

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.
1564	· 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.						
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.						

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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;						
	· yearly;						
	· comparative based on selection and · year-to-date.						
1578	The Contractor shall provide for the generation of a single report by various date types, including but not limited to:						
	· Transaction Date;						
	· various transmit dates;						
	· transfer date;						
	· Posting Date;						
	· Violation Notice date;						
	· due date;						
	· payment date;						
	· Hearing date; · process date;						

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	· Posted date;						
	· business date;						
	· review date;						
	· statement date;						
	· mail date;						
	· print date;						
	· acknowledgement date and · reconciled date.						
1579	The Contractor shall provide the capability to:						
	· include sub-totals, totals and grand totals as selected by the user;						
	· sort the data elements in the report within each grouping of data and						
	· present data in graphs and chart types based on presentation form selected by the user from a variety of graphic styles.						
1.16.2. Informational Reports							
1.16.2.1. Transaction Processing Reports							
	The Contractor is expected to provide Transaction Processing Reports which reflect the status or workflow stage for transactions/trips submitted by the Toll Facilities to the BOS over a period of time. For example, a report shall exist that details the number of transactions/trips submitted by a Toll Facility in January and shall detail the status or workflow stage of those transactions/trips as of June 30, the current date.						
1580	The Contractor shall provide transaction reconciliation reports that reconcile to operations and financial reports and display Image-Based Transaction/Trip and Transponder-Based Transaction/Trip statistics, including but not limited to:						
	· tracking the different stages of the transactions/trips;						
	· showing the status or workflow stage; Violation Notice number; date issued; amount owed; amount Posted to an account; amount paid; amount I-Tolled; amount adjusted, past due amount and amount due on all Violation Notices issued;						
	· total payments received by status or workflow stage;						
	· total I-Tolls by status or workflow stage;						
	· total Account Plan transactions/trips by individual Account Plan;						
	· transactions/trips aged to Collections by the Toll Facility; amount collected, recalled, dismissed;						
	· license plates placed on hold, released, amounts on hold per plate;						
	· Violations issued, paid, dismissed, transmitted to court;						
	· Violations scheduled for adjudication, disposition, payments;						
	· Transaction trends;						
	· Transaction receivables detailing all outstanding accounts receivable for all accounts with unpaid transactions/trips by account number and total balance due as of the selected date;						
	· Transaction collections trends;						
	· Transaction I-Toll trends;						
	· Account Plan trends;						
	· Transaction dismissals and disputes;						
	· Transaction by Jurisdiction and · Transaction aging.						

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1581	The Contractor shall provide transaction/trips reports that reconcile the transactions/trips to ETM 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;						
1582	· I-Tolls and						
	· other transaction statuses.						
	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;						
1583	· dismissals;						
	· status or workflow stage and						
	· re-issued.						
	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;						
1584	· amounts voided;						
	· amount collected;						
	· amount collected in I-Tolls and						
	· unbilled tolls collected, if prepayment is allowed.						
	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						
	· transaction totals and charges by account statuses.						
1588	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						
	· dollar amount.						
1590	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.						

