capability to associate images of checks and stubs received at the Lockbox Service Provider to the proper account.
824	The Contractor shall provide the capability to receive and process Lockbox Exceptions and ensure payments are appropriately accounted for, including but not limited to: - correspondence items and customer comments associated with payments; - payments the Lockbox Service Provider is unable to associate to an account and - payments that the BOS is unable to Post to an account.
825	The Contractor shall provide the capability for Authorized Users to research and determine the disposition of Lockbox Exceptions, including but not limited to: - Posting payment to the account; - refund payment to customer or - hold as un-allocated funds.
826	The Contractor shall provide the capability to automatically create Cases for Lockbox Exceptions. For example, if a check was received without a payment coupon, it cannot be associated with an account and research must occur.
827	The Contractor shall provide the capability to identify criteria which trigger specific Lockbox Exceptions (Configurable) which are flagged for further review, including but not limited to: - discrepancy above a threshold between amount on check and amount due; - payment made to accounts in particular statuses; - check dollar amount and - multiple payments for the same amount on the same account in the same batch or processing day.
828	The Contractor shall provide the capability to electronically receive and process correspondence received at the Lockbox Service Provider, for example changes of address.
829	The Contractor shall provide the capability for Authorized Users to view un-allocated funds (funds which have been Posted to the BOS but which have not been Posted to an account).
830	The Lockbox Service Provider processing services shall take place within the State of California.

1.7.5. Credit Card Processing

The most common payment method in the BOS is Credit Card. The BOS shall have a simple and intuitive Interface with the Merchant Service Provider. The most efficient and cost-effective means of accepting Credit Card payments shall be employed in the BOS by the Contractor.

The Contractor's solution shall provide Credit Card Payment Tokenization and Hosted Third Party Credit Card storage (or equivalent solution). This method is designed to eliminate the need to store Credit Card numbers within the BOS database therefore reducing risks and efforts for PCI Compliance.

831	The Contractor shall contract with an Authority approved Merchant Service Provider.
832	The Contractor shall use a Payment Gateway or a Direct Connection between the BOS and the Merchant Service Provider.
833	The Contractor shall process all Credit Card payment transactions via the Merchant Service Provider.
834	The Contractor shall provide for Payment Tokenization and Hosted Third Party Credit Card storage (or equivalent solution) such that the Credit Card information is not stored in the BOS.
835	The Contractor shall provide an automated credit card update service.
836	The Contractor shall provide the capability to issue refunds to Credit Cards.
837	The Contractor shall provide the capability to track data related to Credit Card inquiries, for example, capture date of inquiry, disposition date and disposition results when inquiries about Credit Card charges are received.
838	The Contractor shall provide the capability for Credit Card chargebacks and permit investigation of the details as Cases.
839	The Contractor shall provide the capability for Authorized Users to reverse Credit Card chargebacks and to allow for a number of chargeback representments (Configurable)
840	The Contractor shall provide the capability to credit accounts immediately upon a successful Credit Card payment authorization.
841	The Contractor shall provide an Operational Alert Notification to the PMMS if a Merchant Service Provider response for a transaction is not received within a Configurable amount of time.
842	The Contractor shall provide an Operational Alert Notification to the PMMS if a Merchant Service Provider response for an account contains codes that indicate the need for the Authority to contact the Credit Card company, for example a "referral code".
843	The Contractor shall provide the capability to update accounts with the results from the Merchant Service Provider, for example a Credit Card transaction failed to authorize or settle due to a mismatched address error.

844	The Contractor shall provide the capability to identify potential fraudulent Credit Card transactions and send an Operational Alert Notification to the PMMS, for example, when there are multiple failed authorizations for a single card.
845	The Contractor shall provide, for validation purposes, fields to capture and store within the BOS Credit Card information, including but not limited to:
	• token;
	• Credit Card expiration date;
	• name on the card;
	• ZIP code and
	• billing address associated with the card.
846	The Contractor shall provide the capability to submit disputes to chargebacks.
847	The Contractor shall provide the capability to receive updates to individual customer credit card expiration dates from the MSPs.

1.7.6. ACH Processing

The cost of processing ACH transactions is generally lower than the cost of processing a Credit Card transaction, which is one of the primary reasons for including Requirements for this payment method. Many commercial customers also prefer ACH to Credit Card replenishment. ACH carries its own set of risks and challenges, which the Contractor will need to address. For example, the Contractor will need to address the timing of crediting an account after an ACH transaction is initiated and how ACH rejections will be processed.

Like the Credit Card process, the Contractor's solution shall provide Credit Card payment tokenization and hosted third-party routing and account number storage (or equivalent solution).

848	The BOS and CSC Operations shall remain current with industry standards and advancements in technology and security related to credit card and ACH payments.
849	The Contractor shall provide an Interface to the Merchant Service Provider or bank for ACH payment.
850	The Contractor shall provide for ACH tokenization and hosted third-party ACH storage (or equivalent solution) such that ACH information is not stored in the BOS.
851	Process all ACH payment transactions via the third-party hosted services.
852	Provide capability to process both ACH debits and ACH credits with the Merchant Service Provider or bank.
853	Provide a selection for "Checking" and "Savings" account designation when ACH is selected for replenishment and ensure transmission to the bank carries such information.

854	Provide the capability to verify the customer Bank Account information and availability of funds with the Merchant Service Provider prior to initiating an ACH debit.
855	Credit customer's account immediately upon initiating an ACH debit.
856	Provide the capability to reverse an ACH payment if declined by the bank.
857	Provide an Alert to the PMMS if an ACH response for a transaction is not received from the bank within a Configurable amount of time.
858	Provide sufficient protections (and Alert to the PMMS) to prevent multiple (duplicate) ACH payments for the same bank account number within a Configurable period.

1.7.7. Check/Money Order Processing

Checks received from customers shall be processed in the most efficient and cost-effective manner available in the payment processing industry.

859	The Contractor shall provide the capability to accept checks (personal, cashier's or certified) as a form of payment.
860	The Contractor shall provide the capability to accept money orders as a form of payment.
861	The Contractor shall use Check 21 to electronically deposit checks and convert checks into ACH transactions.
862	The Contractor shall Post to customer accounts and deposit into the Authority's bank account within one business day of receipt.
863	The Contractor shall provide scanning capability at the initial check or money order receiving and processing point. The resulting image shall be stored in the BOS, be available to Authorized Users and electronically transmitted to the bank for deposit.
864	The Contractor shall provide the capability to mask Bank Account information, including the MICR line, for stored check images.
865	The Contractor shall provide check scanning tools such that the resulting image can be optimized via image enhancing tools, including options for saving original and enhanced images.
866	The Contractor shall provide the capability, when accepting check or money order payments, to automatically populate the check or money order number field via check scanner.
867	The Contractor shall provide the capability to credit accounts immediately upon check or money order payment.
868	The Contractor shall provide the capability to associate checks and stubs received at the BOS to the proper account.
869	The Contractor shall provide the ability to receive batch payments from rental agencies to be applied to individual transactions.

870	The Contractor shall provide the capability to batch process checks by scanning a payment coupon and check, automatically Post payments to customer accounts, automatically associate images with customer accounts and provide exception processing.
871	The Contractor shall provide the capability to reverse all forms of check or money order payment if declined or returned by the bank, including the assessment of applicable fees.
872	The Contractor shall provide all armored services required for the physical transfer of cash or payment instruments.
873	The Contractor shall provide live check verification at the WIC.
874	The Contractor shall provide all reconciliations of funds received to BOS Posting and the Authority's bank account.

1.7.8.   Cash Processing

875	The Contractor shall provide the capability to accept cash as a form of payment.
876	The Contractor shall provide a cash change fund and cash change fund management functionality, including but not limited to:
	• beginning balance;
	• ending balance and
	• reconciliation.
877	The Contractor shall provide the capability to credit the account immediately upon receipt of cash payment.
878	The Contractor shall provide the capability to process cash payment reversals.
879	The Contractor shall provide the capability to set threshold amounts and role-based limits for cash payment reversals (Configurable.)
880	The Contractor shall provide the capability to require approval for cash payment reversals using Cases.

1.7.9.   Online Wallet Payment Processing

The BOS shall accept payments made via Online Wallet on all its online customer portals (Self-Service Website and Self-Service Mobile Application (Phase II and optional)). The specific Online Wallet services (up to five) will be defined during the Implementation Phase.

881	The Contractor shall provide the capability to accept payments by Online Wallet. The Authority will elect to implement up to five of the most prominent Online Wallet payments available in the market at the time of the Implementation Phase.
882	Online Wallet payments shall generally mirror the Credit Card functionality in terms of payments, return payments, refunds, reversals and chargeback capabilities.
883	The Contractor shall provide detailed tracking of payments made by Online Wallet.

884	The Contractor shall provide the capability to issue refunds to an Online Wallet. If the Online Wallet provider does not support automatic refunds (many Online Wallet providers require a manual process for refunds), or the underlying Credit Card associated with Online Wallet has been closed or expired, the BOS shall be capable of allowing Authorized Users to reverse the payment in the BOS and issue refunds by check.
885	The Contractor shall provide the capability to track data related to Online Wallet inquiries, for example, capture date of inquiry, disposition date and disposition results when inquiries about Online Wallet charges are received.
886	The Contractor shall provide the capability to credit accounts immediately upon a successful Online Wallet payment authorization.
887	The Contractor shall provide an Operational Alert Notification to the PMMS if a response from an Online Wallet provider for an account is not received within a specified amount of time (Configurable).

1.7.10. BOS Bank Interface Requirements

The Contractor shall manage the Bank Accounts and the Interface from the BOS to the Authority's bank.

888	The Contractor shall provide the interface for Check 21.
889	The Contractor shall provide the capability to upload checks issued to customers (refunds/disbursements) to the bank for the purpose of Positive Pay. The file shall include, but not be limited to:
	• BOS Bank Account number;
	• check number;
	• check date;
	• check amount and
	• payee name (may be truncated based on bank's requirements).
890	The Contractor shall provide automated reconciliation with the Authority's Bank.

1.7.11. Refunds and Disbursements

The Contractor will process and issue all refunds and disbursements to customers per the Business Rules and as determined by the Authority.

891	The Contractor shall provide the capability to process refunds and disbursements for account closures, sales of transponder(s), overpayments, Violation disputes and other payments.
892	The Contractor shall provide processes for refunds based on the original transaction and ensure such refunds are shown on the account history and are reconciled.

893	The Contractor shall have the capability to restrict the method of refund to the original method of payment.
894	The Contractor shall provide an automated approval process for Authority approval for all refunds over a configurable amount
895	The Contractor shall provide the capability to configure parameters related to refunds, including but not limited to:
	• type of payments that are not eligible for refund;
	• the criteria for refunds by payment methods (Credit Card, ACH, check, cash, money order etc.);
	• the hold period for Credit Card refunds and check refunds;
	• maximum (role-based) allowable refund payment by Payment Type. For example, a refund of more than $250 might require manager approval;
	• minimum (role-based) allowable refund payment by Payment Type. For example, the Authority may elect not to issue a check refund for less than $1.00 unless requested by the customer and
	• manual review of eligible refunds before processing the refunds.
896	The Contractor shall provide the capability to determine eligibility and issue refunds automatically to customers based on various activities on the account, including but not limited to:
	• closure of an account;
	• unapplied checks/money order and
	• overpayment of an invoice or Violation Notice where no outstanding invoices, Violation Notices or unbilled tolls exist.
897	The Contractor shall provide the capability to review and process all eligible refunds and initiate the refund process.
898	The Contractor shall provide the capability to route a refund approval through Cases, to require multiple approvals of refunds and to accommodate the refund approval process.
899	The Contractor shall provide the capability to issue refunds using the same method that the payment was received. For example, a check payment will be refunded by check and Credit Card to the same Credit Card.
900	The Contractor shall provide the capability to issue refunds by check after approval by an Authorized User when the Credit Card which was used for the original payment method has been deactivated or based on a customer request.
901	The Contractor shall provide the capability for the automated processing of refunds (for example, for a successful account closure) and automatically create a Case for an Authorized User to issue the refund.

902	The Contractor shall provide the capability to store all details regarding check refunds issued which shall be viewable by Authorized Users on the account, including but not limited to:
	• check number;
	• check amount;
	• date check was issued;
	• check payee details;
	• the date the check cleared the bank;
	• notes;
	• the reference number and
	• reason for issuing the check.
903	The Contractor shall provide the capability to void a refund or disbursement check, which shall restore the payable balance.
904	The Contractor shall provide the capability to void and reissue a refund or disbursement check.
905	The Contractor shall provide the capability for Authorized Users to manually override the refund payee information, for example, when a refund is due to a deceased customer's estate.
906	The Contractor shall provide the capability for Authorized Users to initiate refunds from unapplied payments (for example when a payment that was made to the BOS in error is deposited but is not applied to an account and needs to be refunded).
907	The Contractor shall provide the capability to record refund checks issued by the Authority in the BOS. For example, certain refund checks may be issued from the Authority's financial accounting systems; these checks shall then be recorded in the BOS against the customer's account and reported in financial reports as a check issued by the Authority.

1.7.12.   Bankruptcy

Generally, the bankruptcy process begins with an official notice of bankruptcy being issued by a court. This notice generally requires creditors to "stay" any escalation while the bankruptcy is processed through the courts. When the bankruptcy is finalized, the court sends an official notification which will indicate any reductions in amount due.

908	The Contractor shall provide the capability to manage accounts for customers who have filed for bankruptcy.

909	The Contractor shall provide the capability to record the effective date of a bankruptcy and bankruptcy type, which automatically flags the account for bankruptcy, holds all activity on outstanding debt which occurred prior to the filing date and issues a letter to the debtor or attorney on file.
910	The Contractor shall provide the capability to enter the 'as of' (stay) date of bankruptcy and apply Business Rules to transactions occurring after that date (new tolls incurred after the bankruptcy date are billable).
911	The Contractor shall provide the capability to record when a bankruptcy has been granted which will write off all outstanding penalties and generate a letter to the customer requesting payment of the tolls.
912	The Contractor shall provide the capability to cease escalation of any transactions that occurred on or before the "stay" date (typically the bankruptcy filing date).
913	The Contractor shall provide the capability to continue processing transactions subsequent to the date and time of bankruptcy notification.
914	The Contractor shall provide the ability to record a dismissed bankruptcy and restart the escalation and collection process.
915	The Contractor shall provide the ability to record and store all bankruptcy filings required by the courts.

1.7.13.   Shift Management

The Contractor shall reconcile the financial and asset activity of every person that works in the BOS at the end of each shift.

916	The Contractor shall provide the capability for the BOS to automatically open a shift for an Authorized User at the time of first applicable transaction based upon user role.
917	The Contractor shall provide the capability to prompt for beginning balance or Authorized User bank (including option to list denominations).
918	The Contractor shall provide the capability to populate opening shift balance and assign a unique Authorized User ID, including location, for all transactions processed during the shift.
919	The Contractor shall provide the capability to automatically prompt to close a shift at logout time if an open shift exists.
920	The Contractor shall provide the capability to display and reconcile all transactions and activity in a shift.
921	The Contractor shall provide the capability to separate transactions that affect the Authorized User's deposit, for example, cash, check, ACH, Credit Card or other payment, from transactions that affect the BOS balances, for example, waiving a fee for a customer.

922	The Contractor shall provide the capability for reconciliation of transponders and other inventory items issued and payments.
923	The Contractor shall provide the capability to create an Alert to the supervisor when a CSR's bank goes above a threshold (Configurable). For example, if CSR's bank goes above $200 the supervisor may want the CSR to do a "bank drop."
924	The Contractor shall provide feedback to Authorized User if the shift does not balance.
925	The Contractor shall provide the capability for an Authorized User to attempt to balance the shift a number of times (Configurable).
926	The Contractor shall provide the capability to escalate the shift to an Authorized User for research and closing after a number of unsuccessful attempts (Configurable) has been reached.
927	The Contractor shall provide settings to either display or not display the shift variance dollar amount to the Authorized User during shift closing (Configurable).
928	The Contractor shall provide settings to either display or not display the shift inventory (transponders and other inventory items) variance amount to the Authorized User during shift closing (Configurable).
929	The Contractor shall provide the capability to configure all relevant parameters related to closing a shift, with a default value that can be overridden based on unique user ID, including but not limited to: • the number of times the Authorized User can attempt to balance the shift; • the amount of allowed variance by dollars and • the amount of allowed variance by percentage.
930	The Contractor shall provide the capability to close a shift once it is balanced.
931	The Contractor shall provide the capability to record shift balancing discrepancies, for example overages and shortages.
932	The Contractor shall provide the capability to force close an unbalanced shift based upon user roles; the BOS shall record unbalanced variances in a separate Financial Account which shall be included on financial reports.
933	The Contractor shall provide the capability to escalate shifts that remain open at the end of the Business Day to the Authorized User based upon user roles.
934	The Contractor shall provide Authorized Users with an accounting of all shift activity with detailed and summarized financial information.
935	The Contractor shall provide Authorized Users with a status of all open shifts.

1.8. Case Management

The BOS shall provide the capability to create, assign and manage requests made by customers or Authorized Users. These requests become Cases. Case management is the creation and management of Cases where a Case represents an activity or action required to satisfy the Authority, customer or general public need or inquiry. Once a Case has been opened it is assigned to the appropriate staff, and its progress is tracked and reported through completion by the BOS. The initial set of Case types will be defined during the Implementation Phase. Certain Case types will escalate automatically.

1.8.1. Case Creation

936	The Contractor shall provide the capability to initiate a Case any time a request cannot immediately be completed.
937	The Contractor shall provide the capability to create, manage and support certain activities as Cases. Types of Cases shall include but not be limited to:
	• initiating, tracking and resolving Registered account disputes;
	• initiating, tracking and resolving Violation disputes (image(s) must be associated with the Case);
	• initiating, tracking and resolving I-Toll disputes (image(s) must be associated with the Case);
	• initiating, tracking and resolving toll rate disputes;
	• initiating, tracking and resolving requests for Administrative Hearings;
	• initiating, tracking and resolving requests for investigative reviews;
	• initiating, tracking and resolving Civil Judgments;
	• initiating and tracking payment plans;
	• initiating, tracking and resolving customer and non-customer issues and requests via phone and in person, that cannot be resolved immediately;
	• initiating, tracking and resolving customer issues and requests received through all communication channels;
	• initiating, tracking and resolving research Cases created by the Collection Agency;
	• initiating, tracking and researching undeliverable email/mail;
	• initiating, tracking and researching undeliverable addresses that have not been found using Skip Tracing Service Provider;
	• initiating, tracking and resolving subpoena requests for customer transactions, images, and maintenance records from law enforcement;
	• initiating, tracking and resolving issues and requests from the Authority and

	• initiating, tracking and managing transponder Return Materials Authorization (RMA) shipments.
938	The Contractor shall provide the capability to track the Case attributes by one or more attributes, including but not limited to:
	• communication channel;
	• Case type;
	• date and time of Case creation;
	• response due date;
	• identity of Authorized User (or BOS, if BOS-generated) initiating the Case;
	• Case number;
	• customer name;
	• customer contact information;
	• account number, if applicable;
	• license plate and Jurisdiction, if applicable;
	• Notification number, if applicable;
	• priority;
	• notes;
	• Case status;
	• outcome of Case when completed;
	• if Case is Toll Facility-specific;
	• follow-up activities that took place;
	• identity of Authorized User(s) who performed the follow-up activities;
	• description (free-form) of follow-up action and
	• customer satisfaction feedback.
939	The Contractor shall provide the capability for the customer to upload supporting documentation to a new or existing Case via the Self-Service Website or Self-Service Mobile Application (Phase II and optional).
940	The Contractor shall provide the capability to create Cases manually by Authorized Users.
941	The Contractor shall provide the capability to create Cases automatically via the BOS.

942	The Contractor shall provide the capability to create Cases because of a customer request, for example a customer requests a transponder or disputes a Violation Notice via the Self-Service Website or Self-Service Mobile Application (Phase II and optional).
943	The Contractor shall provide the capability to initiate a Case from within an account.
944	The Contractor shall provide the capability for Authorized Users to associate a Case with an account after the Case has been created.
945	The Contractor shall provide Case templates for each type of Case.
946	The Contractor shall provide the capability for Authorized Users to create new types of Cases and associated workflows (Configurable).
947	The Contractor shall provide the capability to set attributes by Case type related to Case management, including but not limited to: • required fields; • assignment rules; • Case flow logic; • Case queue display order, for example, by date opened or priority; • drop-down lists; • all relevant parameters related to Case escalation (Configurable), for example, number of dormant days before escalation and number of days from Case creation to escalation; • due date and • Case templates (create and modify).
948	The Contractor shall provide the capability to access a Case through Case management or through the associated account or Violation Notice.
949	The Contractor shall provide the capability to automatically document action(s) taken to resolve a Case in the Case.
950	The Contractor shall provide the capability to associate all related customer communication with a single Case (in addition to associating it with the appropriate account), including but not limited to: • call records; • recorded calls; • emails; • faxes; • Microsoft Office documents, images, and PDF files;

	• chat;
	• text messages and
	• scanned items.
951	The Contractor shall provide the capability, when creating Cases, to automatically insert information from the Case source into the Case creation screen to expedite Case creation, for example, importing the name, address and contact information from the account, Violation Notice, invoice or Notification with which the Case is associated.
952	The Contractor shall create a case for all incoming correspondence by scanning the correspondence. The Case management system should recognize barcodes, correspondence attributes, key words and categorize and assign cases automatically.
953	The Contractor shall provide the capability to automatically record date and time of Case creation.
954	The Contractor shall provide the capability to automatically record identity of Authorized User or BOS (if the Case is created automatically by the BOS) initiating the Case.
955	The Contractor shall provide the capability to automatically assign a unique individual identification code (Case number).
956	The Contractor shall provide drop-down lists (Configurable) containing multiple options for indicating type of Case.
957	The Contractor shall provide the capability that the Case type has the ability to be changed by Authorized Users.
958	The Contractor shall provide drop-down lists (Configurable) containing multiple options for indicating follow-up activities within the workflow.
959	The Contractor shall provide the capability to place a Case on hold pending a specific occurrence, or to enter a date when the Case shall be presented again to be worked.
960	Require Authorized Users to insert a minimum amount of data depending on the type of Case (Configurable) into a pre-defined number of fields before a Case can be closed. Each type of Case may have different minimum data requirements.
961	Require Authorized Users to insert a minimum amount of data depending on the type of Case into a pre-defined number of fields (Configurable) before a Case can be placed on hold. Each type of Case may have different minimum data requirements.
962	The Contractor shall provide the capability for notes (free text narrative) to be provided at key points in the Case creation process enabling the Authorized User to elaborate on important points.
963	Automatically initiate and send correspondence to the customer informing them of the creation of the Case, the Case number and other information depending on the type of Case (Configurable).

964	The Contractor shall provide an automated correspondence capability whereby the customer can be kept informed of Case progress/status, from opening through closure, depending on the type of Case. Such capability shall be Configurable such that certain Case progress/status changes would not generate a customer communication.
965	The Contractor shall provide the capability for multiple Authorized Users to access Cases at the same time with one Authorized User having the ability to modify the Case and others having read only access. The identity of the individual working the Case shall be presented to the Authorized Users with read-only access.
966	The Contractor shall associate the completion of the activities required to resolve the Case to the Case such that BOS can automatically close the Case once the required activities have been completed. For example, if a customer disputes a Violation Notice because the vehicle was stolen, the Case would require a document (police report) and once the document was verified and the disputed accepted by the CSR, the BOS would record the successful dispute, close the Violation Notice with the appropriate transaction disposition codes and issue a Notification to the customer all based on the CSR's determination that the dispute was accepted.
967	The Contractor shall provide the capability to automatically provide written responses (Notifications) to the customer based on the disposition code for each Case type.

1.8.2.   Case Assignment and Tracking

Depending on the Case type, the BOS shall assign the Case to the appropriate queue. The BOS shall use the default priority for the Case type and any user input that prioritizes the Case.

968	Place open Cases in the appropriate Case type queue such that Authorized Users may access their assigned queue, review and take action on each Case.
969	The Contractor shall provide the capability for the Case type queues to automatically display oldest Cases first for action.
970	The Contractor shall provide the capability for the Case type queues to automatically display highest priority Cases first for action.
971	The Contractor shall provide the capability for multiple sorting criteria for the Case type queues, for example sort first by oldest Cases and then sort by priority.
972	The Contractor shall provide the capability for closed Cases to be re-opened when required.
973	The Contractor shall provide the capability for a Case to be worked by the same Authorized User who opened the Case or by another Authorized User.
974	The Contractor shall provide the capability to automatically assign Cases to Case work queues accessed by departments or workgroups.
975	The Contractor shall provide the capability to manually re-assign open Cases.
976	The Contractor shall provide the capability to automatically re-assign open Cases if the Case was assigned to a specific Authorized User and that Authorized User is deactivated from the BOS.

977	The Contractor shall provide the capability to automatically temporarily re-assign open Cases if the Case was assigned to a specific Authorized User and that Authorized User is temporarily not performing work (for example, the Authorized User is on vacation).
978	Ensure at no time that an active Case does not remain in a queue with no Authorized User assigned to that queue.
979	The Contractor shall provide the capability for Authorized Users to see all pending Cases with prioritization.
980	The Contractor shall provide Configurable Case assignment rules, for example a Case related to financial issues would be assigned to the finance department.
981	The Contractor shall provide the capability to include a snapshot of any customer information in the primary screen so Authorized Users need not navigate to other screens s to find key information. The primary screen shall contain a link to the associated account should the Authorized User want to access the account.
982	The Contractor shall provide the capability to merge Cases when two or more Cases cover the same customer need.
983	The Contractor shall provide the capability to track historical action-type data (out of a predefined range), about each action taken to work the Case, including but not limited to:
	• creation;
	• closure;
	• reopening;
	• hand-off (from department or individual);
	• placed on hold (establish a "work again date");
	• awaiting action from the Authority;
	• awaiting customer action and
	• customer satisfaction.
984	The Contractor shall provide the capability to trigger customer satisfaction processes.
985	The Contractor shall provide the capability to link and track an unlimited number of Cases to a single account.
986	The Contractor shall provide the capability to link and unlink Cases to/from accounts regardless of Case status.
987	The Contractor shall provide the capability to associate a Case to one or multiple accounts.
988	The Contractor shall provide the capability to view Cases based on required follow-up action.
989	The Contractor shall provide the capability to track, record and review follow-up activity.

990	The Contractor shall provide the capability for Authorized Users to review the workload (quantity and details of the Cases assigned) of an individual Authorized User.
991	The Contractor shall provide the capability for an Authorized User to review the workload of an entire team or group of Authorized Users.
992	The Contractor shall provide the capability to manually change the status of a Case based on progress made in servicing the Case.
993	The Contractor shall provide the capability to automatically change the status of a Case based on progress made in servicing the Case.
994	The Contractor shall provide the capability for Authorized Users to edit data within a Case, Configurable by Case type.
995	The Contractor shall provide the capability to temporarily group Cases and perform the same action(s) on the group of Cases.
996	Prevent the creation of duplicate Cases when created automatically by the BOS.
997	The Contractor shall provide the capability to notify Authorized Users when the number of assigned Cases for a particular resource is reached (Configurable).
998	The Contractor shall provide the capability to stop a transaction or group of transactions from progressing further in the status or workflow stages, for example while a dispute Case is being reviewed.
999	The Contractor shall provide a logical Case workflow via multiple Case screens, which are presented to Authorized Users based on their skill sets and BOS roles.
1000	The Contractor shall provide Case workflow and routing (Configurable).
1001	The Contractor shall provide the capability to assign Cases in multiple ways (Configurable), including but not limited to:
	• manual assignment of a Case to a particular Authorized User;
	• automatic assignment by customer or account criteria;
	• automatic assignment by Case type;
	• automatic assignment by status;
	• automatic assignment by severity level;
	• automatic assignment based on staff availability;
	• automatic assignment by role and
	• skills database for Authorized Users.
1002	The Contractor shall provide the capability to suggest best Authorized User for a Case according to staff skills.

1003	The Contractor shall provide the capability to send an Operational Alert Notification when a Case has met the reassignment threshold (Configurable).
1004	The Contractor shall provide the capability to send an Operational Alert Notification when an Authorized User has met the specified number of open Cases (Configurable).
1005	The Contractor shall provide the ability to manually re-assign any Case to a new workflow, at any point within that workflow, as new details emerge.
1006	When changes in workflow are made, provide the ability to individually select, or select in bulk, whether current workflow transactions should follow the previous version of the workflow, or the new version of the workflow.

1.8.3.   Case Escalation

1007	The Contractor shall provide the capability to send an Operational Alert Notification regarding specific Cases that meet criteria (Configurable), for example, Cases in "open" status that have not been worked on in a specified number of days (Configurable).
1008	The Contractor shall provide the capability to automatically escalate overdue Cases based on rules (Configurable).
1009	The Contractor shall provide the capability to define sets of activities or procedures for specified Case types.
1010	The Contractor shall provide the capability for thresholds to be defined based on rules that initiate events when exceeded.
1011	The Contractor shall provide the capability to automatically escalate Cases defined as representing repeated complaints.
1012	The Contractor shall provide the capability to define activities that require authorization from supervisors.
1013	The Contractor shall provide the capability to notify appropriate operations staff on Cases manually or automatically based on criteria (Configurable).

1.9. Collections and Registration Hold

Non-payment of the Notice of Delinquent Toll Evasion Violation may result in the delinquent Violations escalating to collections and/or Registration Hold. Unpaid transactions/trips and fees on Registered accounts that are delinquent may also escalate to collections. The Authority may choose to have the CSC attempt to collect prior to the Violation escalating to collections.

| 1014 | The Contractor shall provide the capability for the CSC to attempt collection prior to a Collections Placement and the Contractor shall support this activity by, including but not limited to: |
| | • electronically provide Skip Tracing information that is automatically linked to the Violation for use by the CSR; |

	• provide initial collections letter(s) that are automatically populated with the Violation information and Skip Trace address(es);
	• allow for the CSR to review and approve letters before sending;
	• provide capability for the CSR to add notes about the collection process;
	• if not collected after a Configurable period of time, automatically and electronically attach all Skip Trace and collections notes information to the subsequent Collections Placement and
	• separately account for CSC collections (as compared to Collections Placements) within the BOS in all applicable accounting, financial and operations reports and searches.
1015	The Contractor shall provide, per the Business Rules, the capability to perform registered account or Violation escalation, including but not limited to:
	• warning of Registration Hold Notification;
	• escalate to Tax Intercept;
	• pre–Collection Notification;
	• escalate to Registration Hold and
	• escalate to collections.
1016	The Contractor shall provide capability to configure and maintain escalation parameters for each escalation level, including but not limited to:
	• the minimum number of delinquent Violations (Configurable) over a period of time to initiate collections activities (Configurable);
	• prevent escalation to collections/Registration Hold when a certain (configurable) percentage of the Violation has been paid;
	• prevent escalation to collections/Registration Hold when a certain (configurable) amount of the Violation has been paid;
	• the account balance thresholds to prevent escalation;
	• number of days payment on payment plan is delinquent and
	• number of days from issuance of Investigative Review or Administrative Review Letter.

1.9.1.   Collection Agencies

This process covers the assignment of past due amounts on delinquent accounts, and delinquent Violations to the Contractor-provided Collection Agencies. The Contractor shall provide two (2) separate, qualified Collection Agencies to perform debt collection services. These Collection Agencies shall be performing debt collection services and civil judgement processing on a non-exclusive basis. No assurance or guarantee is made to the selected Contractors regarding the number of Accounts placed, the dollar amounts of those Accounts, or the percentage of Accounts placed.

1017	The Contractor shall contract with two (2) separate Collection Agencies.

1018	The Contractor-selected Collection Agencies shall have previous experience collecting toll debt.
1019	The Contractor shall work with the Authority in determining the volumes and types of Collections Placements assigned to each Collection Agency, which may result in shared placements or all placements being assigned to one (1) of the Collection Agencies.
1020	The Contractor shall select Collection Agencies whose compensation is based on a percentage of the amount collected.
1021	The Contractor-selected Collection Agencies shall not dismiss the Authority's debt unless explicit approval has been provided by the Authority.
1022	The Contractor-selected Collection Agencies shall allow the Authority to recall debt at no cost to the Authority.
1023	The Contractor-selected Collection Agencies shall not charge any fees for allowing the Authority's debtors to pay using any payment method.
1024	For uncollected debt, the Contractor-selected Collection Agencies shall process civil judgments on behalf of the Authority. The processing of civil judgments shall comply with all California statutes and legal processes and the Collections Agencies' attorneys shall be properly licensed. The processing of civil judgements by the Collections Agencies shall be at the discretion of the Authority. The Authority may choose not to use the Collections Agencies for processing of civil judgements.
1025	The Contractor-selected Collection Agencies shall submit their reporting for approval by the Authority.

