

Volume II BOS Technology and Functionality

| No. | Requirements | Required Inputs | | | | | |
|-----|--|--------------------|--|----------------------------|---|---|--|
| | | Compliance | Status | If Applicable | Source | If Applicable | Comments |
| | | Y - Yes N - No* | B-Base Product M-Base Modified D-New Development NP-Not Provided* | Customer Name and Location | O-Offendor S-Sub T-Third Party NA-Not Applicable | Subcontractor Name and/or 3rd Party Product/Vendor | *Comment required if "No" in Column C or "Not Provided" in Column D, optional otherwise. |
| 657 | 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 Service 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. | | | | | | |
| 658 | 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. | | | | | | |
| 659 | 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 Service Provider (optional). | | | | | | |
| 660 | The Contractor shall provide the capability to process returned mail and enter a new address, if notified by the Print/Mail House Service Provider (optional) or the USPS. | | | | | | |
| 661 | The Contractor shall provide the capability to process returned mail and mark the address as undeliverable if notified by the Print/Mail House Service Provider (optional) or the USPS. | | | | | | |
| 662 | 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 Service 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. | | | | | | |
| 663 | The Contractor shall provide the capability to Flag returned mail as undeliverable and Flag the address as bad. | | | | | | |
| 664 | 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). | | | | | | |
| 665 | The Contractor shall provide the capability for an Authorized User to initiate a manual Skip Tracing process on an individual record. | | | | | | |
| 666 | 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. | | | | | | |
| 667 | 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. | | | | | | |
| 668 | 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. | | | | | | |
| 669 | 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). | | | | | | |
| 670 | The Contractor shall provide periodic checks for bad (bounced) emails and mark them as undeliverable after a number of failed delivery attempts (Configurable). | | | | | | |
| 671 | 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). | | | | | | |
| 672 | 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). | | | | | | |

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| 673 | 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. | | | | | | |
| 674 | 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. | | | | | | |
| 675 | 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). | | | | | | |
| 676 | 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). | | | | | | |
| 677 | 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. | | | | | | |
| 678 | 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. | | | | | | |
| 679 | 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 (violation) 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. | | | | | | |

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| 680 | 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. | | | | | | |
| 681 | 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 | | | | | | |
| 682 | · delivery status. For example, if a statement fails CASS™ for address lookup, the fee shall not be charged. | | | | | | |
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| 682 | The Contractor shall provide the capability (Configurable) to utilize various addresses on the account for mailing statements, invoices and Violation Notices. | | | | | | |
| 683 | 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. | | | | | | |
| 684 | The Contractor shall provide the capability to balance the generation of statements, invoices and Violation Notices over a period of time, based on volume. | | | | | | |
| 685 | 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 | | | | | | | |
| 686 | 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. | | | | | | |
| | 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. | | | | | | |
| 687 | Registered account statements shall list individual transactions that Posted to the account, including but not limited to: | | | | | | |

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| 687 | <ul style="list-style-type: none"> Transponder-Based Transactions/Trips that Posted to the account by transponder and I-Toll Transactions/Trips that Posted to the account by license plate. | | | | | | |
| 688 | 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. | | | | | | |
| 689 | 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. | | | | | | |
| 690 | 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. | | | | | | |
| 691 | 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. | | | | | | |
| 692 | 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. | | | | | | |
| 693 | 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 Violation Notice and escalation of the delinquent balance on the account to Collections. | | | | | | |
| 694 | The Contractor shall provide the capability to generate postpaid invoices that fully detail all activity, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> 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. | | | | | | |
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| 695 | The Contractor shall provide the capability (Configurable) to set and maintain invoice generation and transaction aging parameters, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> 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. | | | | | | |
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| 696 | 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 | | | | | | |
| 697 | · transmit the invoice to the customer. | | | | | | |
| | 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 Configurable 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 | | | | | | | |
| 698 | 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 and pre-collections Notice, if eligible. | | | | | | |
| 699 | 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; | | | | | | |

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| 699 | · 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. | | | | | | |
| 700 | 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. | | | | | | |
| 701 | 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. | | | | | | |
| 702 | 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). | | | | | | |
| 703 | 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. | | | | | | |
| 704 | 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. | | | | | | |
| 705 | 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. | | | | | | |

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| 706 | 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. | | | | | | |
| 707 | The Contractor shall provide the capability to prevent the aging and escalation of Violations and Notices that are placed on account hold. | | | | | | |
| 708 | 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. | | | | | | |
| 709 | 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. | | | | | | |
| 710 | 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. | | | | | | |
| 711 | 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. | | | | | | |
| 712 | 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 | | | | | | |
| 713 | · total number of Violations on the account for a given time period. | | | | | | |
| | The Contractor shall provide the capability to assess additional penalties on Violations/Notices on Unregistered accounts that are Flagged as repeat violator. | | | | | | |
| 714 | The Contractor shall provide the capability to transmit the license plate data of repeat violator to the ETMM System at Configurable intervals to support manual enforcement of repeat violators. | | | | | | |
| 715 | 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. | | | | | | |
| 716 | 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. | | | | | | |
| 717 | 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. | | | | | | |
| 718 | The Contractor shall provide the capability to escalate or place on hold the Notices Flagged as 'bad address' as defined by the Business Rules. | | | | | | |

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| 719 | 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. | | | | | | |
| 720 | 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 | | | | | | |
| 721 | · pay the penalties. | | | | | | |
| | 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. | | | | | | |
| 722 | The Contractor shall provide the capability to drill down from the final open or closed escalated Notice to the related previous Notices. | | | | | | |
| 723 | The Contractor shall provide the capability to drill down from the current Notice that is open to the related Violations and images. | | | | | | |
| 724 | 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; | | | | | | |

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| | <ul style="list-style-type: none"> 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. | | | | | | |
| 725 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 726 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 727 | 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. | | | | | | |
| 728 | 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). | | | | | | |
| 729 | 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 | | | | | | | |
| 730 | 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. | | | | | | |
| 731 | The Contractor shall comply with the California Civil Code Section 1747.08 related to personal identification laws. | | | | | | |

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| 732 | 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. | | | | | | |
| 733 | The Contractor shall comply with PCI and all applicable merchant card association agreements and other applicable regulations for the exchange of Credit Card payments. | | | | | | |
| 734 | 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. | | | | | | |
| 735 | Certain payment methods, such as cash, EMV chip integrated circuit card and mobile contactless NFC shall be accepted only at WICs. | | | | | | |
| 736 | The BOS shall accept payments through its agreements with Lockbox Service Provider (optional) and Collection Agency. | | | | | | |
| 737 | 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. | | | | | | |
| 738 | 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 Service Provider and/or another Contractor-provided certified 3rd Party. | | | | | | |
| 739 | 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). | | | | | | |
| 740 | 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. | | | | | | |
| 741 | 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. | | | | | | |
| 742 | All successful payments made via Credit Card shall have a viewable, searchable authorization code for the transaction which shall be included on applicable reports. | | | | | | |
| 743 | 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). | | | | | | |

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| 744 | 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. | | | | | | |
| 745 | The Contractor shall provide real-time, fully automated payment clearing and processing for all electronic payment methods. | | | | | | |
| 746 | The Contractor shall interface with one or more Merchant Service Providers (no more than three) for the purpose of settling Credit Card transactions. | | | | | | |
| 747 | The Contractor shall send replenishment requests to, and capture the results returned from, the Merchant Service Provider and update accounts accordingly. | | | | | | |
| 748 | 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. | | | | | | |
| 749 | The Contractor shall provide a proven and reliable method of communicating with the Merchant Service Provider(s). | | | | | | |
| 750 | 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. | | | | | | |
| 751 | The Contractor shall provide the capability to notify the customer about all partial and overpayments. | | | | | | |
| 752 | The Contractor shall provide tracking of payment transactions by, including but not limited to: | | | | | | |
| | · Transaction Date; | | | | | | |
| | · Posting Date and | | | | | | |
| | · payment channel. | | | | | | |
| 753 | 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. | | | | | | |
| 754 | 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). | | | | | | |
| 755 | 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. | | | | | | |
| 756 | 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. | | | | | | |

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| 757 | The Contractor shall engineer the payment process to prevent an Authorized User or customer from making payments in excess of a certain amount (Configurable). | | | | | | |
| 758 | 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. | | | | | | |
| 759 | The Contractor shall provide audit trail and exception reporting that helps reconcile discrepancies between the BOS and the Merchant Service Provider. | | | | | | |
| 760 | The Contractor shall provide summary and detail data by payment type on the processing status of all transactions, including a description of all failures. | | | | | | |
| 761 | 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. | | | | | | |
| 762 | 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. | | | | | | |
| 763 | 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. | | | | | | |
| 764 | 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). | | | | | | |
| 765 | 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. | | | | | | |
| 766 | The Contractor shall provide detailed tracking and reconciliation of payments. | | | | | | |
| 767 | 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). | | | | | | |
| 768 | 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. | | | | | | |
| 769 | 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. | | | | | | |
| 770 | The Contractor shall provide the capability to accept payments for specific items as requested by the customer (and allowed under the Business Rules). | | | | | | |
| 771 | The Contractor shall produce receipts for all payments in both real-time (on demand) and automatic (for auto replenishment). | | | | | | |

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| 772 | The Contractor shall transmit receipts to customers on customer request via any Notification channel. | | | | | | |
| 773 | 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). | | | | | | |
| 774 | 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. | | | | | | |
| 775 | 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. | | | | | | |
| 776 | 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. | | | | | | |
| 777 | 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. | | | | | | |
| 778 | The Contractor shall provide the capability to search for a payment by date, payment source, Credit Card # or Bank Account information. | | | | | | |
| 779 | 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. | | | | | | |
| 780 | 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). | | | | | | |
| 781 | 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 | | | | | | | |
| 782 | 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). | | | | | | |
| 783 | The Contractor shall provide the capability to calculate the required payment during account creation based on, but not limited to: | | | | | | |
| | · the prepayment Requirements; | | | | | | |

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| | <ul style="list-style-type: none"> cost of inventory items (for example, transponders) and any Account Plan fees. | | | | | | |
| 784 | 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). | | | | | | |
| 785 | The Contractor shall provide the capability to accept payments, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> one-time payments; | | | | | | |
| | <ul style="list-style-type: none"> recurring fixed amount payments; | | | | | | |
| | <ul style="list-style-type: none"> recurring varying amount payments; | | | | | | |
| | <ul style="list-style-type: none"> a combination of fixed and varying amounts (payment plan monthly payment plus recurring auto replenishment); | | | | | | |
| | <ul style="list-style-type: none"> 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); | | | | | | |
| | <ul style="list-style-type: none"> recurring payments on a fixed day of the month; | | | | | | |
| | <ul style="list-style-type: none"> recurring payments every "x" number of days (for example, every 28 days); | | | | | | |
| | <ul style="list-style-type: none"> recurring payments for Postpaid accounts as, fixed number of days after the invoice is issued (Configurable) and | | | | | | |
| | <ul style="list-style-type: none"> recurring payments triggered by account balance. | | | | | | |
| 786 | The Contractor shall provide the capability to accept and Post in the BOS payments and adjustments transmitted from the Collection Agency. | | | | | | |
| 787 | The Contractor shall provide the capability to process payments directly in the BOS for all accounts in any status with any balance. | | | | | | |
| 788 | 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: | | | | | | |
| | <ul style="list-style-type: none"> cash (at in-person locations only); | | | | | | |
| | <ul style="list-style-type: none"> check; | | | | | | |
| | <ul style="list-style-type: none"> cashier's check; | | | | | | |
| | <ul style="list-style-type: none"> certified check; | | | | | | |
| | <ul style="list-style-type: none"> money order; | | | | | | |
| | <ul style="list-style-type: none"> e-check (not available by mail); | | | | | | |
| | <ul style="list-style-type: none"> Credit Card; | | | | | | |
| | <ul style="list-style-type: none"> ACH; | | | | | | |
| | <ul style="list-style-type: none"> EMV chip integrated circuit card (at in-person locations only) and | | | | | | |
| | <ul style="list-style-type: none"> mobile contactless NFC (at in-person locations only). | | | | | | |
| 789 | 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). | | | | | | |
| 790 | The Contractor shall provide the capability to accept all major Credit Cards, including: | | | | | | |
| | <ul style="list-style-type: none"> Visa; | | | | | | |
| | <ul style="list-style-type: none"> MasterCard; | | | | | | |
| | <ul style="list-style-type: none"> American Express and | | | | | | |
| | <ul style="list-style-type: none"> Discover Card. | | | | | | |
| 791 | The Contractor shall provide the capability for accepting Credit Card, EMV and mobile contactless NFC payments via POS devices for payments made in-person. | | | | | | |
| 792 | The Contractor shall provide the capability for accepting Credit Card payments by manually entering Credit Card information for payments made in-person. | | | | | | |
| 793 | The Contractor shall provide the capability to Post payment transaction(s) to the account when payment related actions occur, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> successful payment processing, and | | | | | | |

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| | unsuccessful payment processing, for example recording a failed attempt. | | | | | | |
| 794 | The Contractor shall provide the capability to refund checks that have been Posted to the BOS but cannot be matched successfully to an account. | | | | | | |
| 795 | The Contractor shall provide the capability to Flag that an account has had returned checks. | | | | | | |
| 796 | The Contractor shall provide the capability to Flag that an account has had declined Credit Card charges. | | | | | | |
| 797 | 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. | | | | | | |
| 798 | The Contractor shall provide the capability to require approvals for payment corrections via Cases. | | | | | | |
| 799 | 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. | | | | | | |
| 800 | The Contractor shall ensure all adjustments to payments are shown on the account and are reconciled. | | | | | | |
| 801 | The Contractor shall provide the capability to process multiple chargebacks on a payment if the previous chargebacks are reversed or represented. | | | | | | |
| 802 | 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. | | | | | | |
| 803 | The Contractor shall provide detailed tracking of payments by payment methods, for example, cash; check; Credit Card; ACH and mobile contactless NFC. | | | | | | |
| 804 | The Contractor shall provide detailed tracking of payments by payment type, for example, Visa; MasterCard; American Express and Discover Card. | | | | | | |
| 805 | The Contractor shall provide detailed tracking of payments by payment items, for example, invoices; Violation Notices; fees; penalties; tolls and prepaid tolls. | | | | | | |
| 806 | 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. | | | | | | |
| 807 | 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. | | | | | | |
| 808 | 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. | | | | | | |
| 809 | The Contractor and MSPs shall provide ACH clearing for the BOS. | | | | | | |
| 810 | 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. | | | | | | |
| 811 | The Contractor and MSPs shall provide all reporting online. | | | | | | |
| 812 | 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. | | | | | | |
| 813 | The Authority shall be assigned dedicated MSP account representatives that can be contacted through a toll-free number and email. | | | | | | |
| 814 | The MSPs shall provide customer support during business hours Monday through Friday 7:00 a.m. until 6:00 p.m. PST. | | | | | | |

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| 815 | The MSPs shall provide seven (7) days per week technical support utilizing a customer service phone number. | | | | | | |
| 816 | 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. | | | | | | |
| 817 | The Contractor and MSPs shall provide payment, settlement, and refunding services. | | | | | | |
| 818 | The Contractor and MSPs shall provide daily settlement of merchant accounts. | | | | | | |
| 819 | The Contractor and MSPs shall make next day deposits after settlement into the OCTA bank accounts. | | | | | | |
| 820 | The Contractor and MSPs shall provide immediate online access to outstanding retrieval requests and chargebacks. | | | | | | |
| 821 | 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. | | | | | | |
| 822 | 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. | | | | | | |
| 823 | 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. | | | | | | |
| 824 | 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. | | | | | | |
| 825 | The Contractor shall provide the capability to associate images of checks and stubs received at the Lockbox Service Provider to the proper account. | | | | | | |
| 826 | 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. | | | | | | |
| 827 | 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. | | | | | | |
| 828 | 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. | | | | | | |
| 829 | 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. | | | | | | |
| 830 | The Contractor shall provide the capability to electronically receive and process correspondence received at the Lockbox Service Provider, for example changes of address. | | | | | | |
| 831 | 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). | | | | | | |
| 832 | The Lockbox Service Provider processing services shall take place within the State of California. | | | | | | |
| 1.7.5. Credit Card Processing | | | | | | | |