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1592	The Contractor shall provide a single report that provides the complete detailed account history for a single account. This report shall include a chronological listing of all activities for each activity type for a specified range of time between account inception and the current date, including but not limited to:						
	· toll transactions/trips – transaction time (entry and exit), location, Posting date/time, Tolling Location, expected toll, Posted toll and discounts (for example, Account Plans);						
	· Financial Transactions – payment date, payment item, Payment Type, payment method, payment number (for example, check number), payment detail (for example, breakdown of tolls and fees paid) receipt number, amount due, paid amount;						
	· reversal activity on Posted transactions (toll, non-toll, penalties, fees, financial) – reversal date, original transaction, reason;						
	· Notifications – date, type, communications channel, Notification number, if applicable (invoice number, Violation Notice number), amount due in each status or workflow stage, due date;						
	· account comments;						
	· account statuses – date of change, from status, to status, user ID and trigger;						
	· Account Plan(s) and activity;						
	· Cases – date Case was established, Case status, Case disposition;						
	· transponder activities and statuses - date of change, from status, to status, user ID, trigger;						
	· dispute activity – date, transaction; invoice/Violation Notice/statement number, amount owed, reason, results; dismissal code, dismissed amount;						
	· Violation activity – date, amount, payment, dismissal, aged to court or Collections;						
	· court activity (obtained from the Collection Agency) – date, transaction, amount owed, disposition;						
	· collection activity – date, Toll Facilities, Notification, amount placed, amount paid, dated recalled/canceled;						
	· Registration Hold and release activity – date, license plate number, Notification, amount owed, results of motor vehicle department, date of hold/release and						
	· account Maintenance activities.						
1593	The Contractor shall provide reports that list all customers' financial activity on the account, including but not limited to:						
	· account number;						
	· name and address records;						
	· all notes and/or Cases related to the account or transactions;						
	· beginning balance;						
	· credits and debits by transaction type;						
	· refunds;						
	· reversals;						
	· payments;						
	· dismissals;						
1594	· adjustments and						
	· ending balance.						
1594	The Contractor shall provide reports that list all customers' financial activity on the account and reconcile to the Financial Accounts.						

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1595	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.						
1596	The Contractor shall provide reports that identify the processed transactions, reconcile to operations reports and summarize the operations activity. Such reports shall summarize the operational activities performed in different customer service departments and areas, including but not limited to:						
	· totals for number of accounts opened and closed by type;						
	· number of transponders assigned by type of transponder;						
	· account replenishment;						
	· invoices generated;						
	· Violation Notices generated;						
	· Violations filed with the court;						
	· Account Plan-related transactions;						
	· Cases opened;						
	· Cases closed;						
	· Cases escalated;						
	· license plates and transponder transactions/trips in the Processing Exception List;						
	· Notices on hold;						
	· disputes processing status;						
	· Evidence Packages created;						
	· placed in collection;						
	· eligible for Registration Hold;						
	· successful Registration Hold;						
	· eligible for Registration Hold release;						
	· successful Registration Hold release;						
1597	· account status;						
	· any adjustments made;						
	· 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:						
1597	· Cases by category;						
	· suggestions by category;						
	· 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;						

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1598	· Registration Hold;						
	· overpayment;						
	· refund requests;						
	· open Case(s);						
	· Violation Notices on hold;						
	· bankruptcy;						
	· negative balance;						
	· inactivity;						
	· Notifications that require review and						
	· accounts that require follow up action by CSR or customer.						
1599	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.						
1600	The Contractor shall provide reports that account for all shift activity with detailed and summarized financial information, including but not limited to:						
	· all payment transactions processed for each payment item;						
	· all payment transactions processed by payment method;						
	· all payment transactions processed by Payment Type;						
	· all payment transactions processed by payment channel;						
	· all Financial Transactions dismissed;						
	· all voided Financial Transactions;						
	· all Financial Transactions reversed;						
	· all Financial Transactions adjusted;						
	· all Financial Transactions unapplied and re-applied;						
	· all Financial Transactions waived and						
	· all Financial Transactions waived by user.						
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						
	· Collection Agency.						

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1604	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;						
	· 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).						
	The Contractor shall provide reports that balance and reconcile the Credit Card processed by the BOS to the Credit Card Posting status provided by the Merchant Service Provider and allows operations to investigate discrepancies, including but not limited to:						
	· failed Credit Card transactions;						

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1607	· 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	The Contractor shall provide reports that balance and reconcile the ACH transactions processed by the BOS to the ACH Posting status provided by the Merchant Service Provider/ACH processor and allows operations to investigate discrepancies, including but not limited to:						
	· failed ACH transactions;						
	· account number;						
	· date and time;						
	· successful ACH transactions that did not Post to an account;						
	· ACH transactions that were processed by the BOS but not the ACH processor;						
	· duplicate ACH processing;						
	· duplicate ACH Posting;						
	· total amount successfully processed;						
	· total amount Posted to accounts;						
1609	· 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.						
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						
	· other operational statuses.						