1.9.2. Collection Placement and Management

The process of assigning unpaid tolls, fees and penalties to the Collection Agency is called a Collections Placement.

1026	The Contractor shall provide a Collection Agency for Authority's approval and place eligible transactions in collections based on Business Rules.
1027	The Contractor shall provide the capability to identify Accounts and delinquent Violations that are eligible for the collection process based upon criteria (Configurable), including but not limited to:
	• age of debt at account level or individual transaction level;
	• Flags on the account;
	• hold status, for example, disputed;
	• open Cases related debt;
	• grace period;

	• total amount owed;
	• number of delinquent Violation Notices or transactions/trips;
	• amount owed;
	• whether customer is in-state or out-of-state;
	• account type and
	• account status.
1028	The Contractor shall provide the capability to create a Collections Placement for accounts and delinquent Violations eligible for Collections.
1029	The Contractor shall provide the capability to place a flag on an account that has met the criteria for Collection Placement but has not been placed and an account placed with one of the Collection Agencies.
1030	The Contractor shall provide the capability to assess a collections fee (for example, add a fee to the balance due) for each Collections Placement eligible for collections.
1031	The Contractor shall provide the capability to transmit the Collections Placement to the Collection Agencies for those accounts and delinquent Violation Notice that are eligible and Approved for collection.
1032	The Contractor shall provide the capability to utilize multiple Collections Agencies and to place eligible transactions in collections based on Configurable criteria, including but not limited to:
	• percentages based on both volume and dollar amount, for example, 60 percent to Collection Agency 1 and 40 percent to Collection Agency 2;
	• past due amount on the Account eligible for collection;
	• prior placements (by customer name, Account number, License Plate number and Jurisdiction);
	• account type;
	• specified frequency;
	• ZIP code and
	• ROV Jurisdiction.
1033	Provide the capability to automatically assign new transactions that reach the collections status or workflow stage to the same Collection Agency that any previous transactions on that Account have been assigned (for example, all transactions for a given Account will always be assigned to the same Collection Agency).

1034	The Contractor shall provide auditable functionality through the two-way electronic Interface for the Collection Agencies to transmit data to the BOS and for the BOS to transmit data to the Collection Agencies for accounts and Violation Notices assigned to the Collection Agencies, including but not limited to:
	• updates to demographic information, such as address updates obtained through Skip Tracing;
	• payments received by the BOS and each Collection Agency (full and partial) and adjustments and reversals of those payments;
	• reversals and adjustments made on the Collections Placement;
	• fees on the Collections Placement such as returned payment fee;
	• suspension of collections activities due to dispute or Administrative Review;
	• various status changes due to civil judgments;
	• suspension of collections activities or cancellation of the Collections Placement due to bankruptcy;
	• resolution of the Collections Placement at the transaction level;
	• cancellation of the Collections Placement due to recall by the Authority or expiry of the collection period for that Collections Placement and
	• Write offs and reason codes.
1035	The Contractor shall provide the capability to recall a Collections Placement/individual Violation Notices/transactions based on Business Rules and request.
1036	The Contractor shall provide the capability to automatically display a Flag on account screens with the appropriate Collection Agency ID and date the Collections Placement was sent to the Collection Agency and remove the Flag when an account is no longer in collection.
1037	The Contractor shall provide the capability to associate with the account all correspondence transmitted to the customer/violator from the Collection Agency.
1038	The Contractor shall provide the capability to update the address source on accounts and Violation Notices when new address information is received from one of the Collection Agencies.
1039	The Contractor shall provide the capability to automatically reassign delinquent Violations/transactions to collections any time a payment used to pay delinquent Violations/transactions in collections is reversed in the BOS or by one of the Collection Agencies (for example, when a customer makes a payment and that payment is returned by the bank, the receipt of the payment reversal in the BOS shall automatically reassign those delinquent Violations/transactions to the applicable Collection Agency).
1040	The Contractor shall provide the capability to obtain status of all activities and venues pursued by each of the Collection Agencies to collect on the Authority's debt.

1041	The Contractor shall provide the capability to receive payment reconciliation files at intervals (Configurable) from the Collection Agencies for all Collections Placement payments during the period. The reconciliation file shall provide detailed data that reconciles the payments and the collections fee, if applicable.
1042	The Contractor shall provide the capability to receive Collections Placement balance files, at intervals (Configurable), in order for the BOS to compare to Account and Violation Notice balances for auditing purposes.
1043	The Contractor shall provide the capability to generate an Operational Alert Notification when a Collections Placement balance file is received and the results of the processing of the balance file (for example, the file is in balance or it is out of balance).
1044	The Contractor shall provide the capability to compare the balances from each of the Collection Agencies to the balances in the BOS and display the accounts and/or transactions that do not balance.
1045	The Contractor shall provide an aging of all files on Collection Placement.
1046	The Contractor shall provide a report showing the historical records for Collection Placement including but not limited to: • number of files sent for Collection Placement (historically); • details of accounts written off and the reason; • details of amounts collected, stage collected and amount of reductions if any; • details of accounts actively in Collection Placement and the current collection stage; • details of accounts on payment plan; • details of accounts with civil judgments; • details of amounts collected and collection fees paid or due to the Collection Agencies, and • the above historical information for each individual Collection Agency.
1047	The Contractor shall provide the capability to receive Skip Tracing from the Collection Agencies for the Contractor to mail a pre-collection notice.

1.9.3.   Collection Agency System Access (Phase II)

In addition to the electronic interface between the BOS and the Collection Agencies, the Contractor shall provide the Collection Agencies with role-based, secure access to the BOS to access information about debt which has been placed in collections allowing them to research customer issues. The BOS shall allow for limited entries to be made such as managing a Case (initiating, updating or closing it) or updating with customer contact events such as phone calls and emails sent or received.

1048	The Contractor shall provide a secure role-based access for the Collection Agencies to access the BOS to research customer issues as described within these Requirements.

1049	The Contractor shall provide unique sign-on credentials for each Authorized User (Collection Agency Staff) and only allow them to access debts which have been placed with their Collection Agency.
1050	The Contractor shall provide auditable functionality that allows each Authorized User (Collection Agency Staff) to view, enter and edit data in the BOS for accounts and Violations with debt placed with their Collection Agency, including but not limited to:
	• viewing the account
	• Viewing associated images;
	• initiating a Case;
	• reviewing the status of a Case;
	• updating a Case;
	• closing a Case (based on permissions) and
	• updating customer contact history.

1.9.4. License Plate Registration Hold and Hold Release

When delinquent Violation Notices are past due, a Registration Hold can be placed on the license plate if it meets the conditions for Registration Hold. When the past due amount is brought to a threshold or amount (Configurable) (for example, when the balance is paid or the delinquent Violations are reversed), the Registration Hold may be released. The California DMV supports an electronic Interface for initiating Registration Holds and Registration Hold releases. In the event agreements are entered into with other Jurisdictions or responsible entities, the BOS shall support the Registration Hold/Registration Hold release process with these responsible entities.

1051	The Contractor shall provide the capability to Interface with the Jurisdictions that support license plate Registration Holds/Registration Hold releases or vehicle registration suspension.
1052	The Contractor shall provide the capability to apply and receive authorization from the DMV to act as OCTA's processor of record.
1053	The Contractor shall provide the capability to set and maintain the eligibility parameters for the license plate Registration Hold process based upon criteria (Configurable), including but not limited to any combination of:
	• plate Jurisdiction and plate type;
	• account type;
	• Flags on the account;
	• escalation status;
	• past due toll amount;
	• past due fee amount;

	• past due penalty amount;	
	• days past due;	
	• vehicle registration renewal date;	
	• an open Investigative Review or Administrative Hearing;	
	• payment plan status;	
	• length of time since the last escalation was done (Configurable);	
	• number of pre-existing vehicle Registration Holds on a license plate;	
	• Plate type (temporary plate, permanent plate) and	
	• Vehicle Identification Number.	
1054	The Contractor shall provide the capability to automatically request a Registration Hold if the eligibility criteria (Configurable) are met, for example, if license plate has one delinquent Violation that is past due.	
1055	The Contractor shall provide the capability to check the vehicle registration renewal date and update the existing ROV information in the BOS.	
1056	The Contractor shall provide the capability to place Registration Holds a number of days (Configurable) before or after the license plate renewal date. The BOS shall place the maximum number of Registration Holds per license plate if the license plate has delinquent Violations.	
1057	The Contractor shall provide the capability to round down the Violation amount owed to a whole dollar being sent to the DMV for each Violation for which a Registration Hold is being placed.	
1058	The Contractor shall provide the capability to automatically create and exchange Registration Hold and release files with the responsible entities.	
1059	The Contractor shall provide the capability in the event of a failure to re-try the Registration Hold and release request based on the type of error.	
1060	The Contractor shall provide the capability to automatically release the Registration Hold if resolved and/or paid.	
1061	The Contractor shall provide the capability to automatically re-request the Registration Hold if a payment that was received resulted in the release of Registration Hold and then the payment is subsequently reversed (for example, if a check is returned or if a chargeback is received).	
1062	The Contractor shall provide the capability to accept and process payments records for Violations from the DMV and waive partial amounts remaining on the Violation Notice(s).	

1063	The Contractor shall provide the capability to delay the Registration Hold release by a number of days past the payment date (Configurable) by payment type. For example, if the payment was made by check the BOS should delay the Release by seven days.
1064	The Contractor shall provide the capability for Authorized Users to manually initiate the release of a Registration Hold without resolution of past due amounts.
1065	The Contractor shall provide the capability to display Registration Hold and release status on the account including the date of request and status.
1066	The Contractor shall provide the capability for Registration Hold statuses (statuses that Registration Holds go through), including but not limited to: • Registration Hold pending; • Registration Hold sent to DMV; • Registration Hold Approved by DMV; • Registration Hold rejected by DMV; • Registration Hold not placed due to error; • Registration Hold release pending; • Registration Hold released by DMV; • Registration Hold released by BOS and • Registration Hold not released due to error.
1067	The Contractor shall provide the capability to automatically display Flags on all account screens based upon current Registration Hold status.
1068	The Contractor shall provide the capability, in the Registration Hold history, to accommodate multiple dates and reject reasons for multiple delinquent amounts and potentially multiple plate numbers.
1069	The Contractor shall provide the capability for Authorized Users to manually place and release Registration Holds and automatically update the BOS with the proper status obtained from the DMV.
1070	The Contractor shall provide the capability to add a DMV hold fee to each transaction successfully placed on hold
1071	The Contractor shall provide the capability to create a payable to DMV for the fee owed to the DMV until the fee is paid through the reduction of the DMV payment file.
1072	The Contractor shall provide the capability to establish a link between a temporary plate and the coordinating permanent plate to allow for hold to be placed on the temporary plate after the issuance of the permanent plate
1073	The Contractor shall provide the capability to perform a review of all accounts prior to sending them for DMV hold.

1074	The Contractor shall provide the capability to reconcile Violations marked as on hold in the BOS with the DMV report.
1075	The Contractor shall provide the capability to prepare a written DMV abstract of hold release for the customer.
1076	The Contractor shall provide the capability to Post the monthly DMV payment to the respective Violations-writing off any remaining cents, recording the source of payment as the DMV, and relieving the DMV Payable for the hold fee
1077	The Contractor shall provide the capability to analyze DMV hold rejects and work with the DMV to resolve any issues to maximize the hold success rate.

1.9.5.   Customer-Initiated Reviews

Customers may contest a Violation(s) by initiating an Investigative Review of the Violation(s). If customer disagrees with the decision, the customer may seek an Administrative Review Hearing and ultimately appeal to Superior Court.

1078	The Contractor shall provide the capability to receive Investigative Review requests, including documents uploaded from the self-service website.
1079	The Contractor shall provide the capability track Investigative Reviews through their completion
1080	The Contractor shall provide agreed upon Investigative Review reduction or dismissal codes that are applied to each Violation contained in the review in an efficient manner.
1081	The Contractor shall provide the capability for an Authorized User to select from a list of reduction or dismissal codes that has a corresponding trip/image processing and financial action, if applicable, generate the appropriate correspondence to the customer or violator customer stating the results of the review and issue any refunds that may be due (for example, if it is determined the license plate was misread and the Violation was issued to the wrong person, the CSR shall select a code "image error" which will automatically do the following: 1) dismiss the Violation assigned the person who requested the review 2) send the images back for image processing 3) generate a letter to the customer dismissing the Violation 4) refund any payments made).
1082	The Contractor shall provide the capability for an Authorized User to select from a list of codes for outcomes that do not result in the reduction or dismissal of the Violation(s) and automatically generates the appropriate correspondence to the customer stating the result of the Investigative Review, reason for non-dismissal, and processes the associated images and trip(s) accordingly.
1083	The Contractor shall provide the capability to provide a written response to every Investigative Review which includes the reasoning behind the resulting decision. The response letters shall be tied to the Violation dismissal codes so they automatically generate when dismissal action is taken

1084	The Contractor shall provide the capability to receive Administrative Review Hearing requests by mail, phone, in-person or online. If by phone, the account shall be marked for Administrative Review Hearing and a means for providing a written statement from the customer provided.
1085	The Contractor shall provide the capability to determine, receive and process the required amount due prior for an Administrative Review Hearing as well as, calculating eligibility for financial hardship exceptions and reduced amounts.
1086	The Contractor shall provide the capability to schedule the Administrative Review Hearings with the customer and Administrative Hearing Officer within the required timeframes and according to the Business Rules.
1087	The Contractor shall provide an Administrative Hearing Officer who meets the requirements in the California Vehicle Code and Authority Approval or the Administrative Hearing Officer may be provided separately by the Authority.
1088	The Contractor shall provide a second review of all Violations for which an Administrative Review Hearing is requested to ensure the Investigative Review was performed accurately and correct any errors or work with the customer to resolve any extenuating circumstances.
1089	The Contractor shall provide a summary of each Case where and Administrative Review Hearing is requested for Authority review within a week of the Administrative Review Hearing request. The Contractor will work the Authority to resolve Cases if needed.
1090	The Contractor shall provide the Configurable capability to define the data set that goes into the Evidence Package, including but not limited to:
	• summary sheet;
	• BOS and manual notes recorded on the account;
	• Cases created for the account;
	• transponder status change history;
	• each Violation Notice and other Notifications;
	• customer correspondence;
	• customer contacts;
	• DMV or ROV source records or Rental Agreements;
	• lane health check report from the ETTM System at the time of the transaction;
	• Registered account information if applicable;
	• history of non-payment;
	• images and
	• Recordings of phone calls or scripts of recorded phone calls.

1091	The Contractor shall provide the capability to create the Evidence Package a number of days (Configurable) before the date of the Administrative Review Hearing and print or upload the package to the location specified.
1092	The Contractor shall provide the capability to track information related to the outcomes of Investigative Reviews and Administrative Review Hearings
1093	The Contractor shall provide the capability to offer, establish and manage payment plans for customers who cannot pay the balance due in full.
1094	The Contractor shall provide the capability to provide Investigative Reviews by phone and chat for first contact resolution.
1095	The Contractor shall provide the capability to provide historical data by specified time period for Investigative Reviews and Administrative Review Hearings including but not limited to:
	• # requested;
	• # closed;
	• Resolution by type;
	• # outstanding;
	• age of outstanding and
	• scheduled hearings by date.

1.9.6. System-Generated Evidence Package

1096	The Contractor shall provide the capability to create an Evidence Package containing all information related to the applicable account, violator and Violation Notices, including but not limited to:
	• detailed toll transaction data associated with Violation Notices;
	• all Violation Notices and Notifications sent to violator;
	• all correspondence received from violator;
	• images related to Violations;
	• all notes related to account, violator and/or Violation Notices and
	• any other related Unregistered account activity.

1.10. Customer Satisfaction Survey

The Contractor shall select and provide a Customer Satisfaction Survey Provider Subcontractor to survey customers regarding their experience with the CSC. The BOS will provide the necessary information regarding all customer contacts to the Customer Satisfaction Survey Provider Subcontractor to enable them to survey customers using automated survey tools.

The Contractor shall survey customers through the Services of the Customer Satisfaction Survey Provider Subcontractor. Customer surveys shall be performed through electronic means such as email, through a phone survey, text, via the website or a combination thereof. A survey tool shall be provided which will allow for the creation and maintenance of a variety of different survey templates. Different survey templates may be selected based on contact channel, individual CSR or account type.

1097	The Contractor shall provide the capability to perform customer surveys through the Services of the Customer Satisfaction Survey Provider Subcontractor.
1098	The Contractor shall offer the Survey opportunity to every customer each time they contact the CSC or as requested by the Authority.
1099	The Contractor shall provide information to the Customer Satisfaction Service Provider Subcontractor, which includes but is not limited to: • customer name; • contact channel (such as email, phone or walk-in); • customer email address and • CSR name, in the case of customers calling in or chat. clarify for those interactions with CSRs (or other staff).
1100	The Contractor shall provide the capability to track customer contact by contact channel, including but not limited to: • phone (IVR only, e.g., the customer resolves their issue with the IVR); • phone (IVR then CSR, e.g., customer contact which started in the IVR and after attempting action, the customer asked to speak with a CSR); • phone (CSR only, e.g., the customer immediately requested to speak to a CSR); • chat (CSR only); • email; • text; • Self-Service Website; • Self-Service Mobile Application (Phase II and optional) and • walk-in.
1101	The Contractor shall, on each survey, ask if the customer would like to be contacted regarding any unresolved concerns.
1102	The Contractor shall provide customer survey capabilities with a combination of features, including but not limited to:

	• real-time reporting of survey results to the Authority;
	• real-time Configurable Alerts to the Authority on certain parameters, such as a low survey score (for example, send an Alert each time a customer provides a rating of two or below on any individual question or the survey as a whole) or key word (for example, each time a customer uses certain profane or threatening words);
	• real-time dashboard-style feedback for Authorized Users (such as a Web interface for CSRs to view survey results for their own calls and scoring, in comparison with their peers) and
	• survey scoring.
1103	The Contractor shall provide reporting functionality for customer contact data to be provided to the Customer Satisfaction Survey Provider Subcontractor, including but not limited to:
	• date;
	• account type;
	• CSR and
	• contact channel.

1.11. Transponder Inventory

The BOS shall have a transponder inventory and management system that tracks and maintains transponder inventory, manages the sale and return of transponders to customers, identifies and manages the transponder recall program, and tracks and manages transponder warranty. Inventory levels are required to be monitored regularly by the Contractor and communicated to the Authority to ensure no disruption in transponder availability.

1.11.1. Inventory Definition and Tracking

The BOS shall keep track of transponders from initial order through final disposal or return to manufacturer.

1104	The Contractor shall provide the capability to validate transponder serial numbers when they are entered into inventory, against the ranges that already exist to ensure that there are no duplicates. This validation shall include the CTOC-issued Facility Code IDs or any corresponding ranges in the future such as ISO 18000-6C and or national Interoperability.
1105	The Contractor shall provide the capability to search the history of a specific transponder entered in the BOS and provide the history of the transponder including account assignment and transactions.
1106	The Contractor shall support the performance of a quarterly physical inventory and monthly reconciliation of transponders.

1107	The Contractor shall provide the capability for an Authorized User to program transponders (for example, reprogram a 2-axle vehicle transponder to a motorcycle transponder).
1108	The Contractor shall provide the capability to manage any number of transponder types, including but not limited to:
	• hard-case transponders;
	• sticker transponders;
	• 6c switchable transponders;
	• headlight-mount transponder and
	• bumper-mount transponders.
1109	The Contractor shall provide the capability to enter global transponder inventory item attributes, including but not limited to:
	• transponder description;
	• transponder type;
	• model number;
	• manufacturer;
	• lot, case and tray information;
	• version of transponder chip technology;
	• transponder communication protocol (single or multi) and
	• transponder style.
1110	The Contractor shall provide the capability to enter individual transponder inventory item attributes, including but not limited to:
	• model number;
	• procurement cost;
	• sales price (Configurable);
	• purchase price (Configurable);
	• manufacture date;
	• date received;
	• manifest number;
	• inventory number;

		• expiration;
		• date assigned/purchased;
		• date first used;
		• location assigned to customer from;
		• staff/BOS assigned by;
		• recall date;
		• replacement;
		• warranty start date;
		• warranty period;
		• swap out date;
		• end of life date;
		• purchase order number/statement or invoice number;
		• agency/facility code;
		• state code;
		• transponder ID number;
		• external barcode number;
		• transponder manufacturer's number;
		• transponder class;
		• ID number;
		• activation code;
		• status and
		• inventory location.
1111	The Contractor shall provide the capability to enter new transponders into the BOS via several methods, including but not limited to:	
		• manually;
		• file upload and
		• barcode using a scanner.

1112	The Contractor shall provide the capability to manually upload a file (manifest) with transponder inventory information using an intuitive and user-friendly process with support for multiple data formats. Functionality shall include but not be limited to:
	• a mapping tool which shall enable inventory fields to be mapped to a file;
	• a browse button to locate the file;
	• validation of the file prior to import (invalid files shall not be imported, and an error message shall be presented);
	• validation of file contents including the transponder ID based on valid CTOC issued facility codes and
	• feedback of successful processing by indicating the number of records updated and unsuccessful updates with reason codes.
1113	The Contractor shall provide the capability to enter transponders in bulk by entering the starting and ending numbers in a range, for example upload inventory by scanning the first transponder's barcode and the last transponder's barcode.
1114	The Contractor shall provide the capability to track multiple manufacturer warranties based on manufacturer, transponder type or purchase date.
1115	The Contractor shall provide the capability to track customer warranties based on transponder type or purchase date.
1116	The Contractor shall provide the capability to identify transponders to be sold and their sale price.
1117	The Contractor shall provide the capability to track individual transponders by location at end of day, including but not limited to:
	• WIC;
	• in transit between customer service locations;
	• at one of multiple individual CSRs;
	• assigned to an account;
	• shipping/receiving locations;
	• returned to manufacturer and
	• disposed.
1118	Ensure individual transponders are only in a single location at any one time.
1119	The Contractor shall provide the capability to restrict transitions among various inventory item locations, for example, transponders in the "assigned to CSR" location cannot go to the "return to manufacturer" location; it can only go to "inventory" location or "account" location.

1120	The Contractor shall provide the capability to assign an inventory status to each individual transponder, including but not limited to:
	• on order;
	• received;
	• tested and ready for issuance;
	• active;
	• inactive;
	• deactivated;
	• lost;
	• stolen;
	• returned;
	• awaiting cleaning and testing for reissue;
	• disposal;
	• damaged;
	• defective and
	• end-of-life.
1121	The Contractor shall provide the capability to change the status for an individual transponder either manually or automatically.
1122	The Contractor shall provide the capability to set a separate restock threshold for all inventory locations.
1123	The Contractor shall provide the capability to set and maintain the transponder reorder thresholds and ranges for all relevant parameters related to transponder quantity levels and lead-time requirements for replenishment by manufacturer.
1124	The Contractor shall provide the capability to send an Operational Alert Notifications(s) before the transponder reorder (from the manufacturer) thresholds are reached. The Alert level can be a percent (Configurable) or number (Configurable) above the re-order threshold.
1125	The Contractor shall provide the capability to audit the physical inventory at intervals (Configurable) and record the results of the audit.
1126	The Contractor shall provide the capability to test transponders to ensure they are correctly programmed and that the external barcode is correctly correlated to the internal programming.

1.11.2.   Transponder Ordering

The Authority will place transponder orders directly with the transponder manufacturer or request that the Contractor place the order directly. Regardless of the method, the creation of the order shall happen within the BOS which allows the purchase order to be recorded, and the order to be tracked, received and loaded into inventory in a manner which reduces manual entry and potential errors. A hard copy document shall be generated and shall be part of an order receiving package to verify receipt and close out the purchase order that was generated by a separate system that is not part of this procurement.

1127	The Contractor shall provide the capability to create transponder orders within the BOS, both for orders placed directly by the Contractor and orders placed directly by the Authority.
1128	The Contractor shall provide the capability to change the status of the order and track the order once the associated purchase order has been placed.
1129	The Contractor shall provide the capability to receive the inventory into the BOS.
1130	The Contractor shall provide the capability to enter information when receiving transponders, including but not limited to: • verification of delivery of each line item; • verification of quantities for each line item; • actual quantity received if it does not match quantity ordered; • name of person receiving inventory; • location received; • date received and • comments.
1131	The Contractor shall provide the capability to generate a transponder receiving document, including but not limited to: • items ordered; • item received; • quantities ordered; • quantities received; • manufacturer or supplier information; • received by name; • location received and • date received.

| 1132 | The Contractor shall provide the capability to make adjustments if the shipment received does not match the original order and track backorders and partial shipments. |

1.11.3. Inventory Fulfillment

Transponders are assigned to customers via inventory Fulfillment. Orders can be fulfilled at the same time the order is placed in a WIC. When inventory is ordered online or by phone, the order is fulfilled in the order received.

1133	The Contractor shall provide the capability to create transponder orders either at the time of account creation or when individual requests are initiated subsequent to account creation.
1134	The Contractor shall provide the capability to fulfill transponder orders.
1135	The Contractor shall provide the capability to present transponder Fulfillment requests for Fulfillment in the order received.
1136	The Contractor shall provide the capability to create a transponder sale transaction when inventory order is fulfilled including but not limited to:
	• full price sale;
	• warranty sale;
	• sale at no cost (replacement) and
	• discount sale (promos and coupons).
1137	The Contractor shall provide the capability to assign multiple types of transponders to an account and associate the transponder numbers to the account.
1138	The Contractor shall provide the capability to reassign inventory items from one account to another.
1139	The Contractor shall provide the capability to replace an existing individual transponder on an account with a different transponder.
1140	The Contractor shall provide the capability to issue individual transponders to customers via mail and at WICs.
1141	The Contractor shall provide the capability to distinguish orders for first time customers separate from existing customers in case additional literature is to be included with the order for new or existing customers only (such as a welcome package).
1142	The Contractor shall provide the capability for transponders delivered by USPS to be activated 24 hours after shipment.
1143	The Contractor shall provide the capability to automatically recognize vehicles with metal oxide windshields by use of a list the Contractor maintains and automatically issue an exterior tag at time of account opening, vehicle addition or transponder request.
1144	The Contractor shall provide the capability to automatically recognize motorcycles by their license plate configuration or information provided by the customer and issue them an exterior transponder at the time of Account opening, vehicle addition or transponder request.

1145	The Contractor shall issue a sticker tag (interior or exterior) for every plate listed on the account unless the customer identifies that the vehicle will only be used on a short-term basis, such as rental cars.
1146	The Contractor shall provide the capability to track customer transponder orders as a single order regardless of the number of items requested. For example, if a customer wants one bumper-mount transponder and two switchable transponders, that order shall be a single customer transponder order.
1147	The Contractor shall provide the capability for transponder orders to be searched, for order(s) that meet specified criteria, which can then be viewed, immediately fulfilled, modified or canceled.
1148	The Contractor shall provide the capability to make modifications to the transponder orders prior to fulfilling them. For example, a CSR may need to change the transponder type because the customer's vehicle requires an externally mounted transponder (bumper mount), or add another transponder to the order based on a customer request.
1149	The Contractor shall provide a single customer Fulfillment receipt detailing the entire order. This receipt shall show the vehicle license plate number(s), type, Jurisdiction, make, model, color, transponder(s) or other inventory item(s) quantities, backordered quantities, sale or lease amounts, payment amount and any associated Account Plan(s), if applicable, for each transponder included in that order.
1150	The Contractor shall provide the capability to generate a mailing label or print directly on the mailing envelope when fulfilling inventory orders by mail.
1151	The Contractor shall provide the capability to batch transponder distribution to improve the efficiency of the order Fulfillment process, including but not limited to: - identify open transponder orders and assign transponders to the accounts automatically; - create batches by transponder type and order type (new, replacement or additional); - transmit data to the mailing services to generate mailing labels by batch; - print transponder receipts; - track the mailing of transponders to customers and - Batch by zip code for the purposes of receiving bulk mailing discounts.
1152	The Contractor shall provide the capability to perform a quality check of the transponder mailing packages before they are mailed to the customers.
1153	The Contractor shall provide the capability for transponder receipts to be provided to the customer when the Fulfillment takes place in person.
1154	The Contractor shall provide the capability to notify the customer that a transponder(s) has been placed in the mail.
1155	The Contractor shall provide the capability to activate transponders when they are assigned to the account or with a configurable delay in days when mailed.
1156	The Contractor shall provide the capability to return transponders to stock and update the order, if applicable while preserving full traceability. For example, if a transponder comes

	back in returned mail, the BOS shall retain the history of the account that the transponder was added to and that the transponder came back undeliverable.
1157	The Contractor shall provide the capability to issue more than one transponder type per vehicle.
1158	The Contractor shall provide the capability to ask the customer if they will need a switchable transponder for carpooling.
1159	The Contractor shall provide the capability to provide the amount due for transponders and allow the customer to override the transponder order.
1160	The Contractor shall provide the capability to guide the customer through the transponder type and quantity: sticker for every car, external for problem vehicles and motorcycles, switchable for carpoolers.
1161	The Contractor shall provide the capability to flag a sticker transponder in an eligible CAV after configurable # of reads of the vehicle with the authorized eligible CAV plate.
1162	The Contractor shall provide the capability to flag a sticker transponder in a disabled plate vehicle after a number of Configurable reads in the vehicle with the authorized plate.
1163	The Contractor shall provide the capability to provide replacement transponders and calculate the amount due, if any, and restart the vehicle to tag association for eligible CAV and other Special Access Plan vehicles according to the Business Rules.

1.11.4. Transponder Inventory Recycling

The Contractor will test returned transponders and return to usable inventory those that meet the Business Rules.

1164	The Contractor shall provide the capability to process returned transponders back into the BOS for reissue when the transponders appears to be in good condition and has not reached the end of its useful life.
1165	The Contractor shall receive and return to inventory and issue the customer a credit according to the Business Rules.
1166	The Contractor shall provide the capability to assign returned transponders identified as being re-issuable to a box for tracking and reissue purposes.

1.11.5. Transponder Testing

Transponders shall be tested at multiple times in the lifecycle because transponders that are defective or not functioning reliably cause problems for the customers and the Authority and increase costs. The equipment required for testing of transponder will be provided by the Authority.

1167	The Contractor shall provide the capability to test transponders using the transponder reader/tester.

1.11.6. Transponder Warranty Replacement for the Customer

Functionality will be required to support customer warranty returns and replacements.

1168	The Contractor shall develop transponder replacement Business Rules based on the transponder type, account type and age of the transponder.
1169	The Contractor shall provide the capability for a customer to request a replacement transponder by all communication channels and at the WIC.
1170	The Contractor shall provide the capability to create a Case for each replacement request initiated by the customer.
1171	The Contractor shall provide the capability for customers to return their old transponder to a WIC and receive a replacement transponder or credit to their account immediately according to Business Rules.
1172	The Contractor shall provide the capability for customers to return transponders to the Authority and receive a refund of the purchase price if the transponder is defective or unused within a Configurable time period.
1173	The Contractor shall provide the capability to send the customer a self-addressed return envelope to send the old transponder(s) back if the customer contacts the BOS via all communications channels to return a transponder(s).
1174	The Contractor shall provide the capability to send a replacement transponder to the customer upon the receipt of a replacement request.
1175	The Contractor shall provide the capability to track the return of the old transponder and update the account upon the successful receipt of the old transponder.
1176	The Contractor shall provide the capability to generate Alerts if an account has more than a number (Configurable) of replacement claims.