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| | 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. | | | | | | |
| 833 | The Contractor shall contract with an Authority approved Merchant Service Provider. | | | | | | |
| 834 | The Contractor shall use a Payment Gateway or a Direct Connection between the BOS and the Merchant Service Provider. | | | | | | |
| 835 | The Contractor shall process all Credit Card payment transactions via the Merchant Service Provider. | | | | | | |
| 836 | 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. | | | | | | |
| 837 | The Contractor shall provide an automated credit card update service (including both expiration dates and newly issued cards). | | | | | | |
| 838 | The Contractor shall provide the capability to issue refunds to Credit Cards. | | | | | | |
| 839 | 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. | | | | | | |
| 840 | The Contractor shall provide the capability for Credit Card chargebacks and permit investigation of the details as Cases. | | | | | | |
| 841 | The Contractor shall provide the capability for Authorized Users to reverse Credit Card chargebacks and to allow for a number of chargeback representations (Configurable) | | | | | | |
| 842 | The Contractor shall provide the capability to credit accounts immediately upon a successful Credit Card payment authorization. | | | | | | |
| 843 | 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. | | | | | | |
| 844 | 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". | | | | | | |
| 845 | 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. | | | | | | |
| 846 | 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. | | | | | | |
| 847 | 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. | | | | | | |
| 848 | The Contractor shall provide the capability to submit disputes to chargebacks. | | | | | | |
| 849 | The Contractor shall provide the capability to receive updates to individual customer Credit Card expiration dates from the MSPs. | | | | | | |
| 1.7.6. ACH Processing | | | | | | | |

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| | 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). | | | | | | |
| 850 | The BOS and CSC Operations shall remain current with industry standards and advancements in technology and security related to Credit Card and ACH payments. | | | | | | |
| 851 | The Contractor shall provide an Interface to the Merchant Service Provider or bank for ACH payment. | | | | | | |
| 852 | 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. | | | | | | |
| 853 | Process all ACH payment transactions via the third-party hosted services. | | | | | | |
| 854 | Provide capability to process both ACH debits and ACH credits with the Merchant Service Provider or bank. | | | | | | |
| 855 | Provide a selection for "Checking" and "Savings" account designation when ACH is selected for replenishment and ensure transmission to the bank carries such information. | | | | | | |
| 856 | 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. | | | | | | |
| 857 | Credit customer's account immediately upon initiating an ACH debit. | | | | | | |
| 858 | Provide the capability to reverse an ACH payment if declined by the bank. | | | | | | |
| 859 | 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. | | | | | | |
| 860 | 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. | | | | | | |
| 861 | The Contractor shall provide the capability to accept checks (personal, cashier's or certified) as a form of payment. | | | | | | |
| 862 | The Contractor shall provide the capability to accept money orders as a form of payment. | | | | | | |
| 863 | The Contractor shall use Check 21 to electronically deposit checks and convert checks into ACH transactions. | | | | | | |
| 864 | The Contractor shall Post to customer accounts and deposit into the Authority's bank account within one (1) Business Day of receipt. | | | | | | |
| 865 | 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. | | | | | | |
| 866 | The Contractor shall provide the capability to mask Bank Account information, including the MICR line, for stored check images. | | | | | | |
| 867 | 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. | | | | | | |
| 868 | 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. | | | | | | |
| 869 | The Contractor shall provide the capability to credit accounts immediately upon check or money order payment. | | | | | | |
| 870 | The Contractor shall provide the capability to associate checks and stubs received at the BOS to the proper account. | | | | | | |

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| 871 | The Contractor shall provide the ability to receive batch payments from rental agencies to be applied to individual transactions. | | | | | | |
| 872 | 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. | | | | | | |
| 873 | 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. | | | | | | |
| 874 | The Contractor shall provide all armored services required for the physical transfer of cash or payment instruments. | | | | | | |
| 875 | The Contractor shall provide live check verification at the WIC. | | | | | | |
| 876 | The Contractor shall provide all reconciliations of funds received to BOS Posting and the Authority's bank account. | | | | | | |
| 1.7.8. Cash Processing | | | | | | | |
| 877 | The Contractor shall provide the capability to accept cash as a form of payment. | | | | | | |
| 878 | 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. | | | | | | |
| 879 | The Contractor shall provide the capability to credit the account immediately upon receipt of cash payment. | | | | | | |
| 880 | The Contractor shall provide the capability to process cash payment reversals. | | | | | | |
| 881 | The Contractor shall provide the capability to set threshold amounts and role-based limits for cash payment reversals (Configurable.) | | | | | | |
| 882 | 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. | | | | | | |
| 883 | 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. | | | | | | |
| 884 | Online Wallet payments shall generally mirror the Credit Card functionality in terms of payments, return payments, refunds, reversals and chargeback capabilities. | | | | | | |
| 885 | The Contractor shall provide detailed tracking of payments made by Online Wallet. | | | | | | |
| 886 | 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. | | | | | | |
| 887 | 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. | | | | | | |
| 888 | The Contractor shall provide the capability to credit accounts immediately upon a successful Online Wallet payment authorization. | | | | | | |
| 889 | 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 | | | | | | | |

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| | The Contractor shall manage the Bank Accounts and the Interface from the BOS to the Authority's bank. | | | | | | |
| 890 | The Contractor shall provide the Interface for Check 21. | | | | | | |
| 891 | 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). | | | | | | |
| 892 | 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. | | | | | | |
| 893 | The Contractor shall provide the capability to process refunds and disbursements for account closures, sales of transponder(s), overpayments, Violation disputes and other payments. | | | | | | |
| 894 | 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. | | | | | | |
| 895 | The Contractor shall have the capability to restrict the method of refund to the original method of payment. | | | | | | |
| 896 | The Contractor shall provide an automated approval process for Authority approval for all refunds over a Configurable amount | | | | | | |
| 897 | 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. | | | | | | |
| 898 | 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. | | | | | | |
| 899 | The Contractor shall provide the capability to review and process all eligible refunds and initiate the refund process. | | | | | | |
| 900 | 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. | | | | | | |
| 901 | 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. | | | | | | |
| 902 | 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. | | | | | | |

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| 903 | 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. | | | | | | |
| 904 | 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. | | | | | | |
| 905 | The Contractor shall provide the capability to void a refund or disbursement check, which shall restore the payable balance. | | | | | | |
| 906 | The Contractor shall provide the capability to void and reissue a refund or disbursement check. | | | | | | |
| 907 | 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. | | | | | | |
| 908 | 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). | | | | | | |
| 909 | 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. | | | | | | |
| 910 | The Contractor shall provide the capability to manage accounts for customers who have filed for bankruptcy. | | | | | | |
| 911 | 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. | | | | | | |
| 912 | 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). | | | | | | |
| 913 | 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. | | | | | | |
| 914 | 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). | | | | | | |
| 915 | The Contractor shall provide the capability to continue processing transactions subsequent to the date and time of bankruptcy notification. | | | | | | |
| 916 | The Contractor shall provide the ability to record a dismissed bankruptcy and restart the escalation and collection process. | | | | | | |
| 917 | The Contractor shall provide the ability to record and store all bankruptcy filings required by the courts. | | | | | | |

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| 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. | | | | | | |
| 918 | 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. | | | | | | |
| 919 | The Contractor shall provide the capability to prompt for beginning balance or Authorized User bank (including option to list denominations). | | | | | | |
| 920 | 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. | | | | | | |
| 921 | The Contractor shall provide the capability to automatically prompt to close a shift at logout time if an open shift exists. | | | | | | |
| 922 | The Contractor shall provide the capability to display and reconcile all transactions and activity in a shift. | | | | | | |
| 923 | 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. | | | | | | |
| 924 | The Contractor shall provide the capability for reconciliation of transponders and other inventory items issued and payments. | | | | | | |
| 925 | 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.” | | | | | | |
| 926 | The Contractor shall provide feedback to Authorized User if the shift does not balance. | | | | | | |
| 927 | The Contractor shall provide the capability for an Authorized User to attempt to balance the shift a number of times (Configurable). | | | | | | |
| 928 | 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. | | | | | | |
| 929 | The Contractor shall provide settings to either display or not display the shift variance dollar amount to the Authorized User during shift closing (Configurable). | | | | | | |
| 930 | 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). | | | | | | |
| 931 | 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. | | | | | | |
| 932 | The Contractor shall provide the capability to close a shift once it is balanced. | | | | | | |
| 933 | The Contractor shall provide the capability to record shift balancing discrepancies, for example overages and shortages. | | | | | | |
| 934 | 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. | | | | | | |
| 935 | 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. | | | | | | |
| 936 | The Contractor shall provide Authorized Users with an accounting of all shift activity with detailed and summarized financial information. | | | | | | |
| 937 | The Contractor shall provide Authorized Users with a status of all open shifts. | | | | | | |
| 1.8. Case Management | | | | | | | |

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| | 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 | | | | | | |
| 938 | The Contractor shall provide the capability to initiate a Case any time a request cannot immediately be completed. | | | | | | |
| 939 | 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. | | | | | | |
| 940 | 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; | | | | | | |

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| | <ul style="list-style-type: none"> identity of Authorized User(s) who performed the follow-up activities; description (free-form) of follow-up action and customer satisfaction feedback. | | | | | | |
| 941 | 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). | | | | | | |
| 942 | The Contractor shall provide the capability to create Cases manually by Authorized Users. | | | | | | |
| 943 | The Contractor shall provide the capability to create Cases automatically via the BOS. | | | | | | |
| 944 | 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). | | | | | | |
| 945 | The Contractor shall provide the capability to initiate a Case from within an account. | | | | | | |
| 946 | The Contractor shall provide the capability for Authorized Users to associate a Case with an account after the Case has been created. | | | | | | |
| 947 | The Contractor shall provide Case templates for each type of Case. | | | | | | |
| 948 | The Contractor shall provide the capability for Authorized Users to create new types of Cases and associated workflows (Configurable). | | | | | | |
| 949 | The Contractor shall provide the capability to set attributes by Case type related to Case management, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> required fields; | | | | | | |
| | <ul style="list-style-type: none"> assignment rules; | | | | | | |
| | <ul style="list-style-type: none"> Case flow logic; | | | | | | |
| | <ul style="list-style-type: none"> Case queue display order, for example, by date opened or priority; | | | | | | |
| | <ul style="list-style-type: none"> drop-down lists; | | | | | | |
| | <ul style="list-style-type: none"> 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; | | | | | | |
| | <ul style="list-style-type: none"> due date and Case templates (create and modify). | | | | | | |
| 950 | The Contractor shall provide the capability to access a Case through Case management or through the associated account or Violation Notice. | | | | | | |
| 951 | The Contractor shall provide the capability to automatically document action(s) taken to resolve a Case in the Case. | | | | | | |
| 952 | 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: | | | | | | |
| | <ul style="list-style-type: none"> call records; | | | | | | |
| | <ul style="list-style-type: none"> recorded calls; | | | | | | |
| | <ul style="list-style-type: none"> emails; | | | | | | |
| | <ul style="list-style-type: none"> faxes; | | | | | | |
| | <ul style="list-style-type: none"> Microsoft Office documents, images, and PDF files; | | | | | | |
| | <ul style="list-style-type: none"> chat; | | | | | | |
| | <ul style="list-style-type: none"> text messages and scanned items. | | | | | | |
| 953 | 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. | | | | | | |
| 954 | 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. | | | | | | |
| 955 | The Contractor shall provide the capability to automatically record date and time of Case creation. | | | | | | |

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| 956 | 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. | | | | | | |
| 957 | The Contractor shall provide the capability to automatically assign a unique individual identification code (Case number). | | | | | | |
| 958 | The Contractor shall provide drop-down lists (Configurable) containing multiple options for indicating type of Case. | | | | | | |
| 959 | The Contractor shall provide the capability that the Case type has the ability to be changed by Authorized Users. | | | | | | |
| 960 | The Contractor shall provide drop-down lists (Configurable) containing multiple options for indicating follow-up activities within the workflow. | | | | | | |
| 961 | 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. | | | | | | |
| 962 | 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. | | | | | | |
| 963 | 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. | | | | | | |
| 964 | 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. | | | | | | |
| 965 | 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). | | | | | | |
| 966 | 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. | | | | | | |
| 967 | 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. | | | | | | |
| 968 | 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. | | | | | | |
| 969 | 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. | | | | | | |
| 970 | 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. | | | | | | |
| 971 | The Contractor shall provide the capability for the Case type queues to automatically display oldest Cases first for action. | | | | | | |
| 972 | The Contractor shall provide the capability for the Case type queues to automatically display highest priority Cases first for action. | | | | | | |

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| 973 | 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. | | | | | | |
| 974 | The Contractor shall provide the capability for closed Cases to be re-opened when required. | | | | | | |
| 975 | 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. | | | | | | |
| 976 | The Contractor shall provide the capability to automatically assign Cases to Case work queues accessed by departments or workgroups. | | | | | | |
| 977 | The Contractor shall provide the capability to manually re-assign open Cases. | | | | | | |
| 978 | 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. | | | | | | |
| 979 | 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). | | | | | | |
| 980 | Ensure at no time that an active Case does not remain in a queue with no Authorized User assigned to that queue. | | | | | | |
| 981 | The Contractor shall provide the capability for Authorized Users to see all pending Cases with prioritization. | | | | | | |
| 982 | The Contractor shall provide Configurable Case assignment rules, for example a Case related to financial issues would be assigned to the finance department. | | | | | | |
| 983 | 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 to find key information. The primary screen shall contain a link to the associated account should the Authorized User want to access the account. | | | | | | |
| 984 | The Contractor shall provide the capability to merge Cases when two or more Cases cover the same customer need. | | | | | | |
| 985 | 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. | | | | | | |
| 986 | The Contractor shall provide the capability to trigger customer satisfaction processes. | | | | | | |
| 987 | The Contractor shall provide the capability to link and track an unlimited number of Cases to a single account. | | | | | | |
| 988 | The Contractor shall provide the capability to link and unlink Cases to/from accounts regardless of Case status. | | | | | | |
| 989 | The Contractor shall provide the capability to associate a Case to one or multiple accounts. | | | | | | |
| 990 | The Contractor shall provide the capability to view Cases based on required follow-up action. | | | | | | |
| 991 | The Contractor shall provide the capability to track, record and review follow-up activity. | | | | | | |
| 992 | 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. | | | | | | |
| 993 | The Contractor shall provide the capability for an Authorized User to review the workload of an entire team or group of Authorized Users. | | | | | | |
| 994 | The Contractor shall provide the capability to manually change the status of a Case based on progress made in servicing the Case. | | | | | | |

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| 995 | The Contractor shall provide the capability to automatically change the status of a Case based on progress made in servicing the Case. | | | | | | |
| 996 | The Contractor shall provide the capability for Authorized Users to edit data within a Case, Configurable by Case type. | | | | | | |
| 997 | The Contractor shall provide the capability to temporarily group Cases and perform the same action(s) on the group of Cases. | | | | | | |
| 998 | Prevent the creation of duplicate Cases when created automatically by the BOS. | | | | | | |
| 999 | The Contractor shall provide the capability to notify Authorized Users when the number of assigned Cases for a particular resource is reached (Configurable). | | | | | | |
| 1000 | 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. | | | | | | |
| 1001 | 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. | | | | | | |
| 1002 | The Contractor shall provide Case workflow and routing (Configurable). | | | | | | |
| 1003 | 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. | | | | | | |
| 1004 | The Contractor shall provide the capability to suggest best Authorized User for a Case according to staff skills. | | | | | | |
| 1005 | The Contractor shall provide the capability to send an Operational Alert Notification when a Case has met the reassignment threshold (Configurable). | | | | | | |
| 1006 | 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). | | | | | | |
| 1007 | 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. | | | | | | |
| 1008 | 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 | | | | | | | |
| 1009 | 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). | | | | | | |
| 1010 | The Contractor shall provide the capability to automatically escalate overdue Cases based on rules (Configurable). | | | | | | |
| 1011 | The Contractor shall provide the capability to define sets of activities or procedures for specified Case types. | | | | | | |
| 1012 | The Contractor shall provide the capability for thresholds to be defined based on rules that initiate events when exceeded. | | | | | | |
| 1013 | The Contractor shall provide the capability to automatically escalate Cases defined as representing repeated complaints. | | | | | | |
| 1014 | The Contractor shall provide the capability to define activities that require authorization from supervisors. | | | | | | |