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1611	The Contractor shall provide transponder status reports that track the issuance of inventory items, including but not limited to:						
	· sold by item type;						
	· by type of distribution method, for example, by mail, in WIC #1 and WIC #2;						
	· number and frequency of inventory items distributed;						
	· the inventory status;						
	· the status of damaged transponders and						
	· the status of failed transponders.						
1612	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						
	· address database used (temporary license plates, trucking, manual lookup).						
1615	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.						
1618	The Contractor shall provide Notification reconciliation reports that track the quantity of Notification pieces by different attributes, including but not limited to:						
	· qualified;						
	· created;						
	· quality reviewed;						
	· printed;						
	· distributed by Notification vendor;						
	· Notification distribution channel;						
	· by date qualified;						
	· by date created;						
	· by date quality review was performed;						

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	· 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							

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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-Officer 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.
1626	The Contractor shall provide Registration Hold reports, including but not limited to:						
	· current number and dollar value of transactions/trips associated with Registration Hold requests;						
	· date of hold;						
	· number of hold requests;						
	· average number of days delinquent for Registration Hold;						
	· current number and dollar value of accepted and denied Registration Hold;						
	· current number and dollar value of Registration Hold terminated through quality review process;						
	· current number and dollar value of payment on Registration Hold;						
	· current number and dollar value of aging of transactions/trips in Registration Hold queue;						
	· Registration Hold Notification and						
	· current number and dollar value of Registration Hold in various Registration Hold statuses.						
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.						

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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.
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.						
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;						

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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-Officer 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.
	· 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.						
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;						

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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-Offoror 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.
	· 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;						
	· 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.						

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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-Offoror 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.
1647	The Contractor shall provide the capability for the Authority to receive information in sufficient detail to record revenues at different steps in the revenue cycle. (For example, before a Violation Notice is mailed, a transaction is in the "billable" stage and in a "billable" Financial Account and when that transaction is included on a Violation Notice, it is in the "billed" stage and in a "billed" Financial Account), including but not limited to:						
	· when transaction/trip is submitted to the BOS;						
	· when billable (deemed billable but not yet billed);						
	· when billed;						
	· when paid (payment received from customer) and						
	· when payment remitted to the Authority.						
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	The Contractor shall provide reports summarizing like Financial Accounts (for example, all toll revenue Financial Accounts for a particular Toll Facility), including but not limited to the following timeframes:						
	· month;						
	· month-to-date;						
	· quarter;						
	· quarter-to-date;						
	· year;						
	· year-to-date;						
	· from and to date;						
	· from and to month and						
	· from and to year.						
1.16.3.2. Revenue Reports							
1653	The Contractor shall provide a revenue report that reflects all revenue, including but not limited to:						
	· Transponder-Based Transactions/Trips toll revenue;						
	· Image-Based Transactions/Trips toll revenue;						
	· all fees and						
	· penalties.						
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							

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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-Offoror 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.
1655	The Contractor shall provide a payments report that reflects all payments, including but not limited to:						
	· Transponder-Based Transactions/Trips toll revenue;						
	· Image-Based Transactions/Trips toll revenue;						
	· prepayments;						
	· all fees and						
	· penalties.						
1656	Payment reports shall reconcile to reports provided by the various interfaces, including but not limited to:						
	· Credit Card processor;						
	· Collections;						
	· Interoperable Agencies;						
	· bank deposits, and						
	· Lockbox payments, if utilized.						
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							
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.						
	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:						

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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.
1664	· 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);						
	· accounts returned uncollectible;						
	· transactions/trips returned uncollectible and						
	· success rate.						
	The Contractor shall provide Collections inventory reports that reconcile to Collections monthly inventory by Collection Agency, and provide status on Collections, including but not limited to:						
	· number and dollar value of outstanding accounts in Collections at the beginning of the month;						