1.11.7.   Inventory Warranty and Returns to Manufacturer

1177	The Contractor shall provide the capability to enter, modify and delete transponder manufacturer information, including but not limited to:
	• name;
	• contact person;
	• full address;
	• phone numbers;
	• rules for returns and
	• minimum number of transponders per return shipment.
1178	The Contractor shall provide the capability to create a Return to Manufacturer (RMA) number and associated packing list by manufacturer for each RMA shipment.
1179	The Contractor shall provide the capability for the opening, tracking and closing of RMA shipments by RMA number.
1180	The Contractor shall provide the capability to add or remove specific items from an RMA shipment.
1181	The Contractor shall provide the capability to track warranty payment or replacement transponders due from the manufacturer for returns under warranty.

1182	The Contractor shall provide the capability to pro-rate the warranty period of the returned transponder based on the warranty left on the transponder identified for warranty return.
1183	The Contractor shall provide the capability to accept a spreadsheet that maps old transponders to the new transponders in order to identify the remaining warranty.

1.12. Customer Portals

The Authority will be responsible for the Self-Service Website with exception of the "my account" section, which is the responsibility of the Contractor.

Customers can obtain access to their accounts via customer portals which include the Self-Service Website and the Self-Service Mobile Application (Phase II and optional). These customer portals provide access to real-time account data. The Self-Service Website allows customers to establish accounts, manage their accounts and manage Violations.

1.12.1.   Self-Service Website

1184	The Contractor shall have experienced internal resources and/or partners with significant, demonstrable Self-Service Website development expertise in using the latest frameworks, tools, navigation and look and feel to optimize the customer experience.
1185	The Self-Service Website shall have a sophisticated, standards-driven, front-end framework that is device and browser agnostic, and is completely responsive to all mobile devices.
1186	The Contractor's solution shall facilitate the use of single code bases that can be delivered across platforms and devices and streamline the primary and Regression Testing required when deploying Software updates and Enhancements.
1187	The Contractor shall be responsible for the "my account" portion of the Self-Service Website only. The Contractor shall be responsible for hosting the entire Self-Service Website including Authority controlled content.
1188	The Contractor shall provide the capability for the Authority's designated users to access and update Authority provided content to static pages in accordance with Approved change management procedures.
1189	The Contractor shall use the header/footer provided by the Authority and the Contractor shall be responsible for formatting header/footer in accordance to the Authority portion of the website, including all further updates, Upgrades and Enhancements to the application.
1190	The Contractor shall provide a secure Self-Service Website in English and Spanish and all external Interface portals, that shall be compatible with the versions most utilized by the public and future version releases of the following browsers, including but not limited to:
	• Microsoft Internet Explorer;
	• Microsoft Edge Browser;
	• Mozilla Firefox;
	• Google Chrome;
	• Apple Safari;

	• any other browser reaching five percent market penetration, as Approved by the Authority and
	• smartphone/tablet/mobile browsers.
1191	The Contractor shall provide the capability for customers to perform all actions or get information they might ask of a CSR on the Self-Service Website, with certain exceptions based on following a process requiring a specific user role, interaction with a CSR or due to security concerns.
1192	The Contractor shall provide the capability for customers to view, export and print all statements
1193	The Contractor shall provide capability for a customer to search the website for key words or key phrases.
1194	The Contractor shall provide quick links to most frequently used pages
1195	The Contractor shall provide Web navigation optimized for speed regardless of the Web browser used on the secure Self-Service Website.
1196	The Contractor shall provide the capability to support the expiration of cookies.
1197	Detect and advise users of the Self-Service Website if the browser used is old or not supported.
1198	The Contractor shall provide a Self-Service Website accessible on a range of mobile devices, irrespective of differences in presentation capabilities and access mechanisms, including but not limited to smartphones and tablet computers.
1199	The Contractor shall provide a Self-Service Website that paginates content in various ways corresponding to differences in viewing device characteristics. The navigation structure of the site, and its technical realization shall vary according to the device class being served.
1200	The Contractor shall provide a Self-Service Website that supports the latest versions of mobile operating systems, including but not limited to:
	• Apple iOS;
	• Android Web operating system;
	• Windows Phone operating system and
	• any other browser reaching five percent market penetration, as Approved by the Authority.
1201	The Contractor shall provide a Self-Service Website that supports the latest versions of mobile browsers, including but not limited to:
	• Safari;
	• Google Chrome and
	• any other browser reaching five percent market penetration, as Approved by the Authority.
1202	The Contractor shall provide Self-Service Website and Self-Service Mobile Application (Phase II and optional) analytics tools that supports all required browsers for the measurement, collection, analysis and reporting of internet data for purposes of

understanding and monitoring performance, optimizing website usage, business and market research and to assess and improve the effectiveness of the Self-Service Website. The Web analytics tools shall track all usage on the Self-Service Website including but not limited to:

	• number of individual hits by screen;
	• number of specific activities performed;
	• number of page views;
	• number of repeat visitors versus new visitors;
	• bounce rate;
	• abandonment rate;
	• usage reports, for example click-through and navigation reports that monitor efficiency in navigation;
	• continual monitoring of total time to load the website;
	• continual monitoring of website page load times;
	• continual monitoring of individual element load times;
	• continual monitoring of login availability and
	• continual monitoring of overall application availability.
1203	The Self-Service Website and Self-Service Mobile Application (Phase II and optional) analytics tools shall be integrated with the PMMS for notification of performance issues.
1204	The Self-Service Website and Self-Service Mobile Application (Phase II and optional) shall provide Configurable real-time reporting for all services monitored and data collected.
1205	The Contractor shall provide a Self-Service Website that supports the addition of sponsored advertisements Approved by the Authority.

1.12.1.1.   Account Access and Security

1206	The Contractor shall provide the capability to control the features and capabilities available to customers based on the account type.
1207	The Contractor shall provide the capability for a customer to select a PIN upon account establishment.
1208	The Contractor shall provide the capability for a customer to create a username and password upon account establishment.
	• The web server shall support username and password strength requirements as determined during the Implementation Phase and documented in the Business Rules and
	• the web server shall support two-factor authentication and provide user configurability to enable or disable.

1209	The Contractor shall provide the capability for a user account session time out after a period of inactivity (Configurable).
1210	The Contractor shall provide the capability for an Authorized User to set, based on user-role, the length of inactivity time before a session time out.
1211	Prevent customers from accessing the BOS after a number of failed login attempts (Configurable) within an amount of time (Configurable) and send an Alert message to the PMMS.
1212	The Contractor shall provide the capability for the BOS to automatically reset the customers' access to the BOS after a Configurable amount of time has elapsed since the last unsuccessful login attempt.
1213	The Contractor shall provide the capability for Authorized Users to reset the customer's access to the BOS after the customer's access has been locked due to unsuccessful log on attempts.
1214	The Contractor shall provide the secure capability, without Authorized User interaction, for customers to gain online access to their existing account(s) when they have forgotten their username and/or password. Data necessary to gain online access shall differ depending on account type.
1215	The Contractor shall provide the capability to upon the first logon require the user to complete up to five (5) security challenge questions and answers for use in future account access.
1216	The Contractor shall provide the capability to reset the PIN.
1217	The Contractor shall provide the capability to reset the password with requirements for password strength and reuse of previous password restrictions.
1218	The Contractor shall provide the capability to change username.
1219	The Contractor shall provide the capability to manage (add/delete/modify) security questions.

1.12.1.2.   Account Establishment and Maintenance

1220	The Contractor shall provide an account creation process that logically leads a customer via the Self-Service Website through all of the necessary steps to create an account including, but not limited to:
	• Account type;
	• Account plan;
	• Name (primary and secondary);
	• Contact information (billing and shipping);
	• Email address;
	• Vehicle information;
	• Transponder requests;
	• Payment information;

	• Statement and correspondence method of delivery;
	• Opt-in for various communications (texts, e-blasts, statements. marketing) and
	• Opt-in for customer survey.
1221	The Contractor shall provide the capability for a customer with an unregistered account to open a registered account without having to enter the name, address or vehicle information including the vehicle effective date equal to the first Violation transactions. The customer shall be able to make a single payment for the Violation amount due and the account establishment amount.
1222	The Contractor shall provide on-screen guidance to the customer via the Self-Service Website during the account creation process regarding missing or improperly formatted information. The customer shall not be able to move to the next step until the required information is provided in the appropriate format and the proper action shall be clearly identified.
1223	The Contractor shall provide the capability when opening a new account to automatically identify other account(s) associated with that account name or address and create a Case to allow a CSR to determine whether or not the account is a duplicate.
1224	The Contractor shall provide the capability for the selection of account type and account preferences during the establishment of an account based on anticipated usage and other requirements.
1225	The Contractor shall provide the capability, when adding contact information, to assist the customer by requiring zip code be entered first, then providing a pre-populated city and stat. Upon entry of a street address, the BOS should populate options for selection in the USPS standardized address format.
1226	Require that the Authority's terms and conditions and privacy policy are acknowledged and a record of that acknowledgment saved in the BOS prior to establishing an account.
1227	The Contractor shall provide the capability for customers to set and modify preferred communication channels.
1228	The Contractor shall provide the capability for the customer to update all information on their account.
1229	The Contractor shall provide the capability to require a customer to accept revised account terms and conditions and privacy policy upon log in if a change is made to the account terms and conditions or privacy policy.
1230	The Contractor shall provide the capability for electronic email address confirmation during the account creation process. For example, an email is sent to the email address provided with a link by which the customer can confirm they have control of the account. Upon validation, the BOS shall allow for the account creation process to be completed.
1231	The Contractor shall provide the capability for any subsequent additional email addresses added, to perform the email address validation process prior to finalizing the entry on the account. A message shall be displayed indicating the email address shall not be added until the validation process is complete.

1232	The Contractor shall provide the capability for sending an account summary/profile to the customer upon a successful account creation process. The account summary/profile shall also be provided in a printer-friendly format.
1233	The Contractor shall provide the capability for customers to specify "how did you hear about us?" during the account creation process.
1234	The Contractor shall provide the capability for customers to be asked a series of marketing questions (Configurable).
1235	The Contractor shall provide customers with a running amount due (details and summary) as they proceed through the account set-up process including but not limited to:
	• account fee at time of account establishment;
	• prepaid balance amount;
	• transponder cost amount and
	• Violation amounts.
1236	The Contractor shall provide the capability for a customer to close his/her Registered account.

1.12.1.3.   Payment Processing

To provide a customer experience that is intuitive, efficient and meets the needs of a self-service oriented customer, the BOS must provide a well-designed and logical customer self-service payment setup and management process

1237	The Contractor shall provide the capability to determine the payment methods available (Configurable) based on account type.
1238	The Contractor shall provide the capability for the manual replenishment (via existing payment methods on the account) of Registered accounts.
1239	The Contractor shall provide the capability for the customer to set up an automated recurring replenishment via credit card and ACH.
1240	The Contractor shall provide the capability for violators to view the images (in compliance with PII requirements) associated with the Notice of Toll Evasion Violation and Notice of Delinquent Toll Evasion Violation and make payments or initiate a dispute by entering the pertinent dispute information.
1241	The Contractor shall provide the capability to automatically create a Case and populate it with all pertinent information when a violator disputes a Notice of Toll Evasion Violation and Notice of Delinquent Toll Evasion Violation.
1242	The Contractor shall provide the capability for the violator to upload file(s) supporting the dispute and automatically associate those files to the Case.
1243	The Contractor shall provide the capability for violators to make a payment and have it applied towards a specific item on the account or the entire balance due, for example Violation Notices, penalties and fees.

1244	The Contractor shall provide the capability to Configure whether or not to allow partial payments for Violation-related activity.
1245	The Contractor shall provide the capability to allow for the payment of Violations and an account replenishment with one payment.
1246	The Contractor shall provide the capability for a customer to intuitively and efficiently add the violating license plate/vehicle to an account, for which they have login access, and have the BOS verify to the customer that the license plate has been added and the transactions/trips have Posted. Provide the capability to notify the customer of any fees and assess those fees to the account in accordance with the Business Rules. If the transactions/trips cannot post to the account or the license plate cannot be added, in real time the BOS shall notify the customer of the issue and ask the customer to contact the CSC.
1247	The Contractor shall provide the capability, in accordance with the Business Rules, for a customer to intuitively and efficiently establish an account via a "sinner to saint" process offered to violators that meet certain criteria. The BOS shall verify that the account has been created, the license plate/vehicle has been added and transactions/trips have Posted. Provide the capability to notify the customer of any fees and assess those fees to the account in accordance with the Business Rules. If the transactions/trips cannot Post to the account or the license plate/vehicle cannot be added, in real time the BOS shall notify the customer of the issue and ask the customer to contact the CSC.
1248	The Contractor shall provide the capability that once a Violation transaction/trip is transferred to an account, all other eligible Violations automatically transfer to the account in Accordance with the Business Rules.
1249	The Contractor shall provide the capability during the Violation payment process to notify Interoperable/CTOC Agency customers of the process and time constraints for updating their account to allow for the Posting of the transactions/trips to their account through the Interoperable/CTOC Agency.
1250	The Contractor shall provide the capability to allow for a primary and secondary credit card and provide a processing sequence for when to process each or let the customer select via the website for a one-time payment.
1251	The Contractor shall provide the capability for Violation transaction/trip payments using only the license plate number, plate type, Jurisdiction and/or other information (Configurable and based on Business Rules) for authentication.
1252	The Contractor shall provide the capability to prevent customers from making payments in excess of a Configurable amount based on account type.
1253	The Contractor shall provide the capability to configure whether or not customers are allowed to make payments to their accounts for amounts in collections.
1254	The Contractor shall provide the capability to display a confirmation page that includes payment method details (Credit Card numbers obscured) and amount to be paid prior to customer being allowed to submit a payment.
1255	The Contractor shall provide a clear summary of charges to be processed and require customer confirmation prior to processing payment.

1.12.1.4.   *Vehicles, License Plates and Transponders*

1256	The Contractor shall provide the capability for customers to request and pay (sale) for new transponders.
1257	The Contractor shall provide the capability for the customer to request a replacement transponder indicating which transponder is being replaced and the BOS should automatically determine the age of the transponder to determine if there is a charge for the replacement according to the business rules.
1258	The Contractor shall provide the recommended number and types of transponders in accordance with the customer request and the Business Rules.
1259	The Contractor shall provide the capability to identify vehicles which require an external transponder and flag them for an external headlamp transponder.
1260	The Contractor shall provide the capability for customers to deactivate a transponder.
1261	The Contractor shall provide the capability to allow for the deactivation of a transponder and reactivation of a transponder.
1262	The Contractor shall provide the capability for customers to add, delete and update a beginning and end date/time for a specific vehicle and license plate at the account level. For example, a customer may wish to add a vehicle on the account for a limited amount of time.
1263	The Contractor shall provide the capability to identify temporary plates and include the expiration date for use in reminding the customer to provide the permanent plate. The temporary plate and permanent plate shall be properly linked with the vehicle and account to facilitate proper System processing and customer service.
1264	The Contractor shall provide the capability for customers to add a license plate number to an account with a back dated start date and time. The allowable back date period shall be configurable. Upon back dating provide the customer with the amount due allowing for a one-time payment for the amount due or payment from the prepaid balance.
1265	The Contractor shall provide the capability for customers to add, delete and manage vehicles.
1266	The Contractor shall provide drop down lists of vehicle makes and models.
1267	The Contractor shall provide the capability to inform the customer at the time of addition if a vehicle plate is active on another account and have them confirm that they want to continue with the addition.
1268	The Contractor shall provide the capability to identify motorcycle vehicle plates using the DMV plate configuration and flag them for an external headlamp transponder.
1269	The Contractor shall provide the capability to allow the customer to indicate a disabled plate or disabled veteran plate and upload the required supporting documentation and flagging the account for approval by a CSR.
1270	The Contractor shall provide the capability to identify qualified clean air vehicles through the DMV file or customer provided documentation through a document upload and flag for clean air vehicle validation.
1271	The Contractor shall provide the capability (Configurable) for customers to upload a file with vehicles and associated information, using an intuitive and user-friendly process that

	supports multiple data formats, for example delimiter-separated data or Excel. Functionality shall include but not be limited to:
	• a browse button to locate the file;
	• validation of the file prior to import (invalid files shall not be imported, and an error message shall be presented);
	• on-screen feedback of successful processing by indicating the number of vehicles imported and
	• send email Notification of successful import.
1272	The Contractor shall provide a downloadable sample vehicle file and data definition document with instructions for each supported format.
1273	The Contractor shall provide detailed instructions regarding the process to upload vehicle information.
1274	The Contractor shall provide the capability to automatically identify account(s) associated with a license plate being added to an account, including but not limited to:
	• violator account with unresolved Violations;
	• accounts in bad standing;
	• accounts closed in bad standing;
	• accounts with debt in collections;
	• accounts in bankruptcy and
	• accounts where the license plate is active on another account.
1275	The Contractor shall provide the capability to either (determined during design) automatically initiate a Case and direct the customer to call the CSC or get a warning and allow the customer to proceed when the license plate they are attempting to add to their account is active on another account, other than a rental car account.

1.12.1.5.   Notifications

1276	The Contractor shall provide the capability for customers to log in, view and print the Notifications associated with their account.
1277	The Contractor shall provide the capability for customers to view and print past account statements or invoices, or to generate an on-demand account statement or invoice (in both PDF or CSV formats), based on selection criteria for all account types.
1278	The Contractor shall provide the capability for violators to view and print Violation Notices including all associated Violation images.
1279	The Contractor shall provide the capability to access Violation Notices, citations and/or collection letters associated with Unregistered accounts and make payments. These documents can be accessed by the violator using the vehicle license plate number and Jurisdiction and the violator account number (or other information to be defined during the Implementation Phase).

1280	The Contractor shall provide the capability upon logging into the account, provide the customer with customized special messages regarding their account such as credit card expired, payment declined, temp plate expired, pay by plates occurring on a specific vehicle.
1281	The Contractor shall provide the capability to display Notifications (Configurable), including but not limited to:
	• allowable Flags related to the account;
	• transponder in certain status, for example, lost or stolen;
	• dispute status;
	• payments and
	• other information which the Authority wants presented to the customers and other website visitors.

1.12.1.6.   Website – Other Functionality

1282	The Contractor shall provide the capability to view transactions history and associated vehicle images for each Image-Based Transaction/Trip. The Contractor shall properly address PII compliance during design.
1283	The Contractor shall provide the capability to initiate disputes.
1284	The Contractor shall provide the capability for a customer to upload a file, including pdf, all Microsoft Excel and Word files, text files, all types of image files and csv files, and have it associated to the account and Case, if applicable. Such uploads shall be structured within a specific process where a category can be assigned and a Case opened for an Authorized User to verify, for example additional evidence for a dispute, or police report for a stolen vehicle.
1285	The Contractor shall provide the capability to limit the types of transactions, screens and activities customers can access via the Self-Service Website based on account type, including but not limited to:
	• account Flags;
	• account balance;
	• account status;
	• based on Security Standards and PII and
	• based on Business Rules.
1286	The Contractor shall provide the capability to automatically create a contact record in the account history for contacts made via the Self-Service Website.
1287	The Contractor shall provide the capability for customers to enroll in various Account Plans.
1288	The Contractor shall provide the capability for customers to enter promotion codes on their accounts.
1289	The Contractor shall provide the capability for customers to set "opt in" and "opt out" options for certain Notification types, including but not limited to:
	• statements;

	• account -related Notifications;	
	• texts;	
	• marketing/newsletters and	
	• customer surveys.	
1290	The Contractor shall provide the capability for customers to enter requests or customer feedback and add a feedback category via drop-down menu options.	
1291	The Contractor shall provide the capability to open a Case.	
1292	The Contractor shall provide the capability to create Cases for customer requests including but not limited to:	
	• requests for new accounts;	
	• toll charges to their account;	
	• general customer requests via "contact us";	
	• inventory requests;	
	• disputes and	
	• request for call back.	
1293	The Contractor shall provide the capability to view Case(s) associated with the account.	
1294	The Contractor shall provide secure chat capabilities where account holders can exchange messages with an Authorized User.	
1295	The Contractor shall provide page(s) for information on hours of operation and locations for WICs.	
1296	The Contractor shall provide page(s) for information on hours of operation and phone numbers for the CSC.	
1297	The Contractor shall provide page(s) for general information about tolls and toll collection.	

1.12.2. Self-Service Mobile Application (Phase II and Optional)

The Contractor shall provide a Self-Service Mobile Application.

1298	The Contractor shall provide a Self-Service Mobile Application specifically designed to operate with smartphones and tablets.
1299	The Contractor shall provide the capability to access the native functionality of the mobile device to provide enhanced account management and payment functionality. For example, access to the camera or to mobile payment options.
1300	The Self-Service Mobile Application shall provide the same functionality and informational pages as the Self-Service Website, including but not limited to:
	• all account update functions;
	• all account transaction, payment and other history;

	• all payment functionality;
	• all notification functionality;
	• all transponder management functionality;
	• informational pages and
	• other functionality determined during the Implementation Phase.
1301	The Contractor shall provide native mobile application capabilities on the Self-Service Mobile Application, including but not limited to:
	• push Notifications and
	• location-based Services.
1302	The Self-Service Mobile Application shall provide access to the top five (5) United States mobile payment applications, as Approved by the Authority's, that require access to device specific functions.
1303	The Contractor shall provide the capability for processing of all potential payments as well as account replenishment via the implemented mobile payment applications.
1304	The Contractor shall provide a Self-Service Mobile Application that supports the addition of sponsored ads Approved by the Authority.

1.13. Customer Contact Systems

1.13.1.   Telephony Systems Requirements

The Contractor is required to provide, operate and maintain the telephony system at all CSC and WIC locations (with the exception of the OCTA Store WIC).

1305	The Contractor shall provide a telephony system including an automated call distributor (ACD) that is fully integrated with the BOS for capable of simultaneously handling inbound/outbound customer calls, all CSC Operations calls and on-site BOS personnel internal calls. The telephony system shall be capable of meeting all current and future capacity Requirements.
1306	The telephony system shall meet all future capacity requirements.
1307	The Contractor shall provide a telephony system meeting the following, including but not limited to:
	• fully integrated with the functional BOS;
	• fully integrated into the Desktop Environment;
	• fully integrated into all CSC Operations facilities and
	• supports all related functional Requirements contained herein.
1308	The Contractor shall provide a telephony system which is designed to meet the Performance Measures and availability Requirements.

1309	The Contractor shall provide sufficient Session Initiation Protocol (SIP), or equivalent, to support 200 percent of the anticipated call volumes.
1310	The Contractor shall provide a real-time telephony dashboard that allows the Authority and CSC management to monitor the call handling performance.
1311	The Contractor shall provide full integration between the telephony system and the BOS, including but not limited to:
	• association of all customer inbound/outbound calls with the account;
	• association of detail regarding the customer contact with the account, for example, wrap codes and ad-hoc Authorized User entered information and
	• the availability, via the BOS application account screens, of all customer contact records.
1312	The Contractor shall provide the capability for the telephony system to be trained to identify key words/phrases and notify an Authorized Users in real-time or upon request.
1313	The Contractor shall provide an integrated CSR quality review functionality such that the reviewer can listen to the call, watch the recorded screen movements and score the call against the configured criteria.
1314	The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the call.
1315	The Contractor shall provide the capability for Authorized Users to add/delete/modify survey questions for an after-call survey.
1316	The Contractor shall provide the capability for the telephony system to provide a survey for the customers after the call.
1317	The Contractor shall provide the capability for Authorized Users to obtain the results of the after-call survey.
1318	The Contractor shall provide the capability to allow a supervisor to monitor or participate in real time the phone conversations between the CSR and the customer and view CSR screen navigations, including but not limited to:
	• just listen;
	• listen and talk only to CSR (coach) and
	• participate in a three-way call with the customer.
1319	The Contractor shall provide the capability for the Authority to remotely and non-intrusively monitor live calls.
1320	The Contractor shall provide the capability for the Authority to remotely review all recorded calls randomly of specifically categorized by, including but not limited to:
	• CSR;
	• call subject;
	• specific customer account;
	• call date/time;

	• escalation and
	• customer behavior.
1321	The Contractor shall provide the capability for English and Spanish language options.
1322	The Contractor shall provide automated call routing based on customer selections. For example, if the customer selects the Spanish language option and then wishes to pay a Violation Notice, the call is sent to a Spanish-speaking CSR with the ability to accept payments.
1323	The Contractor shall provide automated call distribution, including conditional routing to qualified Authorized Users.
1324	The Contractor shall provide for call routing based on conditions, including but not limited to:
	• time of day;
	• day of week;
	• Holiday schedule;
	• planned outage;
	• wait times (Configurable) and
	• call volumes (Configurable).
1325	The Contractor shall provide the capability for Authorized Users to configure the relevant parameters related to call handling, including but not limited to:
	• service levels;
	• skill levels;
	• language selection;
	• phone number and hours of operation for contact center;
	• locations of WICs;
	• remote/other call handling locations;
	• conditional escalations;
	• prioritization of queues;
	• call routing rules;
	• call recording rules;
	• call wait-time rules;
	• music on hold selections and
	• message on hold selections.
1326	The Contractor shall provide the capability to specify and manage service levels.
1327	The Contractor shall provide the capability to notify Authorized Users regarding service level performance.

1328	The Contractor shall provide the capability to automatically move contacts between service groups to meet service levels and key performance indicators.
1329	The Contractor shall provide the capability to prioritize contacts.
1330	The Contractor shall provide the capability to reprioritize contacts in queue.
1331	The Contractor shall provide the capability to restrict outbound calling to only specific users.
1332	The Contractor shall provide the capability to make outbound pre-recorded calls.
1333	The Contractor shall provide the capability to manage outbound call campaigns.
1334	The Contractor shall provide the capability to manually initiate automated outbound calls to accounts that meet specified criteria (for example, initial collections activities based on information provided by the Collections Agencies).
1335	The Contractor shall provide the capability for Authorized Users to be designated for both outbound and inbound calling.
1336	The Contractor shall provide the capability to record and activate new initial messages to be heard by all callers, for example maintenance messages that the IVR is down or that the CSC is closing early.
1337	The Contractor shall provide the capability for virtual queuing, which allows customers to hang up while still keeping their place in the queue and receive a call a back when it is their turn rather than waiting on hold.
1338	The Contractor shall provide the capability to notify callers of the estimated wait time either on hold or for a call back.
1339	The Contractor shall provide expected wait time messages during the time the customer is on hold.
1340	The Contractor shall provide recorded audio while customers are on hold.
1341	The Contractor shall provide the capability to record messages to be played to on-hold customers.
1342	The Contractor shall provide for the interspersing of music for pre-recorded on-hold messages.
1343	The Contractor shall provide computer telephony integration to the BOS to display the user account, including but not limited to: • screen pop based on inbound caller ID; • screen pop based on caller-entered information and • screen pop notifying CSR that customer has successfully authenticated.
1344	The Contractor shall provide the capability for all inbound and outbound calls to be recorded.
1345	The Contractor shall provide the capability to prevent recording, transmitting, or storage of Credit Card information within or through the BOS or OCTA network, for example, for the purpose of tokenization, transfer the warm call to the Merchant Service Provider for payment and once payment is completed transfer back to CSR.

1346	The Contractor shall provide workforce management tools, including but not limited to:
	• forecasting contact volume based upon historical trends;
	• managing key performance indicators;
	• dashboard monitoring of key performance indicators;
	• real-time reports for monitoring key performance indicators and
	• call recording on demand or automatically.
1347	The Contractor shall provide supervisory management tools, including but not limited to:
	• manage call recording profile by Authorized User;
	• chat electronically with Authorized Users;
	• silently monitor calls;
	• initiate a three-way call;
	• remove the Authorized User from the call;
	• access real-time agent performance statistics and
	• access real-time group performance statistics.
1348	The Contractor shall provide the capability for Authorized Users (for example Authority staff) to remotely access real-time and historical performance information, including but not limited to:
	• overall customer call queue information;
	• all wait time and call handling times;
	• specific call queue information, for example, information about only the Spanish queue or the dispute queue;
	• chat queue information;
	• key performance indicators and
	• active Authorized Users.

1.13.2.   IVR System

The IVR System allows allow customers to perform all actions that they might ask of a CSR with the exception of certain functions that are specific to the role of an Authorized User, for example adding certain Account Plans or changing the name on an account. The IVR must provide all required functions in both English and Spanish.

1349	The Contractor shall provide sufficient IVR processing capacity to support 200 percent of the anticipated call volumes and shall have the capability to provide additional capacity on-demand.
1350	The Contractor shall provide the capability to configure the IVR System, including but not limited to:

	• allowable number of failed authorization attempts;
	• allowable number of invalid responses and
	• allowable idle time.
1351	The Contractor shall provide the capability to view and configure the phone tree in graphical manner.
1352	The Contractor shall allow for custom IVR messages to be immediately recorded and inserted as needed and requested.
1353	The Contractor shall provide the capability for standard messages to be rotated in the IVR as needed or requested.
1354	The Contractor shall provide the capability for an Authorized User to have role-based access to the system to make all types of common IVR changes.
1355	The Contractor shall provide directed dialog natural language speech recognition for all IVR services, recognizing the customers voice for identity verification, option selections, navigation and customer-provided information such as account information, Violation number, plate number, etc., and for customer accessing of account and all other information provided by the IVR.
1356	Support bi-lingual (English and Spanish) interaction, and the Contractor shall provide the Interface that supports bi-lingual options for customer interaction.
1357	Support various modes of operation, including but not limited to:
	• CSC open hours when the IVR and CSR options are available to service the customer;
	• CSC off-hours when only the IVR is available to service the customer and
	• conditions where the BOS is not functional, CSC is not open for operations, but the IVR System is operational.
1358	The Contractor shall provide the capability to verify customer identity and authorization prior to transferring the customer to a CSR. The verification authorization process shall be automated to minimize any delays for the customer.
1359	The Contractor shall provide the capability to pop-up the customer account or Violation information on the BOS screen so the CSR has all the pertinent information available prior to the call being received by the CSR.
1360	The Contractor shall provide for the retention of account number, Violation Notice number or other entered information (excluding any Credit Card information) to be made available to the CSR who takes the call should the customer exit the IVR and wish to speak to a CSR.
1361	The Contractor shall provide the capability for the caller to execute multiple options within the same call, for example return to previous menu and repeat prompt options.
1362	The Contractor shall provide English and Spanish speaking customers the ability to respond to the IVR by pressing designated keypad buttons on their phone or saying a response.
1363	The Contractor shall provide a single IVR recording voice talent per supported language and have consistency in voice volume and intonation throughout the Operations and Maintenance Phases.

1364	The Contractor shall provide the capability to fully integrate with the Merchant Services Provider Credit Card information while maintaining compliance with tokenization and PCI DSS Requirements.
1365	The Contractor shall provide the capability for customers to manage their account.
1366	The Contractor shall provide the capability for customers to access the account using the PIN and one other piece of information, including but not limited to:
	• caller ID (ANI);
	• account number;
	• license plate number;
	• transponder number and
	• Violation Notice number.
1367	The Contractor shall provide the capability to limit the types of transactions and activities customers can access via the IVR based on account types, including but not limited to:
	• account Flags;
	• account balance;
	• account status;
	• Account Plan;
	• account type and
	• Business Rules.
1368	The Contractor shall provide the capability for customers to add, edit and remove Credit Cards associated with the account.
1369	The Contractor shall provide the capability for customers to make a one-time payment to the account.
1370	The Contractor shall provide the capability for customers to enroll in auto replenishment and configure replenishment information.
1371	The Contractor shall provide the capability for customers to make a payment using an existing payment method on the account without having to re-enter the payment method information.
1372	The Contractor shall provide the capability to accept Credit Card payments via tokenized method.
1373	The Contractor shall provide the capability to prevent customers from making payments in excess of an amount based on account type (Configurable).
1374	The IVR shall not store any of the Credit Card information that is input, including in recordings and logs.
1375	The Contractor shall provide detailed tracking of payments processed via the IVR.