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| 1015 | 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 pre-collections, 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. | | | | | | |
| 1016 | 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(s); | | | | | | |
| | · 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 | | | | | | |
| 1017 | · separately account for CSC collections (as compared to Collections Placements) within the BOS in all applicable accounting, financial and operations reports and searches. | | | | | | |
| | 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; | | | | | | |
| 1018 | · escalate to Registration Hold and | | | | | | |
| | · escalate to Collections. | | | | | | |
| | 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 pre-collections, Collections and/or Registration Hold when a certain (configurable) amount of the Violation has been paid; | | | | | | |
| | · the account balance thresholds to prevent escalation; | | | | | | |
| 1.9.1. Collection Agencies | · number of days payment on payment plan is delinquent and | | | | | | |
| | · number of days from issuance of Investigative Review or Administrative Review Letter. | | | | | | |
| | 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. | | | | | | |
| 1019 | The Contractor shall contract with two (2) separate Collection Agencies. | | | | | | |
| 1020 | The Contractor-selected Collection Agencies shall have previous experience collecting toll debt. | | | | | | |
| 1021 | 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. | | | | | | |

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| 1022 | The Contractor shall select Collection Agencies whose compensation is based on a percentage of the amount collected. | | | | | | |
| 1023 | The Contractor-selected Collection Agencies shall not dismiss the Authority's debt unless explicit approval has been provided by the Authority. | | | | | | |
| 1024 | The Contractor-selected Collection Agencies shall allow the Authority to recall debt at no cost to the Authority. | | | | | | |
| 1025 | The Contractor-selected Collection Agencies shall not charge any fees for allowing the Authority's debtors to pay using any payment method. | | | | | | |
| 1026 | 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. | | | | | | |
| 1027 | 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. | | | | | | |
| 1028 | The Contractor shall provide a Collection Agency for Authority's approval and place eligible transactions in Collections based on Business Rules. | | | | | | |
| 1029 | 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; | | | | | | |
| 1030 | · account type and | | | | | | |
| | · account status. | | | | | | |
| 1030 | The Contractor shall provide the capability to create a Collections Placement for accounts and delinquent Violations eligible for Collections. | | | | | | |
| 1031 | 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. | | | | | | |
| 1032 | 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. | | | | | | |
| 1033 | 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. | | | | | | |
| 1034 | 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; | | | | | | |

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| | <ul style="list-style-type: none"> specified frequency; ZIP code and ROV Jurisdiction. | | | | | | |
| 1035 | 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). | | | | | | |
| 1036 | 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: | | | | | | |
| | <ul style="list-style-type: none"> updates to demographic information, such as address updates obtained through Skip Tracing; | | | | | | |
| | <ul style="list-style-type: none"> payments received by the BOS and each Collection Agency (full and partial) and adjustments and reversals of those payments; | | | | | | |
| | <ul style="list-style-type: none"> reversals and adjustments made on the Collections Placement; | | | | | | |
| | <ul style="list-style-type: none"> fees on the Collections Placement such as returned payment fee; | | | | | | |
| | <ul style="list-style-type: none"> suspension of Collections activities due to dispute or Administrative Review; | | | | | | |
| | <ul style="list-style-type: none"> various status changes due to Civil Judgments; | | | | | | |
| | <ul style="list-style-type: none"> suspension of Collections activities or cancellation of the Collections Placement due to bankruptcy; | | | | | | |
| | <ul style="list-style-type: none"> resolution of the Collections Placement at the transaction level; | | | | | | |
| | <ul style="list-style-type: none"> 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. | | | | | | |
| 1037 | The Contractor shall provide the capability to recall a Collections Placement/individual Violation Notices/transactions based on Business Rules and request. | | | | | | |
| 1038 | 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. | | | | | | |
| 1039 | The Contractor shall provide the capability to associate with the account all correspondence transmitted to the customer/violator from the Collection Agency. | | | | | | |
| 1040 | 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. | | | | | | |
| 1041 | 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). | | | | | | |
| 1042 | 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. | | | | | | |
| 1043 | 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. | | | | | | |
| 1044 | 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. | | | | | | |

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| 1045 | 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). | | | | | | |
| 1046 | 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. | | | | | | |
| 1047 | The Contractor shall provide an aging of all files on Collection Placement. | | | | | | |
| 1048 | 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. | | | | | | |
| 1049 | 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. | | | | | | |
| 1050 | 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. | | | | | | |
| 1051 | 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. | | | | | | |
| 1052 | 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. | | | | | | |
| 1053 | The Contractor shall provide the capability to Interface with the Jurisdictions that support license plate Registration Holds/Registration Hold releases or vehicle registration suspension. | | | | | | |

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| 1054 | The Contractor shall provide the capability to apply and receive authorization from the DMV to act as OCTA's processor of record. | | | | | | |
| 1055 | 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. | | | | | | |
| 1056 | 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. | | | | | | |
| 1057 | The Contractor shall provide the capability to check the vehicle registration renewal date and update the existing ROV information in the BOS. | | | | | | |
| 1058 | 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. | | | | | | |
| 1059 | 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. | | | | | | |
| 1060 | The Contractor shall provide the capability to automatically create and exchange Registration Hold and release files with the responsible entities. | | | | | | |
| 1061 | 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. | | | | | | |
| 1062 | The Contractor shall provide the capability to automatically release the Registration Hold if resolved and/or paid. | | | | | | |
| 1063 | 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). | | | | | | |
| 1064 | 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). | | | | | | |
| 1065 | 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. | | | | | | |
| 1066 | The Contractor shall provide the capability for Authorized Users to manually initiate the release of a Registration Hold without resolution of past due amounts. | | | | | | |
| 1067 | The Contractor shall provide the capability to display Registration Hold and release status on the account including the date of request and status. | | | | | | |
| | The Contractor shall provide the capability for Registration Hold statuses (statuses that Registration Holds go through), including but not limited to: | | | | | | |

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| 1068 | · 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. | | | | | | |
| 1069 | The Contractor shall provide the capability to automatically display Flags on all account screens based upon current Registration Hold status. | | | | | | |
| 1070 | 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. | | | | | | |
| 1071 | 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. | | | | | | |
| 1072 | The Contractor shall provide the capability to add a DMV hold fee to each transaction successfully placed on hold | | | | | | |
| 1073 | 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. | | | | | | |
| 1074 | 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 | | | | | | |
| 1075 | The Contractor shall provide the capability to perform a review of all accounts prior to sending them for DMV hold. | | | | | | |
| 1076 | The Contractor shall provide the capability to reconcile Violations marked as on hold in the BOS with the DMV report. | | | | | | |
| 1077 | The Contractor shall provide the capability to prepare a written DMV abstract of hold release for the customer. | | | | | | |
| 1078 | 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 | | | | | | |
| 1079 | 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. | | | | | | |
| 1080 | The Contractor shall provide the capability to receive Investigative Review requests, including documents uploaded from the Self-Service Website. | | | | | | |
| 1081 | The Contractor shall provide the capability track Investigative Reviews through their completion | | | | | | |
| 1082 | 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. | | | | | | |

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| 1083 | 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 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). | | | | | | |
| 1084 | 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. | | | | | | |
| 1085 | 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 | | | | | | |
| 1086 | 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. | | | | | | |
| 1087 | 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. | | | | | | |
| 1088 | 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. | | | | | | |
| 1089 | The Contractor shall provide an Administrative Hearing Officer who meets the requirements in the California Vehicle Code and Authority. | | | | | | |
| 1090 | 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. | | | | | | |
| 1091 | 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. | | | | | | |
| 1092 | 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. | | | | | | |
| 1093 | 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. | | | | | | |

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| 1094 | The Contractor shall provide the capability to track information related to the outcomes of Investigative Reviews and Administrative Review Hearings. | | | | | | |
| 1095 | The Contractor shall provide the capability to offer, establish and manage payment plans for customers who cannot pay the balance due in full. | | | | | | |
| 1096 | The Contractor shall provide the capability to provide Investigative Reviews by phone and chat for first contact resolution. | | | | | | |
| 1097 | 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 | | | | | | | |
| 1098 | 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. | | | | | | |
| 1099 | The Contractor shall provide the capability to perform customer surveys through the Customer Satisfaction Survey Provider Subcontractor. | | | | | | |
| 1100 | The Contractor shall offer the Survey opportunity to every customer each time they contact the CSC or as requested by the Authority. | | | | | | |
| 1101 | 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). | | | | | | |
| 1102 | 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); | | | | | | |

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| 1102 | <ul style="list-style-type: none"> chat (CSR only); email; text; Self-Service Website; Self-Service Mobile Application (Phase II and optional) and walk-in. | | | | | | |
| 1103 | The Contractor shall, on each survey, ask if the customer would like to be contacted regarding any unresolved concerns. | | | | | | |
| 1104 | <p>The Contractor shall provide customer survey capabilities with a combination of features, including but not limited to:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1105 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1106 | 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. | | | | | | |
| 1107 | 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. | | | | | | |
| 1108 | The Contractor shall support the performance of a quarterly physical inventory and monthly reconciliation of transponders. | | | | | | |
| 1109 | 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). | | | | | | |
| 1110 | <p>The Contractor shall provide the capability to manage any number of transponder types, including but not limited to:</p> <ul style="list-style-type: none"> hard-case transponders; sticker transponders; 6c switchable transponders; headlight-mount transponder and bumper-mount transponders. | | | | | | |

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|------|---|--------------------|--|----------------------------|--|---|--|
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| 1111 | 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 | | | | | | |
| 1112 | · transponder style. | | | | | | |
| | 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. | | | | | | |
| 1113 | 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. | | | | | | |
| | 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: | | | | | | |

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| 1114 | · 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. | | | | | | |
| 1115 | 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. | | | | | | |
| 1116 | The Contractor shall provide the capability to track multiple manufacturer warranties based on manufacturer, transponder type or purchase date. | | | | | | |
| 1117 | The Contractor shall provide the capability to track customer warranties based on transponder type or purchase date. | | | | | | |
| 1118 | The Contractor shall provide the capability to identify transponders to be sold and their sale price. | | | | | | |
| 1119 | 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 | | | | | | |
| 1120 | · disposed. | | | | | | |
| | The Contractor shall ensure that individual transponders can only be assigned to a single location at any one time. | | | | | | |
| 1121 | 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. | | | | | | |
| 1122 | 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. | | | | | | |
| 1123 | The Contractor shall provide the capability to change the status for an individual transponder either manually or automatically. | | | | | | |

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| 1124 | The Contractor shall provide the capability to set a separate restock threshold for all inventory locations. | | | | | | |
| 1125 | 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. | | | | | | |
| 1126 | 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. | | | | | | |
| 1127 | The Contractor shall provide the capability to audit the physical inventory at intervals (Configurable) and record the results of the audit. | | | | | | |
| 1128 | 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. | | | | | | |
| 1129 | 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. | | | | | | |
| 1130 | 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. | | | | | | |
| 1131 | The Contractor shall provide the capability to receive the inventory into the BOS. | | | | | | |
| 1132 | 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 | | | | | | |
| 1133 | · comments. | | | | | | |
| | 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; | | | | | | |
| 1134 | · received by name; | | | | | | |
| | · location received and | | | | | | |
| | · date received. | | | | | | |
| 1134 | 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. | | | | | | |

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| 1135 | 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. | | | | | | |
| 1136 | The Contractor shall provide the capability to fulfill transponder orders. | | | | | | |
| 1137 | The Contractor shall provide the capability to present transponder Fulfillment requests for Fulfillment in the order received. | | | | | | |
| 1138 | 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). | | | | | | |
| 1139 | The Contractor shall provide the capability to assign multiple types of transponders to an account and associate the transponder numbers to the account. | | | | | | |
| 1140 | The Contractor shall provide the capability to reassign inventory items from one account to another. | | | | | | |
| 1141 | The Contractor shall provide the capability to replace an existing individual transponder on an account with a different transponder. | | | | | | |
| 1142 | The Contractor shall provide the capability to issue individual transponders to customers via mail and at WICs. | | | | | | |
| 1143 | 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). | | | | | | |
| 1144 | The Contractor shall provide the capability for transponders delivered by USPS to be activated 24 hours after shipment. | | | | | | |
| 1145 | 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. | | | | | | |
| 1146 | 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. | | | | | | |
| 1147 | 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. | | | | | | |
| 1148 | 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. | | | | | | |
| 1149 | 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. | | | | | | |
| 1150 | 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. | | | | | | |
| 1151 | 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. | | | | | | |
| 1152 | The Contractor shall provide the capability to generate a mailing label or print directly on the mailing envelope when fulfilling inventory orders by mail. | | | | | | |

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| 1153 | 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. | | | | | | |
| 1154 | The Contractor shall provide the capability to perform a quality check of the transponder mailing packages before they are mailed to the customers. | | | | | | |
| 1155 | The Contractor shall provide the capability for transponder receipts to be provided to the customer when the Fulfillment takes place in person. | | | | | | |
| 1156 | The Contractor shall provide the capability to notify the customer that a transponder(s) has been placed in the mail. | | | | | | |
| 1157 | 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. | | | | | | |
| 1158 | 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. | | | | | | |
| 1159 | The Contractor shall provide the capability to issue more than one transponder type per vehicle. | | | | | | |
| 1160 | The Contractor shall provide the capability to ask the customer if they will need a switchable transponder for carpooling. | | | | | | |
| 1161 | The Contractor shall provide the capability to provide the amount due for transponders and allow the customer to override the transponder order. | | | | | | |
| 1162 | 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. | | | | | | |
| 1163 | 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. | | | | | | |
| 1164 | 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. | | | | | | |
| 1165 | 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. | | | | | | |
| 1166 | 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. | | | | | | |
| 1167 | The Contractor shall receive and return to inventory and issue the customer a credit according to the Business Rules. | | | | | | |
| 1168 | 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. | | | | | | |
| 1169 | The Contractor shall provide the capability to test transponders using the transponder reader/tester. | | | | | | |

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| 1.11.6. Transponder Warranty Replacement for the Customer | | | | | | | |
| | Functionality will be required to support customer warranty returns and replacements. | | | | | | |
| 1170 | The Contractor shall develop transponder replacement Business Rules based on the transponder type, account type and age of the transponder. | | | | | | |
| 1171 | The Contractor shall provide the capability for a customer to request a replacement transponder by all communication channels and at the WIC. | | | | | | |
| 1172 | The Contractor shall provide the capability to create a Case for each replacement request initiated by the customer. | | | | | | |
| 1173 | 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. | | | | | | |
| 1174 | 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. | | | | | | |
| 1175 | 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). | | | | | | |
| 1176 | The Contractor shall provide the capability to send a replacement transponder to the customer upon the receipt of a replacement request. | | | | | | |
| 1177 | 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. | | | | | | |
| 1178 | 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 | | | | | | | |
| 1179 | 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. | | | | | | |
| 1180 | The Contractor shall provide the capability to create a Return to Manufacturer (RMA) number and associated packing list by manufacturer for each RMA shipment. | | | | | | |
| 1181 | The Contractor shall provide the capability for the opening, tracking and closing of RMA shipments by RMA number. | | | | | | |
| 1182 | The Contractor shall provide the capability to add or remove specific items from an RMA shipment. | | | | | | |
| 1183 | The Contractor shall provide the capability to track warranty payment or replacement transponders due from the manufacturer for returns under warranty. | | | | | | |
| 1184 | 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. | | | | | | |
| 1185 | 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. | | | | | | |