1376	The Contractor shall provide an audio summary for the customer, including payment method details (last specific number of digits on the Credit Card) and amount, and request confirmation prior to allowing the customer to submit a payment.
1377	The Contractor shall provide the capability for customers to make a payment and have it applied toward the account balance or a specific item on the account.
1378	The Contractor shall provide the capability for violators to make a payment and have it applied toward a specific item on the account.
1379	The Contractor shall provide the capability for customers to obtain the last "x" number of toll transactions (Configurable).
1380	The Contractor shall provide the capability for customers to obtain the last "x" number of Financial Transactions (Configurable).
1381	The Contractor shall provide the capability for customers to obtain the balance on the account.
1382	The Contractor shall provide the capability for customers to request statements with the option to select the delivery method.
1383	The Contractor shall provide the capability for customers to add, edit and remove vehicles and license plates from the account.
1384	The Contractor shall provide the capability for customers to order transponders and mounting strips.
1385	The Contractor shall provide the capability for customers to report lost/stolen transponders.
1386	The Contractor shall provide the capability for customers to update the PIN.
1387	The Contractor shall provide the capability for customers to hear Notifications that have been sent.
1388	The Contractor shall provide the capability for customers to receive a confirmation by preferred channel when account updates or payments are made via the IVR.
1389	The Contractor shall provide the capability to automatically create a contact record in the account history for contacts made via the IVR.
1390	The Contractor shall provide IVR System reports that help determine how the IVR is functioning and its effectiveness, including but not limited to: • the number of calls routed to the IVR; • abandon rate; • account maintenance activities performed; • payments processed; • transaction history accessed; • customer support requests; • general information obtained and • the number of calls transferred to a CSR from the IVR.

1.13.3.   Email

1391	The Contractor shall provide the capability to service and manage inbound/outbound customer emails.
1392	The Contractor shall acquire new email domains Approved by the Authority for use by the new BOS;
1393	The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the email.
1394	The Contractor shall provide the capability to respond to customer inquiries with pre-completed (canned) responses that provide variable inputs.
1395	The Contractor shall provide the capability to estimate and/or program the response time to a customer's email.
1396	The Contractor shall provide the capability to send e-blast emails to all customers with an email address.
1397	The Contractor shall provide the capability for English and Spanish language options.
1398	The Contractor shall provide automated email distribution, including conditional routing to qualified Authorized Users.
1399	The Contractor shall provide the capability to prevent recording or accepting of Credit Card information in email communication.
1400	The Contractor shall provide full integration between the email system and the BOS in association with the account such that emails are able to be viewed from the customer account in BOS.
1401	The Contractor shall provide automated reporting of all email correspondence by subjects (wrap codes) and response times.

1.13.4.   Fax

1402	The Contractor shall provide the capability to service and manage inbound/outbound customer faxes.
1403	The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the fax.
1404	The Contractor shall provide full integration between the fax system and the BOS in association with the account such that faxes are able to be viewed from the customer account in BOS.
1405	The Contractor shall provide automated reporting of all fax correspondence by subjects (wrap codes) and response times.

1.13.5.   Chat

1406	The Contractor shall provide the capability to service and manage inbound customer chat sessions.
1407	The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the chat.
1408	The Contractor shall provide the capability to respond to customer inquiries with pre-completed (canned) responses that provide variable inputs.
1409	The Contractor shall provide the capability to estimate and/or program the response time to a customer's chat request.
1410	The Contractor shall provide the capability to configure the ability to respond to multiple chat sessions concurrently.
1411	The Contractor shall provide the capability to provide a survey for the customers after the chat.
1412	The Contractor shall provide the capability for English and Spanish language options.
1413	The Contractor shall provide the capability for the customer to have a full record of the entire chat session emailed to them.
1414	The Contractor shall provide the capability to record the full chat session.
1415	The Contractor shall provide automated chat request distribution, including conditional routing to qualified Authorized Users.
1416	The Contractor shall provide the capability to prevent recording or accepting of Credit Card information in chat sessions.
1417	The Contractor shall provide full integration between the chat system and the BOS in association with the account such that chats are able to be viewed from the customer account in BOS.

1.13.6.   Text

1418	The Contractor shall provide the capability to service and manage inbound customer text sessions.
1419	The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the text.
1420	The Contractor shall provide the capability to respond to customer inquiries with pre-completed (canned) responses that provide variable inputs.
1421	The Contractor shall provide the capability to estimate and/or program the response time to a customer's text request.
1422	The Contractor shall provide the capability to provide a survey for the customers after the text.
1423	The Contractor shall provide the capability for English and Spanish language options.
1424	The Contractor shall provide the capability to record the text responses.

1425	The Contractor shall provide automated text distribution, including conditional routing to qualified Authorized Users.
1426	The Contractor shall provide the capability to prevent recording or accepting of Credit Card information in text communication.
1427	The Contractor shall provide full integration between the text system and the BOS in association with the account such that text messages are able to be viewed from the customer account in BOS.

1.14. Financial Requirements

These financial Requirements describe the functionality that must be present in the BOS for the Authority to service customers and to record financial activity related to the BOS in its general ledger system.

The Authority use a modified accrual method of accounting and prepare financial statements in accordance with GAAP and GASB using a June 30 Fiscal Year end.

It is important that revenues associated with tolls are presented separately from other revenues (for example, fees and fines) and separated by Toll Facility. The Authority utilizes reports detailing historical collections to analyze and estimate future revenues from Violations. For this reason, it is important that the reporting enables the Authority to analyze the period in which Violations occurred versus the period in which those Violations were paid.

Prepaid tolls shall be deposited to a Bank Account held by the Authority until such time as an action on the account causes such funds to be depleted. Such actions include but are not limited to: customer incurring tolls on an OCTA Toll Facility; customer incurring tolls on an Interoperable Agency Toll Facility; account incurring a fee; returned check being processed on the user account; customer requesting a refund and customer requesting account closure.

The BOS is the conduit between the Authority and customers; Interoperable Agencies, and Third-Party Service Providers and Business Partners. The Contractor shall reconcile all transactional and financial interactions between the BOS and customers; Interoperable Agencies and Third-Party Service Providers, and Business Partners. The Contractor also shall also reconcile all transactional and financial interactions between the BOS and the Authority.

1.14.1. General Financial Requirements

Financial reports shall not change once the Revenue Day is closed. The Revenue Day is typically closed by a semi-automated process once a series of reconciliations is performed to ensure all transactions have been appropriately received and processed. While immaterial variances and discrepancies (for example, if a handful of transactions were not processed) may be corrected after the Revenue Day has been closed, material discrepancies (for example, an entire unprocessed payment or transaction file) must be corrected before the Revenue Day is closed. Once the Revenue Day is closed, any adjustments or corrections to transactions that occurred in that Revenue Day must be made in the current Revenue Day.

The Authority does not intend to use the BOS as its general ledger system, nor does the Authority intend to feed data from the BOS automatically to its general ledger. The Authority intends to use exports and reports from the BOS to record the financial entries into the Authority's financial system.

The BOS must utilize GAAP-compliant methods to record financial activity between the Toll Facilities and the BOS and between the BOS and customers; Interoperable Agencies and Third-Party Service Providers and Business Partners.

1428	The Contractor shall provide an integrated, Configurable, GAAP-compliant accounting Module for all transactions.
1429	The Contractor shall provide for double entry recording of all Financial Transactions.
1430	Separate financial data shall be maintained for each CTOC Agency, each Interoperable Agency, each Collection Agency and each Third-Party Business Partner and Service Provider.
1431	The Contractor shall create automatic journal entries for recording and tracking all transactions and payment events.
1432	The Contractor shall develop a journal entry template for every BOS transaction that impacts revenue, liability balances (for example, Registered or Unregistered accounts) or asset balances (for example, accounts receivable) to be Approved by the Authority.
1433	The Contractor shall provide an audit trail for each transaction, which shall reflect the source of each transaction, all adjustments to the transaction and the current status of the transaction and/or the final disposition of the transaction.
1434	Every payment that resulted in a receivable being marked paid shall be traceable to the receivable(s) it paid.
1435	Every paid receivable shall be traceable to one or more payments that were allocated to its payment.

1.14.2.   Transaction Recording

Toll transactions are initiated by an originating Toll Facility through transmission of a transaction/trip from the ETTM System, through a CTOC Interface or through an Interoperable Agency Interface to the BOS and Posted to user accounts or otherwise processed. The Authority is currently Interoperable with all California toll agencies through their participation in CTOC. The Authority intends to become Interoperable with other Interoperable Agencies outside of CTOC during the term of this Agreement. These transactions also are Posted against the Financial Accounts. These include transactions such as a toll or a fee and the transaction activities that affect them, such as billing a transaction or sending it to collections. All transactions and transaction activities are recorded against Financial Accounts.

1436	Record all BOS activities, including but not limited to:
	• when a new transaction/trip is received from the ETTM System;
	• when an amendment is made to a transaction/trip by the BOS;
	• when an amendment is made to a transaction/trip by a Collection Agency;
	• when a new or amended transaction is received from a CTOC Agency;
	• when a new or amended transaction is received from an Interoperable Agency;
	• when a fee, penalty or any transaction is assessed by the BOS;

	• when a fee, penalty or any transaction is collected;
	• when a fee, penalty or any transaction is waived, voided or otherwise reversed;
	• when a fee, penalty or any transaction is adjusted and
	• when there is a change in the status or workflow stage of a fee or penalty or another transaction.
1437	All entries to the BOS shall consider payable and receivable balances between, including but not limited to:
	• the customer and the BOS;
	• the BOS and the Authority;
	• the BOS and Collection Agency;
	• the BOS and CTOC Agencies;
	• the BOS and Interoperable Agencies and
	• the BOS and Third-Party Service Providers and Business Partners.
1438	The BOS shall provide the capability of recording a payable to or receivable from the Authority, a Collection Agency, a CTOC Agency, an Interoperable Agency, a Third-Party Service Provider or Business Partner simultaneously with the recording of a customer payment against a transaction.
1439	Create all financial entries as individual records, which may be used in combination with other financial entries to make a net effect, but do not allow the original entry to be modified.
1440	Ensure each debit entry to a Financial Account has a corresponding and equal credit amount and each credit entry to a Financial Account has a corresponding and equal debit amount so the Financial Accounts balance at all times.
1441	The Contractor shall provide reports in summary and in detail on the Financial Accounts. BOS reports shall be provided that reconcile to the Financial Accounts.

1.14.2.1. Fee and Penalty Transaction Recording

Fees and penalties are charged to customers at a variety of different escalations in status or workflow stage, including but not limited to:

- when a Notice of Toll Evasion Violation is generated;
- when a Notice of Delinquent Toll Evasion Violation is generated;
- when transactions/trips are accepted for Registration Hold;
- when transactions/trips are sent to collections and
- when a FasTrak account is sent to collections.

Fees may also be charged when certain transactions/trips are Posted to an account, including but not limited to returned checks, non-sufficient funds (credit cards) chargebacks, failed FasTrak account replenishment, Excessive I-Tolls and for accounts below the Insufficient Balance Threshold.

Fees and penalties can be incurred at the trip level or at the account level.

1.14.3.   Customer Transaction Settlement

Customer transaction settlement is the payment of tolls, fees and penalties by the customer. Customer transaction settlement also includes any payment reversals, chargebacks and refunds.

Funds collected from customers and Interoperable facilities are deposited into Bank Account(s) established by the Authority. Payments are issued from these accounts(s) including:

1.C   ustomer Refunds issued by check to customers.

2.P   ayments are made to Interoperable facilities.

3.F   unds are deposited and held in a BOS Bank Account until refunded to customers, paid to Interoperable Agencies or distributed to the Authority.
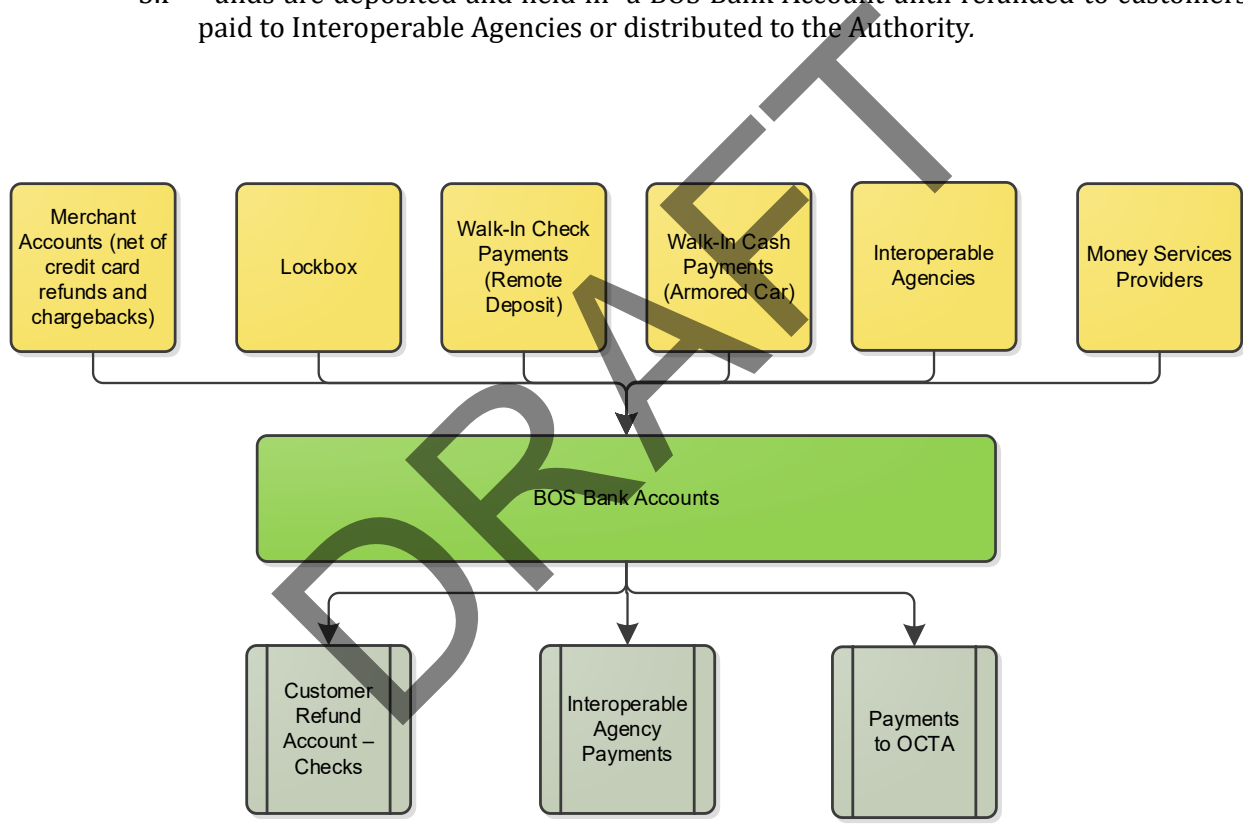
Figure 1-1 Customer Transaction Settlement

1.14.3.1.   Customer Payments

Payments and other receipts shall be processed by the BOS in accordance with the following Requirements:

1442	Payments are collected from the following payment sources. The number and names of payment sources shall be Configurable and include but are not limited to:

	•	merchant accounts;
	•	DMV;
	•	collections;
	•	Lockbox (optional);
	•	check payments;
	•	cash payments (processed at WICs);
	•	Interoperable Agencies and
	•	Franchise Tax Board.
1443	The Contractor shall provide the capability to establish deposit accounts within the BOS and map those deposit accounts to BOS Modules, including but not limited to Financial Account, deposit reports and bank reconciliation. For example, deposits to the Lockbox Bank Account (if the Contractor elects to use one) are recorded in the Financial Account associated with the Lockbox Bank Account.	
1444	The Contractor shall provide the capability to map deposits by payment source to default Bank Accounts. For example, deposits received from the Merchant Service Provider are mapped in the BOS as received from the Merchant Service Provider and being deposited to the Bank Account to which the Merchant Service Provider makes its deposits.	
1445	The Contractor shall provide the capability to capture the bank deposit date and associate it with the payment transaction.	
1446	Funds shall be disbursed from the following payment sources. The number of names of payment sources shall be Configurable and include but are not limited to:	
	•	customer Refund Account;
	•	Interoperable Agency and
	•	Authority remittance account.
1447	The Contractor shall provide the capability to establish disbursement accounts within the BOS and map those disbursement accounts to BOS Modules, including but not limited to Financial Account, disbursement reports and bank reconciliation.	
1448	The Contractor shall provide the capability to map disbursements by disbursement type to default disbursement accounts.	
1449	Payments shall be applied to account balances on a Configurable basis (default order is automatically assigned by the BOS).	
1450	The default Posting order can be manually overridden by Authorized Users.	

1.14.3.2.   *Disbursements*

Disbursements will be made to customers for overpayments and refunds and also made to the Authority, CTOC Agencies, Interoperable Agencies, and Third-Party Service Providers and Business Partners.

1451	The BOS shall support the processing of disbursements, including but not limited to:

	• customer refunds;
	• settlement with the Authority;
	• settlement with CTOC Agencies;
	• settlement with Interoperable Agencies, and
	• settlement with Third-Party Service Providers and Business Partners.
1452	The Contractor shall provide the Configurable capability to automatically identify accounts that are eligible for refund processing and present those refunds for review and approval based on various activities on the account (require review before a refund would be processed), including but not limited to:
	• closing of an account;
	• unapplied payments (for example, a payment that has been received and deposited but cannot be Posted to an account and needs to be refunded);
	• overpayment on an account and there are no outstanding Violations or unbilled tolls that need to be paid and
	• overpayment of a Violation and there are no other outstanding Violations or toll transactions/trips that need to be paid.
1453	The Contractor shall provide the capability for an optimized and streamlined (minimized number of steps) process for refunds based on the original transaction and confirm such refunds are reflected on the user account history. For example, upon receipt of a customer request to close an account and after the appropriate waiting period has elapsed, an Authorized User shall have the capability to Approve a refund without the need to research and indicate refund method and, in the case of Credit Card refunds, select or input the card number; the BOS shall have the capability to automatically allocate Approved refunds to the correct refund type and card number.
1454	The Contractor shall provide the capability to issue refunds to the payment method that was used to create the credit balance.
1455	The Contractor shall provide the capability to issue electronic refunds (for example, by Credit Card) to the Credit Card used to make the payment, including but not limited to those Credit Card that are not stored on the user account. For example, the BOS can utilize a payment reference number to trace back to a payment method without the need for the BOS to retain the card information.
1456	The Contractor shall provide the capability to issue refunds by check if the account does not provide for an electronic method or if the electronic method is invalid (for example, if the Credit Card is expired).
1457	If required in order to comply with the merchant agreement or any other agreements or regulations, the Contractor shall provide the capability to issue a single refund using more than one payment method. For example, a single refund amount may be issued to multiple Credit Cards and/or by check.
1458	The Contractor shall provide the capability to issue refunds by check for overpayments on, including but not limited to:
	• prepaid tolls;

	• Violations;
	• fees and
	• penalties.
1459	The Contractor shall provide the capability to prevent refunds of greater than the amount of the original transaction amount or the prepaid balance, adjusted for overpayments and any prior refunds.
1460	The Contractor shall provide the capability for automated processing of Approved refunds after a Configurable hold period.
1461	The Contractor shall provide the capability to send an Operational Alert Notification to the PMMS when eligible refunds are due.
1462	The Contractor shall provide the capability to expedite a refund if the customer requests to have a refund issued before the Configurable hold period has elapsed, for example when a customer is due a refund because a check was cashed for the wrong amount due to CSR error.
1463	The Contractor shall provide the capability to require authorized approvals for refunds. For example, refunds in excess of a Configurable amount or refunds for goodwill credits for which there is no associated payment are routed for approval through Cases.
1464	The Contractor shall provide the capability to track and associate all refunds to the original payment on the account.
1465	The Contractor shall provide the capability to display detailed Credit Card settlement activity for refunds by payment method.
1466	The Contractor shall provide the capability to prevent the automatic issuance of refunds if the account has an outstanding balance due; such refunds require the approval of an Authorized User through Cases.
1467	The Contractor shall provide the capability to send a refund Notification electronically and/or by mail to all customers who are issued a refund.

1.14.3.3.   Escheatment (unclaimed property)

The BOS shall allow for comments to be entered in accounts that are eligible for Escheatment and a Flag shall be available to indicate when an account was subjected to Escheatment procedures.

1468	The Contractor shall provide the capability to enter comments and update statuses and Flags to indicate that an account was subjected to Escheatment procedures.
1469	The Contractor shall provide the capability to identify any unclaimed funds as candidates for the Escheatment process.
1470	The Contractor shall provide the capability to identify any unclaimed funds as subjected to the Escheatment process.

1.14.3.4.   *Write-Off of Unpaid Balances*

The BOS shall have the capability of processing Write-Offs at the Authority's discretion. The BOS must accommodate both automatic and manual Write-Off of unpaid balances and Toll Transactions. These write-offs will include bulk Write-Offs of a group of transactions which meet Configurable criteria and individual transactions/debts. This process shall be conducted in an efficient and streamlined manner. The BOS shall provide reporting detailing balances subject to Write-Off and the details of the transactions/debts written-off.

1471	The Contractor shall provide the functionality to accept payment on transactions/trips that have been written-off, for example reverse the Write-Off in the amount of the payment and apply the payment.
1472	The Contractor shall provide for Write-Off codes which shall provide the selection of a Write-Off reason for each transaction.
1473	The Contractor shall provide for the Write-Off of individual transactions by Authorized Users.
1474	The Contractor shall provide for the bulk Write-Off of transactions by Authorized Users.
1475	The Contractor shall provide the capability for the BOS to automatically Write-Off transactions/debts based on Business Rules, for example, write-off balances after X Configurable days if no action.
1476	The Contractor shall provide for the cessation of status or workflow stage and collection effort following Write-Off.
1477	The Contractor shall provide the capability to require a reason for each Write-Off, for example, debt reduction negotiation or debt older than "x".
1478	The Contractor shall provide the capability for the BOS or the applicable Authorized User to select the appropriate Write-Off reason.
1479	The Contractor shall provide the capability to search for types of debt and Write-Off the selected group of debts. Types of debts include but at not limited to:
	• fees;
	• penalties and
	• tolls.

1.14.4.   Reconciliation and Settlement – General Requirements

Balancing and reconciliations are integral to the BOS operation. Therefore, these processes shall be integrated within the BOS.

The Contractor shall provide a BOS capable of handling reconciliations within the BOS, as opposed to on spreadsheets or through other mechanisms outside the BOS. For example, the BOS shall be capable of accepting data from the bank(s) and Merchant Service Provider(s) to reconcile Credit Card deposits within the BOS. Exceptions shall be tracked as Cases within the BOS and reconciliation reports are generated by the BOS. The BOS shall not require that data be exported from the BOS, from the bank(s) and from the Merchant Service Provider(s) to be combined, compared and reconciled in a spreadsheet.

1480	The BOS shall track and reconcile 100 percent of the transactions it receives from the ETTM System.
1481	All BOS transaction reconciliation shall be based on Revenue Day which, for transactions/trips, is the Revenue Date transmitted in the transactions/trips; for operations and payments activities, it is the day the event occurred.
1482	The Contractor shall provide the capability to close a Revenue Day upon the final reconciliation of the transactions and revenue. The completion of the Revenue Day closure process finalizes the counts and revenue for the Revenue Day. Upon the closure of the Revenue Day the data on Revenue Day reports shall not change.
1483	The Contractor shall provide the capability to close a Revenue Month similar to the Revenue Day closure process.
1484	The last Revenue Day of a Revenue Month shall remain open for adjustments until both the Revenue Day and the Revenue Month have been closed.
1485	The Contractor shall provide the capability to close a Revenue Year similar to the Revenue Month closure process.
1486	The last Revenue Day of a Revenue Year shall remain open for adjustments until the Revenue Day, Revenue Month and Revenue Year have been closed.
1487	The Contractor shall provide the capability to investigate and correct all exceptions and discrepancies identified during the process. For example, if the total of the bank deposits does not equal the total of bank deposits per the BOS, then detailed reports relating to the deposits in question must be available. Corrections shall be made and Approved by Authorized Users.
1488	All reports shall indicate the status of the reconciliation. For example, when a user runs a report containing data for a Revenue Day which has not yet been closed, the report shall contain some indication the data in the report is preliminary or subject to change.
1489	The Contractor shall provide the capability to record fees in the BOS, for example merchant fees and bank fees.

1.14.4.1. Banking Reconciliation and Settlement

1490	The Contractor shall provide the capability to reconcile all financial activity, including but not limited to:
	• deposits;
	• credits;
	• disbursements;
	• returned items and
	• chargebacks.
1491	The Contractor shall provide for the daily Balancing of activity at the transaction level by Payment Type.
1492	The Contractor shall provide for the identification of exceptions by transaction.

1493	The Contractor shall provide the capability to allow Authorized Users to make adjustments to exceptions and reprocess the automated reconciliation.
1494	The Contractor shall provide the capability to open a Case for reconciliation exceptions.

1.14.4.2. Bank Deposit Reconciliation and Settlement

The BOS deposits funds collected by mail and in the WICs. These funds are deposited by the BOS directly into BOS Bank Accounts in accordance with the flow of funds depicted in Figure 1-3 Customer Transaction Settlement. These deposits must be balanced and reconciled on a daily basis and monthly basis.

1495	The Contractor shall provide an automated Interface to reconcile bank deposits.

1.14.4.3. Reconciliation and Settlement with Merchant Service Provider

The BOS initiates Credit Card transactions with one or more Merchant Service Providers. Funds collected through the merchant accounts by the Merchant Service Provider are deposited directly into BOS Bank Accounts in accordance with the flow of funds depicted in Figure 1-3 Customer Transaction Settlement.

1496	The Contractor shall provide an automated Interface to reconcile transactions initiated with the Merchant Service Provider(s).

1.14.4.4. Reconciliation and Settlement with Lockbox (optional)

The BOS utilizes a Lockbox Service Provider to process customer check payments. Payments sent to the Lockbox will be processed by the Lockbox Service Provider and deposited directly into BOS Bank Accounts in accordance with the flow of funds depicted in Figure 1-3 Customer Transaction Settlement.

1497	The Contractor shall provide an automated Interface to reconcile Lockbox Service Provider deposits.

1.14.4.5. Reconciliation and Settlement with the Authority

The daily reconciliations between the ETTM System and the BOS shall address transactions and payments.

The transactional reconciliations shall be handled by the BOS. The ETTM System will transmit a transaction/trip to the BOS, which the BOS shall acknowledge and thereafter begin the Posting/billing process.

The reconciliations related to payments shall address payments being made by the BOS to the Authority. These payments are a result of payments being collected from customers, processed and remitted to the Authority in settlement of balances due.

1498	The Contractor shall provide the capability to track payables and receivables between the BOS and the Authority based on customer payments, payment reversals and Posting of payments to transactions/trips.

1499	The Contractor shall provide the capability to track payables to and receivables from the Authority based on BOS remittances to these entities. For example, when a settlement payment is made to the Authority, the Authority's payable Financial Account is debited and the Financial Account corresponding to the Bank Account from which the payment is made is credited.
1500	The Contractor shall provide electronic Notification of daily reconciliation and monthly settlement to the Authority. For example, Authorized Users at the Authority receive an Alert (which could be an email including the completed reconciliation as an attachment or link) when the daily reconciliation is completed and Revenue Day closed.
1501	The Contractor shall provide for reconciliation of daily activity and transactions with the Toll Facilities.

1.14.4.6.   Reconciliation and Settlement with CTOC Agencies and Interoperable Agencies

The BOS shall remit funds collected from customers to the CTOC Agencies and Interoperable Agencies in accordance with the following Requirements:

1502	The Contractor shall provide the capability to track payables and receivables between the BOS and the CTOC Agencies and Interoperable Agencies based on customer payments, payment reversals and Posting of payments to transactions/trips.
1503	The Contractor shall provide the capability for the credit memo process to handle disputes and credits initiated by customers of CTOC Agencies.
1504	The Contractor shall provide the capability to track payables to and receivables from the CTOC Agencies and Interoperable Agencies based on BOS remittances to the CTOC Agencies and Interoperable Agencies. For example, when a settlement payment is made to an Interoperable Agency, the Interoperable Agency payable Financial Account is debited and the Financial Account corresponding to the Bank Account from which the payment is made is credited.
1505	The Contractor shall provide electronic Notification of daily reconciliation and settlement of CTOC Agencies and Interoperable Agencies to the Authority. For example, Authorized Users at the Authority receive an Alert (which could be an email including the completed reconciliation as an attachment or link) when the daily reconciliation is completed and Revenue Day closed.
1506	The Contractor shall provide for reconciliation of daily activity and transactions/trips with the CTOC Agencies and Interoperable Agencies in accordance with the applicable Interoperability agreement(s).
1507	The Contractor shall provide capability to generate periodic invoice for CTOC and Interoperable Agency toll charges. The invoice shall be based on reconciled files for each month even if the reconciliation files were received in the following month. Any manual adjustments during the invoice period shall be included in the invoice with the necessary Credit/Debit Memo as identified in the CTOC User Fee Agreement. Payments from Interoperable/CTOC Agencies shall be Posted against the invoice.
1508	The Contractor shall provide capability to enter invoices from CTOC Agencies and Interoperable Agencies to match that with the files in the BOS including any Credit/Debits

| | that were authorized by the Interoperable/CTOC Agency. Payments to the CTOC Agency or Interoperable Agency shall be made after the reconciliation of the invoice with the BOS. |

1.14.4.7. Reconciliation and Settlement with Third-Party Service Providers and Business Partners

| 1509 | The Contractor shall provide for reconciliation of daily activity and transactions with Third-Party Service Providers and Business Partners. |

1.15. Searches

Customers routinely contact the CSC by phone, through the IVR and through the Self-Service Website without knowing their account number, PIN or vehicle license plate numbers. The BOS is expected to provide quick, yet secure access to an account when a customer can positively identify him/herself as the account holder.

1.15.1.   Search General

1510	The Contractor shall provide comprehensive on-screen, drill-down capabilities from summary levels down through the most detailed transaction level, including images if available.
1511	The Contractor shall provide the capability to initiate a search from any screen in the BOS and return to the original location after completing the search.
1512	The Contractor shall provide the capability to select a record in the results grid and view the details and then return to the previous results grid to view additional items without having to re-enter the search criteria or re-run the search.
1513	The Contractor shall provide the capability to select record(s) to use in actions, for example obtaining detailed record information from the search results grid.
1514	The Contractor shall provide the capability to manipulate the field in grid results for all searches, including but not limited to:
	• drag and drop fields and columns to shift the order they appear;
	• sort by any fields shown on the grid;
	• sort alphanumerically by any fields shown on the grid;
	• sort by multiple fields (for example, sort by last name and then first name and then address so that all results with the last name "Smith" shall be sorted by first name and all the results with the name "John Smith" shall be sorted by address);
	• add a field to the grid and
	• remove a field from the grid.
1515	The Contractor shall provide advanced search capabilities where fields can be picked from a drop-down list and added to the effective criteria to be applied toward the search or report. Drop-down lists shall dynamically narrow down the available selection list as the Authorized User is typing.

1516	The Contractor shall provide the capability to use single and multiple character "wildcards" along with other commonly used search methods in all applicable fields of the search screens. A wildcard is a character used as part of the search criteria to represent one or more unspecified characters. The BOS shall not require the use of wildcards in lieu of leaving the field blank.
1517	Searches shall have an optimized data fetching algorithm so BOS performance is not impacted by large result sets.
1518	The Contractor shall provide the capability to specify a date range for any date in the search.
1519	The Contractor shall provide the capability to specify a number range for any number in the search, for example, account numbers 1055 – 2000.
1520	The Contractor shall provide the capability to search by any field, combination of fields and field ranges.
1521	The Contractor shall provide comprehensive multi-field search criteria on all reports and screen searches. Search criteria shall include all fields and related attributes found in the search results grid.
1522	The Contractor shall provide the capability to search, by full or partial value using wildcards and view all stored information regarding transactions, images, statements, Violation Notices, account activity and Notifications for user selected criteria, including but not limited to the following fields. Some search criteria may be available only in conjunction with other search criteria (for example, paid transactions enabled only if an account number is specified):
	• transaction ID;
	• transaction type;
	• location of transaction (Toll Facility, plaza, zone/lane);
	• transaction number;
	• transaction Date;
	• transaction Date range;
	• transaction Posting Date;
	• transponder type;
	• transponder number;
	• license plate number;
	• license plate type;
	• license plate Jurisdiction;
	• account number;
	• customer name (last, first, middle, suffix);
	• customer address (street, city, state, ZIP) and type of address;
	• Authorized User ID;

	• statement, Violation Notice or invoice number;
	• account Flags;
	• address type;
	• bad address;
	• Violation number;
	• transaction disposition status (for example, paid);
	• payment type;
	• payment receipt number;
	• payment method;
	• check, money order or cashier's check number;
	• Payment Token and Credit Card expiration date;
	• transaction amount and
	• comments.

1.15.2.   Transaction/Trip Search

1523	The Contractor shall provide the capability to search for and deliver all transactions/trips which meet the search criteria regardless of in the status of the transaction/trip or the status of the account to which the transaction/trip is assigned.
1524	The Contractor shall provide the capability to search for transactions/trips which meet the search criteria with the result delivering multiple transactions, if applicable.
	• transaction/trip ID;
	• transaction/trip type;
	• location of transaction/trip (Toll Facility, Toll Zone/lane);
	• transaction/trip number;
	• transaction/trip Date;
	• transaction/trip Date range;
	• transaction/trip Posting Date;
	• transaction/trip reason code;
	• transponder type;
	• transponder number;
	• license plate number;
	• license plate type;
	• license plate Jurisdiction;

	• account number;
	• Authorized User ID;
	• statement, Violation Notice or invoice number;
	• Violation number;
	• transaction disposition status (for example, paid, unknown at DMV or written-off);
	• Payment Type;
	• payment receipt number;
	• payment method and
	• transaction/trip amount.

1.15.3.   Account Search

1525	The Contractor shall provide the capability to search for accounts which meet the search criteria with the result delivering multiple accounts.
1526	The Contractor shall provide the capability to search by key fields and identify potential duplicate accounts.
1527	The Contractor shall provide the capability for Authorized Users to search and view all information related to a specific account. This shall include the complete detailed account history since account inception and capability of filtering and sorting by type of information, including but not limited to:
	• toll transaction/trip;
	• Financial Transaction;
	• Notifications (includes letters and Violation Notices);
	• Registration Holds placed and released;
	• Collections Placements;
	• Evidence Packages;
	• Cases opened and closed;
	• all payment related events, including replenishment failures;
	• account statuses changes;
	• complete address history;
	• complete email address history;
	• complete vehicle history (what plates were active on the account and when);
	• complete change tracking (what data was changed, when and by whom);
	• last account access by the customer and via channel;
	• date and time of last toll transaction;

	• date and time of last Financial Transaction;
	• transponder activities and statuses and
	• account maintenance activities.
1528	The Contractor shall provide the capability to display the account running balance in Posting Date chronological order.

1.15.4. Case Search

1529	The Contractor shall provide the capability to search and view all stored information regarding Cases, including but not limited to:
	• summary information;
	• Toll Facility, if applicable;
	• Case number (uniquely identifies the Case record);
	• priority (out of a predefined range);
	• source of Case;
	• status;
	• number of days since creation;
	• number of days since last Authorized User access/action;
	• due date and time;
	• total time spent working on the Case;
	• total time spent by a specific Authorized User or specific department;
	• related accounts and/or records;
	• description/free-form notes on the account;
	• date of action;
	• time of action;
	• Authorized User who took action;
	• time required for action and
	• action description (free-form data or notes section).
1530	The Contractor shall provide the capability to search and view Case management, including but not limited to:
	• total number of open Cases;
	• total number of open Cases, per department;
	• total number of open Cases, per Authorized User;
	• total number of open Cases by type;

	• total number of overdue Cases;
	• total number of processed Cases;
	• total number of Cases processed per unit of time;
	• total number of Cases processed per department;
	• total number of Cases processed per Authorized User;
	• response time statistics – overall;
	• response time statistics, per department and
	• response time statistics, per Authorized User.

1.15.5. Comment Search

1531	The Contractor shall provide the capability to identify and retrieve comment records into a search results grid, including but not limited to:
	• individually by category;
	• summarized by category;
	• individually by time period and
	• summarized by time period.

1.15.6. Transponder Search

1532	The Contractor shall provide the capability when searching by transponder number to display all accounts the transponder has ever been associated with including account number, account type, the date and time the transponder was added to and removed from the account and the current status of the transponder on each account. For example, this search might yield two accounts with the transponder identified as being Active on one account and lost on the other.
1533	The Contractor shall provide the capability when searching by transponder number to display all Notifications issued related to that particular transponder. For example, this search might yield an "Excessive I-Toll" Notification and a "transponder recall Notification" for a particular transponder.
1534	The Contractor shall provide the capability when searching by transponder number to display all statuses the transponder has been in along with the date and time the transponder entered that status.
1535	The Contractor shall provide the capability when searching by transponder number to display all inventory locations which the transponder has been in along with the date and time the transponder was placed in each location.

1.15.7. License Plate Search

| 1536 | The Contractor shall provide the capability when searching by license plate and Jurisdiction to display all accounts the license plate has ever been associated with and all Notifications |

	issued related to that license plate. For example, this search might yield two accounts and five Violation Notices for a particular license plate.
1537	The Contractor shall provide the capability when searching by license plate and Jurisdiction combination to display all transactions that license plate and Jurisdiction combination has ever been associated with regardless of the transaction status. For example, this search might yield two transactions in Paid status, one in collections, three Posted to an account as I-Tolls and one awaiting inclusion on a Violation Notice for a particular license plate and Jurisdiction combination.

1.15.8.   Notification Search

1538	The Contractor shall provide the capability to search by and view all stored information regarding Notifications, including but not limited to:
	• first name;
	• last name;
	• mailing address;
	• Notification Type, for example, statement, Credit Card expiration, Violation Notice or account establishment Notification;
	• distribution channel;
	• creation date;
	• quality review date;
	• print date;
	• mail date;
	• date that action on the Notification is due;
	• date(s) of any change in Notification piece status;
	• name of the Authorized User(s) who performed the quality review and Approved the Notification for mailing;
	• return mail (if applicable);
	• account number;
	• transponder number;
	• license plate number and Jurisdiction;
	• dollar range associated with the Notification and
	• dollar amount associated with the Notification.
1539	The Contractor shall provide the capability for Authorized Users to scan the barcode, scan line or Quick Response Code on BOS-issued returned Notifications and automatically be taken to the appropriate processing screen, including but not limited to:
	• the account that the Notification belongs to;

	• the appropriate Violation Notice processing screen and
	• the Case the Notification belongs to.
1540	The Contractor shall provide the capability for Authorized Users to scan and process BOS-issued returned Notifications in bulk where possible (for example, provide the capability to scan multiple pieces of return mail where no forwarding address was provided into the BOS for processing without the need to access each account one-by-one).
1541	The Contractor shall provide the capability to allow Authorized Users to select and print Notification pieces directly from the Notification search screen.
1542	The Contractor shall provide the capability to allow Authorized Users to select and print Notification pieces directly from the account.
1543	The Contractor shall provide the capability to allow Authorized Users to email a PDF version of the Notification piece directly from the account.
1544	The Contractor shall provide the capability to allow Authorized Users to download a PDF version of the Notification piece directly from the Notification search screen.
1545	The Contractor shall provide the capability to allow Authorized Users to download a PDF version of the Notification piece directly from the account.

1.16. Reporting Requirements

Because reporting is integral to the BOS, reporting functionality must be streamlined, quick, intuitive and user-friendly.

The BOS is expected to deliver accurate reports in a usable format. The format of reports is different across various user groups that use the reports for different purposes. For example, the finance departments may desire some reports in an Excel format so the data can be manipulated and analyzed. Other reports may be more desirable in a PDF format to better guarantee the integrity of the report data for audit purposes. The BOS is expected to deliver all reports in a variety of selectable formats.

It also is expected that reports are flexible enough to allow users to make changes to reports "on the fly". For example, a report may include all the data elements required by a user for analyzing past due receivables with the exception of a single data field. The Authorized User must have the ability to add that data field to the report without the need for custom report generation or programming by the Contractor.

Some reports are best displayed as of a point in time (for example, receivable balances) while other reports are best displayed for activity over a range of time (for example, cash collected for a specific period of time). Users often have a need to generate reports that include historical balances as of the end of a particular Revenue Day. It is expected that the BOS track, calculate and maintain such Revenue Day-end balances such that retrieval of historical information is easily accomplished. Users also often have the need to generate reports that include information regarding historical transaction activity over a range of time both in summary and in detail. It is expected that the BOS provide the functionality to quickly and accurately deliver such reports to the user in a usable format.

Standardized reporting shall be achieved via canned and ad-hoc reporting interfaces using both the production database for real-time reporting and reports server/database for more complex, non-real-time and/or data intensive reports.

Reporting is a critical element of any business organization and is required by the Authority to:

- provide for transaction and revenue reconciliation and investigate discrepancies;
- monitor BOS and operational performance;
- monitor human performance and business process efficiency;
- ensure compliance to Performance Measures;
- reconcile toll transactions/trips to individual Toll Facilities;
- reconcile third-party financial and transactional interactions;
- assess the impact of policies and Business Rules;
- identify ways to improve the quality of service provided to customers;
- comply with reciprocity reporting Requirements and
- evaluate the success of the toll collections.

Reports are broken into four broad categories:

- Informational Reports – provide information about transactions moving through the revenue cycle.
- Financial Management Reports – provide information which enables the Authority to record in its general ledger system the financial activity related to the CSC. These reports also enable the Authority to perform analyses on transactions submitted to the BOS for processing, including but not limited to analyzing billing, collection trends and Account Plan utilization.
- Operations Reports – provide the data necessary for the Contractor and the Authority evaluate the Contractor's performance against the Performance Measures and provide the reporting necessary to prepare and support the Contractor's monthly bill to the Authority. These operational reports also provide the Authority with the data necessary to monitor operational activities and the operations staff.
- Interface Reconciliation Reports – provide the reports necessary to reconcile all Interfaces and also to demonstrate successful completion of the reconciliations by the Contractor.

1.16.1. General Reporting Requirements

1546	The Contractor shall provide a BOS data fetching algorithm that is optimized for performance including bringing data into BOS screens and reports.
1547	The Contractor shall provide BOS reports optimized for performance. Data shall be organized and summarized in a manner to allow for report generation within no more than five seconds of a report generation request for daily summary reports and no more than twenty seconds of a report generation request for monthly summary and annual summary reports. Reports batched or pre-generated shall be presented to the user within two seconds.

1548	After the deployment and Implementation of the BOS, if there is a need to create additional reports and modify implemented reports, the Contractor shall support such additions and/or modifications.
1549	The Contractor shall provide ad-hoc reporting tool capabilities to Authorized Users to allow the creation and execution of custom reports from the reports server/database, including but not limited to:
	• drag-and-drop field functionality;
	• drill down functionality;
	• filtering;
	• parameter prompting;
	• formula support;
	• grouping;
	• sorting and
	• stored procedure and function support.
1550	The ad-hoc reporting tool shall be COTS Software and be the latest version at the time of Acceptance Testing and field-proven to operate in a transaction intensive environment.
1551	The Contractor shall provide reporting output in various formats (both compressed and uncompressed), including but not limited to:
	• Portable Document Format (PDF);
	• plain text format (TXT);
	• rich text format (RTF);
	• Microsoft Excel 2016 (or higher if Approved by the Authority);
	• delimiter-separated values;
	• HTML and
	• extensible markup language (XML).
1552	The Contractor shall provide the capability for Authorized Users to retrieve full table exports from the reports server/database.
1553	The Contractor shall provide the capability for Authorized Users to schedule the automatic execution and delivery of reports using various delivery methods, including but not be limited to:
	• email addresses;
	• direct to printer;
	• uniform naming convention (UNC) paths;
	• shared drives and
	• SFTP sites.

1554	The Contractor shall provide the capability for Authorized Users to schedule the automatic execution and delivery of reports for a variety of time periods, including but not limited to:
	• as of a specific time each day;
	• as of a specific day and time each week;
	• as of a specific day and time each month;
	• as of a specific date and time each month;
	• for a Revenue Day;
	• for a Business Day;
	• for a Calendar Day and
	• for a specific period of time spanning more than one day (for example 2:00:00am to 1:59:59am the following day).
1555	The Contractor shall provide a dashboard application, including but not limited to:
	• fully Configurable, role-driven, browser-based solution that allows users to customize their own dashboards;
	• real-time display of data and processes and
	• drill-down capabilities from high level graphical display to the lowest level of supporting data.
1556	The Contractor shall provide a comprehensive data dictionary that defines the structure of BOS databases in the production environment and the reports server/database. The data dictionary shall include but not be limited to:
	• what data is stored;
	• name, description and characteristics of each data element;
	• types of relationships between data elements and
	• access rights.
1557	The Contractor shall provide a consistent user interface for all reports.
1558	The Contractor shall provide for summary and detailed reports for all account activity on all user accounts, including but not limited to:
	• as of the current moment in time;
	• as of an historical moment in time;
	• for a range of Revenue Days (for example from 1/1/2016 to 1/3/2016, which shall deliver results for the Revenue Days 1/1/2016, 1/2/2016 and 1/3/2016) and
	• for a range of time (for example from 3:00am 1/1/2016 to 3:00am 1/3/2016).
1559	The Contractor shall provide for reports of balances as of the end of any current or historical Revenue Day, in summary and in detail, for any or all user accounts.
1560	The Contractor shall provide for summary and detailed reports for all account activity on all Financial Accounts, including but not limited to:

	• as of the current moment in time;
	• as of an historical moment in time;
	• for a range of Revenue Days (for example from 1/1/2016 to 1/3/2016, which shall deliver results for the Revenue Days 1/1/2016, 1/2/2016 and 1/3/2016) and
	• for a range of time (for example from 3:00am 1/1/2016 to 3:00am 1/3/2016).
1561	The Contractor shall provide for reports of balances as of the end of any current or historical Revenue Day, in summary and in detail, for any or all Financial Accounts.
1562	The reports shall meet the general objectives, including but not limited to:
	• data elements shall be consistent through all the reports of a similar nature;
	• numbers and amounts shall reconcile with other reports that report on the same activity;
	• numbers and amounts shall reconcile with other reports that report on the same time period;
	• report generation shall allow for flexible selection and sort criteria that allows Authorized Users to obtain related information through a single report;
	• all report criteria shall be available for selection using Boolean logic strings and
	• all reports shall allow for the input of any identified criteria to be selected by range (for example, date from and to, account number from and to, Transaction Dates from and to, etc.) and by multi-list selection.
1563	Reports shall display header information which shall indicate parameters selected in the report generation (for example, time periods selected, as-of date selected, account number selected and/or license plate number and Jurisdiction selected).
1564	The Contractor shall provide the capability for the automatic generation and delivery of reports based on Configurable conditions, including but not limited to:
	• report selection criteria (for example, date range);
	• date and time for report generation (for example, daily at 7:00 a.m.);
	• report delivery method (for example, by email);
	• report format (for example, PDF) and
	• report generation frequency (for example, weekly).
1565	The Contractor shall provide the capability for reports generated automatically to have BOS-generated unique, intuitive naming and report numbering reflecting the name, number and date of the report.
1566	The Contractor shall provide the capability for the user to manipulate the report data easily to perform comparative analysis and statistical calculations.
1567	The Contractor shall provide the capability to deliver scheduled reports to the configured destination.

1568	The Contractor shall provide the capability for the user to specify the format of the report. For example, PDF, Excel and comma separated.
1569	The Contractor shall provide the capability to manually select reports for generation in real time.
1570	The Contractor shall provide a Web-based ad-hoc reporting solution that allows Authorized Users to design and generate professional and accurate multi-format reports. Ad-hoc report templates created by Authorized Users shall be made available to all Authorized Users, in addition to the reports menu.
1571	All reports shall display last activity date, transaction Posting status and other relevant data dependencies on the specific report related to that activity that indicate completion of activity and items, including but not limited to: • all transactions/trips have been obtained from the ETTM System; • all images have been obtained from the ETTM System; • the transactions/trips that have been transmitted to Interoperable Agencies and reconciliation files that have been received and acknowledged; • all correction files that have been reconciled and acknowledged; • all shifts that have been closed; • all third-party reconciliation and payment data that has been imported or has been entered into the BOS and • that all activities have been completed and are ready to be reconciled.
1572	The Contractor shall provide drill-down capability on all fields on all high-level reports to the lowest level of details, including the tools to view the available images associated to a transaction or account and account details.
1573	The Contractor shall provide drill-down capability on all fields on all high-level reports to the lowest level of details, including the tools to view the available images associated to a transaction or Violation Notice and details.
1574	The Contractor shall provide the user interface to choose the following selection criteria, including but not limited to: • Interoperable Agencies; • Toll Facility; • plaza; • lane; • direction of travel; • identification type (transponder or license plate); • Account Plan type; • Payment Type; • customer service location;

	•	BOS user;
	•	customer service staff;
	•	BOS processes;
	•	third-party interfaces and
	•	Third-Party Service Providers and Business Partners.
1575	The Contractor shall provide the user interface enabling the following selection criteria to generate the same report, including but not limited to:	
	•	by day;
	•	day(s) within a specified range;
	•	date range;
	•	weekly;
	•	monthly;
	•	yearly;
	•	comparative based on selection and
	•	year-to-date.
1576	The Contractor shall provide for the generation of a single report by various date types, including but not limited to:	
	•	Transaction Date;
	•	various transmit dates;
	•	transfer date;
	•	Posting Date;
	•	Violation Notice date;
	•	due date;
	•	payment date;
	•	Hearing date;
	•	process date;
	•	Posted date;
	•	business date;
	•	review date;
	•	statement date;
	•	mail date;
	•	print date;
	•	acknowledgement date and

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	• reconciled date.
1577	The Contractor shall provide the capability to:
	• include sub-totals, totals and grand totals as selected by the user;
	• sort the data elements in the report within each grouping of data and
	• present data in graphs and chart types based on presentation form selected by the user from a variety of graphic styles.

1.16.2.   Informational Reports

1.16.2.1.   Transaction Processing Reports

The Contractor is expected to provide Transaction Processing Reports which reflect the status or workflow stage for transactions/trips submitted by the Toll Facilities to the BOS over a period of time. For example, a report shall exist that details the number of transactions/trips submitted by a Toll Facility in January and shall detail the status or workflow stage of those transactions/trips as of June 30, the current date.

1578	The Contractor shall provide transaction reconciliation reports that reconcile to operations and financial reports and display Image-Based Transaction/Trip and Transponder-Based Transaction/Trip statistics, including but not limited to:
	• tracking the different stages of the transactions/trips;
	• showing the status or workflow stage; Violation Notice number; date issued; amount owed; amount Posted to an account; amount paid; amount I-Tolled; amount adjusted, past due amount and amount due on all Violation Notices issued;
	• total payments received by status or workflow stage;
	• total I-Tolls by status or workflow stage;
	• total Account Plan transactions/trips by individual Account Plan;
	• transactions/trips aged to collections by the Toll Facility; amount collected, recalled, dismissed;
	• license plates placed on hold, released, amounts on hold per plate;
	• Violations issued, paid, dismissed, transmitted to court;
	• Violations scheduled for adjudication, disposition, payments;
	• Transaction trends;
	• Transaction receivables detailing all outstanding accounts receivable for all accounts with unpaid transactions/trips by account number and total balance due as of the selected date;
	• Transaction collections trends;
	• Transaction I-Toll trends;
	• Account Plan trends;

	• Transaction dismissals and disputes;
	• Transaction by Jurisdiction and
	• Transaction aging.
1579	The Contractor shall provide transaction/trips reports that reconcile the transactions/trips to ETTM System reports as they move through various processing stages, including but not limited to:
	• transactions/trips in various queues and filters;
	• Violation Notice timeouts;
	• potential transactions/trips;
	• rental car license plates;
	• ROV Lookup "no matches";
	• disputes;
	• dismissals;
	• payments;
	• transaction status or workflow stages;
	• I-Tolls and
	• other transaction statuses.
1580	The Contractor shall provide invoicing summary reports by transaction status or workflow stage that track Violation Notice generation to final termination of Violation Notices, including but not limited to counts and amounts for:
	• Violation Notices generated;
	• payments;
	• dismissals;
	• status or workflow stage and
	• re-issued.
1581	The Contractor shall provide transaction activity reports that track activity on transactions/trips for each status or workflow stage, including but not limited to:
	• number of invoices and Violation Notices issued;
	• tolls, fees and penalties assessed;
	• amounts dismissed;
	• amounts voided;
	• amount collected;
	• amount collected in I-Tolls and
	• unbilled tolls collected, if prepayment is allowed.

1582	The Contractor shall provide reports that list the account number and overpayment amount on all transaction accounts that are overpaid as of a date.
1583	The Contractor shall design and implement reports that duplicate the format and content of the current reports in Attachment C: Sample Reports.
1584	The Contractor shall provide monthly and quarterly status reports that mimic the format provided in Attachment C: Sample Reports and includes additional information requested by the Authority during the Implementation Phase.

1.16.2.2.   Customer and Account Management Reports

Account management reports detail the overall status of accounts. The Contractor shall provide reports that detail account openings and closures, transitions from one account type to another (for example, an Unregistered account becoming a Registered account). Reports also shall be provided that give the Authority information about accounts that fall below the Insufficient Balance Threshold. These reports shall provide an indication of the overall success of the current Business Rules and may provide some insight into where potential changes could be made to enhance the customer experience or operational performance of the BOS.

1585	The Contractor shall provide a comprehensive report that displays current account statistics for transaction totals and charges by the following criteria, including but not limited to:
	• transaction totals and charges by Toll Facility;
	• transaction totals and charges by account types;
	• transaction totals and charges by Account Plan;
	• transaction totals and charges by status or workflow stage;
	• transaction totals and charges by payment option;
	• transaction totals and charges by account identification method and
	• transaction totals and charges by account statuses.
1586	The Contractor shall provide a comprehensive report that displays all account creation and account closing information for a selected period by contact method (for example, detailing accounts open and closed via the Self-Service Website, by phone, by walk-in and by mail).
1587	The Contractor shall provide reports that detail all prepaid tolls and outstanding balances due for every account. This report should allow Authorized Users to specify only certain accounts based on criteria which includes, but is not limited to:
	• account status;
	• account type;
	• account number and
	• dollar amount.
1588	The Contractor shall provide a comprehensive report that displays all accounts and/or transponders that have Account Plans.

1589	The Contractor shall provide reports that display all balances, activity and statistics on accounts by account type, including but not limited to:
	• accounts created;
	• transponders fulfilled;
	• accounts closed;
	• Account Plan utilization;
	• invoices and Violation Notices on account;
	• past due by status or workflow stage;
	• Violation Notices on hold;
	• Write-Offs;
	• accounts with debt in collections;
	• accounts with Registration Holds placed;
	• accounts with active Violation(s);
	• payments and refunds processed and requested and
	• toll transaction disputes processed and in progress.
1590	The Contractor shall provide a single report that provides the complete detailed account history for a single account. This report shall include a chronological listing of all activities for each activity type for a specified range of time between account inception and the current date, including but not limited to:
	• toll transactions/trips – transaction time (entry and exit), location, Posting date/time, Tolling Location, expected toll, Posted toll and discounts (for example, Account Plans);
	• Financial Transactions – payment date, payment item, Payment Type, payment method, payment number (for example, check number), payment detail (for example, breakdown of tolls and fees paid) receipt number, amount due, paid amount;
	• reversal activity on Posted transactions (toll, non-toll, penalties, fees, financial) – reversal date, original transaction, reason;
	• Notifications – date, type, communications channel, Notification number, if applicable (invoice number, Violation Notice number), amount due in each status or workflow stage, due date;
	• account comments;
	• account statuses – date of change, from status, to status, user ID and trigger;
	• Account Plan(s) and activity;
	• Cases – date Case was established, Case status, Case disposition;
	• transponder activities and statuses - date of change, from status, to status, user ID, trigger;

	• dispute activity – date, transaction; invoice/Violation Notice/statement number, amount owed, reason, results; dismissal code, dismissed amount;
	• Violation activity – date, amount, payment, dismissal, aged to court or collections;
	• court activity (obtained from the Collection Agency) – date, transaction, amount owed, disposition;
	• collection activity – date, Toll Facilities, Notification, amount placed, amount paid, dated recalled/canceled;
	• Registration Hold and release activity – date, license plate number, Notification, amount owed, results of motor vehicle department, date of hold/release and
	• account maintenance activities.
1591	The Contractor shall provide reports that list all customers' financial activity on the account, including but not limited to:
	• account number;
	• name and address records;
	• all notes and/or Cases related to the account or transactions;
	• beginning balance;
	• credits and debits by transaction type;
	• refunds;
	• reversals;
	• payments;
	• dismissals;
	• adjustments and
	• ending balance.
1592	The Contractor shall provide reports that list all customers' financial activity on the account and reconcile to the Financial Accounts.
1593	The Contractor shall provide reports listing accounts that have no transaction or payment activity since a specified date (Configurable) or for a period of time (Configurable), including their history and current status.
1594	The Contractor shall provide reports that identify the processed transactions, reconcile to operations reports and summarize the operations activity. Such reports shall summarize the operational activities performed in different customer service departments and areas, including but not limited to:
	• totals for number of accounts opened and closed by type;
	• number of transponders assigned by type of transponder;
	• account replenishment;
	• invoices generated;

	• Violation Notices generated;
	• Violations filed with the court;
	• Account Plan-related transactions;
	• Cases opened;
	• Cases closed;
	• Cases escalated;
	• license plates and transponder transactions/trips in the Processing Exception List;
	• Notices on hold;
	• disputes processing status;
	• Evidence Packages created;
	• placed in collection;
	• eligible for Registration Hold;
	• successful Registration Hold;
	• eligible for Registration Hold release;
	• successful Registration Hold release;
	• account status;
	• any adjustments made;
	• customer I-Toll transactions/trips Posted and
	• other CSR activity.
1595	The Contractor shall provide reports that display all customer and non-customer feedback by account type, contact method and users, including but not limited to:
	• Cases by category;
	• suggestions by category;
	• Cases by time period and
	• suggestions by time period.
1596	The Contractor shall provide reports that list accounts that require attention, including but not limited to:
	• accounts that have Flags on the account indicating an issue (Configurable by Flag);
	• replenishment failure;
	• Credit Card expiration;
	• Excessive I-Tolls;
	• disputed Violation Notices;
	• debt at collections;

	• Registration Hold;
	• overpayment;
	• refund requests;
	• open Case(s);
	• Violation Notices on hold;
	• bankruptcy;
	• negative balance;
	• inactivity;
	• Notifications that require review and
	• accounts that require follow up action by CSR or customer.
1597	The Contractor shall provide reports that list the status of transactions/trips (count and revenue) processed by the BOS, identifying the exact position in all open workflow points for unpaid transactions, both home (the Authority) and Interoperable, that Posted to the accounts, those that were rejected due to various reasons and those that are in any other terminal statuses. The reports shall reconcile to the financial reports and interoperable reports.
1598	The Contractor shall provide reports that account for all shift activity with detailed and summarized financial information, including but not limited to:
	• all payment transactions processed for each payment item;
	• all payment transactions processed by payment method;
	• all payment transactions processed by Payment Type;
	• all payment transactions processed by payment channel;
	• all Financial Transactions dismissed;
	• all voided Financial Transactions;
	• all Financial Transactions reversed;
	• all Financial Transactions adjusted;
	• all Financial Transactions unapplied and re-applied;
	• all Financial Transactions waived and
	• all Financial Transactions waived by user.
1599	The Contractor shall provide reports that list all financial activity of all CSRs that reconcile to individual CSR activity reports.
1600	The Contractor shall provide reports that list all financial activity of all CSRs that reconcile to financial reconciliation reports.
1601	The Contractor shall provide reports that summarize the operational activities performed in different customer service departments and areas, including but not limited to:

	• WIC(s);
	• Self-Service Website;
	• Self-Service Mobile Application (Phase II and optional);
	• IVR;
	• contact center;
	• mailroom;
	• Case management department;
	• Third-Party Service Providers and Business Partners and
	• Collection Agency.
1602	The Contractor shall provide reports that summarize the payment processing activities performed in different customer service departments and areas, including but not limited to:
	• the separate WICs;
	• Self-Service Website;
	• Self-Service Mobile Application (Phase II and optional);
	• IVR;
	• contact center;
	• automated BOS replenishments;
	• Lockbox (optional);
	• electronic deposit;
	• mailroom;
	• Case management department;
	• Third-Party Service Providers and Business Partners;
	• Collection Agency and
	• courts.

1.16.2.3.   Payment Processing Reports

1603	The Contractor shall provide reports that track the Credit Card, ACH, check, cash and money order payments that are processed, including but not limited to:
	• number and dollar value of payments;
	• refunds;
	• reversals;
	• adjustments;

	• voids;
	• payment date;
	• activity date;
	• settlements;
	• payment item;
	• payment source;
	• Payment Type, for example check, ACH, money order, cash;
	• payment method;
	• Credit Card type;
	• card details;
	• processed amounts;
	• Violation Notice number paid;
	• account debited and
	• account credited.
1604	The Contractor shall provide the capability to produce payment reports by payment source (for example, CSR, Self-Service Website, Self-Service Mobile Application (Phase II and optional), IVR and Collection Agency) and by Payment Type (for example, Credit Card, ACH, check, cash and money order).
1605	The Contractor shall provide reports that balance and reconcile the Credit Card processed by the BOS to the Credit Card Posting status provided by the Merchant Service Provider and allows operations to investigate discrepancies, including but not limited to:
	• failed Credit Card transactions;
	• account number;
	• date and time;
	• successful Credit Card transactions that did not Post to an account;
	• Credit Cards that were processed by the BOS but not the Credit Card processor;
	• duplicate Credit Card processing;
	• duplicate Credit Card Posting;
	• total amount successfully processed;
	• total amount Posted to accounts;
	• total amounts identified as processed by the Credit Card processor;
	• variances and
	• chargebacks.

1606	The Contractor shall provide reports that balance and reconcile the ACH transactions processed by the BOS to the ACH Posting status provided by the Merchant Service Provider/ACH processor and allows operations to investigate discrepancies, including but not limited to:
	• failed ACH transactions;
	• account number;
	• date and time;
	• successful ACH transactions that did not Post to an account;
	• ACH transactions that were processed by the BOS but not the ACH processor;
	• duplicate ACH processing;
	• duplicate ACH Posting;
	• total amount successfully processed;
	• total amount Posted to accounts;
	• total amounts identified as processed by the ACH processor;
	• Variances, and
	• returns/rejects.
1607	The Contractor shall provide reports that detail returned checks processed during any timeframe, broken down by type of original payment (toll, fee and penalty).

1.16.2.4. *Inventory Management Reports*

Inventory management reports shall assist the Authority and the Contractor in review and management of inventory items.

1608	The Contractor shall provide transponder inventory reports that 1) track the transponder inventory by type of transponder and distributor; 2) ensure there are sufficient transponders in stock; 3) show the status of all transponders at all stages of transponder purchase, fulfillment and recovery/disposition cycle, including but not limited to:
	• transponders issued to customers;
	• transponders by status;
	• transponders in warranty;
	• transponders in the return material authorization process;
	• transponders on order but not shipped;
	• transponders sold and
	• other operational statuses.
1609	The Contractor shall provide transponder status reports that track the issuance of inventory items, including but not limited to:

	• sold by item type;
	• by type of distribution method, for example, by mail, in WIC #1 and WIC #2;
	• number and frequency of inventory items distributed;
	• the inventory status;
	• the status of damaged transponders and
	• the status of failed transponders.
1610	The Contractor shall provide inventory reports that show beginning balance and end of month balance by inventory location.

1.16.2.5.   ROV Lookup Reports

This series of reports provides information about the outcomes of the Authority's ROV Lookup requests.

1611	The Contractor shall provide DMV Lookup reports that track the ROV Lookup requests and the responses from the various DMVs/ROV Lookup Service Provider(s).
1612	The Contractor shall provide DMV Lookup reconciliation reports that track the quantity of ROV Lookup requests by different attributes, including but not limited to:
	• jurisdiction;
	• response (unknown at DMV, ROV provided);
	• ROV Lookup Service Provider;
	• Address status (forwarded to updated address, no forwarding address, good);
	• by date requested;
	• by date response was received and
	• address database used (temporary license plates, trucking, manual lookup).
1613	The Contractor shall provide ROV Lookup reports that reconcile the number of ROV Lookup requests to the invoices from the ROV Lookup Service Providers.
1614	The Contractor shall provide ROV Lookup reconciliation reports shall reconcile to appropriate financial and operations reports.