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| 1.12.1. | Self-Service Website | | | | | | |
| 1186 | 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. | | | | | | |
| 1187 | 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. | | | | | | |
| 1188 | 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. | | | | | | |
| 1189 | 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. | | | | | | |
| 1190 | 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. | | | | | | |
| 1191 | 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. | | | | | | |
| 1192 | 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 | | | | | | |
| 1193 | · smartphone/tablet/mobile browsers. | | | | | | |
| | 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. | | | | | | |
| 1194 | The Contractor shall provide the capability for customers to view, export and print all statements. | | | | | | |
| 1195 | The Contractor shall provide capability for a customer to search the website for key words or key phrases. | | | | | | |
| 1196 | The Contractor shall provide quick links to most frequently used pages. | | | | | | |
| 1197 | The Contractor shall provide Web navigation optimized for speed regardless of the Web browser used on the secure Self-Service Website. | | | | | | |
| 1198 | The Contractor shall provide the capability to support the expiration of cookies. | | | | | | |
| 1199 | Detect and advise users of the Self-Service Website if the browser used is old or not supported. | | | | | | |
| 1200 | 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. | | | | | | |
| 1201 | 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. | | | | | | |
| 1202 | 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 | | | | | | |

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| | · any other browser reaching five percent market penetration, as Approved by the Authority. | | | | | | |
| 1203 | 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. | | | | | | |
| 1204 | 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. | | | | | | |
| 1205 | 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. | | | | | | |
| 1206 | 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. | | | | | | |
| 1207 | 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 | | | | | | | |
| 1208 | The Contractor shall provide the capability to control the features and capabilities available to customers based on the account type. | | | | | | |
| 1209 | The Contractor shall provide the capability for a customer to select a PIN upon account establishment. | | | | | | |
| 1210 | 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. | | | | | | |
| 1211 | The Contractor shall provide the capability for a user account session time out after a period of inactivity (Configurable). | | | | | | |
| 1212 | 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. | | | | | | |
| 1213 | 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. | | | | | | |
| 1214 | 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. | | | | | | |

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| 1215 | 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. | | | | | | |
| 1216 | 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. | | | | | | |
| 1217 | 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. | | | | | | |
| 1218 | The Contractor shall provide the capability to reset the PIN. | | | | | | |
| 1219 | The Contractor shall provide the capability to reset the password with requirements for password strength and reuse of previous password restrictions. | | | | | | |
| 1220 | The Contractor shall provide the capability to change username. | | | | | | |
| 1221 | The Contractor shall provide the capability to manage (add/delete/modify) security questions. | | | | | | |
| 1.12.1.2. Account Establishment and Maintenance | | | | | | | |
| 1222 | 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; | | | | | | |
| 1223 | · Opt-in for various communications (texts, e-blasts, statements, marketing) and | | | | | | |
| | · Opt-in for customer survey. | | | | | | |
| 1224 | 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. | | | | | | |
| 1225 | 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. | | | | | | |
| 1226 | 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. | | | | | | |
| 1227 | 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. | | | | | | |
| 1228 | 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. | | | | | | |
| 1229 | 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. | | | | | | |
| 1230 | The Contractor shall provide the capability for customers to set and modify preferred communication channels. | | | | | | |
| 1230 | The Contractor shall provide the capability for the customer to update all information on their account. | | | | | | |

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| 1231 | 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. | | | | | | |
| 1232 | 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. | | | | | | |
| 1233 | 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. | | | | | | |
| 1234 | 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. | | | | | | |
| 1235 | The Contractor shall provide the capability for customers to specify "how did you hear about us?" during the account creation process. | | | | | | |
| 1236 | The Contractor shall provide the capability for customers to be asked a series of marketing questions (Configurable). | | | | | | |
| 1237 | 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. | | | | | | |
| 1238 | 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 | | | | | | |
| 1239 | The Contractor shall provide the capability to determine the payment methods available (Configurable) based on account type. | | | | | | |
| 1240 | The Contractor shall provide the capability for the manual replenishment (via existing payment methods on the account) of Registered accounts. | | | | | | |
| 1241 | The Contractor shall provide the capability for the customer to set up an automated recurring replenishment via Credit Card and ACH. | | | | | | |
| 1242 | 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. | | | | | | |
| 1243 | 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. | | | | | | |
| 1244 | The Contractor shall provide the capability for the violator to upload file(s) supporting the dispute and automatically associate those files to the Case. | | | | | | |
| 1245 | 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. | | | | | | |
| 1246 | The Contractor shall provide the capability to Configure whether or not to allow partial payments for Violation-related activity. | | | | | | |

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| 1247 | The Contractor shall provide the capability to allow for the payment of Violations and an account replenishment with one payment. | | | | | | |
| 1248 | 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. | | | | | | |
| 1249 | 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. | | | | | | |
| 1250 | 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. | | | | | | |
| 1251 | 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. | | | | | | |
| 1252 | 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. | | | | | | |
| 1253 | 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. | | | | | | |
| 1254 | The Contractor shall provide the capability to prevent customers from making payments in excess of a Configurable amount based on account type. | | | | | | |
| 1255 | The Contractor shall provide the capability to configure whether or not customers are allowed to make payments to their accounts for amounts in Collections. | | | | | | |
| 1256 | 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. | | | | | | |
| 1257 | 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 | | | | | | | |
| 1258 | The Contractor shall provide the capability for customers to request and pay (sale) for new transponders. | | | | | | |
| 1259 | 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. | | | | | | |
| 1260 | The Contractor shall provide the recommended number and types of transponders in accordance with the customer request and the Business Rules. | | | | | | |
| 1261 | The Contractor shall provide the capability to identify vehicles which require an external transponder and Flag them for an external headlamp transponder. | | | | | | |

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| 1262 | The Contractor shall provide the capability for customers to deactivate a transponder. | | | | | | |
| 1263 | The Contractor shall provide the capability to allow for the deactivation of a transponder and reactivation of a transponder. | | | | | | |
| 1264 | 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. | | | | | | |
| 1265 | 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. | | | | | | |
| 1266 | 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. | | | | | | |
| 1267 | The Contractor shall provide the capability for customers to add, delete and manage vehicles. | | | | | | |
| 1268 | The Contractor shall provide drop down lists of vehicle makes and models. | | | | | | |
| 1269 | 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. | | | | | | |
| 1270 | The Contractor shall provide the capability to identify motorcycle vehicle plates using the DMV plate configuration and Flag them for an external headlamp transponder. | | | | | | |
| 1271 | 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. | | | | | | |
| 1272 | 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. | | | | | | |
| 1273 | 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. | | | | | | |
| 1274 | The Contractor shall provide a downloadable sample vehicle file and data definition document with instructions for each supported format. | | | | | | |
| 1275 | The Contractor shall provide detailed instructions regarding the process to upload vehicle information. | | | | | | |
| 1276 | 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. | | | | | | |

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| 1277 | 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 | | | | | | | |
| 1278 | The Contractor shall provide the capability for customers to log in, view and print the Notifications associated with their account. | | | | | | |
| 1279 | 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. | | | | | | |
| 1280 | The Contractor shall provide the capability for violators to view and print Violation Notices including all associated Violation images. | | | | | | |
| 1281 | 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). | | | | | | |
| 1282 | 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. | | | | | | |
| 1283 | 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 | | | | | | | |
| 1284 | 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. | | | | | | |
| 1285 | The Contractor shall provide the capability to initiate disputes. | | | | | | |
| 1286 | 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. | | | | | | |
| 1287 | 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. | | | | | | |
| 1288 | The Contractor shall provide the capability to automatically create a contact record in the account history for contacts made via the Self-Service Website. | | | | | | |
| 1289 | The Contractor shall provide the capability for customers to enroll in various Account Plans. | | | | | | |
| 1290 | The Contractor shall provide the capability for customers to enter promotion codes on their accounts. | | | | | | |
| | 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: | | | | | | |

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| 1291 | <ul style="list-style-type: none"> statements; account -related Notifications; texts; marketing/newsletters and customer surveys. | | | | | | |
| 1292 | The Contractor shall provide the capability for customers to enter requests or customer feedback and add a feedback category via drop-down menu options. | | | | | | |
| 1293 | The Contractor shall provide the capability to open a Case. | | | | | | |
| 1294 | <p>The Contractor shall provide the capability to create Cases for customer requests including but not limited to:</p> <ul style="list-style-type: none"> requests for new accounts; toll charges to their account; general customer requests via "contact us"; inventory requests; disputes and request for call back. | | | | | | |
| 1295 | The Contractor shall provide the capability to view Case(s) associated with the account. | | | | | | |
| 1296 | The Contractor shall provide secure chat capabilities where account holders can exchange messages with an Authorized User. | | | | | | |
| 1297 | The Contractor shall provide page(s) for information on hours of operation and locations for WICs. | | | | | | |
| 1298 | The Contractor shall provide page(s) for information on hours of operation and phone numbers for the CSC. | | | | | | |
| 1299 | 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. | | | | | | |
| 1300 | The Contractor shall provide a Self-Service Mobile Application specifically designed to operate with smartphones and tablets. | | | | | | |
| 1301 | 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. | | | | | | |
| 1302 | <p>The Self-Service Mobile Application shall provide the same functionality and informational pages as the Self-Service Website, including but not limited to:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1303 | <p>The Contractor shall provide native mobile application capabilities on the Self-Service Mobile Application, including but not limited to:</p> <ul style="list-style-type: none"> push Notifications and location-based Services. | | | | | | |
| 1304 | 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. | | | | | | |
| 1305 | The Contractor shall provide the capability for processing of all potential payments as well as account replenishment via the implemented mobile payment applications. | | | | | | |
| 1306 | The Contractor shall provide a Self-Service Mobile Application that supports the addition of sponsored ads Approved by the Authority. | | | | | | |

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| 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). | | | | | | |
| 1307 | 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. | | | | | | |
| 1308 | The telephony system shall meet all future capacity requirements. | | | | | | |
| 1309 | 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. | | | | | | |
| 1310 | The Contractor shall provide a telephony system which is designed to meet the Performance Measures and availability Requirements. | | | | | | |
| 1311 | The Contractor shall provide sufficient Session Initiation Protocol (SIP), or equivalent, to support 200 percent of the anticipated call volumes. | | | | | | |
| 1312 | The Contractor shall provide a real-time telephony dashboard that allows the Authority and CSC management to monitor the call handling performance. | | | | | | |
| 1313 | 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. | | | | | | |
| 1314 | 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. | | | | | | |
| 1315 | 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. | | | | | | |
| 1316 | The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the call. | | | | | | |
| 1317 | The Contractor shall provide the capability for Authorized Users to add/delete/modify survey questions for an after-call survey. | | | | | | |
| 1318 | The Contractor shall provide the capability for the telephony system to provide a survey for the customers after the call. | | | | | | |
| 1319 | The Contractor shall provide the capability for Authorized Users to obtain the results of the after-call survey. | | | | | | |
| 1320 | 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. | | | | | | |
| 1321 | The Contractor shall provide the capability for the Authority to remotely and non-intrusively monitor live calls. | | | | | | |
| 1322 | 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; | | | | | | |

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| | | Y - Yes N - No* | B-Base Product M-Base Modified D-New Development NP-Not Provided* | Customer Name and Location | O-Offendor S-Sub T-Third Party NA-Not Applicable | Subcontractor Name and/or 3rd Party Product/Vendor | *Comment required if "No" in Column C or "Not Provided" in Column D, optional otherwise. |
| 1322 | <ul style="list-style-type: none"> specific customer account; call date/time; escalation and customer behavior. | | | | | | |
| 1323 | The Contractor shall provide the capability for English and Spanish language options. | | | | | | |
| 1324 | 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. | | | | | | |
| 1325 | The Contractor shall provide automated call distribution, including conditional routing to qualified Authorized Users. | | | | | | |
| 1326 | The Contractor shall provide for call routing based on conditions, including but not limited to: <ul style="list-style-type: none"> time of day; day of week; Holiday schedule; planned outage; wait times (Configurable) and call volumes (Configurable). | | | | | | |
| 1327 | The Contractor shall provide the capability for Authorized Users to configure the relevant parameters related to call handling, including but not limited to: <ul style="list-style-type: none"> 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. | | | | | | |
| 1328 | The Contractor shall provide the capability to specify and manage service levels. | | | | | | |
| 1329 | The Contractor shall provide the capability to notify Authorized Users regarding service level performance. | | | | | | |
| 1330 | The Contractor shall provide the capability to automatically move contacts between service groups to meet service levels and key performance indicators. | | | | | | |
| 1331 | The Contractor shall provide the capability to prioritize contacts. | | | | | | |
| 1332 | The Contractor shall provide the capability to reprioritize contacts in queue. | | | | | | |
| 1333 | The Contractor shall provide the capability to restrict outbound calling to only specific users. | | | | | | |
| 1334 | The Contractor shall provide the capability to make outbound pre-recorded calls. | | | | | | |
| 1335 | The Contractor shall provide the capability to manage outbound call campaigns. | | | | | | |
| 1336 | 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). | | | | | | |
| 1337 | The Contractor shall provide the capability for Authorized Users to be designated for both outbound and inbound calling. | | | | | | |
| 1338 | 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. | | | | | | |

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| 1339 | 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. | | | | | | |
| 1340 | The Contractor shall provide the capability to notify callers of the estimated wait time either on hold or for a call back. | | | | | | |
| 1341 | The Contractor shall provide expected wait time messages during the time the customer is on hold. | | | | | | |
| 1342 | The Contractor shall provide recorded audio while customers are on hold. | | | | | | |
| 1343 | The Contractor shall provide the capability to record messages to be played to on-hold customers. | | | | | | |
| 1344 | The Contractor shall provide for the interspersing of music for pre-recorded on-hold messages. | | | | | | |
| 1345 | 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. | | | | | | |
| 1346 | The Contractor shall provide the capability for all inbound and outbound calls to be recorded. | | | | | | |
| 1347 | 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. | | | | | | |
| 1348 | 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. | | | | | | |
| 1349 | 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. | | | | | | |
| 1350 | 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. | | | | | | |
| 1351 | 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. | | | | | | |
| | The Contractor shall provide the capability to configure the IVR System, including but not limited to: | | | | | | |

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| 1352 | allowable number of failed authorization attempts; | | | | | | |
| | allowable number of invalid responses and | | | | | | |
| | allowable idle time. | | | | | | |
| 1353 | The Contractor shall provide the capability to view and configure the phone tree in graphical manner. | | | | | | |
| 1354 | The Contractor shall allow for custom IVR messages to be immediately recorded and inserted as needed and requested. | | | | | | |
| 1355 | The Contractor shall provide the capability for standard messages to be rotated in the IVR as needed or requested. | | | | | | |
| 1356 | 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. | | | | | | |
| 1357 | 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. | | | | | | |
| 1358 | Support bi-lingual (English and Spanish) interaction, and the Contractor shall provide the Interface that supports bi-lingual options for customer interaction. | | | | | | |
| 1359 | 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. | | | | | | |
| 1360 | 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. | | | | | | |
| 1361 | 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. | | | | | | |
| 1362 | 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. | | | | | | |
| 1363 | 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. | | | | | | |
| 1364 | 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. | | | | | | |
| 1365 | 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. | | | | | | |
| 1366 | The Contractor shall provide the capability to fully integrate with the Merchant Service Provider Credit Card information while maintaining compliance with tokenization and PCI DSS Requirements. | | | | | | |
| 1367 | The Contractor shall provide the capability for customers to manage their account. | | | | | | |
| 1368 | 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. | | | | | | |
| 1369 | 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; | | | | | | |