1.16.2.6.   Notifications Reports

1615	The Contractor shall provide Notification reconciliation reports that track the different stages in the Notification process, including but not limited to: qualification, creation, quality review, printing, and mailing.
1616	The Contractor shall provide Notification reconciliation reports that track the quantity of Notification pieces by different attributes, including but not limited to:
	• qualified;
	• created;

	• quality reviewed;
	• printed;
	• distributed by Notification vendor;
	• Notification distribution channel;
	• by date qualified;
	• by date created;
	• by date quality review was performed;
	• by date the Notification was printed;
	• by date distributed;
	• Jurisdiction in which the license plate is registered;
	• Jurisdiction which the Notification was mailed to;
	• by batch (for example, quantity of Notification pieces processed in a certain batch of items);
	• by Notification item and
	• by Notification status (for example, bad address or paid).
1617	The Contractor shall provide Notification reconciliation reports that reconcile the Notification pieces as they move through various stages of the Notification process (for example if a piece of Notification qualified two weeks ago, where is that piece now?).
1618	The Contractor shall provide Notification tracking reports that show trends by Notification type and channel.
1619	The Contractor shall provide Notification reconciliation reports shall reconcile to appropriate financial and operations reports.

1.16.2.7. Collections Reports

The Collection Agencies will transmit payment information to the BOS via the collections interface. For example, when the Collection Agency #1 accepts a payment over the phone from a customer with transactions/trips in collections, the Collection Agency will transmit that payment information which shall be Posted into the BOS.

The BOS shall have the capability to determine the source of the payment (for example, to determine if the payment was accepted from a BOS CSR or from Collection Agency #2) and record that source for tracking and reporting purposes.

1620	Provide reports that track the status of the collections efforts by individual Collection Agency and by Toll Facility, including but not limited to:
	• accounts, Notices and transactions/trips in collections;
	• toll, fee and penalty amounts placed in collections;
	• toll, fee and penalty collections to date;

	• source of toll, fee and penalty payment, for example Collection Agency staff, BOS staff, Lockbox Service Provider (optional), Self-Service Website, Self-Service Mobile Application (Phase II and optional), IVR;
	• outstanding toll, fee and penalty amounts;
	• adjustments and corrections;
	• any collection disputes, holds or resolution on the account;
	• open Cases associated with collections;
	• amount received by the Collection Agency for each transaction in collections and
	• how long the account has been in collections.
1621	Provide collections reports that list all collections activity and reconcile to financial and Operations reports including but not limited to by individual Collection Agency and by Toll Facility.
1622	Provide reports that track the collections cost and show collections trends and success rates by individual Collection Agency and by Toll Facility for Violation debt.
1623	Provide reports that track the collections cost and show collections trends and success rates by individual Collection Agency and by Toll Facility for negative Account balance debt.

1.16.2.8. Registration Hold Reports

1624	The Contractor shall provide Registration Hold reports, including but not limited to:
	• current number and dollar value of transactions/trips associated with Registration Hold requests;
	• date of hold;
	• number of hold requests;
	• average number of days delinquent for Registration Hold;
	• current number and dollar value of accepted and denied Registration Hold;
	• current number and dollar value of Registration Hold terminated through quality review process;
	• current number and dollar value of payment on Registration Hold;
	• current number and dollar value of aging of transactions/trips in Registration Hold queue;
	• Registration Hold Notification and
	• current number and dollar value of Registration Hold in various Registration Hold statuses.
1625	The Contractor shall provide Registration Hold reports that list accounts and license plates where Registration Hold needs to be initiated, including but not limited to:
	• account number;

	• license plate number and Jurisdiction;
	• the date the license plate became eligible for Registration Hold;
	• the status of the Registration Hold;
	• the days in Registration Hold status and
	• all transaction details demonstrating the validity of the Registration Hold.
1626	The Contractor shall provide the capability to reconcile Registration Holds. For example, reconcile data which compares the BOS' records of current Registration Holds to the DMV's records.

1.16.2.9. Registration Hold Release Reports

1627	The Contractor shall provide Registration Hold release reports that list accounts and license plates where the Registration Hold needs to be released, including but not limited to:
	• account number;
	• license plate number and Jurisdiction;
	• the date the license plate became eligible for registration release;
	• the status of the registration release;
	• number and dollar value of registration release requests;
	• the days in registration release status and
	• all transaction details demonstrating the validity of the registration release.

1.16.2.10. Violations Reports

1628	The Contractor shall provide Violations reports and Toll Facility, broken down by tolls, fees and penalties, including but not limited to:
	• number and dollar value of Violations;
	• average number of days delinquent for Violations;
	• number and dollar value of Violations terminated through quality review process (for example, Violations determined to be ineligible for further escalation after review at any status or workflow stage);
	• number and dollar value of payment on Violations;
	• number and dollar value of aging of transactions/trips in Violations queue;
	• Violation Notices and
	• number and dollar value of Violations in various Violation statuses.
1629	The Contractor shall provide Violation reports that list accounts and license plate and Jurisdiction where the Violation needs to be initiated, by Toll Facility, including but not limited to:
	• account number;

	• license plate number and Jurisdiction;
	• the date the license plate became eligible for Violation;
	• the status of the Violations;
	• the days in Violation status and
	• all transaction details demonstrating the validity of the Violation.
1630	The Contractor shall provide Violation reports that show payment trends and success rates for Violations by Toll Facility.
1631	The Contract shall provide a Violation report that shows the aging of all violations with the transaction count and associated value and the current collection stage.
1632	The Contractor shall provide a Violation report that shows the escalation stage in which violations are resolved (paid, reduced or dismissed) with the transaction count, amount paid, amount dismissed, amount reduced and amount remaining.

1.16.2.11.   Case Management Reports

1633	The Contractor shall provide reports that list Case summary information (or details if selected), including but not limited to:
	• number of Cases by type;
	• number of Cases by Toll Facility;
	• Case established by, such as established by BOS, customer, or CSR;
	• Cases opened;
	• Cases closed;
	• Cases escalated;
	• number of Cases that failed to meet the Authority's Performance Measures;
	• average Case handling time by priority;
	• longest Case handling time by priority and
	• number of affected accounts.
1634	The Contractor shall provide reports that list the detailed Case information, including but not limited to:
	• Case ID (i.e., uniquely identifies the Case record);
	• Case type;
	• account number, if applicable;
	• severity level or priority;
	• source of Case status;
	• created date;
	• resolved date;

	• number of days since creation;
	• number of days since last agent touch;
	• due date and time;
	• total time spent working on the Case;
	• total time spent by a specific user;
	• total time spent by a specific department;
	• action taken at each hand-off;
	• Case history;
	• related accounts and
	• Case description/free-form notes on the account.
1635	The Contractor shall provide dispute (Case Type = Dispute) reconciliation reports, including but not limited to:
	• Transponder-Based Transaction/Trip disputes;
	• Image-Based Transaction/Trip (I-Tolls and Violations) disputes;
	• payment for accepted and partially accepted disputes;
	• dismissed Transponder-Based Transactions/Trips;
	• dismissed Image-Based Transactions/Trips;
	• reassigned Transponder-Based Transactions/Trips and
	• reassigned Image-Based Transactions/Trips.
1636	The Contractor shall provide dispute reconciliation reports by Toll Facility that shall reconcile the Image-Based Transactions/Trips as the Image-Based Transactions/Trips move through various stages of the dispute process, including but not limited to:
	• accepted disputes;
	• accepted, partially accepted and denied disputes;
	• dismissals and
	• reassignments.
1637	The Contractor shall provide dispute reconciliation reports by Toll Facility shall be provided, including but not limited to:
	• dispute reasons;
	• dismissal reasons by type of dispute;
	• status of the toll when disputed;
	• disputes created by user;
	• resolution time;

	• number of open disputes;
	• number of closed disputes;
	• dispute Notifications received and
	• dispute Notifications sent.
1638	The Contractor shall provide dispute reconciliation reports by Toll Facility shall include all Self-Service Website, Self-Service Mobile Application (Phase II and optional) and IVR transactions.

1.16.3. Financial Management Reports

The BOS shall be capable of generating financial journals, trial balances, financial ledgers and transaction reports.

1639	The Contractor shall provide for the selectable separation of reports by Interoperable Agencies, Third-Party Service Providers and Business Partners and/or Toll Facility, including but not limited to:
	• WIC(s);
	• Self-Service Website;
	• Self-Service Mobile Application (Phase II and optional);
	• IVR;
	• courts;
	• contact center;
	• mailroom;
	• Lockbox (optional);
	• transponder and
	• Collection Agency.
1640	The Contractor shall provide financial journal and ledger reports that list all accounts receivables by revenue type, by Toll Facility and in summary, including but not limited to:
	• Transponder-Based Transaction/Trip;
	• Transponder-Based Transaction/Trip by account type;
	• Image-Based Transaction/Trip;
	• Notice by transaction status or workflow stage;
	• adjustments;
	• reversals;
	• refunds and their dispositions and
	• fees.

1641	The Contractor shall provide transaction and revenue reconciliation reports that track a transaction throughout the revenue cycle (from its entry into the BOS until its closure) and help identify the final resolution of each transaction, including but not limited to:
	• the expected number and revenue for all transactions/trips;
	• Posting status;
	• pending status (including workflow location(s));
	• termination reasons;
	• collected/actual revenue;
	• percentage collected and
	• variances.
1642	The Contractor shall provide an annual report that provides the analysis of credit card and ACH fees between TCA and the Authority's for the purpose of netting these fees out the interagency toll revenue payments.
1643	The Contractor shall provide the capability to generate all reports by Toll Facility.

1.16.3.1.   Trial Balance and Financial Account Reports

The Authority will utilize reports (journal entry file exports) from the BOS to import into the Authority's financial accounting systems for the purpose of recording financial active related to the BOS. While there is no automated interface, the Authority intends to use these journal entry file exports to record financial activities into their respective general ledgers on a daily or weekly basis.

OCTA uses the Finance Enterprise, formally known as ONESolution, financial accounting system, which requires its own file format for import into its general ledger. Furthermore, the Authority has Business Rules and revenue recognition policies which the Contractor shall consider when developing the financial processes in the system; these details shall be identified during the Implementation Phase.

1644	The Contractor shall provide file export report of all BOS Financial Account activity to be used to record revenues in the Authority's financial systems.
1645	The Contractor shall provide the capability for the Authority to receive information in sufficient detail to record revenues at different steps in the revenue cycle. (For example, before a Violation Notice is mailed, a transaction is in the "billable" stage and in a "billable" Financial Account and when that transaction is included on a Violation Notice, it is in the "billed" stage and in a "billed" Financial Account), including but not limited to:
	• when transaction/trip is submitted to the BOS;
	• when billable (deemed billable but not yet billed);
	• when billed;
	• when paid (payment received from customer) and
	• when payment remitted to the Authority.

1646	The Contractor shall structure the Financial accounts so revenues of one entity are not comingled with the revenues of another entity. For example, Image-Based Transaction/Trip toll revenue for one entity shall be separated in the Financial Account from Image-Based Transaction/Trip toll revenue of another entity, from Transponder-Based Transaction/Trip toll revenue and from fee revenue. Entities include the Authority and also include but are not limited to individual CTOC Agencies and the Collection Agency.
1647	The Contractor shall structure the Financial Accounts in such a way that all revenues and expenses from one Toll Facility are easily discernible from the revenues and expenses of other Toll Facilities.
1648	The Contractor shall provide trial balance reports that reconcile all Financial Accounts and confirm the credit and debit balance and show general ledger codes grouped and summarized by asset and liability.
1649	The Contractor shall provide Financial Account reports that reconcile to other transaction and financial reports.
1650	The Contractor shall provide reports summarizing like Financial Accounts (for example, all toll revenue Financial Accounts for a particular Toll Facility), including but not limited to the following timeframes:
	• month;
	• month-to-date;
	• quarter;
	• quarter-to-date;
	• year;
	• year-to-date;
	• from and to date;
	• from and to month and
	• from and to year.

1.16.3.2.   Revenue Reports

1651	The Contractor shall provide a revenue report that reflects all revenue, including but not limited to:
	• Transponder-Based Transactions/Trips toll revenue;
	• Image-Based Transactions/Trips toll revenue;
	• all fees and
	• penalties.
1652	The Contractor shall provide a report that details potential lost revenue by status or workflow stage, as well as reasons for potential loss, such as a report listing those transactions/trips which still possess a receivable balance and have been placed on hold.

1.16.3.3. *Payment Reports*

1653	The Contractor shall provide a payments report that reflects all payments, including but not limited to:
	• Transponder-Based Transactions/Trips toll revenue;
	• Image-Based Transactions/Trips toll revenue;
	• prepayments;
	• all fees and
	• penalties.
1654	Payment reports shall reconcile to reports provided by the various interfaces, including but not limited to:
	• Credit Card processor;
	• collections;
	• Interoperable Agencies;
	• bank deposits, and
	• Lockbox payments, if utilized.
1655	The Contractor shall provide an unallocated payments report that lists all payments that could not be associated with a transaction with sufficient detail for payment research, such as the ability to back-out and re-apply against outstanding receivable.

1.16.3.4. *Registered Account Reports*

1656	The Contractor shall provide a report that reflects the prepaid balance in each account as of a point in time.
1657	The Contractor shall provide a report that reflects all replenishments to Registered accounts over a period of time.
1658	The Contractor shall provide a report that reflects all usage of prepaid funds over a period of time.
1659	The Contractor shall provide a report that reflects all adjustments to accounts over a period of time (for example, adjustments would include any transaction that affects an account balance that is not included on a replenishment report or a usage report).
1660	The Contractor shall provide a report that compares the calculated prepaid balance by account to the prepaid balance per the BOS at any point in time (for example, the calculated prepaid balance is the sum of the account balance as of the first day of the month plus replenishments less usage and plus/minus adjustments that occur during the month, compared to the BOS balance as of the end of the month). Variances shall be identified at the account level.

1.16.3.5. Receivable Reports

1661	The Contractor shall provide aged accounts receivable reports that lists all receivables (toll transactions, fees and penalties) for each status or workflow stage, by Toll Facility, including but not limited to:
	• in process (not yet charged to account);
	• charged to account (but not yet invoiced or included on a Violation Notice);
	• Notice of Toll Evasion Violation;
	• Notice of Delinquent Toll Evasion Violation;
	• Collection Agency;
	• Registration Hold and
	• court.
1662	The Contractor shall provide aged accounts receivable reports that lists all receivables (toll transactions, fees, penalties) by number of days past due and Toll Facility, including but not limited to:
	• in process (not yet Posted to an account);
	• Posted to an account (but not yet invoiced or sent a Violation Notice);
	• current due (invoiced or sent a Violation Notice but not yet past due);
	• past due 1-30 days;
	• past due 31-60 days;
	• past due 61-90 days;
	• past due 91-120 days;
	• past due 121-180 days;
	• past due 181 days -12 months;
	• past due 12-24 months;
	• past due 24-36 months;
	• past due 36-48 months;
	• past due 48-60 months and
	• past due > 60 months.
1663	The Contractor shall provide invoicing summary reports by Toll Facility, detailing the composition of transactions/trips appearing on Violation Notices by Toll Facility.
1664	The Contractor shall provide invoicing summary reports by transaction status or workflow stage that track Violation Notice generation to final termination of Violation Notice transactions, including but not limited to counts and amounts for:
	• Violation Notices generated;
	• payments;

	• dismissals;
	• status or workflow stage and
	• re-issued.

1.16.3.6.   Collection Agencies Reports

1665	The Contractor shall provide reports that track the status of collections activities, by individual Collection Agency and by Toll Facility, including but not limited to:
	• number and dollar value of Collections Placements in collections;
	• number and dollar value of transactions/trips in collections;
	• number and dollar value of Collections Placements successfully collected;
	• number and dollar value of transactions/trips successfully collected;
	• outstanding amounts (total and separated by fees, penalties and tolls);
	• amounts collected (total and separated by fees, penalties and tolls) by payment source (BOS, Collection Agency #1 or Collection Agency #2);
	• length of time in collections;
	• accounts recalled from collections (total and separated by fees, penalties and tolls);
	• transactions/trips recalled from collections (total and separated by fees, penalties and tolls);
	• accounts returned uncollectible;
	• transactions/trips returned uncollectible and
	• success rate.
1666	The Contractor shall provide collections inventory reports that reconcile to collections monthly inventory by Collection Agency, and provide status on collections, including but not limited to:
	• number and dollar value of outstanding accounts in collections at the beginning of the month;
	• number and dollar value of transactions/trips in collections at the beginning of the month;
	• number and dollar value of accounts added during the month;
	• number and dollar value of transactions/trips added during the month;
	• number and dollar value of accounts returned at the end of the month, by type;
	• number and dollar value of transactions/trips returned at the end of the month, by type;
	• number and dollar value of outstanding accounts in collections at the end of the month;

	• number and dollar value of transactions/trips in collections at the end of the month and
	• outstanding amount in collections at the end of the month.

1.16.3.7. Write-Off Reports

1667	The Contractor shall provide a listing of all eligible and processed Write-Offs and their disposition (such as sent to the Authority for approval, Approved by the Authority, processed), by Toll Facility and in summary, broken down by toll, fee and penalty including but not limited to: all account-level and transaction-level Write-Offs and prior year Write-Offs paid in current year with a breakdown by selectable period for each year.

1.16.3.8. CTOC Reports

1668	The Contractor shall provide all Interoperable Agency and Toll Facility Reports described in Attachment A: CTOC Technical Specifications for Interagency Data Exchange. The Interoperable reports provided in the BOS shall be updated and modified to be in compliance with the Interoperable Agency Interface specifications.
1669	The Contractor shall provide reports on the status of Interoperable reports and file transmissions to all Toll Facilities, such as files expected but not received, issues with file transmissions/data, etc.
1670	The Contractor shall provide the following reports:
	• summary report;
	• Interoperable Agency discrepancy;
	• adjustments report (Interoperable Agency) and
	• Toll Facility discrepancy report.

1.16.4. Operations Reports

1.16.4.1. Operations Management Reports

Operations management reports shall provide insight into the review and management of operations and assess performance.

1671	The Contractor shall provide real-time operations reports.
1672	The BOS shall provide the capability to drill-down to the details for a selected transaction, including the image associated with the license plate if applicable.
1673	The Contractor shall provide BOS performance reports that track the performance of CSC Operations, including but not limited to:
	• customer contacts, mail handling and Violation Notification response;
	• Case handling;
	• first contact resolution;
	• transponder Fulfillment;

	• payments processed;
	• customer disbursements processed;
	• Interoperable Agency settlements processed;
	• returned payments processed;
	• chargebacks processed;
	• payment plans initiated and
	• balancing and reconciliation.
1674	The Contractor shall provide staff performance reports that track the performance of individual Authorized Users over a period of time (for example, daily weekly and monthly) including but not limited to:
	• customer contacts, mail handling and Notification response;
	• Case handling;
	• first contact resolution;
	• transponder Fulfillment;
	• payments processed;
	• customer disbursements processed;
	• Interoperable Agency settlements processed;
	• returned payments processed;
	• chargebacks processed;
	• payment plans initiated and
	• balancing and reconciliation.

1.16.4.2. Self-Service Website Reports

1675	The Contractor shall provide Self-Service Website activity reports that list all activity associated with the Self-Service Website, and enable operations to assess the Self-Service Website's effectiveness, including but not limited to:
	• number of accounts setup via the Self-Service Website;
	• account statements accessed;
	• account maintenance activities;
	• payments;
	• disputes;
	• Cases opened;
	• Violation Notice inquires and
	• other general information.

1676	The Contractor shall provide reporting on the Self-Service Website usage, including but not limited to:
	• number of individual hits by screen;
	• number of page views;
	• number of repeat visitors versus new visitors;
	• bounce rate;
	• number of updates made to accounts and
	• number of functional processes, for example Violation Notice payments.

1.16.4.3.   Self-Service Mobile Application Reports (Phase II and optional)

1677	The Contractor shall provide Self-Service Mobile Application activity reports that list all activity associated with the Self-Service Mobile Application, and enable operations to assess the Self-Service Mobile Application's effectiveness, including but not limited to:
	• number of accounts setup via the Self-Service Mobile Website;
	• account statements accessed;
	• account maintenance activities;
	• payments;
	• disputes;
	• Cases opened;
	• Notice inquires and
	• other general information.
1678	The Contractor shall provide reporting on the Self-Service Mobile Website usage, including but not limited to:
	• number of individual hits by screen;
	• number of page views;
	• number of repeat visitors versus new visitors;
	• bounce rate;
	• number of updates made to accounts and
	• number of functional processes, for example Account replenishments.

1.16.4.4.   Contact Center Reports

1679	The Contractor shall provide contact center reports that help determine how the Contact center is functioning and its effectiveness, including but not limited to:
	• quality score rating for CSRs;
	• average talk time;

	• number of calls offered to CSRs;
	• number of calls answered by CSRs;
	• number of calls abandoned;
	• average time before abandonment;
	• service level (what percentage of the calls are answered within the agreed-upon timeframe, such as what percentage of calls are answered within 60 seconds);
	• average speed of answer;
	• abandon rate;
	• CSR availability;
	• account maintenance activities;
	• payments processed;
	• transaction history accessed;
	• requested customer support and
	• obtained general information.
1680	The Contractor shall provide other performance reports to monitor, including but not limited to:
	• total number of calls taken by the IVR System;
	• total number of calls taken using virtual queuing;
	• total number of calls taken by the CSR (separate by Spanish and English);
	• the number of and average length of calls handled for each line;
	• the average and maximum wait time for each line;
	• the time taken for a CSR to answer a call once that option is selected and
	• the number of times a given menu is repeated consecutively during a given call.
1681	The Contractor shall provide other performance reports to monitor emails, including but not limited to:
	• number of emails received CSRs;
	• number of emails answered by group or individual CSRs;
	• number of emails unanswered;
	• average speed of answer by time period, daily, weekly, monthly;
	• CSR availability and
	• email purpose.
1682	The Contractor shall provide other performance reports to monitor chats, including but not limited to:

	• number of chats offered to CSRs;
	• number of chats answered by CSRs;
	• number of chats abandoned;
	• average speed of answer by time period, daily, weekly, monthly;
	• CSR availability and
	• chat purpose.
1683	The Contractor shall provide other performance reports to monitor texting, including but not limited to:
	• number of texts offered to CSRs;
	• number of texts answered by CSRs;
	• number of texts unanswered;
	• average speed of answer by time period, daily, weekly, monthly;
	• CSR availability and
	• Text purpose.

1.16.4.5. *Print/Mail Reports*

1684	The Contractor shall provide reports that allow operations to monitor the Print/Mail House Provider (optional) and/or Contractor performance against agreed to Performance Measures and manage USPS mailing activities, including but not limited to:
	• quantity of Notification per type;
	• mailing time since receipt of files;
	• Notifications rejected and not mailed with reasons and
	• Exceptions.
1685	The Contractor shall provide reports that show trends as they relate to USPS mailing operations workflow performance (volumes and amounts printed and mailed), including but not limited to:
	• Notification for each page limit (for example one-page, two-page, etc.);
	• additional inserts;
	• printing and mailing exceptions;
	• returned mail, with and without forwarding address;
	• bad address and
	• performance against the agreed upon Performance Measures as a percentage by type of Notification.
1686	The Contractor shall provide reports that can be used to reconcile/verify invoices from the Print/Mail House Provider (optional).

1.16.4.6.   BOS Management Reports

1687	The Contractor shall provide reports that allow for transaction/trip reconciliation of the BOS, including but not limited to:
	• transactions/trips exchanged with the ETTM System;
	• transactions/trips Posted to accounts and
	• transactions/trips exchanged with Interoperable Agencies.

1.16.4.7.   Contractor Performance Requirements Reports

Contractor Performance Measures reports shall assist the Authority and the Contractor in tracking, management, and assessing of the Contractor against the Performance Measures. The reports shall be designed and Approved during the Reports Design Workshop.

1688	The Contractor shall provide BOS-generated reports that allow Authorized Users to monitor performance to date against each of the Performance Measures. For example, the month to date and year to date performance against any individual Performance Measure.
1689	To the extent possible the reports shall automatically calculate the actual performance against the required Performance Measure(s).
1690	The Contractor shall provide the capability to select a random sample of the work for review and audit including but not limited to:
	• provide hyperlinked report reflecting a random sample of a certain number of Cases over a certain period of time (for example, 100 Cases which were opened or closed between June 1 and June 30) which shall allow the Authority to click on the hyperlink to open and audit each Case and
	• provide hyperlinked report reflecting a random sample of a certain number of adjusted or reversed transactions/trips over a certain period of time (for example, 100 transactions/trips that were dismissed between June 1 and June 30) which shall allow the Authority to click on the hyperlink to open and audit each dismissal.

1.16.4.8.   ETTM Contractor Performance Measures Reports

ETTM System Contractor Performance Measures reports shall assist the Authority, the Contractor and the ETTM System Contractor in tracking, management, and assessing of the ETTM System Contractor against a subset of their Performance Measures. The ETTM System Contractor has the responsibility to provide for the majority of their Performance Measures Reporting. The report shall be designed and Approved during the Reports Design Workshop.

1691	The Contractor shall provide reports that allow Authorized Users to monitor the ETTM System Contractor performance to date against a subset of the ETTM System Requirements Performance Measures.
1692	The Contractor shall provide ETTM System Contractor performance reports which track the performance of the ETTM System, including but not limited to:
	• exchange of data and files between the ETTM System and the BOS and

	• results of all BOS and CSC Operations Contractor QA activities (for example, trip building and image processing accuracy).

1.16.5. Interface Reconciliation Reports

1.16.5.1. General Requirements for Interface Reconciliation Reports

The BOS interfaces with various other systems and Third-Party Service Providers and Business Partners, as such, reconciliation of the data transfer process and exception identification are critical elements of the BOS. In Interfaces where the BOS initiates the file transfer process, the BOS shall track the successful creation of the file as required by the schedule (Configurable), the successful transfer of the file, the acknowledgement by the third-party of the successful receipt and processing of the file, the receipt of the reconciliation or response file from the third-party and the BOS's successful receipt, processing and acknowledgment of the response file. A similar tracking and reporting shall be provided when the BOS is the recipient of the transfer process. Reconciliation reports shall reconcile to other BOS and financial reports and shall meet the following Requirements.

These reconciliation reports shall be provided in addition to, and not in lieu of, automated reconciliation processes as described in the Requirements.

1.16.5.2. Reconciliation with ETTM System Transactions, Reconciliation Files and Images Reports

These reports shall allow the balancing and reconciliation of transactions/trips and images throughout the revenue cycle, identify variances and errors and assist in investigating the problems, thus minimizing lost revenue. Such reports shall help identify trends in the flow of transactions, their final termination and reconciliation to the ETTM System. The transmission of the Transponder Status List files received from the Interoperable Agencies and the home Transponder Status List to the ETTM System also shall be tracked.

1693	The Contractor shall provide transaction and image reconciliation reports that help identify issues, including but not limited to: transmission errors, data validity errors, missing images, missing transactions, traffic and transaction trends and exceptions.
1694	The Contractor shall provide transaction transmission reconciliation reports that help validate that all transactions/trips transmitted by the ETTM System made it to the BOS and are correctly processed. These reports also shall validate that all other transmissions made by the ETTM System were successfully received by the BOS and that all transmissions made by the BOS are successfully received by the ETTM System.
1695	The Contractor shall provide daily transaction transmission reconciliation reports that list all the transactions/trips transmitted to the BOS, the number of transactions/trips and the time these transactions/trips were acknowledged by the BOS. These reports also shall list the transactions/trips transmitted to the BOS that were rejected, the status of the re-transmission and records that were identified as exceptions by the receiving entity.
1696	The Contractor shall provide transaction/trip transmission reconciliation reports that summarize the transactions/trips (quantity, amount, Posting status and Posted/paid amounts) by Payment Type that can be validated against ETTM System reports.
1697	The Contractor shall provide image transmission reconciliation reports that help validate that all images and associated transactions/trips transmitted by the ETTM System were successfully received by the BOS. The reports shall list all the transaction images

	transmitted to the BOS, the number of images and data set in each file, as well as the time these files were acknowledged by the BOS.
1698	The Contractor shall provide image transmission reconciliation reports that list the transactions/trips transmitted to the BOS that were rejected and the status of the re-transmission and images identified as exceptions by the BOS.
1699	The Contractor shall provide transaction and revenue reconciliation reports that reconcile with the Financial Account reports and ETTM Systems reports.
1700	The Contractor shall provide transaction and revenue reconciliation reports that reconcile with accounts receivable and revenue reports for all transactions.
1701	The Contractor shall provide reports that track the receipt of the TSL to the ETTM Systems.

1.16.5.3. Reconciliation with Interoperable Agencies Reports

Interoperability reports are provided to assist in reconciling transaction/trips and financial settlement with Interoperable agencies.

1702	The Contractor shall provide all CTOC reports based on the most recent ICD at the time of Go-Live. The current CTOC ICD is in Attachment A: CTOC Technical Specifications for Interagency Data Exchange.
1703	The Contractor shall provide all CTOC type reports for all interoperable and other service related transactions/trips processed by TCA.

1.16.5.4. Reconciliation with ROV Lookup Source(s) Reports

The BOS shall Interface directly with one or more ROV Lookup sources including multiple direct DMV connections and a third-party ROV Lookup Provider to obtain vehicle registration information. The California DMV interface shall also be used for the placement and removal of Registration Holds. The exchange of information and status shall be tracked and reported. Reports provided by the BOS shall match the transactional data provided to the applicable ROV Lookup Service Provider.

1704	The Contractor shall provide reports that track the transmission of each vehicle registration lookup request, acknowledgment and response to each request. Data shall include the processing status of each record, including re-transmission and response code for each ROV Lookup Service Provider (initially California, Arizona, Oregon and Nevada DMVs and the Contractor-selected ROV Lookup Provider).
1705	The Contractor shall provide reports that help identify license plates, including but not limited to:
	• by Jurisdiction;
	• by license plate type including temporary plates;
	• license plates for which no registration data is provided;
	• reason that no registration data is provided;
	• license plates that have no registration data after an established period of time (Configurable);

	• problematic license plate types and
	• exceptions that need to be investigated (Cases).
1706	The Contractor shall provide reports that provide ROV Lookup request and response trends by ROV Lookup Service Provider, Jurisdiction, date and license plate type.
1707	The Contractor shall provide reports that reconcile Registration Hold requests with applicable DMV(s) initially California, including but not limited to:
	• number of Registration Hold requests;
	• number of Registration Holds placed;
	• number of Registration Hold requests rejected;
	• reason that the Registration Hold request was rejected;
	• exceptions that need to be investigated (Cases).
	• number of payments received at DMV;
	• dollar amount of payments received at DMV;
	• payments amount received from DMV and
	• number of Registration Holds released;
1708	The Contractor shall provide reports that track Registration Hold statuses and any discrepancies between the status per the BOS and the status per the DMV or out-of-state DMV.

1.16.5.5. *Reconciliation with Rental Car Companies Reports*

The BOS utilizes the rental car company file exchange process (in addition to what rental car companies can perform on the Self-Service Website Portal) to maintain the vehicle database. File uploads also shall be used to obtain/update vehicle license plates.

1709	The Contractor shall provide the same reports for rental cars processed through TCA.
1710	The Contractor shall provide reports that track the vehicle license plate information provided by the rental car company, including but not limited to:
	• files transmitted or loaded;
	• license plates added;
	• license plates identified as exceptions;
	• effective beginning and end dates/times of the license plates;
	• updates made to the license plate information and
	• the processing status of the license plates.
1711	The Contractor shall provide reports that track the rental information provided by the rental car company, including but not limited to:
	• files transmitted or loaded;

	• Image-Based Transactions/Trips against license plate and/or renter/operator for rental period;
	• outstanding amounts;
	• vehicle status (Registration Hold);
	• Notices and Alerts;
	• status or workflow stage and
	• exceptions.
1712	The Contractor shall provide reports that reconcile to Image-Based Transaction/Trip noticing and financial reports.
1713	The Contractor shall provide reports that show Image-Based Transaction/Trip trends and activity on rental car company license plates.
1714	The Contractor shall provide reports that show Image-Based Transaction/Trip trends and activity by license plate.

1.16.5.6.   Merchant Account Reconciliation with Merchant Service Provider Reports

The BOS shall Interface with the Merchant Service Provider for processing Credit Card payments and refunds.