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| 1369 | <ul style="list-style-type: none"> account status; Account Plan; account type and Business Rules. | | | | | | |
| 1370 | The Contractor shall provide the capability for customers to add, edit and remove Credit Cards associated with the account. | | | | | | |
| 1371 | The Contractor shall provide the capability for customers to make a one-time payment to the account. | | | | | | |
| 1372 | The Contractor shall provide the capability for customers to enroll in auto replenishment and configure replenishment information. | | | | | | |
| 1373 | 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. | | | | | | |
| 1374 | The Contractor shall provide the capability to accept Credit Card payments via tokenized method. | | | | | | |
| 1375 | The Contractor shall provide the capability to prevent customers from making payments in excess of an amount based on account type (Configurable). | | | | | | |
| 1376 | The IVR shall not store any of the Credit Card information that is input, including in recordings and logs. | | | | | | |
| 1377 | The Contractor shall provide detailed tracking of payments processed via the IVR. | | | | | | |
| 1378 | 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. | | | | | | |
| 1379 | 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. | | | | | | |
| 1380 | The Contractor shall provide the capability for violators to make a payment and have it applied toward a specific item on the account. | | | | | | |
| 1381 | The Contractor shall provide the capability for customers to obtain the last "x" number of toll transactions (Configurable). | | | | | | |
| 1382 | The Contractor shall provide the capability for customers to obtain the last "x" number of Financial Transactions (Configurable). | | | | | | |
| 1383 | The Contractor shall provide the capability for customers to obtain the balance on the account. | | | | | | |
| 1384 | The Contractor shall provide the capability for customers to request statements with the option to select the delivery method. | | | | | | |
| 1385 | The Contractor shall provide the capability for customers to add, edit and remove vehicles and license plates from the account. | | | | | | |
| 1386 | The Contractor shall provide the capability for customers to order transponders and mounting strips. | | | | | | |
| 1387 | The Contractor shall provide the capability for customers to report lost/stolen transponders. | | | | | | |
| 1388 | The Contractor shall provide the capability for customers to update the PIN. | | | | | | |
| 1389 | The Contractor shall provide the capability for customers to hear Notifications that have been sent. | | | | | | |
| 1390 | 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. | | | | | | |
| 1391 | The Contractor shall provide the capability to automatically create a contact record in the account history for contacts made via the IVR. | | | | | | |
| 1392 | The Contractor shall provide IVR System reports that help determine how the IVR is functioning and its effectiveness, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> the number of calls routed to the IVR; | | | | | | |
| | <ul style="list-style-type: none"> abandon rate; | | | | | | |
| | <ul style="list-style-type: none"> account Maintenance activities performed; | | | | | | |
| | <ul style="list-style-type: none"> payments processed; | | | | | | |
| | <ul style="list-style-type: none"> transaction history accessed; | | | | | | |
| | <ul style="list-style-type: none"> customer support requests; | | | | | | |
| | <ul style="list-style-type: none"> general information obtained and | | | | | | |

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| | the number of calls transferred to a CSR from the IVR. | | | | | | |
| 1.13.3. | Email | | | | | | |
| 1393 | The Contractor shall provide the capability to service and manage inbound/outbound customer emails. | | | | | | |
| 1394 | The Contractor shall acquire new email domains Approved by the Authority for use by the new BOS; | | | | | | |
| 1395 | The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the email. | | | | | | |
| 1396 | The Contractor shall provide the capability to respond to customer inquiries with pre-completed (canned) responses that provide variable inputs. | | | | | | |
| 1397 | The Contractor shall provide the capability to estimate and/or program the response time to a customer's email. | | | | | | |
| 1398 | The Contractor shall provide the capability to send e-blast emails to all customers with an email address. | | | | | | |
| 1399 | The Contractor shall provide the capability for English and Spanish language options. | | | | | | |
| 1400 | The Contractor shall provide automated email distribution, including conditional routing to qualified Authorized Users. | | | | | | |
| 1401 | The Contractor shall provide the capability to prevent recording or accepting of Credit Card information in email communication. | | | | | | |
| 1402 | 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. | | | | | | |
| 1403 | The Contractor shall provide automated reporting of all email correspondence by subjects (wrap codes) and response times. | | | | | | |
| 1.13.4. | Fax | | | | | | |
| 1404 | The Contractor shall provide the capability to service and manage inbound/outbound customer faxes. | | | | | | |
| 1405 | The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the fax. | | | | | | |
| 1406 | 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. | | | | | | |
| 1407 | The Contractor shall provide automated reporting of all fax correspondence by subjects (wrap codes) and response times. | | | | | | |
| 1.13.5. | Chat | | | | | | |
| 1408 | The Contractor shall provide the capability to service and manage inbound customer chat sessions. | | | | | | |
| 1409 | The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the chat. | | | | | | |
| 1410 | The Contractor shall provide the capability to respond to customer inquiries with pre-completed (canned) responses that provide variable inputs. | | | | | | |
| 1411 | The Contractor shall provide the capability to estimate and/or program the response time to a customer's chat request. | | | | | | |
| 1412 | The Contractor shall provide the capability to configure the ability to respond to multiple chat sessions concurrently. | | | | | | |
| 1413 | The Contractor shall provide the capability to provide a survey for the customers after the chat. | | | | | | |
| 1414 | The Contractor shall provide the capability for English and Spanish language options. | | | | | | |
| 1415 | The Contractor shall provide the capability for the customer to have a full record of the entire chat session emailed to them. | | | | | | |
| 1416 | The Contractor shall provide the capability to record the full chat session. | | | | | | |
| 1417 | The Contractor shall provide automated chat request distribution, including conditional routing to qualified Authorized Users. | | | | | | |
| 1418 | The Contractor shall provide the capability to prevent recording or accepting of Credit Card information in chat sessions. | | | | | | |
| 1419 | 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 | | | | | | |
| 1420 | The Contractor shall provide the capability to service and manage inbound customer text sessions. | | | | | | |

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| 1421 | The Contractor shall provide the capability for CSRs to select and enter the reason(s) for the text. | | | | | | |
| 1422 | The Contractor shall provide the capability to respond to customer inquiries with pre-completed (canned) responses that provide variable inputs. | | | | | | |
| 1423 | The Contractor shall provide the capability to estimate and/or program the response time to a customer's text request. | | | | | | |
| 1424 | The Contractor shall provide the capability to provide a survey for the customers after the text. | | | | | | |
| 1425 | The Contractor shall provide the capability for English and Spanish language options. | | | | | | |
| 1426 | The Contractor shall provide the capability to record the text responses. | | | | | | |
| 1427 | The Contractor shall provide automated text distribution, including conditional routing to qualified Authorized Users. | | | | | | |
| 1428 | The Contractor shall provide the capability to prevent recording or accepting of Credit Card information in text communication. | | | | | | |
| 1429 | 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. The Contractor shall reconcile all transactional and financial interactions between the BOS and customers; Interoperable Agencies and Third-Party Service Providers. 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. | | | | | | |

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| 1430 | The Contractor shall provide an integrated, Configurable, GAAP-compliant accounting Module for all transactions. | | | | | | |
| 1431 | The Contractor shall provide for double entry recording of all Financial Transactions. | | | | | | |
| 1432 | Separate financial data shall be maintained for each CTOC Agency, each Interoperable Agency, each Collection Agency and each Third-Party Service Provider. | | | | | | |
| 1433 | The Contractor shall create automatic journal entries for recording and tracking all transactions and payment events. | | | | | | |
| 1434 | 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. | | | | | | |
| 1435 | 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. | | | | | | |
| 1436 | Every payment that resulted in a receivable being marked paid shall be traceable to the receivable(s) it paid. | | | | | | |
| 1437 | 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 the 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. | | | | | | |
| 1438 | 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. | | | | | | |
| 1439 | 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. | | | | | | |
| 1440 | 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, or a Third-Party Service Provider simultaneously with the recording of a customer payment against a transaction. | | | | | | |
| 1441 | 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. | | | | | | |

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| 1442 | 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. | | | | | | |
| 1443 | 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. Customer Refunds issued by check to customers. | | | | | | |
| | 2. Payments are made to Interoperable facilities. | | | | | | |
| | 3. Funds are deposited and held in a BOS Bank Account until refunded to customers, paid to Interoperable Agencies or distributed to the Authority. | | | | | | |
| 1.14.3.1. Customer Payments | | | | | | | |
| | Payments and other receipts shall be processed by the BOS in accordance with the following Requirements: | | | | | | |
| 1444 | 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. | | | | | | |
| 1445 | 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. | | | | | | |
| 1446 | 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. | | | | | | |
| 1447 | The Contractor shall provide the capability to capture the bank deposit date and associate it with the payment transaction. | | | | | | |

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| 1448 | 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. | | | | | | |
| 1449 | 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. | | | | | | |
| 1450 | The Contractor shall provide the capability to map disbursements by disbursement type to default disbursement accounts. | | | | | | |
| 1451 | Payments shall be applied to account balances on a Configurable basis (default order is automatically assigned by the BOS). | | | | | | |
| 1452 | 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. | | | | | | |
| 1453 | 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. | | | | | | |
| 1454 | 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. | | | | | | |
| 1455 | 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. | | | | | | |
| 1456 | The Contractor shall provide the capability to issue refunds to the payment method that was used to create the credit balance. | | | | | | |
| 1457 | 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. | | | | | | |
| 1458 | 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). | | | | | | |

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| 1459 | 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. | | | | | | |
| 1460 | 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. | | | | | | |
| 1461 | 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. | | | | | | |
| 1462 | The Contractor shall provide the capability for automated processing of Approved refunds after a Configurable hold period. | | | | | | |
| 1463 | The Contractor shall provide the capability to send an Operational Alert Notification to the PMMS when eligible refunds are due. | | | | | | |
| 1464 | 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. | | | | | | |
| 1465 | 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. | | | | | | |
| 1466 | The Contractor shall provide the capability to track and associate all refunds to the original payment on the account. | | | | | | |
| 1467 | The Contractor shall provide the capability to display detailed Credit Card settlement activity for refunds by payment method. | | | | | | |
| 1468 | 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. | | | | | | |
| 1469 | 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. | | | | | | |
| 1470 | The Contractor shall provide the capability to enter comments and update statuses and Flags to indicate that an account was subjected to Escheatment procedures. | | | | | | |
| 1471 | The Contractor shall provide the capability to identify any unclaimed funds as candidates for the Escheatment process. | | | | | | |
| 1472 | 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. | | | | | | |
| 1473 | 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. | | | | | | |

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| 1474 | The Contractor shall provide for Write-Off codes which shall provide the selection of a Write-Off reason for each transaction. | | | | | | |
| 1475 | The Contractor shall provide for the Write-Off of individual transactions by Authorized Users. | | | | | | |
| 1476 | The Contractor shall provide for the bulk Write-Off of transactions by Authorized Users. | | | | | | |
| 1477 | 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. | | | | | | |
| 1478 | The Contractor shall provide for the cessation of status or workflow stage and collection effort following Write-Off. | | | | | | |
| 1479 | The Contractor shall provide the capability to require a reason for each Write-Off, for example, debt reduction negotiation or debt older than "x". | | | | | | |
| 1480 | The Contractor shall provide the capability for the BOS or the applicable Authorized User to select the appropriate Write-Off reason. | | | | | | |
| 1481 | 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. | | | | | | |
| 1482 | The BOS shall track and reconcile 100 percent of the transactions it receives from the ETTM System. | | | | | | |
| 1483 | 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. | | | | | | |
| 1484 | 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. | | | | | | |
| 1485 | The Contractor shall provide the capability to close a Revenue Month similar to the Revenue Day closure process. | | | | | | |
| 1486 | 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. | | | | | | |
| 1487 | The Contractor shall provide the capability to close a Revenue Year similar to the Revenue Month closure process. | | | | | | |
| 1488 | 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. | | | | | | |
| 1489 | 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 <u>Approved by Authorized Users</u> . | | | | | | |
| 1490 | 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. | | | | | | |

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| 1491 | 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 | | | | | | | |
| 1492 | The Contractor shall provide the capability to reconcile all financial activity, including but not limited to: | | | | | | |
| | · deposits; | | | | | | |
| | · credits; | | | | | | |
| | · disbursements; | | | | | | |
| | · returned items and chargebacks. | | | | | | |
| 1493 | The Contractor shall provide for the daily Balancing of activity at the transaction level by Payment Type. | | | | | | |
| 1494 | The Contractor shall provide for the identification of exceptions by transaction. | | | | | | |
| 1495 | The Contractor shall provide the capability to allow Authorized Users to make adjustments to exceptions and reprocess the automated reconciliation. | | | | | | |
| 1496 | 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. | | | | | | |
| 1497 | 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. | | | | | | |
| 1498 | 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. | | | | | | |
| 1499 | 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. | | | | | | |
| 1500 | 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. | | | | | | |

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| 1501 | 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. | | | | | | |
| 1502 | 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. | | | | | | |
| 1503 | 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: | | | | | | |
| 1504 | 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. | | | | | | |
| 1505 | The Contractor shall provide the capability for the credit memo process to handle disputes and credits initiated by customers of CTOC Agencies. | | | | | | |
| 1506 | 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. | | | | | | |
| 1507 | 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. | | | | | | |
| 1508 | 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). | | | | | | |
| 1509 | 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. | | | | | | |
| 1510 | 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 | | | | | | | |
| 1511 | The Contractor shall provide for reconciliation of daily activity and transactions with Third-Party Service Providers. | | | | | | |
| 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 | | | | | | | |

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| 1512 | The Contractor shall provide comprehensive on-screen, drill-down capabilities from summary levels down through the most detailed transaction level, including images if available. | | | | | | |
| 1513 | 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. | | | | | | |
| 1514 | 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. | | | | | | |
| 1515 | 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. | | | | | | |
| 1516 | 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 | | | | | | |
| 1517 | · remove a field from the grid. | | | | | | |
| | 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. | | | | | | |
| 1518 | 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. | | | | | | |
| 1519 | Searches shall have an optimized data fetching algorithm so BOS performance is not impacted by large result sets. | | | | | | |
| 1520 | The Contractor shall provide the capability to specify a date range for any date in the search. | | | | | | |
| 1521 | The Contractor shall provide the capability to specify a number range for any number in the search, for example, account numbers 1055 – 2000. | | | | | | |
| 1522 | The Contractor shall provide the capability to search by any field, combination of fields and field ranges. | | | | | | |
| 1523 | 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. | | | | | | |
| | 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; | | | | | | |

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| 1524 | · 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 | | | | | | | |
| 1525 | 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. | | | | | | |
| 1526 | 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 | | | | | | | |

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| 1527 | The Contractor shall provide the capability to search for accounts which meet the search criteria with the result delivering multiple accounts. | | | | | | |
| 1528 | The Contractor shall provide the capability to search by key fields and identify potential duplicate accounts. | | | | | | |
| 1529 | 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. | | | | | | |
| 1530 | The Contractor shall provide the capability to display the account running balance in Posting Date chronological order. | | | | | | |
| 1.15.4. Case Search | | | | | | | |
| 1531 | 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). | | | | | | |
| | The Contractor shall provide the capability to search and view Case management, including but not limited to: | | | | | | |

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| 1532 | · 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 | | | | | | | |
| 1533 | 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 | | | | | | |
| 1.15.6. Transponder Search | | | | | | | |
| 1534 | 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. | | | | | | |
| 1535 | 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. | | | | | | |
| 1536 | 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. | | | | | | |
| 1537 | 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 | | | | | | | |
| 1538 | 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. | | | | | | |
| 1539 | 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 | | | | | | | |
| | 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; | | | | | | |

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| 1540 | 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. | | | | | | |
| 1541 | 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. | | | | | | |
| 1542 | 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). | | | | | | |
| 1543 | The Contractor shall provide the capability to allow Authorized Users to select and print Notification pieces directly from the Notification search screen. | | | | | | |
| 1544 | The Contractor shall provide the capability to allow Authorized Users to select and print Notification pieces directly from the account. | | | | | | |
| 1545 | The Contractor shall provide the capability to allow Authorized Users to email a PDF version of the Notification piece directly from the account. | | | | | | |
| 1546 | 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. | | | | | | |
| 1547 | 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. | | | | | | |

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| | 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 | | | | | | |
| 1548 | The Contractor shall provide a BOS data fetching algorithm that is optimized for performance including bringing data into BOS screens and reports. | | | | | | |
| 1549 | 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. | | | | | | |

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| 1550 | 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. | | | | | | |
| 1551 | 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. | | | | | | |
| 1552 | 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. | | | | | | |
| 1553 | 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). | | | | | | |
| 1554 | The Contractor shall provide the capability for Authorized Users to retrieve full table exports from the reports server/database. | | | | | | |
| 1555 | 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. | | | | | | |
| | 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: | | | | | | |
| 1556 | · 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). | | | | | | |
| | The Contractor shall provide a dashboard application, including but not limited to: | | | | | | |
| 1557 | · 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. | | | | | | |

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| 1558 | 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. | | | | | | |
| 1559 | The Contractor shall provide a consistent user interface for all reports. | | | | | | |
| 1560 | 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). | | | | | | |
| 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 user accounts. | | | | | | |
| 1562 | 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). | | | | | | |
| 1563 | 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. | | | | | | |
| 1564 | 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. | | | | | | |
| 1565 | 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). | | | | | | |
| 1566 | 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). | | | | | | |
| 1567 | 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. | | | | | | |

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| 1568 | The Contractor shall provide the capability for the user to manipulate the report data easily to perform comparative analysis and statistical calculations. | | | | | | |
| 1569 | The Contractor shall provide the capability to deliver scheduled reports to the Configured destination. | | | | | | |
| 1570 | The Contractor shall provide the capability for the user to specify the format of the report. For example, PDF, Excel and comma separated. | | | | | | |
| 1571 | The Contractor shall provide the capability to manually select reports for generation in real time. | | | | | | |
| 1572 | 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. | | | | | | |
| 1573 | 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. | | | | | | |
| 1574 | 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. | | | | | | |
| 1575 | 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. | | | | | | |
| 1576 | 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. | | | | | | |
| 1577 | 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; | | | | | | |

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| | <ul style="list-style-type: none"> yearly; comparative based on selection and year-to-date. | | | | | | |
| 1578 | <p>The Contractor shall provide for the generation of a single report by various date types, including but not limited to:</p> <ul style="list-style-type: none"> 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 reconciled date. | | | | | | |
| 1579 | <p>The Contractor shall provide the capability to:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1580 | <p>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:</p> <ul style="list-style-type: none"> 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; | | | | | | |

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| | 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. | | | | | | |
| 1581 | 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. | | | | | | |
| 1582 | 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. | | | | | | |
| 1583 | 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. | | | | | | |
| 1584 | The Contractor shall provide reports that list the account number and overpayment amount on all transaction accounts that are overpaid as of a date. | | | | | | |
| 1585 | The Contractor shall design and implement reports that duplicate the format and content of the current reports in Attachment C: Sample Reports. | | | | | | |
| 1586 | 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 | | | | | | |

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| | 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. | | | | | | |
| 1587 | 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 | | | | | | |
| 1588 | · transaction totals and charges by account statuses. | | | | | | |
| | 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). | | | | | | |
| 1589 | 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 | | | | | | |
| 1590 | · dollar amount. | | | | | | |
| | The Contractor shall provide a comprehensive report that displays all accounts and/or transponders that have Account Plans. | | | | | | |
| 1591 | 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. | | | | | | |
| | 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); | | | | | | |

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| 1592 | 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; | | | | | | |
| 1593 | 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. | | | | | | |
| | 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; | | | | | | |
| 1594 | payments; | | | | | | |
| | dismissals; | | | | | | |
| 1595 | adjustments and | | | | | | |
| | ending balance. | | | | | | |
| 1596 | The Contractor shall provide reports that list all customers' financial activity on the account and reconcile to the Financial Accounts. | | | | | | |
| | 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. | | | | | | |
| 1597 | 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; | | | | | | |
| 1598 | Violations filed with the court; | | | | | | |
| | | | | | | | |

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| 1596 | · 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; | | | | | | |
| 1597 | · customer I-Toll Transactions/Trips Posted and | | | | | | |
| | · other CSR activity. | | | | | | |
| | 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; | | | | | | |
| 1598 | · Cases by time period and | | | | | | |
| | · suggestions by time period. | | | | | | |
| | 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; | | | | | | |
| 1599 | · negative balance; | | | | | | |
| | · inactivity; | | | | | | |
| | · Notifications that require review and | | | | | | |
| | · accounts that require follow up action by CSR or customer. | | | | | | |
| | 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. | | | | | | |
| | 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; | | | | | | |

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| 1600 | · 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. | | | | | | |
| 1601 | The Contractor shall provide reports that list all financial activity of all CSRs that reconcile to individual CSR activity reports. | | | | | | |
| 1602 | The Contractor shall provide reports that list all financial activity of all CSRs that reconcile to financial reconciliation reports. | | | | | | |
| 1603 | 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 | | | | | | |
| 1604 | Collection Agency. | | | | | | |
| | 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; | | | | | | |
| | · Collection Agency and | | | | | | |
| | · courts. | | | | | | |
| 1.16.2.3. Payment Processing Reports | | | | | | | |
| 1605 | 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; | | | | | | |

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| 1605 | <ul style="list-style-type: none"> 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. | | | | | | |
| 1606 | 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). | | | | | | |
| 1607 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1608 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1609 | 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. | | | | | | |

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| 1610 | 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 | | | | | | |
| 1611 | · other operational statuses. | | | | | | |
| | 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 | | | | | | |
| 1612 | · the status of failed transponders. | | | | | | |
| | 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. | | | | | | |
| 1613 | 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). | | | | | | |
| 1614 | 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 | | | | | | |
| 1615 | · address database used (temporary license plates, trucking, manual lookup). | | | | | | |
| | The Contractor shall provide ROV Lookup reports that reconcile the number of ROV Lookup requests to the invoices from the ROV Lookup Service Providers. | | | | | | |
| 1616 | The Contractor shall provide ROV Lookup reconciliation reports shall reconcile to appropriate financial and operations reports. | | | | | | |
| 1.16.2.6. Notifications Reports | | | | | | | |
| 1617 | 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. | | | | | | |
| | 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; | | | | | | |

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| 1618 | · 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). | | | | | | |
| 1619 | 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?). | | | | | | |
| 1620 | The Contractor shall provide Notification tracking reports that show trends by Notification type and channel. | | | | | | |
| 1621 | 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. | | | | | | |
| 1622 | 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. | | | | | | |
| 1623 | 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. | | | | | | |
| 1624 | 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. | | | | | | |
| 1625 | 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 | | | | | | | |
| | 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; | | | | | | |

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| 1626 | · 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. | | | | | | |
| 1627 | 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. | | | | | | |
| 1628 | 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 | | | | | | | |
| 1629 | 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 | | | | | | | |
| 1630 | 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. | | | | | | |
| 1631 | 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. | | | | | | |

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| 1632 | The Contractor shall provide Violation reports that show payment trends and success rates for Violations by Toll Facility. | | | | | | |
| 1633 | 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. | | | | | | |
| 1634 | 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 | | | | | | | |
| 1635 | 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. | | | | | | |
| 1636 | 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. | | | | | | |
| 1637 | 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. | | | | | | |

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| 1638 | 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. | | | | | | |
| 1639 | 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. | | | | | | |
| 1640 | 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. | | | | | | |
| 1641 | The Contractor shall provide for the selectable separation of reports by Interoperable Agencies, Third-Party Service Providers 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. | | | | | | |
| 1642 | 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. | | | | | | |
| 1643 | 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; | | | | | | |

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| 1643 | <ul style="list-style-type: none"> pending status (including workflow location(s)); termination reasons; collected/actual revenue; percentage collected and variances. | | | | | | |
| 1644 | 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. | | | | | | |
| 1645 | 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. | | | | | | |
| 1646 | 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. | | | | | | |
| 1647 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1648 | 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. | | | | | | |
| 1649 | 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. | | | | | | |
| 1650 | 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. | | | | | | |
| 1651 | The Contractor shall provide Financial Account reports that reconcile to other transaction and financial reports. | | | | | | |
| 1652 | <p>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:</p> <ul style="list-style-type: none"> month; month-to-date; quarter; | | | | | | |

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| 1652 | <ul style="list-style-type: none"> · 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 | | | | | | | |
| 1653 | The Contractor shall provide a revenue report that reflects all revenue, including but not limited to: <ul style="list-style-type: none"> · Transponder-Based Transactions/Trips toll revenue; · Image-Based Transactions/Trips toll revenue; · all fees and · penalties. | | | | | | |
| 1654 | 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 | | | | | | | |
| 1655 | The Contractor shall provide a payments report that reflects all payments, including but not limited to: <ul style="list-style-type: none"> · Transponder-Based Transactions/Trips toll revenue; · Image-Based Transactions/Trips toll revenue; · prepayments; · all fees and · penalties. | | | | | | |
| 1656 | Payment reports shall reconcile to reports provided by the various interfaces, including but not limited to: <ul style="list-style-type: none"> · Credit Card processor; · Collections; · Interoperable Agencies; · bank deposits, and · Lockbox payments, if utilized. | | | | | | |
| 1657 | 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 | | | | | | | |
| 1658 | The Contractor shall provide a report that reflects the prepaid balance in each account as of a point in time. | | | | | | |
| 1659 | The Contractor shall provide a report that reflects all replenishments to Registered accounts over a period of time. | | | | | | |
| 1660 | The Contractor shall provide a report that reflects all usage of prepaid funds over a period of time. | | | | | | |
| 1661 | 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). | | | | | | |
| 1662 | 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 | | | | | | | |

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| 1663 | 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. | | | | | | |
| 1664 | 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. | | | | | | |
| 1665 | The Contractor shall provide invoicing summary reports by Toll Facility, detailing the composition of transactions/trips appearing on Violation Notices by Toll Facility. | | | | | | |
| 1666 | 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 | | | | | | | |
| 1667 | 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); | | | | | | |

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| | <ul style="list-style-type: none"> accounts returned uncollectible; transactions/trips returned uncollectible and success rate. | | | | | | |
| 1668 | <p>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:</p> <ul style="list-style-type: none"> 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 | | | | | | | |
| 1669 | 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 | | | | | | | |
| 1670 | The Contractor shall provide all Interoperable Agency and Toll Facility Reports described in Attachment A: WRTO and CTOC Technical Specifications for Interagency Electronic Data Interchange. The Interoperable reports provided in the BOS shall be updated and modified to be in compliance with the Interoperable Agency Interface specifications. | | | | | | |
| 1671 | 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. | | | | | | |
| 1672 | <p>The Contractor shall provide the following reports:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1673 | The Contractor shall provide real-time operations reports. | | | | | | |
| 1674 | 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. | | | | | | |
| 1675 | <p>The Contractor shall provide BOS performance reports that track the performance of CSC Operations, including but not limited to:</p> <ul style="list-style-type: none"> 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; | | | | | | |

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| | <ul style="list-style-type: none"> payment plans initiated and balancing and reconciliation. | | | | | | |
| 1676 | <p>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:</p> <ul style="list-style-type: none"> 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 | | | | | | |
| 1677 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1678 | <p>The Contractor shall provide reporting on the Self-Service Website usage, including but not limited to:</p> <ul style="list-style-type: none"> 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) | | | | | | |
| 1679 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| | <p>The Contractor shall provide reporting on the Self-Service Mobile Website usage, including but not limited to:</p> <ul style="list-style-type: none"> number of individual hits by screen; | | | | | | |

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| 1680 | <ul style="list-style-type: none"> 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 | | | | | | |
| 1681 | <p>The Contractor shall provide contact center reports that help determine how the Contact center is functioning and its effectiveness, including but not limited to:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1682 | <p>The Contractor shall provide other performance reports to monitor, including but not limited to:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1683 | <p>The Contractor shall provide other performance reports to monitor emails, including but not limited to:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1684 | <p>The Contractor shall provide other performance reports to monitor chats, including but not limited to:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| | <p>The Contractor shall provide other performance reports to monitor texting, including but not limited to:</p> <ul style="list-style-type: none"> number of texts offered to CSRs; | | | | | | |

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| 1685 | <ul style="list-style-type: none"> 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 | | | | | | |
| 1686 | <p>The Contractor shall provide reports that allow operations to monitor the Print/Mail House Service Provider (optional) and/or Contractor performance against agreed to Performance Measures and manage USPS mailing activities, including but not limited to:</p> <ul style="list-style-type: none"> quantity of Notification per type; mailing time since receipt of files; Notifications rejected and not mailed with reasons and Exceptions. | | | | | | |
| 1687 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1688 | The Contractor shall provide reports that can be used to reconcile/verify invoices from the Print/Mail House Service Provider (optional). | | | | | | |
| 1.16.4.6. | BOS Management Reports | | | | | | |
| 1689 | <p>The Contractor shall provide reports that allow for transaction/trip reconciliation of the BOS, including but not limited to:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1690 | 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. | | | | | | |
| 1691 | To the extent possible the reports shall automatically calculate the actual performance against the required Performance Measure(s). | | | | | | |
| 1692 | <p>The Contractor shall provide the capability to select a random sample of the work for review and audit including but not limited to:</p> <ul style="list-style-type: none"> 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 | | | | | | |

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| | 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. | | | | | | |
| 1693 | 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. | | | | | | |
| 1694 | 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, 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. | | | | | | |
| 1695 | 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. | | | | | | |
| 1696 | 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. | | | | | | |
| 1697 | 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. | | | | | | |
| 1698 | 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. | | | | | | |

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| 1699 | 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. | | | | | | |
| 1700 | 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. | | | | | | |
| 1701 | The Contractor shall provide transaction and revenue reconciliation reports that reconcile with the Financial Account reports and ETTM Systems reports. | | | | | | |
| 1702 | The Contractor shall provide transaction and revenue reconciliation reports that reconcile with accounts receivable and revenue reports for all transactions. | | | | | | |
| 1703 | 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. | | | | | | |
| 1704 | 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: WRTD and CTOC Technical Specifications for Interagency Electronic Data Interchange. | | | | | | |
| 1705 | 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. | | | | | | |
| 1706 | 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). | | | | | | |
| 1707 | 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 | | | | | | |
| 1708 | · exceptions that need to be investigated (Cases). | | | | | | |
| | The Contractor shall provide reports that provide ROV Lookup request and response trends by ROV Lookup Service Provider, Jurisdiction, date and license Plate Type. | | | | | | |
| 1709 | 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; | | | | | | |

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| | <ul style="list-style-type: none"> payments amount received from DMV and number of Registration Holds released; | | | | | | |
| 1710 | 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. | | | | | | |
| 1711 | The Contractor shall provide the same reports for rental cars processed through TCA. | | | | | | |
| 1712 | The Contractor shall provide reports that track the vehicle license plate information provided by the rental car company, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> files transmitted or loaded; | | | | | | |
| | <ul style="list-style-type: none"> license plates added; | | | | | | |
| | <ul style="list-style-type: none"> license plates identified as exceptions; | | | | | | |
| | <ul style="list-style-type: none"> effective beginning and end dates/times of the license plates; | | | | | | |
| | <ul style="list-style-type: none"> updates made to the license plate information and | | | | | | |
| 1713 | the processing status of the license plates. | | | | | | |
| | The Contractor shall provide reports that track the rental information provided by the rental car company, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> files transmitted or loaded; | | | | | | |
| | <ul style="list-style-type: none"> Image-Based Transactions/Trips against license plate and/or renter/operator for rental period; | | | | | | |
| | <ul style="list-style-type: none"> outstanding amounts; | | | | | | |
| | <ul style="list-style-type: none"> vehicle status (Registration Hold); | | | | | | |
| 1714 | <ul style="list-style-type: none"> Notices and Alerts; | | | | | | |
| | <ul style="list-style-type: none"> status or workflow stage and | | | | | | |
| | <ul style="list-style-type: none"> exceptions. | | | | | | |
| | | | | | | | |
| 1715 | The Contractor shall provide reports that reconcile to Image-Based Transaction/Trip noticing and financial reports. | | | | | | |
| 1716 | The Contractor shall provide reports that show Image-Based Transaction/Trip trends and activity on rental car company license plates. | | | | | | |
| 1717 | 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. | | | | | | |
| 1717 | The BOS shall balance and reconcile every record processed, including but not limited to: | | | | | | |
| | <ul style="list-style-type: none"> payments (sales); | | | | | | |
| | <ul style="list-style-type: none"> voids; | | | | | | |
| | <ul style="list-style-type: none"> refunds; | | | | | | |
| | <ul style="list-style-type: none"> exceptions and | | | | | | |
| | <ul style="list-style-type: none"> chargebacks, chargeback reversals and replenishment. | | | | | | |
| 1718 | The BOS shall load and process the Merchant Service Provider reconciliation files in support of the detailed reconciliation. | | | | | | |
| | 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: | | | | | | |
| | <ul style="list-style-type: none"> number of payments; | | | | | | |
| | <ul style="list-style-type: none"> chargebacks, chargeback reversals and replenishments; | | | | | | |
| | <ul style="list-style-type: none"> refunds; | | | | | | |
| | <ul style="list-style-type: none"> reversals; | | | | | | |
| | <ul style="list-style-type: none"> adjustments; | | | | | | |