1715	The BOS shall balance and reconcile every record processed, including but not limited to:
	• payments (sales);
	• voids;
	• refunds;
	• exceptions and
	• chargebacks, chargeback reversals and replenishment.
1716	The BOS shall load and process the Merchant Service Provider reconciliation files in support of the detailed reconciliation.
1717	The Contractor shall provide reports that track the Credit Card files transmitted to the Merchant Service Provider in batch mode and/or records transmitted in real-time, including but not limited to:
	• number of payments;
	• chargebacks, chargeback reversals and replenishments;
	• refunds;
	• reversals;
	• adjustments;
	• errors;
	• authorizations;

	• settlements;
	• payment source;
	• Credit Card type;
	• processed amounts;
	• process status (for example accepted, declined);
	• counts and amounts reported by the Merchant Service Provider for each transaction type;
	• counts and amounts reported by the Merchant Service Provider for each card type;
	• variances;
	• declined reasons;
	• date and time of transmission;
	• Credit Card account number in PCI-compliant format;
	• account number;
	• number of attempts and
	• processing fees.
1718	The Contractor shall provide reports that track the transmission of the Credit Card expiration update request files, including but not limited to:
	• records in the file;
	• response received;
	• errors;
	• no response;
	• retries;
	• old expiration date;
	• new expiration date;
	• Credit Card account number in PCI-compliant format;
	• account number;
	• current account balance (receivable or prepaid);
	• status of update;
	• exceptions and
	• account Alerts.
1719	The Contractor shall provide reports that track the transmission of the Credit Card information update request files, including but not limited to:
	• records in the file;

	• response received;
	• errors;
	• no response;
	• retries;
	• old information;
	• new information;
	• Credit Card account number in PCI-compliant format;
	• account number;
	• current account balance (receivable or prepaid);
	• status of update;
	• exceptions and
	• account Alerts.
1720	The Contractor shall provide reports that display Credit Card payment processing fees, including but not limited to:
	• card type;
	• transaction type;
	• quantity processed;
	• amount processed;
	• per-transaction fees and
	• percentage fees.
1721	The Contractor shall provide reports that display Credit Card payment processing trends, including but not limited to:
	• card type;
	• amount processed;
	• amount declined;
	• quantity;
	• number of errors;
	• transaction type (for example, payment, replenishment, reversal, refund);
	• fees and
	• percentages.
1722	The Contractor shall provide reports that balance to financial reports.
1723	The Contractor shall provide reports that balance to settlement reports.
1724	The Contractor shall provide reports that balance to account reports.

1725	The Contractor shall provide reports that balance to operations (CSR, Website, IVR) reports.
1726	The Contractor shall provide reports that validate compliance to the Performance Measures and note the exceptions.

1.16.5.7. *Reconciliation with Credit Card Update Service Provider Reports*

1727	The Contractor shall provide reports that reflect successful or unsuccessful transmission of update files.
1728	The Contractor shall provide reports that reflect the number of updates requested from the Credit Card update service provider.
1729	The Contractor shall provide reports that reflect the number of updated Credit Card files received from the Credit Card update service provider.
1730	The Contractor shall provide reports that track the transmission of the Credit Card expiration update request files, including but not limited to:
	• records in the file;
	• response received;
	• errors;
	• no response;
	• retries;
	• old expiration date;
	• new expiration date;
	• Credit Card account number in PCI-compliant format;
	• account number;
	• current account balance (receivable or prepaid);
	• status of update;
	• exceptions and
	• account Alerts.
1731	The Contractor shall provide reports that track the transmission of the Credit Card information update request files, including but not limited to:
	• records in the file;
	• response received;
	• errors;
	• no response;
	• retries;
	• old information;
	• new information;

	• Credit Card account number in PCI-compliant format;
	• account number;
	• current account balance (receivable or prepaid);
	• status of update;
	• exceptions and
	• account Alerts.

1.16.5.8.   Reconciliation with the Authority's Bank Reports

All payments and funds received by the BOS are deposited in the Authority's Bank Accounts. The Authority requires the capture of all deposit data in the BOS. Fees for services provided also must be reflected separately in the reporting.

1732	The Contractor shall provide completed reconciliation and supporting BOS reports that reconcile files received from and sent to the banks have been processed.
1733	The Contractor shall provide reports that support and identify source of errors, variances and exceptions.
1734	The Contractor shall provide completed reconciliation and supporting BOS reports that reconcile expected revenue to the actual revenue for each account established by the BOS.
1735	The Contractor shall provide reconciliations and supporting BOS reports that reconcile to the financial reports.
1736	The Contractor shall provide reconciliations and supporting BOS reports that reconcile to payments received by the BOS from various entities, such as Interoperable Agencies, Credit Card processor and Lockbox Service Provider (optional).
1737	The Contractor shall provide completed reconciliations and supporting BOS reports that reconcile to payments made by the BOS to various agencies.
1738	The Contractor shall provide completed reconciliations and supporting BOS reports that reconcile to payments made by the BOS to various entities, such as Interoperable Agencies and customer refunds.
1739	The Contractor shall provide completed reconciliations and supporting BOS reports that reconcile to the bank statements provided by the bank, including but not limited to:
	• beginning balance;
	• activities for the month (such as payments, adjustments and checks cleared);
	• deposits in transit;
	• outstanding checks;
	• reconciling items and
	• ending balance.

1.16.5.9.   Reconciliation with Collections Reports

The Contractor shall utilize collection services to pursue Image-Based Transactions/Trips and other unpaid receivable balances.

1740	Reports provided by the BOS shall track:
	• the transmission of files;
	• Collections Placements in collections by Collection Agency;
	• collections aging and
	• performance of each Collection Agency.
1741	The Contractor shall provide reports that track the transmission of the collection files and collections responses including but not limited to:
	• number and dollar value of accounts by account type in the collections file;
	• outstanding amounts (fees, penalties and Tolls);
	• number and dollar value of Collections Placements;
	• number and dollar value of transactions/trips;
	• number of responses received and
	• number of errors.

1.16.5.10.   Reconciliation with California FTB Tax Intercept Program Reports

The Contractor shall utilize the California FTB to pursue Image-Based Transactions/Trips and other unpaid receivable balances.

1742	Reports provided by the BOS shall track:
	• the transmission of files;
	• debts placed with FTB;
	• debt at FTB aging and
	• performance of FTB.
1743	The Contractor shall provide reports that track the transmission of files and FTB responses, including but not limited to:
	• number and dollar value of accounts by account type in the FTB file;
	• outstanding amounts (fees, penalties and tolls);
	• number and dollar value of FTB Placements;
	• number and dollar value of transactions/trips;
	• number of responses received and
	• number of errors.

1.16.5.11. *Reconciliation with Lockbox Reports (optional)*

All payments and funds received by the Lockbox Service Provider (if elected) are deposited in the Authority's Bank Accounts. The Authority requires the capture of all deposit data in the BOS. If the Contractor provides a Lockbox Service Provider, the following applies:

1744	The Contractor shall provide reports that track Lockbox Service Provider payments (summary and detail), including but not limited to:
	• account number;
	• Payment Type;
	• number of payments;
	• payment amounts;
	• payment dates;
	• document type;
	• document number;
	• amount exceptions;
	• account exceptions and
	• other exceptions.
1745	The Contractor shall provide reports that balance to financial reports.
1746	The Contractor shall provide reports that balance to settlement reports.
1747	The Contractor shall provide reports that balance to account reports.
1748	The Contractor shall provide reports that display payment trends.

1.16.5.12. *Reconciliation with Print/Mail House Provider Reports (optional)*

The Contractor may utilize the services of third-party Print/Mail House Provider(s) to mail Notifications to customers. The reconciliation of the Notifications transmitted to the Print/Mail House Provider(s) and tracking of mailing date is critical to the CSCBOS operations.

1749	The Contractor shall provide reports that track the Notification files and the Print/Mail House Provider responses, including but not limited to:
	• number of records transmitted;
	• number of responses received;
	• number of bad addresses and
	• number of corrections made.
1750	The Contractor shall provide reports that track the Notification files transmitted to the Print/Mail House Provider, including but not limited to:
	• Notification type quantity and total dollar value;

	• number of Violation Transactions/Trips and fees and penalties in each Notice;
	• date transmitted;
	• response on each Notification;
	• processing status of each Notification;
	• date of printing;
	• date of mailing;
	• number of pages;
	• Notifications that were not mailed;
	• mailing exceptions (such as duplicate mailing or Notification missing elements);
	• cancelled requests;
	• re-prints and
	• re-transmissions.

1.16.6. Data Analytics (Business Intelligence) (Phase II and Optional)

The commercial off-the-shelf (COTS) data analytics Software will be used in conjunction with the data warehouse to provide data analytics (business intelligence).

1751	The Contractor shall provide a COTS data analytics solution that works in conjunction with the data warehouse.
1752	The Contractor shall provide the capability for the analysis of multi-dimensional data sets, arrays and data cubes using an online analytical processing (OLAP) tool.
1753	The Contractor shall provide 10 pre-defined analytics reports (to be determined during a post-Go-Live Phase II period).
1754	The Contractor shall provide the capability for Authorized Users to display, print and export to reports and presentations the results of analysis in multiple formats, including but not limited to:
	• all standard forms of tabular reporting;
	• all standard forms of graphs;
	• all standard forms of charts and
	• maps by ZIP code, city, county, state and country.
1755	The Contractor shall provide customized, graphical, reporting templates for the display, printing and export of information into reports and presentations.
1756	The Contractor shall provide the capability for Authorized Users to do self-service data queries and analysis.

1757	The Contractor shall provide the capability to produce analytical reporting so activity on the complete Express Lanes by any combination of the following parameters in both report and data query format, including but not limited to:
	• account type;
	• account status;
	• customer account demographic information;
	• CSC operational customer service data;
	• customer Notifications information;
	• payments type;
	• vehicle type;
	• Interoperable or home customers;
	• revenue type;
	• Transponder-Based Transactions/Trips;
	• Image-Based Transactions/Trips;
	• plate type;
	• Violations;
	• I-Tolls;
	• time period (for example, day, week, month, year);
	• time of day and
1757	• day of week of the transaction.

Exhibit B

Volume III: Customer Service Center (CSC) Operations

Draft
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CONTENTS

1. SCOPE OF WORK AND REQUIREMENTS

The following subsections describe the Scope of Work and the Requirements for the CSC Operations. These Requirements are numbered to track obligations per the Agreement and any changes which may occur during the Project. Many of the Requirements contain underlying lists of specific items and work functions. The intent of these "including but not limited to" lists is to indicate to the proposer the intent and scope of the Requirement.

1.1. Operational Requirements

1.1.1. General Requirements

This section lists the high-level operations Requirements.

1	The Contractor shall provide all management, system maintenance, supervisory, financial and CSC Operations staff, including qualified management, professional and clerical personnel, to professionally operate and administer the Authority's CSC Operations in a manner that meets all required Performance Measures.
2	The Contractor shall put in place the organizational structure and headcount required to meet these Requirements.
3	The Contractor shall be responsible for all providing all consumables (other than those explicitly stated to paid for by the Authority). Costs of consumables shall be included in the Contractor's Price Proposal.
4	At the Authority's direction, the Contractor shall perform the Work Required herein for any new Toll Facilities that may be implemented during the Operations and Maintenance Phase.

1.1.2. I-405 CSC and WIC Facility

The Authority will provide a new primary space for the I-405 CSC and WIC.   The Contractor is required to operate this Authority provided facilities as described in the sections below.   The Contractor will have unlimited access to the facility and may use expanded operational hours as needed to accomplish the Work. There is a currently operational OCTA Store WIC that will provide I-405 customer service that will be operated and staffed by OCTA.

The Contractor will not be charged rent/utilities for the use of Authority provided facility and furnishings. Although the facility will house other Authority contractors, the Contractor will be the point-of-contact and coordination point for all maintenance, repair, service and janitorial issues related to the facility regardless of location or origin,

5	The Contractor shall coordinate and facilitate tours of CSC Operations facilities and guide tours.
6	The Contractor shall be the custodian of all the Authority's fixed assets at the I-405 CSC and WIC facility (regardless of provider) and provide tracking and reporting as required.

7	The Contractor shall facilitate, coordinate and be the point of contact for all I-405 CSC facility and equipment related maintenance and repairs that are not the fault of the Contractor (either the Authority will pay directly for the repairs or Authority will request that the Contractor pay and submit for payment through the weekly accounts payable batch process). All Contractor labor necessary for these services shall be included in the Contractor's Price Proposal and shall not be invoiced or be considered Additional Work. Repairs that are the result of Contractor actions shall be handled and paid for by the Contractor alone and the Authority shall be notified and kept informed.
8	For all third party coordinated work, the Contractor shall receive a minimum of three (3) quotes and submit to Authority for Approval/selection. Upon selection, Contractor shall initiate purchase order with the selected vendor.
9	The Contractor shall provide the coordination and facilitation of various Authority directed meetings in the CSC Operations conference rooms as requested by the Authority, including but not limited to: • ensuring conference room is clean and all furniture and Equipment is in working order; • providing meals for meetings (submit for payment through the weekly accounts payable batch process) and • attending meeting.
10	The Contractor shall provide and install all internal workspace signage and name plates.
11	The Contractor shall provide all office supplies required for CSC Operations and staff.
12	The Contractor shall provide all Equipment supplies, for example toner, paper, etc.

1.1.2.1.   OCTA Store WIC

The OCTA Store WIC located in the same building as Authority's offices and is staffed by Authority employees. These Authority employees will be trained by the Contractor and the Contractor shall also provide escalation and operations support. There is no room for operational activities other than walk-in customer service at this site. OCTA Store WIC computers, peripherals and equipment will be provided by the Authority.

Location Name	OCTA Store WIC
Address	600 S. Main Street, Orange CA 92868
Square Footage	N/A
Functionality	WIC

1.1.2.1.1.   Hours of Operation and Holidays

13	The Contractor shall train and provide escalation and operations support for the Authority employees and customer relations staff.

14	The OCTA Store WIC shall be open 8 am- 5 pm Monday – Friday, Pacific Time.
15	The OCTA Store WIC shall observe the following Holidays: • New Year's Day; • Memorial Day; • Independence Day; • Labor Day; • Thanksgiving Day; • Friday after Thanksgiving Day and • Christmas Day.
16	For any listed Holiday occurring on Saturday or Sunday, the OCTA Store WIC shall observe the Holiday on the same day as Authority's other staff.
17	The Authority may close the OCTA Store WIC (for example, for emergency or weather conditions).

1.1.2.2.   New I-405 CSC and Walk-in Center (WIC)

The CSC site is the sole Authority provided space for customer contact, CSC Operations and other processing required to meet the Requirements.

Location Name	Customer Service Center (CSC)
Address	Near the I-405 Corridor (exact location is TBD)
Square Footage	TBD
Functionality	All customer service and processing work

The CSC facility shall meet the requirements below.

18	The Contractor shall staff and operate the CSC.
19	The Contractor shall provide maintenance at this facility and ensure that the facility is professional in appearance and clean.
20	The Contractor shall exercise due care in the use, maintenance and storage of the Authority-provided facility, property and assets.
21	The Contractor shall comply with all requirements of the property lease and facility license agreements (if applicable).
22	The Contractor shall promptly notify the Authority of any weakness in the security at the CSC facility.

23	The Contractor shall utilize cameras in accordance with PCI/PII requirements and the Contractor's preferred operational and security approach. The Authority shall have access to view and copy the camera footage upon request.
24	The Contractor shall make all Authority-directed and Approved improvements to the CSC facility, if any, as a combination of Additional Work and a pass-through cost.
25	The Contractor shall provide a minimum of one Spanish-speaking CSR in the CSC facility during all the hours of operation.
26	The Contractor shall equip the CSC customer contact center such that customers shall not hear cross talk when contacting the CSC by phone (crosstalk is any phenomenon by which a signal transmitted on one circuit or channel of a transmission system creates an undesired effect in another circuit or channel).

1.1.2.2.1.   Hours of Operation and Holidays

The Authority require a high-level of customer service availability. The hours below are the minimum hours which the various elements of the CSC Operation must be staffed and operated.

27	The CSC contact center shall be open for calls, customer contacts and customer interactions from 8 a.m. to 6 p.m. Monday – Friday, Pacific Time.
28	The CSC shall observe the following Holidays:
	• New Year's Day;
	• Memorial Day;
	• Independence Day;
	• Labor Day;
	• Thanksgiving Day;
	• Friday after Thanksgiving Day and
	• Christmas Day.
29	For any listed Holiday occurring on Saturday or Sunday, the CSC shall observe the Holiday on the same day as Authority's staff.
30	The Contractor shall close the CSC upon Approval from the Authority (for example, for emergency or weather conditions).

1.1.2.3.   Serving Customers with Special Needs

The Contractor shall work with the Authority and develop a I-405 CSC and WIC facility design that meets the Americans with Disabilities Act of 1990 (ADA) standards for accessibility for both staff and customers and be of appropriate size to contain the staff, furniture, equipment and supplies necessary to conduct operations described in this Scope of Work for the duration of the Agreement.

31	The Contractor shall report any facility-related ADA compliance issues to the Authority immediately.
32	The Contractor shall identify and contract with a real-time translation service to serve customers whose language is other than English and Spanish, and whose language is not spoken by an available Contractor staff person. The service is to be provided on an as-needed basis and be available during all customer service hours.
33	The Contractor shall track the use of the translation service and shall provide tracking and accountability that identifies which account or document is related to each use of the service.
34	The Contractor shall provide and utilize equipment to serve hearing-impaired customers in accordance with customer service best practices and applicable federal and state statute and requirements.

1.1.2.4.   Security and Facility Access Control

35	At the CSC, the Contractor shall be responsible for administering the physical security system and the CCTV Surveillance Systems.
36	The Contractor shall provide and/or coordinate all security badges, parking, and administrative needs to access the building office space and for Authority staff or third-party vendors to work from the CSC location, as needed.
37	The Contractor shall ensure the CSC facilities are accessed only by authorized personnel with the appropriate privileges, and the Contractor shall ensure security is not breached. The Contractor shall be responsible for establishing procedures and policies and carrying out these procedures and policies for all visitors accessing the CSC facilities. The policies and procedures shall be Approved by the Authority.
38	The Contractor shall ensure access is limited to those functions required for the employees to perform their jobs while providing an appropriate segregation of access, based on employee responsibilities.
39	The Contractor shall maintain and provide to the Authority as requested an access matrix that lists all personnel with access privileges to the CSC facilities. The matrix shall identify each employee's position, job functions, facility access rights, and access rights. Visitors and guests who are not directly working on the Project must be approved by the Authority in advance.
40	The Contractor shall conduct reviews of the access matrix against the actual access for all employees in accordance with all security Requirements. Such reviews shall be conducted no less than quarterly or anytime at the request of the Authority. The Authority shall be invited to witness this review. The schedule for these reviews shall be included in the Operations Plan.
41	The Contractor shall ensure all facilities used by the Contractor to perform any Work in support of the Agreement shall be established and maintained in compliance with the Security Standards throughout the term of the Agreement.

1.2. Operational Functions

CSC Operations shall cover all functional areas as summarized below, including any required manual interactions or data entry that may be required of Contractor staff.

1.2.1. Account Management

The Contractor shall provide the following Services in an efficient and effective manner that allows customers to establish, manage and monitor their accounts.

42	The Contractor shall process all account opening activities, not otherwise performed by the customer, using the BOS, including but not limited to processing the customer application, customer acceptance of terms and conditions, Account Plan enrollment and qualification verification, payment processing, and transponder Fulfillment.
43	Using the BOS, the Contractor shall be responsible for the Fulfillment of any and all transponder types specified by the Authority.
44	The Contractor shall support the assigning, qualification verification and management of Account Plans, including non-revenue plans in the BOS, as Approved by the Authority,
45	In case of an incorrect or incomplete application, the Contractor shall contact the customer to facilitate successful account creation.
46	The Contractor shall support all activities related to account closing. In the event of closing the Contractor shall ensure that the customer's transponder(s) is changed to the appropriate status in the BOS and that all outstanding balances are paid or handled in accordance with the Business Rules, Operations Plan and SOPs prior to closing the account.
47	The Contractor shall update customer account information based on Notification from entities including but not limited to: • customer or Authorized Designee; • Registered Owner of Vehicle (ROV) Lookup Service Provider; • United States Post Office; • Skip Tracing Service Provider; • Banks (for replenishment); • Collection Agencies; • Print/Mail House Provider; • Lockbox Service Provider (if used by Contractor); • Credit Card Update Service Provider and • Merchant Services Providers (MSPs).

1.2.1.1.   *Payments, Fees and Refunds*

Contractor will process payments at the CSC facilities and over the phone as well as resolve and post any payments where the Lockbox Service Provider (if used by Contractor) was unable to identify the correct account. In addition, the Contractor will assist in the processing of third-party and pass-thru payments.

48	The Contractor shall process all payments received from customers either directly or through the services of a Lockbox Service Provider.
49	The Contractor shall resolve and process Lockbox Exceptions if a Lockbox Service Provider is utilized. These exceptions are payments which cannot be readily associated with a customer account. The Contractor shall be responsible for conducting timely research on these payments so that they can be posted to a customer account as quickly as possible. If all research avenues have been exhausted and documented and the payment remains unassociated, the payment shall be tracked as an unidentified funds Case for future resolution.
50	The Contractor shall support processing of payments by Authority staff, customers, Franchise Tax Board, DMV, Interoperable Partners and Collection Agencies and reconcile all payments to customer accounts and money deposited in the bank.
51	The Contractor shall apply any fees which require manual application using the BOS in accordance with Business Rules, Operations Plan and SOPs.
52	The Contractor shall research, respond to and process chargebacks.
53	After the pre-established time period determined by the Authority has expired, the Contractor shall issue refunds using the same channel the customer used, if possible, to make the payment, in accordance with the applicable Authority Business Rules, Operations Plan and SOPs.
54	In the case of check refunds, the Contractor shall use Positive Pay to deter check fraud.
55	The Contractor also shall ensure that Credit Card refunds are successfully processed.
56	The Authority has Business Rules related to the processing of refunds. Some refunds may be issued by the Contractor; others will be issued by the Authority; however, the Contractor shall enter these refund checks into the Authority's financial accounting systems for issuance by the Authority.
57	At the direction of the Authority and per the SOPs the Contractor shall enter payments into the Authority's financial accounting systems for direct payments to third parties for issuance by the Authority (for example, payments to third parties contracted directly by the Authority to provide services at the I-405 CSC facility).
58	At the direction of the Authority and per the SOPs the Contractor shall enter payments into the Authority's financial accounting systems for reimbursement of pass-thru costs submitted by the Contractor for issuance by the Authority.

1.2.1.2. Account Plans

The Authority has several Account Plans. These plans may be assigned at the individual transponder, or account level and each may have only one Account Plan assigned to it.

The Contractor shall be responsible for managing the various Account Plan programs including, enrollment in the program, eligibility verification, program membership renewal, and handling questions from customers regarding how the programs work and questions about specific transactions/trips under the programs. In addition to the Account Plans listed in this section, the Contractor should expect that plans may be added, deleted or modified over the course of the Operations and Maintenance Phase.

59	In accordance with Business Rules, Operations Plan and SOPs, the Contractor shall provide support for all the Account Plans, including new and modified plans.
60	For the Account Plans that require qualification, the Contractor shall verify qualification, scan and attach the qualification documentation prior to adding the plan(s) to the customer account.
61	For Account Plans requiring qualification, the Contractor shall remove the Account Plan and notify the customer if their eligibility requirements are no longer met.
62	For Account Plans which expire and require renewal, the Contractor shall verify qualification prior to renewing the plan on the customer account.
63	For Account Plans requiring payment, the Contractor shall collect appropriate payment from the customer as required by the enrollment process for the specific Account Plan.

1.2.1.3. Non-Revenue Program

The Authority allows for non-revenue passage on qualified users on specific facilities. Non-revenue passage may be assigned at the individual transponder, or account level. The Contractor shall maintain strict control when a transponder is issued to an account with a non-revenue plan and the reason for issuing it. The Authority must ALWAYS Approve the issuance of any non-revenue transponder.

The Contractor shall be responsible for managing enrollment in the program after obtaining the Authority's Approval, verifying eligibility, handling questions from customers in regard to how the programs work and questions about specific transactions/trips under the programs.

64	In accordance with the Business Rules, Operations Plan and SOPs, the Contractor shall provide support for all of the Authority's non-revenue programs.
65	Prior to applying a non-revenue plan to a transponder, plate or an account, the Contractor shall obtain Approval from the Authority.
66	The Contractor shall maintain documentation of authorization for each non-revenue plan that has been assigned to a transponder or an account, and this documentation shall be available for review by the Authority at all times.

67	The Contractor shall manage non-revenue account participants certification that the transactions/trips on a non-revenue account are according to the agreement.
68	The Contractor shall perform random checks to confirm the transponder is being used on an authorized plate
69	The Contractor will administer non-revenue accounts that do not have transponders issued when directed by the Authority.

1.2.2. Privacy

Privacy is of utmost concern to the Authority. The Contractor shall adhere to privacy and security Requirements set forth below and in the Security Standards and current law and regulations.

70	The Contractor shall develop and comply with all Approved Security Standards. Security Standards shall be updated to reflect changes in industry requirements, partner agreements and to address detected security weaknesses.
71	The Contractor shall not release information to anyone unless authorized by the Authority. The Contractor shall develop an SOP and approval process for the release of information.
72	The Contractor shall establish reasonable methods to verify the identity of customers prior to the release of any customer account information, and such methods shall be documented in the Operations Plan and SOPs.
73	The Contractor shall validate the identity of the customer prior to release of any image. This may include requiring a photo ID at a WIC.

1.2.3. Rental Cars

The Authority's customers utilize rental vehicles which create transactions/trips that are initially assigned to a rental agency. The Authority may utilize Rental Car Service Providers and/or other designated entities for processing the rental car trips.

74	The Contractor shall work directly with customers, the Rental Car Service Provider and/or other designated entity to accurately process all rental car trips and resolve rental-related requests.
75	The Contractor shall enter into agreements with a Rental Car Service Provider for the purpose of providing a seamless and cost-effective solution for customers. The Authority shall have the right to review and approve all Rental Car Service Provider Agreements.
76	The Contractor shall provide the capability for a rental customer to post-pay a toll based on the Authority's Business Rules
77	The Contractor shall process affidavits of non-liability for rental/lease vehicles and pursue the named party.
78	The Contractor shall resolve charges by rental agencies for accountholders who incur a charge by rental agencies.

1.2.4. Search Warrants, Subpoenas, Litigation and Public Records Requests

The Authority receives requests for information and assistance from the law enforcement and legal communities as well as public records requests. These requests are highly time-sensitive and required sensitive and skilled handling.

79	The Contractor shall refer all requests, inquiries, subpoenas, search warrants, public records requests and official information requests to the Authority, in accordance with Business Rules, Operations Plan and SOPs.
80	In accordance with the Business Rules, Operations Plan and SOPs for handling and tracking of such requests, the Contractor shall gather and provide the information requested by the search warrant or subpoena upon receiving Approval from the Authority to do so.
81	The Authority may request that the Contractor compile data for subpoenas, search warrants, litigation matters, or other reasons. The Contractor shall respond to all requests from the Authority in a timely manner and in accordance with the Business Rules, Operations Plan and SOPs.
82	The Contractor shall assist the Authority's risk management department as directed in handling all claims and requests.
83	If the research will take longer than two (2) Business Days, the Contractor must advise the Authority.
84	The Contractor shall provide qualified personnel to support litigation, including providing testimony as an expert witness upon request from the Authority.

1.2.5. Image Review Support

Image collection and processing is a fundamental operation of the Authority's transaction/trip processing and Violation enforcement process. Vehicle license plate images are captured by roadside equipment for all transactions/trips. If a valid FasTrak transponder is not identified, the images associated with that transaction/trip are reviewed by the ETTM System Contractor in a process called image review. These images and results of the review will be used to determine if a plate is associated with a FasTrak account or is a Violation. These will include rear license plate images as well as Region of Interest images. The ETTM System Contractor will identify the plate number, and Jurisdiction and plate type, if applicable, and provide this information to the BOS. The BOS will automatically Post the transaction/trips to the customer accounts, IOP or generate Violation Notices based on the license plate information received from the ETTM System Contractor.

1.2.5.1. Image Review Quality Assurance

The accuracy of the image review process is critical to the successful identification of the ROV. As part of the Quality Assurance (QA) process, the Contractor will conduct an accuracy review and audit process of the manual and automated image review results. Using the ETTM System Contactor's-provided quality review tool, the Contractor will perform quality reviews on the results from each ETTM System Contractor to ensure that the ETTM System Contractor is accurately identifying a high percentage of license plates.

85	The Contractor shall provide for an adequate number of trained and qualified image review staff to handle the quality review volume.
86	The Contractor shall perform manual image review on a sample of at least 1% of all Image-Based Transactions/Trips per month that were provided by the ETTM System Contractor to determine accuracy of state, plate type, plate number and OCR confidence level.
87	The Contractor shall provide a report to the Authority of the audit and findings.
88	The Contractor shall correctly determine for each image set whether the ETTM System Contractor accurately processed the image and if not enter the correct plate information or reject code and provide the findings to the ETTM System Contractor.
89	The Contractor shall work with the Authority and ETTM System Contractor to take the necessary steps to correct identified errors from the automated review process so that they do not continue to occur. For example, an ETTM System may be mistaking the letter "E" for the letter "F" for the state of California so the Contractor would communicate the problem to the specific ETTM System Contractor and provide examples of the issue.

1.2.5.2.   DMV No Registered Owner Information Return Quality Review

Periodically image transactions/trips will be returned from the DMV source with no registered owner information. This can be a result from several factors including a license plate entered incorrectly. Part of the Contractor's responsibility will be to ensure the transactions/trips with no registered owner information were not caused by an incorrect license plate or improperly formatted DMV submission.

90	The Contractor shall review all image transactions/trips that are returned from the DMV source without registered owner information to ensure license plate entry was accurate.
91	The Contractor shall accurately enter information related to the vehicle identified in each image set, including but not limited to:
	• plate number;
	• plate type, if applicable and
	• Jurisdiction.
92	The Contractor shall work with the Authority and ETTM System Contractor to take the necessary steps to correct identified errors from the automated review process so that they do not continue to occur. For example, an ETTM System may be mistaking the letter "E" for the letter "F" for the state of California so the Contractor would communicate the problem to the specific ETTM System Contractor and provide examples of the issue.

1.2.5.3.   Customer Inquiry Image Error

Quality reviews are required to verify customer-disputed transactions/trips. Customers may contact the CSCs regarding a notification they received that incorrectly identifies them as a user of a toll facility. This can be a result from several factors including a license plate entered incorrectly. Part

of the Contractor's responsibility will be to ensure the transactions/trips with no registered owner information were not caused by an incorrect license plate.

93	The Contractor shall also research and review images related to customer disputes and correct and reprocess.
94	The Contractor shall accurately enter information related to the vehicle identified in each image set, including but not limited to:
	• plate number;
	• plate type, if applicable and
	• Jurisdiction.
95	The Contractor shall work with the Authority and ETTM System Contractor to take the necessary steps to correct identified errors from the automated review process so that they do not continue to occur. For example, an ETTM System may be mistaking the letter "E" for the letter "F" for the state of California so the Contractor would communicate the problem to the specific ETTM System Contractor and provide examples of the issue.

1.2.6. Owner Identification

Successful acquisition of accurate ROV information is critical to the success of the Authority's Violation enforcement program. The Contractor shall be completely responsible for establishing and maintaining both technical and operational relationships with the Registered Owner Lookup Providers. The Contractor must ensure that the Authority is receiving the optimum number of current and accurate ROV matches.