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| 1719 | · 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. | | | | | | |
| 1720 | 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. | | | | | | |
| | 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; | | | | | | |
| 1721 | · 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. | | | | | | |
| | The Contractor shall provide reports that display Credit Card payment processing fees, including but not limited to: | | | | | | |
| | · card type; | | | | | | |
| | · transaction type; | | | | | | |
| 1722 | | | | | | | |

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| No. | Requirements | Required Inputs | | | | | |
|--|--|--------------------|--|----------------------------|---|---|--|
| | | Compliance | Status | If Applicable | Source | If Applicable | Comments |
| | | Y - Yes N - No* | B-Base Product M-Base Modified D-New Development NP-Not Provided* | Customer Name and Location | O-Offendor S-Sub T-Third Party NA-Not Applicable | Subcontractor Name and/or 3rd Party Product/Vendor | *Comment required if "No" in Column C or "Not Provided" in Column D, optional otherwise. |
| 1722 | <ul style="list-style-type: none"> quantity processed; amount processed; per-transaction fees and percentage fees. | | | | | | |
| 1723 | The Contractor shall provide reports that display Credit Card payment processing trends, including but not limited to: <ul style="list-style-type: none"> card type; amount processed; amount declined; quantity; number of errors; transaction type (for example, payment, replenishment, reversal, refund); fees and percentages. | | | | | | |
| 1724 | The Contractor shall provide reports that balance to financial reports. | | | | | | |
| 1725 | The Contractor shall provide reports that balance to settlement reports. | | | | | | |
| 1726 | The Contractor shall provide reports that balance to account reports. | | | | | | |
| 1727 | The Contractor shall provide reports that balance to operations (CSR, Website, IVR) reports. | | | | | | |
| 1728 | 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 | | | | | | | |
| 1729 | The Contractor shall provide reports that reflect successful or unsuccessful transmission of update files. | | | | | | |
| 1730 | The Contractor shall provide reports that reflect the number of updates requested from the Credit Card update service provider. | | | | | | |
| 1731 | The Contractor shall provide reports that reflect the number of updated Credit Card files received from the Credit Card update service provider. | | | | | | |
| 1732 | The Contractor shall provide reports that track the transmission of the Credit Card expiration update request files, including but not limited to: <ul style="list-style-type: none"> 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. | | | | | | |
| 1733 | The Contractor shall provide reports that track the transmission of the Credit Card information update request files, including but not limited to: <ul style="list-style-type: none"> records in the file; response received; errors; no response; retries; old information; | | | | | | |

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| No. | Requirements | Required Inputs | | | | | |
|------|---|--------------------|--|----------------------------|---|---|--|
| | | Compliance | Status | If Applicable | Source | If Applicable | Comments |
| | | Y - Yes N - No* | B-Base Product M-Base Modified D-New Development NP-Not Provided* | Customer Name and Location | O-Offendor S-Sub T-Third Party NA-Not Applicable | Subcontractor Name and/or 3rd Party Product/Vendor | *Comment required if "No" in Column C or "Not Provided" in Column D, optional otherwise. |
| | <ul style="list-style-type: none"> 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. | | | | | | |
| 1734 | The Contractor shall provide completed reconciliation and supporting BOS reports that reconcile files received from and sent to the banks have been processed. | | | | | | |
| 1735 | The Contractor shall provide reports that support and identify source of errors, variances and exceptions. | | | | | | |
| 1736 | 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. | | | | | | |
| 1737 | The Contractor shall provide reconciliations and supporting BOS reports that reconcile to the financial reports. | | | | | | |
| 1738 | 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). | | | | | | |
| 1739 | The Contractor shall provide completed reconciliations and supporting BOS reports that reconcile to payments made by the BOS to various agencies. | | | | | | |
| 1740 | 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. | | | | | | |
| 1741 | <p>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:</p> <ul style="list-style-type: none"> 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. | | | | | | |
| 1742 | <p>Reports provided by the BOS shall track:</p> <ul style="list-style-type: none"> the transmission of files; Collections Placements in Collections by Collection Agency; collections aging and performance of each Collection Agency. | | | | | | |
| 1743 | <p>The Contractor shall provide reports that track the transmission of the collection files and Collections responses including but not limited to:</p> <ul style="list-style-type: none"> 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. | | | | | | |

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| | | Compliance | Status | If Applicable | Source | If Applicable | Comments |
| | | Y - Yes N - No* | B-Base Product M-Base Modified D-New Development NP-Not Provided* | Customer Name and Location | O-Offendor S-Sub T-Third Party NA-Not Applicable | Subcontractor Name and/or 3rd Party Product/Vendor | *Comment required if "No" in Column C or "Not Provided" in Column D, optional otherwise. |
| 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. | | | | | | |
| 1744 | Reports provided by the BOS shall track: | | | | | | |
| | · the transmission of files; | | | | | | |
| | · debts placed with FTB; | | | | | | |
| | · debt at FTB aging and | | | | | | |
| | · performance of FTB. | | | | | | |
| 1745 | 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: | | | | | | |
| 1746 | 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. | | | | | | |
| 1747 | The Contractor shall provide reports that balance to financial reports. | | | | | | |
| 1748 | The Contractor shall provide reports that balance to settlement reports. | | | | | | |
| 1749 | The Contractor shall provide reports that balance to account reports. | | | | | | |
| 1750 | The Contractor shall provide reports that display payment trends. | | | | | | |
| 1.16.5.12. | Reconciliation with Print/Mail House Service Provider Reports (optional) | | | | | | |
| | The Contractor may utilize the services of third-party Print/Mail House Service Provider(s) to mail Notifications to customers. The reconciliation of the Notifications transmitted to the Print/Mail House Service Provider(s) and tracking of mailing date is critical to the CSCBOS operations. | | | | | | |
| 1751 | The Contractor shall provide reports that track the Notification files and the Print/Mail House Service Provider responses, including but not limited to: | | | | | | |
| | · number of records transmitted; | | | | | | |
| | · number of responses received; | | | | | | |
| | · number of bad addresses and | | | | | | |
| | · number of corrections made. | | | | | | |
| | The Contractor shall provide reports that track the Notification files transmitted to the Print/Mail House Service 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; | | | | | | |

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|---|--|--------------------|--|----------------------------|---|---|--|
| | | Compliance | Status | If Applicable | Source | If Applicable | Comments |
| | | Y - Yes N - No* | B-Base Product M-Base Modified D-New Development NP-Not Provided* | Customer Name and Location | O-Offendor S-Sub T-Third Party NA-Not Applicable | Subcontractor Name and/or 3rd Party Product/Vendor | *Comment required if "No" in Column C or "Not Provided" in Column D, optional otherwise. |
| 1752 | · 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). | | | | | | |
| 1753 | The Contractor shall provide a COTS data analytics solution that works in conjunction with the data warehouse. | | | | | | |
| 1754 | 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. | | | | | | |
| 1755 | The Contractor shall provide 10 pre-defined analytics reports (to be determined during a post-Go-Live Phase II period). | | | | | | |
| 1756 | 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. | | | | | | |
| 1757 | The Contractor shall provide customized, graphical, reporting templates for the display, printing and export of information into reports and presentations. | | | | | | |
| 1758 | The Contractor shall provide the capability for Authorized Users to do self-service data queries and analysis. | | | | | | |
| 1759 | 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 | | | | | | |
| | · day of week of the transaction. | | | | | | |

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| No. | Requirements | Required Inputs | |
|-----------------------------------|--|-------------------|--|
| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 1. Scope of Work and Requirements | | | |
| | The following subsections describe the Scope of Work and 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 these 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 currently an 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. | | |

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| No. | Requirements | Required Inputs | |
|--|---|-------------------|--|
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| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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 that are Americans with Disabilities Act (ADA) compliant. | | |
| 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. | | |
| 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. | | |
| | 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. | | |

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| 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, a pass-through cost, or submitted through the weekly accounts payable batch. | | |
| 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 latest 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. | | |

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| 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 I-405 CSC Facility 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 I-405 CSC Facility. 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, | | |

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| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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 information received from entities including but not limited to: | | |
| | · customer or Authorized Designee; | | |
| | · Registered Owner of Vehicle (ROV) Lookup Provider; | | |
| | · United States Post Office; | | |
| | · Skip Trace Service Provider; | | |
| | · Banks (for replenishment); | | |
| | · Collection Agencies; | | |
| | · Print/Mail House Service 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-through 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. | | |

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| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 56 | The Contractor shall process, enter, print and send all refund checks and enter the resulting financial transactions into the Authority's financial accounting systems. The Contractor shall work with the Authority to setup all required accounts and processes to facilitate this entire process. | | |
| 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. | | |

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| 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. | | |

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|--|--|-------------------|--|
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| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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 Contractor'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. | | |

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| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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 | | | |

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| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| | 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 of Vehicle (ROV) 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 of Vehicle (ROV) Lookup Provider. | | |
| 97 | The Contractor shall provide the capability to track and follow the renewal Requirements for each Registered Owner of Vehicle (ROV) Lookup 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 of Vehicle (ROV) Lookup Provider; | | |
| | · Manage current contracts and service level agreements with each Registered Owner of Vehicle (ROV) Lookup Provider; | | |
| | · Monitor and evaluate the number of successful matches by Jurisdiction; | | |
| | · Monitor and evaluate the number of successful matches by Registered Owner of Vehicle (ROV) Lookup 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 Registered Owner of Vehicle (ROV) Lookup 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. | | |

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| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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 | | | |

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| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| | 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. | | |

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| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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 inquiries 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 Trace services to find a customer address. | | |

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| 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. | | |

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| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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 Subcontractor 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 Subcontractor. | | |
| 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. | | |

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| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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. | | |
| 1.2.8.1. Transponder Inventory Management | | | |

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| | 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. | | |

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| 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 Service 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. | | |

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| | 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. | | |

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| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 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 Review Hearings. | | |
| 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 Administrative Hearing Officer with all relevant documentation in a comprehensive Evidence Package. | | |
| 229 | The Contractor shall develop the processes, for Approval by the Authority, for the hiring and scheduling of Administrative 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 Administrative 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. | | |

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| 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 Service Providers. | | |
| 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) | | | |

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| 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. | | |
| | 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; | | |

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| 257 | · 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 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. | | |
| | While most Financial Transactions are captured automatically through the BOS, some level of manual entry may be required. Reports, including electronic reports and data exports from the BOS, are the primary means by which the Authority will capture financial information related to the operation of the CSC. The financial reports consist primarily of various BOS-generated reports which summarize the financial and operational performance of the CSC. While most reports are automated, the Contractor is expected to provide manual reports for information that is not automated as requested by the Authority. | | |
| 261 | The Contractor shall utilize BOS-generated reports Approved by the Authority to fulfill reporting needs as described in the Reporting and Reconciliation Plan. | | |
| 262 | The Contractor shall provide all financial reconciliation and reports to the Authority in a timely manner, but no later than the date(s) prescribed in the Performance Measures. | | |
| 263 | The Contractor shall provide all data to the Authority in compliance with pronouncements issued by GASB and in conformity with GAAP. | | |
| 264 | The Contractor shall perform ongoing review of reports at a frequency sufficient to guarantee all reports balance and reconcile to related reports. | | |

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| 265 | The Contractor shall balance, reconcile and verify the content of the reports, including but not limited to: | | |
| | · daily receipts report (by payment method, payment channel and transaction type, including disbursements); | | |
| | · monthly receipts report (by payment method, payment channel and transaction type, including disbursements); | | |
| | · bank reconciliations; | | |
| | · prepaid toll balance; | | |
| | · refunds; | | |
| | · payments to DMVs and other Registered Owner of Vehicle (ROV) Lookup Provider for lookup and Registration Hold fees; | | |
| | · negative balance prepaid customer report; | | |
| | · transaction aging report; | | |
| | · customer aging report for Violation Notices, fees, etc.; | | |
| 266 | · monthly adjustment report as required by the Authority and | | |
| | · transponder inventory reconciliation. | | |
| 266 | The Contractor shall enter journal entries, check payments and other Financial Transactions into the Authority's general ledger systems on a daily, weekly and monthly basis. | | |
| 267 | The Contractor shall, at the request of the Authority, provide new vendor setup, including soliciting and providing W9 of the new vendor and setting up vendor information in the Authority's accounting systems. | | |
| 1.2.18.1. Audits | | | |
| 1.2.18.1.1. SSAE-18 Type II Audit | | | |
| | The Contractor shall engage an independent auditor to perform an SSAE-18 Type II audit to cover the operations of the CSC and provide the resulting SOC1 report to the Authority. The auditors have a fiduciary duty to the Authority; however, the coordination of the audit, including managing the audit and related requests, managing interviews with staff, and the preparation of any supporting documentation or schedules shall be the responsibility of the Contractor. | | |
| 268 | The Contractor shall engage an independent auditor, which has been Approved by the Authority to perform the SSAE-18 Type II audit. | | |
| 269 | The selected independent auditor shall be experienced and widely recognized in the United States for performing these types of audits. (i.e., the selected audit firm shall perform a minimum of ten (10) such similar audits each year). | | |
| 270 | The Contractor and auditor shall mutually agree on an audit plan, which shall be provided to the Authority for Approval, including regularly scheduled meetings. | | |
| 271 | The audit shall cover the period of April 1 to March 31 annually, supplemented by a bridge letter covering the period of April 1 through June 30 annually, with the first year covering the Agreement start date through March 31 and the last year covering April 1 through the end of the Agreement Term. The audit periods are deliberately set to include an offset and a bridge letter so that the Authority's auditors have the SOC1 report in time to start their audit work. | | |
| 272 | The final SOC1 report shall be provided to the Authority no later than June 30 each year. | | |

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| 273 | The Contractor shall comply with all changes to requirements under SSAE-18; in the event SSAE-18 is replaced by a new standard, the new standard shall apply and in the event the SOC1 is replaced by a new reporting form, the Contractor shall submit the new reporting form. | | |
| 274 | The Contractor shall promptly comply with all audit requests. | | |
| 275 | The Contractor shall promptly notify the Authority of any concerns raised by the auditors, including but not limited to: | | |
| | · any asserted weaknesses; | | |
| | · limitations on audit scope; | | |
| | · the auditors' inability to carry out the audit; | | |
| | · the Contractor's inability to carry out the audit; | | |
| | · any projected cost overruns and | | |
| | · time delays in scheduled audit completion. | | |
| 276 | If there is a material change to the Contractor's operations, the Contractor shall update the initial SOC 1 report and include it on the update to ensure the Contractor is in compliance with the SSAE-18 attestation standards. | | |
| 1.2.18.1.2. Quality Audit | | | |
| | The Contractor shall conduct daily quality audits. These audits shall encompass all aspects of the CSC Operation as described in the Quality Plan. The Contractor must develop an audit report and provide it to the Authority monthly. | | |
| 277 | The Contractor shall conduct daily quality audits in accordance with the Contractor's Quality Plan. All deficiencies identified through the audit process shall be successfully corrected by the Contractor. The findings in the audits will result in a monthly report to the Authority. | | |
| 278 | The Contractor shall institute any corrective measures and procedural or operational changes as requested and Approved by the Authority as a result of audits at no additional cost to the Authority. Items identified by the Authority as critical shall be corrected immediately. Other items identified by the Authority as non-critical shall be corrected as soon as practicable in accordance with an Approved schedule. | | |
| 1.2.18.1.3. Other Audits | | | |
| | Other aspects of the CSC are subject to audit by the Authority and/or third parties as well as the Contractor. Results of audits conducted by the Authority and/or third parties, including any prepared audit reports, will be shared with the Contractor, as applicable. | | |
| 279 | The Contractor shall conduct and/or support the Authority in any Contractor required or Authority led audits relating to the Authority's facilities, toll collection, BOS, and CSC Operations. For example, TIFIA, annual external audits, biennial and triennial audits. | | |
| 280 | The Contractor shall conduct audits in accordance with the Quality Plan. These audits may include but are not limited to: | | |
| | · internal control procedures; | | |
| | · revenue/transaction reporting; | | |
| | · physical inventory audit; | | |
| | · security audits; | | |
| | · financial audit; | | |
| | · facility inspections and | | |
| | · Authority processing and performance. | | |