96	The Contractor shall establish and maintain up-to-date agreements with each Registered Owner Lookup Service Providers.
97	The Contractor shall provide the capability to track and follow the renewal Requirements for each Registered Owner Lookup Service Provider. For example, a state may require that a DMV data access application form be submitted and approved annually.
98	The Contractor shall use online interfaces to the California, Arizona, Oregon and Nevada DMVs and other DMVs as they become available to manually look up individual license plates at the request of the Authority or in order to resolve customer disputes.
99	The Contractor shall provide the following ROV-related activities, including but not limited to:
	• Establish and maintain a relationship with each Registered Owner Lookup Service Provider;
	• Manage current contracts and service level agreements with each Registered Owner Lookup Service Provider;
	• Monitor and evaluate the number of successful matches by jurisdiction;
	• Monitor and evaluate the number of successful matches by Registered Owner Lookup Service Provider;

	• Monitor and evaluate the number of successful matches by type of license plate;
	• Identify issues with manual license plate identification and provide information to allow the ETTM System Contractor to correct the issue, including examples and training material;
	• Identify issues with automatic license plate identification and provide information to allow the ETTM System Contractor to fix the issue and
	• Identify areas where the ROV match is lower than the average, investigate potential solutions and provide recommendations to the Authority.
100	The Contractor shall coordinate with the ETTM System Contractor regarding BOS updates required due to any changes in ROV Requirements.
101	The Contractor shall monitor the success of ROV Lookup requests each month and when a change is made by the ETTM System Contractor reporting on the number of requests for which an ROV was obtained (successful lookup) and the number for which a request was not obtained (unsuccessful lookup) by Jurisdiction.
102	The Contractor shall identify Jurisdictions in which the percentage of successful requests decreases by more than five percent (5%) from the prior month and shall work with the appropriate ROV Lookup Service Provider to identify issues and solutions in collaboration with the ETTM System Contractor to ensure images are processed correctly.
103	The Contractor shall develop solutions to increase the ROV Lookup success.
104	The Contractor shall research and then input and manage the BOS Protected Plate data that associates an address with the agency names that are returned from the DMV or ROV Lookup Provider for license plates registered to a customer affiliated with federal, state or local agency that is allowed to shield addresses.
105	The Contractor shall facilitate the Protected Plate process of entering the correct agency address and resending the Violation Notice.

1.2.7. Customer Communications

1.2.7.1. Outgoing Customer Notification

The Contractor is responsible for all necessary customer communication in accordance with the Operations Plan. At its discretion, the Authority will choose to produce some outgoing customer correspondence within its reprographics department.

106	The Contractor shall make contact with customers, by using the Authority's required method of communication about account management, general information, marketing, changes to account and privacy policy.
107	The Contractor shall be responsible for printing, pdf creation, storing and associating with accounts, envelopes, mailing and postage for all communications.

108	The Contractor shall be responsible for acquiring and assembling all materials necessary for the mailing of transponders including, welcome kit, envelopes, sealing wafers, special inserts, stickers and mounting strips. The Contractor shall pay for mounting strips and other items not explicitly included in the pass-through list.
109	When directed by the Authority, the Contractor shall coordinate with the Authority's reprographics department for the production of outgoing correspondence. The Contractor shall be responsible for pick up, assembly and mailing.
110	The Contractor shall utilize the USPS/NCOA database services to validate a customer address prior to mailing correspondence.
111	The Contractor shall provide all postage meters and be responsible for payment of any postage meter fees.
112	The Contractor shall be required, at its own expense, to communicate to customers or the general public, including resending corrected notifications, any information related to issues or problems caused by the Contractor that affect customers, as further set forth in the Agreement.
113	The Contractor shall be responsible for printing, packaging and distributing printed information, developed by the Authority.
114	The Contractor shall manage the sending of e-blasts (sending of an email simultaneously to a group of people), developed by the Authority, to selected groups of customers or all customers using BOS functionality.

1.2.7.2.   Outgoing Communications (Future)

The Authority may elect during the term of the Agreement to offer video tolling for unregistered accounts (mailed invoices) as the first step of the Violations process. The Authority anticipates that video tolling transactions would be grouped in regular intervals, such as weekly or monthly, prior to mailing invoices to customers.

115	If directed by the Authority, the Contractor shall manage the mailing of invoices and the subsequent customer dispute and Violations process.

1.2.7.3.   Incoming Customer Communication

Incoming customer communication includes customer applications; replenishment payments; Violation payments; customer complaints; disputes; general public inquiries; legal notices (for example, bankruptcy, subpoena etc.); requests for account closures, account information updates and transponders. These communications will be received through all channels including but not limited to phone calls, faxes, texts, chat sessions, emails, Authority contacts, and mail.

Facilities and procedures are required to provide careful and efficient handling of all incoming customer communication, including the BOS providing for tracking of customer requests as Cases associated to the appropriate account(s).

116	The Contractor shall assume the responsibility of establishing all required post office boxes.
117	The Contractor is responsible for all mail pickup and transfer between facilities as required.
118	The Contractor shall receive mail from the post office boxes for incoming mail.
119	All customer contacts handled directly through the Contractor staff shall be noted in the customer account in the BOS to maintain an accurate history of the customer's interaction with the CSC and Authority.
120	The Contractor shall provide a response for all correspondence received from the customer regardless of which channel the customer uses to communicate, including but not limited to, correspondence received by:
	• email;
	• fax;
	• text;
	• chat;
	• communication from the website's "Contact Us" feature and
	• delivered (USPS or by other means) correspondence.
121	The Contractor shall monitor and respond to customer requests received by phone, chat and text in real time when received during regular business hours.
122	The Contractor shall strive to provide first contact resolution and track the number of contacts resolved on first contact.
123	The Contractor shall encourage users receiving a Violation Notice to open a FasTrak account when they contact the CSC.
124	The Contractor shall ensure incoming correspondence (paper or electronic) is scanned (in the case of paper correspondence), saved and associated with the customer's account and any applicable Case(s). Non-customer correspondence shall also be scanned and catalogued for easy access. Paper copies shall be shredded, in accordance with security requirements, and policies agreed upon by the Authority, in adherence with the Security Standards and documented in the Operations Plan.
125	The Contractor shall use the same channel used by the customer or customers preferred channel to respond to the customer correspondence unless the Business Rules, Operations Plan or SOPs specify a different channel or if the nature of the customer issue necessitates the use of a different channel.

126	The Contractor shall monitor the communications channels used and frequency of all customer correspondence and recommend for consideration BOS configuration changes that improve the use of customer-friendly, efficient and cost- effective customer communication methods.
127	Some customer contact may involve questions about Image-Based Transactions/Trips. The Contractor shall utilize the BOS to view images related to the transaction/trip in question and if appropriate work with the ETTM System Contractor to correct issues.
128	All incoming mail shall be processed by the Contractor, in accordance with the SOPs and applicable standards, including but not limited to the Security Standards. Such requirements include but are not limited to: segregation of duties; date stamping the mail, categorization, scanning and/or saving into the BOS as Cases, and then assigning to the appropriate Contractor staff for processing.
129	The Contractor shall develop a workflow process that clearly documents the handling process for all incoming correspondence and communication through all channels, ensuring all incoming correspondence and communications are recorded, reviewed and properly routed (such as, operational correspondence, financial, contractual, etc.). This shall be documented in the Operations Plan and SOPs.
130	The Contractor shall ensure all correspondence handling processes and controls are documented and adhered to by operations staff. The Authority shall Approve the correspondence handling process and any changes to the handling process.
131	With the exception of customer requests regarding their own accounts, the Contractor shall only answer general inquiries as they relate to general information about the tolling facilities serviced and services provided by the CSC. All other inquires and communications shall be escalated to the Authority as a Case as set forth in the Operations Plan and SOPs, unless the Contractor is otherwise directed in writing by the Authority. This includes inquiries from or communications with the media, government agents, Public Records Act requests and individuals representing organizations for purposes other than directly related to their own customer account.
132	The Contractor shall keep a record of all information requests as a Case, inform the Authority immediately of inquiries from these entities and direct such inquiries to the Authority, according to the Operations Plan.
133	Customers may contact the Contractor regarding issues the Contractor does not control, for example debris on the roadway, or general tolling questions. The Contractor shall collect the required information and handle the issue in accordance with the Operations Plan. The Contractor shall create a Case and track the issue until it is accurately resolved or handed off to the appropriate party responsible for resolution in accordance with the Operations Plan.

1.2.7.4. Returned Mail Processing

Returned mail shall be returned by the USPS and the Contractor shall update the BOS to reflect the status of the Notification and attempt to obtain a different address to mail the Notification to the customer if a forwarding address was not provided.

134	The Contractor shall scan each returned envelope and Notification and attach the scan to the correct customer account. Any physical pieces of returned mail received will follow the document disposal process after scanning.
135	The Contractor shall enter a forwarding address, if provided.
136	For addresses without a forwarding address, the Contractor shall mark the address as bad.
137	For bad addresses on FasTrak account correspondence, the Contractor shall attempt to determine a new address using the USPS/NCOA database and Skip Trace services.
138	For bad addresses on Violation Notices, the Contractor shall attempt to determine a new address using the USPS/NCOA database and Skip Trace services.
139	The Contractor shall utilize the USPS/NCOA database and Skip Tracing services to find a customer address.
140	If a different, current address is provided, the Contractor shall update the address in the BOS and take the necessary steps for the BOS to re-issue the correspondence.

1.2.7.5.   Collateral Materials for Customers

The Authority will provide the art work for all customer collateral, excluding system generated notices.

141	The Contractor shall print, deliver to and inventory all collateral materials according to the print specifications provided by the Authority.
142	The Contractor shall work with the USPS to obtain approval of printed material design to ensure compliance with the USPS requirements and to determine the lowest postage and staff handling effort for each mail piece type.
143	The Contractor shall modify/update as directed by the Authority and print the generic collateral material when changes to the information contained in the material necessitate a revision.

1.2.7.6.   Customer Request Management

The BOS provides the capability to create, assign and manage requests made by customers or Authorized Users which cannot be completely resolved at the time of the request. These requests become Cases. Case management is the creation and management of Cases where a Case represents an activity or action required to satisfy the Authority, customer or general public need or inquiry.

144	Many customer issues or requests (such as, changing a customer's contact information), can be completely resolved at the time of the customer request. If the issue or request is completely resolved during the initial contact, the Contractor shall notate it in the customer's account.

145	Any customer issue or request that cannot be completely and accurately resolved at the time of request shall be entered into the BOS as a Case, for management, tracking and reporting. Contractor's staff shall work open Cases through to final resolution in a timely manner as required in the Operations Plan and in accordance with the Performance Measures.
146	The Contractor shall accurately resolve and respond to customer issues and requests by the customer's preferred method of contact (email and mail) if available and according to the Business Rules, or by letter, email, mail, phone or text depending on the circumstances of the issue/request. The escalation procedures for customer issues and requests shall be described in the Operations Plan.
147	The Contractor shall respond to customer Cases according to the Business Rules, Operations Plan and SOPs. The CSC Manager responsible for Case management shall review the list of open Cases on a daily basis and shall make sure they are accurately resolved in accordance with and within the timeliness set forth in the Operations Plan and the Performance Measures. The Authority shall be notified immediately if there are any critical comments or issues that need immediate attention.
148	The Contractor shall be responsible for the resolution of all customer disputes, which are managed as Cases, in accordance with the Authority's policies, the Business Rules, Operations Plan and SOPs.
149	The Contractor shall select the proper case type and case resolution.
150	The Contractor shall utilize pre-approved auto responses for case resolution as appropriate.
151	The Contractor shall process dispute Cases (Investigative Review) involving adjustments to vehicle class, transaction/trip adjustments and reversals, reassigning of Violations, and other resolutions. Specific types of disputes shall require supervisor/manager review and approval, and all waivers, adjustments and reversals shall be in accordance with the Operations Plan and SOPs.
152	The Contractor shall place the disputed transactions/trips and Violation Notices on hold and release the hold in the BOS in accordance with Operations Plan and Business Rules.
153	The Contractor shall ensure all supporting documentation from the customer to resolve a dispute Case, as required by the Operations Plan and Business Rules, is obtained. If the customer does not provide the supporting documentation, the Contractor shall contact the customer in accordance with the timeframes defined in the Business Rules and Operations Plan.

1.2.7.7.   Ongoing Customer Satisfaction Surveys

The Contractor shall work with their Customer Satisfaction Survey Provider to establish a program that provides customer feedback regarding the services the Contractor provides and the Express Lanes themselves.

154	The Contractor shall offer the survey opportunity to every customer each time they contact the CSC.

155	The Contractor shall contract with a third-party Customer Satisfaction Survey Provider.
156	The Contractor shall create a customer survey program to measure the quality of the services they provide.
157	The Contractor shall modify the program as needed or as directed by the Authority.
158	The Contractor shall make contact with each customer who rates their experience with an overall score below an agreed upon threshold, as noted in the Operations Plan, within five (5) Business Days of the customer submitting the survey.
159	The Contractor shall monitor the customer surveys and provide a report to the Authority monthly.
160	The Contractor shall provide training on the survey tool to CSRs and other applicable personnel, including the purpose of the survey and the use of the survey tool.
161	The Contractor shall review survey results with CSRs and other applicable personnel during periodic meetings regarding individual's performance.
162	The Contractor shall provide the Authority convenient, electronic access to the up to date and historic survey results.
163	The Contractor shall include the customer survey results, including trending, in as part of the Monthly Operations Report.

1.2.7.8. Customer Service Quality Monitoring and Reporting

The Contractor interacts with the Authority's customers directly through many different channels including, but not limited to, in person at the WIC, over the phone, in writing via chat, text, email and responses to the Cases. The quality of these interactions and the service provided to its customer is of utmost importance to the Authority. In addition to Customer Satisfaction Surveys, the Authority expects the Contractor to develop and enact quality programs for all aspects of its operation and to train its staff to use deliberate care in each interaction and in serving the Authority's customers.

164	The Contractor shall ensure all CSC staff is trained in a manner which ensures excellent customer service in every customer interaction as measured by the Performance Measures.
165	The Contractor shall record the reason(s) for each contact (via all contact channels) by using Approved call wrap-up codes, entering account notes or other tracking approach to document the reason for the contact and memorialize the resolution or required next steps.
166	The Contractor shall monitor and score both live and recorded CSR calls for accuracy, efficiency, professionalism and courteousness in accordance with the Approved Quality Plan.
167	The Contractor shall monitor and score WIC CSR interaction, resolution activities and outcomes for accuracy, efficiency, professionalism and courteousness in accordance with the Approved Quality Plan.

168	The Contractor shall review and score all customer interaction channels, resolution activities and outcomes for accuracy, efficiency, professionalism and courteousness in accordance with the Approved Quality Plan.
169	The Contractor shall review and score Case resolution activities and outcomes for accuracy, efficiency, professionalism and courteousness in accordance with the Approved Quality Plan.
170	The Contractor shall periodically monitor CSR screen navigations by remotely viewing the CSR's screen.
171	The Contractor shall track monitoring results and submit a monthly summary to the Authority as part of the Monthly Operations Report.
172	The Contractor shall track all escalated issues and resolutions and provide a monthly report to the Authority as part of the Monthly Operations Report.
173	The Contractor shall review information provided by the Authority upon their review of customer interaction and make any changes to improve customer service.
174	The Contractor shall provide the capability for the Authority to, at the Authority's discretion and without prior notification to the Contractor, monitor all live and recorded calls and all other types of correspondence.
175	The Contractor shall provide for review by the Authority all documentation related to the Contractor's quality program.
176	The Contractor shall conduct monthly quality monitoring calibration meetings for all Contractor staff who monitor customer interaction. The Authority shall be invited to attend these meetings.

1.2.8. Transponder Management

The Authority will purchase transponders and the Contractor shall perform all other work related to transponders.

177	The Contractor shall manage all aspects of the transponder lifecycle. This includes but is not limited to:
	• initiate a PO request;
	• receiving into inventory;
	• testing transponders upon receipt and prior to issuing;
	• programming transponders as necessary, for example programming a standard 6c transponder to indicate that the vehicle is a motorcycle;
	• assigning and issuing to customers;
	• tracking transponders through their life;

	• recycling (evaluating, cleaning and testing) for reissue;
	• managing transponder recalls;
	• warranty return and replacement and
	• disposal of transponders.
178	Upon customer request, the Contractor shall assign, and mail transponder(s) to customers.
179	The Contractor shall support the distribution of transponders by the Contractor and US mail.
180	The Contractor shall include user guide and mounting instructions, mounting strips and other materials, as may be determined by the Authority to be required with the distribution of each transponder. The camera-ready copy of any transponder kit materials will be provided by the Authority and the Contractor shall be responsible for producing these materials.

1.2.8.1.   Transponder Inventory Management

The BOS shall have a transponder inventory and management system that tracks and maintains transponder inventory, identifies and supports the transponder recall program and tracks transponder warranty.

181	The Contractor shall be responsible for ordering (if requested by the Authority), tracking and transporting the transponders at all CSC facilities ,including the OCTA Store WIC.
182	The Contractor shall ensure that an adequate supply of transponders is available at all times. When the inventory reaches a pre-determined level identified in the Operations Plan the Contractor shall initiate order requests with the Authority, based upon existing inventory and forecasted requirements.
183	The Contractor shall ensure that an adequate supply of transponder mounting strips, user guides and mounting instructions, and shielded envelopes for transponders are available at all times to accommodate the transponders issued by the I-405 CSC and WIC and the OCTA Store WIC.
184	CSC issues multiple types of transponders, and as such, the Contractor shall be required to manage multiple types of transponders, possibly from multiple manufacturers/providers.
185	The Contractor shall receive shipments of transponders and shall reconcile shipment contents with electronic manifests provided by the transponder manufacturer. The waybill shall be reconciled against the original purchase order and scanned into the BOS for tracking and reconciliation purposes.
186	Monthly, the Contractor shall conduct a physical audit of the transponders that are under its physical control, including for the various transponder types and statuses and quantities. The audit shall compare the physical counts with the BOS counts by transponder type, location and status and completely reconcile any discrepancies. Transponder audit reports shall be included in the Monthly Operations Report.

187	The Contractor shall support the Authority in their periodic transponder audits that will be no more frequent than quarterly unless discrepancies are found.
188	The Contractor shall distribute new and recycled transponders, if applicable, using the FIFO inventory method.

1.2.8.2. *Transponder Testing*

Transponders shall be tested at multiple times in the lifecycle because transponders that are defective or not functioning reliably cause problems for the customers and the Authority and increase costs. The Authority will provide equipment for the testing and programming of transponders.

189	The Contractor shall test one hundred (100) percent of the switchable transponders and ten (10) percent of each roll of sticker tags in each shipment when the transponders are received from the manufacturer. This testing shall include but not be limited to
	• verifying that the transponders function and are correctly encoded;
	• reading the transponder serial number and verifying that the transponder label, barcode and internal coding are consistent and
	• ensuring the transponders can be read by simulating functionality on the road.
190	The Contractor shall return the transponders which fail the testing to the manufacturer in accordance with the Operations Plan.

1.2.8.3. *Transponder Return to Manufacturer*

When transponders are determined to be defective but have not exceeded their manufacturer's warranty, they are returned to the manufacturer for replacement under warranty.

191	The Contractor shall track transponder warranty status and manage and resolve all warranty issues with the transponder manufacturer.
192	The Contractor shall be responsible for ensuring all transponders found to be defective and still under the manufacturer's warranty are returned to the manufacturer, according to the manufacturer's specified return material authorization (RMA) process.
193	The Contractor shall be responsible for storage of transponders subject to return until such time that the transponder manufacturer accepts the returned transponders.
194	The Contractor shall be responsible for shipment of the transponders identified for return to the manufacturer.
195	The Contractor shall track the warranty returns and confirm that the Authority receives the proper credit for the transponders returned under warranty in accordance with the Authority's agreements with the manufacturer.

1.2.9. Registration Hold

California law allows toll agencies to place a hold on DMV vehicle registrations due to unpaid toll Violations. Based on the Business Rules, Operations Plan and SOPs, a Registration Hold may be utilized to enforce payment of a Violation(s).

196	The Contractor shall place and release Registration Holds using BOS functionality and in accordance with the Business Rules, Operations Plan and SOPs.
197	The Contractor shall coordinate with the applicable DMV or Third-Party Provider responsible for placing Registration Holds on the vehicle registrations and respond to any requests that the entity may have.
198	The Contractor shall respond to requests from customers related to Registration Holds and the process for releasing the Registration Hold(s).
199	The Contractor shall initiate a release of the Registration Hold(s) in real-time for customers who have satisfactorily resolved the condition(s) which caused the Registration Hold(s).
200	The Contractor shall reconcile and account for all payments to the DMV for Registration Hold placement and for any payments collected by the DMV from the Authority's customers.
201	The Contractor shall support all DMV Registration Holds or other enforcement methods allowed by interstate interoperability enforcement agreements.

1.2.10. Collections

This collections process covers the assignment of past due amounts on delinquent FasTrak accounts, and delinquent Violations to the Collection Agencies provided by the Contractor. Non-payment of the Notice of Delinquent Toll Evasion Violation may result in the delinquent Violations escalating to collections. Unpaid transactions/trips and fees on FasTrak accounts that are delinquent may also escalate to collections.

Delinquent violation debts are placed with a Collection Agency

The process of assigning unpaid transactions/trips, Violations, fees and penalties to collections is called Collections Placement, and is an automated BOS process. However, based on the Business Rules, each Collections Placement may require a quality review and/or the Authority's approval before the Collections Placement file is submitted to the applicable Collection Agency.

Prior to a Collections Placement, the Authority may require the Contractor to perform outgoing calls or mail a pre-collections letter to alert an individual of an impending Collections Placement and allow one more chance to make a payment.

The Collection Agencies will provide regular collection activity updates to the BOS by electronic interface. Payments for transactions/trips in collections can be made to the Collections Agency or to the CSC. The Contractor will manage, monitor and reconcile the transfer of Collections Placement files and revenue collected by the Collection Agencies and the CSC.

202	The Contractor shall provide the Collection Agencies.
203	The Contractor shall support outbound collections calls and letters prior to Collections Placements.
204	The Contractor shall verify that the BOS is performing Collections Placements according to the Business Rules, Operations Plan and SOPs.
205	While it is expected that the Collection Agencies will be the primary payment processors for debts in collections, the Contractor shall accept payments for amounts in collections.
206	The Contractor shall verify that the Collection Agencies are accurately updating the BOS and shall work directly with the Collection Agencies to completely and accurately resolve any issues in a timely manner, including identification and resolution of any discrepancies between what the BOS identifies is in collections and what Collection Agencies say is in collections.
207	Using the BOS and other data sources as necessary, the Contractor shall perform reconciliations including but not limited to: • reconcile files received from the Collection Agencies to the BOS to ensure the files received from the Collection Agencies are correctly Posted to the BOS; • reconcile outstanding collections balances per the BOS to outstanding collections balances per the Collection Agencies on a monthly basis, and research and resolve discrepancies and • reconcile amounts collected by the CSC in relation to Collections Placements sent to the Collection Agencies. There should be no duplicated revenue collections on the same Collections Placement.
208	The Contractor shall review and verify invoices submitted by Collection Agencies, along with required backup documentation and providing feedback to the Authority.
209	The Contractor shall provide a financial reconciliation between the BOS and the Collection Agencies for a specific customer account at the Authority's request.
210	The Contractor shall provide assistance to the Collection Agencies regarding the research of disputes when customers contact the Collection Agencies and shall coordinate the resolution with the Collection Agencies.
211	The Contractor shall update the BOS when notified by a Collection Agency that a customer has been allowed to establish a settlement arrangement to pay a lesser amount or to make periodic payments.

1.2.11. Bankruptcy

The Contractor shall receive and process Notification of bankruptcies related to amounts owed to the Authority by customers. The laws related to bankruptcy are very specific and must be followed closely from initial Notification though final resolution and potentially transaction Write-Off.

212	The Contractor shall comply with bankruptcy laws.
213	The Contractor shall document receipt of Notification of bankruptcy within the BOS and place applicable transactions on hold pending the outcome of the bankruptcy process.
214	The Contractor shall remove DMV Holds for trips subject to bankruptcy proceedings.
215	The Contractor shall communicate with the Collection Agencies, as necessary, related to a bankruptcy Notification.
216	The Contractor shall discontinue collection efforts with the Franchise Tax Board for trip subject to bankruptcy proceedings.
217	The Contractor shall update the status of the bankruptcy in the BOS upon notification of changes or the resolution and perform the necessary steps to ensure that the BOS accurately reflects the outcome including but not limited to dismissing amounts due, processing write-offs and reinstating Violations.
218	The Contractor shall send copies of bankruptcy Notifications to the Authority.
219	The Authority will notify the Contractor of any bankruptcy proceedings for which the Authority receives Notifications. The Contractor shall update the status of the bankruptcy in the BOS accordingly and notify the applicable Collection Agency.
220	The Contractor shall follow up with, provide information and respond to requests from all parties including but not limited to customers, attorneys, the bankruptcy courts and the Authority related to a customer bankruptcy proceeding.

1.2.12.   Violation Investigative Review (Disputes), Administrative Review and Hearing Support

When a violator receives a Violation Notice, they can contest (dispute) it. Disputes shall be tracked as Cases in the BOS. The Contractor shall follow California Vehicle Code Section 40250 et seq. with respect to disputes and Administrative Reviews.

221	The Contractor shall manage disputes, subsequent resolutions, and support Administrative Reviews.
222	The Contractor shall receive, research, document and resolve all customer disputes.
223	The Contractor shall investigate all customer disputes to determine if the contesting person (ROV) is responsible for the Violation.
224	The Contractor shall mail the results of the investigation to the person who contested the Violation.
225	When the person contesting a Violation is not satisfied with the results of the Contractor's investigation, they may request an Administrative Review Hearing. The Contractor shall schedule all Administrative Review Hearings and collect payment from the customer in accordance with California Vehicle Code and Authority's Business Rules and SOPs.

226	The person contesting a Violation can request a waiver of deposit due to financial hardship. The Contractor shall verify that the person is eligible for financial hardship via verification of their W-9 or other Authority Approved process.
227	The Contractor shall adhere to the California Vehicle Code Violation dispute process and Authority policies.
228	Once an Administrative Review Hearing is requested, the Contractor shall again review the dispute and organize all related information, using primarily the Evidence Package reports from the BOS, and provide the Authority and the Hearing Officer with all relevant documentation in a comprehensive Evidence Report Package.
229	The Contractor shall develop the processes, for Approval by the Authority, for the hiring and scheduling of Hearing Officers in compliance with all applicable statutes and manage the entire Administrative Review and Hearing process.
230	The Contractor shall be readily available in-person to the Contractor-hired Hearing Officer during the Administrative Review Hearing. Contractor personnel shall be available and support the process per the SOPs and as requested by the Authority.
231	The Contractor shall provide a Spanish-speaking interpreter to attend and support all applicable Administrative Review Hearing.
232	The Contractor shall implement all required actions resulting from the Administrative Review Hearing process.
233	The Contractor shall offer and process reduced Violation penalties in accordance with the Business Rules, Operations Plan and SOPs.
234	The Administrative Review Hearing will result in either the Violation(s) being dismissed or violator being required to make payment. The Contractor shall make adjustments to the balance due and/or collect payment from the customer and provide notification.

1.2.13. Banking and Lockbox Services

The banking and merchant services for the CSC are comprised of the following:
- **Banking Services** – Banking Services are comprised of the Authority provided depository accounts into which merchant and other deposits are made. The Authority has selected and contracted with a Banking Services provider.
- **Merchant Services** – Contractor-provided merchant services are comprised of the payment processor and acquiring bank.
- **Refund Account(s)** – Bank Account(s) from which customer refunds are made. The Refund Account(s) is part of the Authority's Banking Services.
- **Lockbox** – The Contractor may elect to provide and use a Lockbox Service Provider to receive and process all mailed payments related to customer accounts and Violations.

The Authority will retain ownership of the Bank Accounts and will provide the Contractor with the necessary access to act and transact on behalf of the Authority. The Contractor will provide the Merchant Service Provider; the Authority will be the merchant of record for all Merchant Services.

235	The Contractor shall reconcile the BOS reports to the bank, all customer payments, Lockbox (if applicable) and merchant accounts on a daily basis.
236	The Contractor shall utilize the Authority's Banking Services and Contractor's MSPs to fulfill the requirement(s) of the Bank and MSPs.
237	The Contractor shall utilize and manage the Authority refund process and associated refund account(s) to disburse customer refunds which require the issuance of a check. The Contractor shall reconcile and report on the refund activities.
238	The Contractor shall coordinate with the Authority-provided armored services with daily pickup at the I-405 CSC and WIC.
239	The Contractor shall manage a refund account from which they will issue checks for the Authority.
240	The Contractor shall issue all refunds, including checks.
241	The Contractor shall process any lockbox exceptions transmitted by the Lockbox Service Provider within the same day the payment was received from the customer.

1.2.14. Closing Procedures

242	The Contractor shall perform closing procedures in an accurate and timely manner in accordance with the Performance Measures, including but not limited to:
	• perform Posting Day close to finalize counts and revenue for the Revenue Day;
	• perform month-end close on the last Posting Day of the calendar month and
	• perform year-end close on the last Posting Day of the Fiscal Year.

1.2.15. Escheatment (unclaimed property)

243	The Authority follows statutory requirements with regard to uncashed checks issued as a form of refund to customers, violators and other funds deemed unclaimed by the Authority.
244	The Contractor shall work with the Authority to follow the Escheatment process.
245	The Contractor shall maintain a register of all uncashed checks. The register shall indicate an unique identification number, such as account number or violator ID number, the name, address, check #, amount of check, check issue date, reason for check issuance, check reversal date, and reason for reversal, if applicable.
246	The Contractor shall provide the Authority with lists of the uncashed checks eligible for escheatment and those that have completed the escheatment process.
247	The Contractor shall provide information and conduct research as requested by the Authority related to uncashed checks and unclaimed funds.
248	The Contractor shall reissue checks at the Authority's direction.

249	The Contractor shall identify the funds as Escheated in the BOS as directed by the Authority.
250	Prior to Escheatment, the Contractor will advertise a Notice of Publication of Unclaimed Funds that will run once a week for two (2) weeks.
251	When no inquiries are received, the checks will revert back to the Authority. The Authority will provide the Contractor with a list of funds to either reissue a check for or to revert back to the Authority.

1.2.16.   Write-Offs

The BOS will provide the capability for the Contractor to monitor, conduct, and report on Write-Offs of unpaid balances or aged amounts.

252	The Contractor shall develop a write-off procedure that complies with legislation and the Authority's policies.
253	Contractor shall configure BOS to perform automatic Write-Offs based on the Business Rules for unpaid balances which meet the Approved criteria.
254	Contractor shall monitor the automatic Write-Offs performed by the BOS and report on these to the Authority on a monthly basis.

1.2.17.   Reconciliations

The Contractor shall be responsible for the management of the financial operations of the CSC, including the balancing and reconciliation of all Financial Transactions.

255	The Contractor's balancing and reconciliation activities, which shall be provided to the Authority on a weekly and monthly basis, shall include but are not limited to:
	• perform daily balancing and close-out of all shifts;
	• perform daily balancing of all mailed-in payments;
	• perform daily and monthly reconciliation of all Bank Accounts;
	• perform daily and monthly reconciliation of all merchant account activity and fees, including but not limited to Credit Cards and Debit Cards and
	• perform daily and monthly reconciliation of all Lockbox activity.
256	The Contractor shall develop a process for identifying, reporting and resolving all errors and discrepancies, which shall be included in the Operations Plan.
257	The Contractor shall perform other financial and transactional reconciliations in an accurate and timely manner, to be provided to the Authority for review, in accordance with the Performance Measures, including but not limited to:
	• perform daily, monthly and annual reconciliation of all transactions;

	• perform daily, monthly and annual reconciliation of all Interoperable Agency transactions;
	• perform daily, monthly and annual reconciliation of all transactions placed at a Collection Agency;
	• perform daily, monthly and annual reconciliation of all Third-Party Service Provider and Business Partner payments and
	• perform quarterly reconciliation and analysis of accounts receivable for the purpose of recording a provision for uncollectible accounts receivable journal entry.
258	The Contractor shall perform monthly reconciliations of all Financial Accounts, including roll-forward schedules from prior periods, which will be provided to the Authority for review.
259	The Contractor shall reconcile all payments received from all payment channels within one day of posting to the system. This shall include the identification and resolution of all reconciliation discrepancies.
260	The Contractor shall perform reconciliations, including but not limited to:
	• detailed reconciliation of transactions/trips and revenue, by facility and transaction type;
	• Bank Accounts;
	• refunds by refund type;
	• prepaid account balances;
	• transponder deposits;
	• aged accounts receivable;
	• fees revenue;
	• penalties;
	• Write-Offs;
	• payment transactions and
	• other cost items and revenues.

1.2.18. Financial Reporting

The Authority reports on a Fiscal Year beginning July 1 and ending June 30. As a public-sector entity, the Authority's basic financial statements are presented in compliance with pronouncements in accordance with the Governmental Accounting Standards Board (GASB) and in conformity with GAAP.