Volume III CSC Operations

| No. | Requirements | Required Inputs | |
|-----------------------------------|--|-------------------|--|
| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 281 | As the accountant for the CSC Operations, the Contractor shall supply the Authority's auditor(s) and management with information and schedules as requested and respond to requests from the Authority or its auditors in a timely manner. | | |
| 282 | The Contractor shall provide the Authority and their designee(s) access to the CSC for the purpose of conducting their audit(s). | | |
| 283 | The Contractor shall support the Authority by running reports and making all requested documentation available for review. | | |
| 284 | The Contractor shall support the Authority by making Contractor employees, consultants and other involved subcontractors and parties available for interview by auditors. | | |
| 285 | The Contractor shall successfully correct all deficiencies identified through the audit process. | | |
| 286 | The Contractor shall institute all corrective measures and procedural or operational changes as requested and Approved by the Authority as a result of audits at no additional cost to the Authority. Items identified by the Authority as critical shall be corrected immediately. Other items identified by the Authority as non-critical shall be corrected as soon as practicable in accordance with an Approved schedule. | | |
| 1.2.19. Revenue Management | | | |
| 287 | The following forms of payment will be accepted by CSC. The Contractor shall account for, credit to the customers' accounts and deposit into the appropriate Bank Account(s) all payments in accordance with the Performance Measures: | | |
| | · checks (including personal, business, e-check, certified and cashier's checks); | | |
| | · money orders; | | |
| | · cash (United States currency); | | |
| | · Credit Card, including mobile payments and EMV chip integrated circuit card (at in-person locations only) and | | |
| | · Debit Card (PIN-less debit only). | | |
| 288 | Using the BOS, the Contractor shall accept payments from customers who use any combination of the above payment methods. For example, customers can choose to pay a portion of their balance using a check and another portion using a Credit Card, or using two (2) or more different Credit Cards. | | |
| 289 | The Contractor shall deposit and post to customer accounts all payments received from all payment channels within the same day the payment was received from the customer. | | |
| 290 | The Contractor shall deposit any checks received by the CSC electronically using bank-specified check scanners, which shall interface with the bank software. | | |
| 291 | The Contractor staff shall manually key in check information in the event of a check scan failure. | | |
| 292 | The Contractor shall manually apply in the BOS any fees which are not automatically applied through the BOS, in accordance with the Business Rules, Operations Plan and SOPs. Examples of these fee types are a returned check fee or a one-time paper statement fee, which must be selected by the user. | | |
| 293 | The Contractor shall post all customer payments received by operations into the BOS. | | |
| 294 | The Contractor shall develop a full-cycle chain of custody process (such as, how payments transfer from the mail room to an Authority employee for Posting to the bank for deposit) for all payments and cash balances which shall be included in the Operations Plan. | | |
| | The Contractor shall develop and implement money handling, counting and storage procedures that cover items including but not limited to: | | |
| | · responsibility for all funds until custody of the funds has passed to the Authority; | | |

Volume III CSC Operations

| No. | Requirements | Required Inputs | |
|---------------------------------------|--|-------------------|--|
| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 295 | · all monies (checks and cash) collected shall be stored in a safe in a secure area until collected or deposited by the bank; | | |
| | · all money handling, counting and storage shall be performed in a secure area and under dual control at all times and | | |
| | · cash shall not be transported through public areas without appropriate security. | | |
| 296 | The Contractor shall deposit all monies received into the Authority's Bank Accounts. | | |
| 297 | On a daily basis, the Contractor shall reconcile, balance and report to the Authority all bank deposits of funds received. | | |
| 298 | The Contractor shall develop and implement customer refund procedures in accordance with the Business Rules to be included in the Operations Plan. | | |
| 299 | The Contractor shall remit monies to and collect monies from various parties in accordance with the Performance Measures and Operations Plan. Such remittances may be made by check, wire transfer, or book transfer, and may be made by either the Contractor or the Authority, in accordance with the Operations Plan and shall include but are not limited to payments to and from: | | |
| | · customers; | | |
| | · the Authority; | | |
| | · Interoperable Agencies; | | |
| | · Lockbox Service Provider; | | |
| | · DMV; | | |
| | · Collection Agencies and | | |
| | · Third-Party Service Providers. | | |
| 1.2.20. Paper Document Storage | | | |
| | The CSC receives and generates paper documents over the course of daily business. These hard copy documents are scanned into the BOS for easy retrieval and association with applicable accounts and Cases on a timely basis and paper documents are shredded. It is anticipated that document storage needs will be minimal and any required space will be provided by the Authority at the I-405 CSC Facility. | | |
| 300 | The Contractor shall provide and Approved approach for the handling, storage, scanning and shredding of all paper documentation in accordance with the Security Standards. | | |
| 301 | The Contractor shall scan all paper documentation into the BOS associating each appropriately with applicable account(s) and Case(s). | | |
| 302 | The Contractor shall redact information in accordance with the Security Standards, Business Rules, Operations Plan and SOPs on the document prior to scanning the paper documentation into the BOS. | | |
| 303 | The Contractor shall shred and dispose of all paper documentation after it has been successfully scanned in accordance with the Security Standards. | | |
| 1.2.21. Interoperability | | | |
| | The Authority is already Interoperable with the other toll agencies in California. Over the life of this Agreement, it is likely that Interoperability will expand to include all U.S. states and regions. The Authority will participate in regional and national Interoperability. | | |
| | The Contractor will work in cooperation with all Interoperable Agencies and CSC facilities, and support the Authority with efforts to provide for efficient and successful operation. | | |
| 304 | Working with the Interoperable Agencies, the Contractor shall facilitate the resolution of interface related issues or errors. | | |

Volume III CSC Operations

| No. | Requirements | Required Inputs | |
|-----|--|-------------------|--|
| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 305 | The Contractor shall provide financial and transactional reconciliation with Interoperable Agencies. | | |
| 306 | The Contractor shall participate in periodic teleconferences and meetings related to Interoperability and other Interoperability organizations. | | |
| 307 | The Contractor shall provide a point of contact for resolution of issues arising with Interoperable transactions/trips and customer service including dispute resolution. | | |
| 308 | The Contractor shall monitor and manage the electronic file transfers within the BOS as required. | | |
| 309 | The Contractor shall manage and reconcile Interoperable receivables and payables. | | |
| 310 | The Contractor shall provide annual Credit Card rate analysis for the Interoperable Agencies and facilities with which the OCTA I-405 will have an agreement to net out Credit Card fees from revenue. The Contractor shall prepare the netting schedule that provides the net amount that the agencies/facilities transmit to each other. | | |

Volume IV Performance Measures

| No. | Requirements | Required Inputs | |
|----------------|--|-------------------|--|
| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 1 | Introduction | | |
| | The following describes the Performance Measures for the BOS and CSC Operations. The Authority requires the Contractor to continuously operate the BOS and CSC in accordance with the standards of performance identified in Requirements and these Performance Measures. | | |
| | The Contractor's performance will be both self-monitored and monitored by the Authority and is rated based on the Contractor's ability to meet these Performance Measures, which reflect the minimum performance expected of the Contractor to provide timely and reliable BOS processing and well as the minimum level of customer service. | | |
| 1.1 | BOS Performance Measures | | |
| | BOS performance will be measured in categories that align with the primary functions of the BOS. The specific method of measuring the Contractor's performance will vary depending on the individual Performance Measure, but will generally be measured either by event, per calendar/Business Day or on a monthly basis. If a Performance Measure is not met, the Contractor is assessed an Adjustment to the monthly fee, based on the calculations described in the table. For some categories, the amount by which the Performance Measure is missed matters in determining how well the BOS is performing, therefore the non-compliance fees increase as the deviation from the Performance Measure increases. | | |
| | Table 1, below, provides the BOS Performance Measures, measurement calculations and Adjustments for the Contractor. The Contractor's monthly invoice will be adjusted by the percentages and amounts shown. Attachment D: Sample KPI Adjustments provides sample scenarios for calculating the monthly KPI Adjustments. | | |
| 1.2 | CSC Operations Performance Measurement | | |
| | The CSC Operations Performance Measures are tracked and reported to measure the ability of the Contractor to execute the key business processes and SOPs required. The Performance Measures are intended to align with the primary functions of the CSC Operations. | | |
| | Some Performance Measures will be used to measure performance of processes that execute multiple times per day, for example, serving customers at the CSC or via the telephone. Other Performance Measures assess the Contractor's performance on the completion of a specific task, for example the completion of accurate monthly reconciliation and Submittal of the reconciliation documentation to the Authority. | | |
| | The specific method of measuring the Contractor's performance will vary depending on the Performance Measure, but will generally be measured on a per item, daily or monthly basis. Non-compliance with the Performance Measures will result in assignment of non-compliance points, which are used to calculate the monthly Adjustments. This process is described in the following section. Regardless of how a Requirement is measured, the Contractor shall provide monthly reporting for all Performance Measures. | | |
| 1.2.1.1 | Performance Scorecard | | |
| | For CSC Operations performance measurement, each Performance Measure is assigned a weighted non-compliance point value. The value of the non-compliance points assigned depends on the severity of the failure and its potential impact on the Authority's business. | | |

Volume IV Performance Measures

| No. | Requirements | Required Inputs | |
|------------|--|-------------------|--|
| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| | The Contractor shall develop Performance Measure reports, including the Monthly Performance Scorecard. Failure to comply with the Performance Measure will result in the associated non-compliance points being applied to the Contractor's Monthly Performance Scorecard. If the accumulated non-compliance points reach a specified threshold, the Contractor's invoice for the month will be adjusted by a percentage of the total invoice value, as shown in Table 3. | | |
| | Table 2, below, provides the BOS Performance Measures, measurement calculations and Adjustments for the Contractor. The Contractor's monthly invoice will be adjusted by the percentages and amounts shown. | | |
| | Attachment D: Sample KPI Adjustments provides sample scenarios for calculating the monthly KPI Adjustments. | | |
| 1.3 | Non-Compliance Performance Adjustments | | |
| | The Contractor's performance score will be determined each month by adding the points assessed for non-compliance as described above. A performance Adjustment will be made in each month that the Contractor exceeds the allowable number of non-compliance points up to a maximum monthly Adjustment. The invoice Adjustment will be exclusive of any pass-thru costs. | | |
| 1.4 | Escalation | | |
| | Non-compliance points will accrue as follows: | | |
| | The first month that a specific Performance Measure is not met will result in the assessment of the initial value of the associated non-compliance points assigned in Table 3. | | |
| | If a specific Performance Measure is not met for a second consecutive month, the non-compliance points assessed for that failure will be doubled for that month. | | |
| | If a specific Performance Measure is not met for a third consecutive month and for all subsequent consecutive months thereafter, the non-compliance points assessed for that failure will be tripled for that month. | | |
| 1.5 | Corrective Actions | | |
| | Failure to meet a Performance Measure does not relieve the Contractor of the Requirement to complete the activity associated with the Performance Measure. The Contractor shall identify the failure condition, take immediate action to remedy the condition and ensure that corrective action is taken to prevent repeated failures in the future. This will be documented in a Corrective Action Plan (CAP). For example, if the Contractor fails to completely and accurately resolve 100% of the customer requests within the time required by the Performance Measure, the unresolved customer requests must still be completely and accurately resolved and the Contractor must identify the root cause of the failure, the extent of the problem and provide a plan to prevent future occurrences. The Contractor must complete activities in a first-in, first-out order (FIFO). Skipping prior day's work in order to catch up with a Performance Measure will not be allowed. | | |
| 1 | The Contractor shall identify the failure condition, take immediate action to remedy the condition and ensure that corrective action is taken to prevent repeated failures. | | |
| 2 | Failure to meet a Performance Measure shall not relieve the Contractor of the Requirement to complete the activity associated with the Performance Measure. Any failure to meet a Performance Measure that requires the completion of a specific action(s), for example completing daily reconciliations or completing image review correctly, which is not completed in accordance with the Requirement, shall not relieve the Contractor of the responsibility to perform in accordance with the Operations Plan and the Requirements. | | |

Volume IV Performance Measures

| No. | Requirements | Required Inputs | |
|---|---|-------------------|--|
| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 3 | If a Performance Measure involving completing work in certain period of time is missed, the work shall be completed in order, such that the oldest work is completed before starting any newer work. The Contractor shall not skip any prior work and process new work to avoid a subsequent Performance Measure Adjustment. | | |
| 4 | The Contractor shall develop a Corrective Action Plan (CAP) for each failure to meet a Performance Measure identifying the root cause(s), the extent of the problem and providing a plan to rectify the current situation and prevent future occurrences. For example, if the Contractor fails to completely and accurately resolve customer requests within the time required by the Performance Measure, the unresolved customer requests shall be completely and accurately resolved and the Contractor must identify the root cause of the failure, the extent of the problem and provide a plan to prevent future occurrences. | | |
| 5 | The Contractor shall submit the CAP to the Authority for review and Approval. | | |
| 6 | The CAP provided by the Contractor shall be in a format Approved by the Authority as part of the Operations Plan. | | |
| 1.6 Non-Chargeable and Chargeable Failures | | | |
| | For purposes of calculating Performance Measures, chargeable and non-chargeable failures are defined as follows: | | |
| | · Non-chargeable failures are those failures identified in the following section. Adjustments will not be assessed for non-chargeable failures. | | |
| | · Chargeable failures are any failures not specifically identified as non-chargeable. Adjustments will be assessed for chargeable failures. | | |
| 1.6.1 Non-Chargeable Failures | | | |
| 7 | Non-chargeable failures are limited to: | | |
| | · Force Majeure, as defined in the Agreement; | | |
| | · BOS failures caused by environmental or operating conditions outside of those that the Contractor controls as established in the Requirements; | | |
| | · Preventive Maintenance as allowed in the Maintenance Plan and | | |
| | · failures that are the responsibility of other contractors and Third-Party Service Providers that are not contracted through or provided by the Contractor as determined by the Authority. | | |
| 1.6.2 Chargeable Failures | | | |
| 8 | Chargeable failures shall include any failures not specifically identified as non-chargeable. | | |
| 1.7 Performance Reporting | | | |
| | The Contractor is required to provide the Authority a Monthly Operations Report that includes the Contractor's Performance Reports and Monthly Performance Scorecard. The Contractor's Performance Report will include a series of reports detailing the Contractor's performance against each Performance Measure and details related to the failure events that resulted in the non-compliance. The Contractor's Performance Report shall contain all information necessary for the Authority to verify the Contractor performance as reported by the Contractor. | | |
| 9 | The Contractor shall prepare and submit to the Authority the Performance Reports as part of the Contractor's Monthly Operations Report on an agreed-upon day each month as defined in these Requirements. | | |

Volume IV Performance Measures

| No. | Requirements | Required Inputs | |
|-----|---|-------------------|--|
| | | Compliance | Comments |
| | | Y - Yes N - No | If "Compliance = N" then Proposer must provide an explanation in this column |
| 10 | The Performance Report shall include: 1) a Monthly Performance Scorecard calculating the non-compliance points assessed that month, if applicable; 2) a series of reports that is comprised of one (1) report per Performance Measure, detailing the Contractor's performance against the Requirement that month supporting the Monthly Performance Scorecard for each Performance Measure, and 3) a historical report detailing the Contractor's performance against each Requirement for the most recent 13 months. Copies of all CAPs related to failures for that month must be included. | | |
| 11 | The Contractor shall provide the required Monthly Operations Report to the Authority before an invoice will be considered for payment. | | |