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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-Officer 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.
1668	· 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: WRT0 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	The Contractor shall provide the following reports:						
	· summary report;						
	· Interoperable Agency discrepancy;						
	· adjustments report (Interoperable Agency) and						
	· Toll Facility discrepancy report.						
1.16.4. Operations Reports							
1.16.4.1. Operations Management Reports							
	Operations management reports shall provide insight into the review and management of operations and assess performance.						
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	The Contractor shall provide BOS performance reports that track the performance of CSC Operations, including but not limited to:						
	· customer contacts, mail handling and Violation Notification response;						
	· Case handling;						
	· first contact resolution;						
	· transponder Fulfillment;						
	· payments processed;						
	· customer disbursements processed;						
	· Interoperable Agency settlements processed;						
	· returned payments processed;						

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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.
	· chargebacks processed;						
	· payment plans initiated and						
	· balancing and reconciliation.						
1676	The Contractor shall provide staff performance reports that track the performance of individual Authorized Users over a period of time (for example, daily weekly and monthly) including but not limited to:						
	· customer contacts, mail handling and Notification response;						
	· Case handling;						
	· first contact resolution;						
	· transponder Fulfillment;						
	· payments processed;						
	· customer disbursements processed;						
	· Interoperable Agency settlements processed;						
	· returned payments processed;						
	· chargebacks processed;						
	· payment plans initiated and						
	· balancing and reconciliation.						
1.16.4.2. Self-Service Website Reports							
1677	The Contractor shall provide Self-Service Website activity reports that list all activity associated with the Self-Service Website, and enable operations to assess the Self-Service Website's effectiveness, including but not limited to:						
	· number of accounts setup via the Self-Service Website;						
	· account statements accessed;						
	· account Maintenance activities;						
	· payments;						
	· disputes;						
	· Cases opened;						
	· Violation Notice inquires and						
	· other general information.						
1678	The Contractor shall provide reporting on the Self-Service Website usage, including but not limited to:						
	· number of individual hits by screen;						
	· number of page views;						
	· number of repeat visitors versus new visitors;						
	· bounce rate;						
	· number of updates made to accounts and						
	· number of functional processes, for example Violation Notice payments.						
1.16.4.3. Self-Service Mobile Application Reports (Phase II and optional)							
1679	The Contractor shall provide Self-Service Mobile Application activity reports that list all activity associated with the Self-Service Mobile Application, and enable operations to assess the Self-Service Mobile Application's effectiveness, including but not limited to:						
	· number of accounts setup via the Self-Service Mobile Website;						
	· account statements accessed;						
	· account Maintenance activities;						

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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.
	· payments;						
	· disputes;						
	· Cases opened;						
	· Notice inquires and						
	· other general information.						
1680	The Contractor shall provide reporting on the Self-Service Mobile Website usage, including but not limited to:						
	· number of individual hits by screen;						
	· number of page views;						
	· number of repeat visitors versus new visitors;						
	· bounce rate;						
	· number of updates made to accounts and						
	· number of functional processes, for example account replenishments.						
1.16.4.4. Contact Center Reports							
1681	The Contractor shall provide contact center reports that help determine how the Contact center is functioning and its effectiveness, including but not limited to:						
	· quality score rating for CSRs;						
	· average talk time;						
	· number of calls offered to CSRs;						
	· number of calls answered by CSRs;						
	· number of calls abandoned;						
	· average time before abandonment;						
	· service level (what percentage of the calls are answered within the agreed-upon timeframe, such as what percentage of calls are answered within 60 seconds);						
	· average speed of answer;						
	· abandon rate;						
	· CSR availability;						
	· account Maintenance activities;						
	· payments processed;						
	· transaction history accessed;						
	· requested customer support and						
	· obtained general information.						
1682	The Contractor shall provide other performance reports to monitor, including but not limited to:						
	· total number of calls taken by the IVR System;						
	· total number of calls taken using virtual queuing;						
	· total number of calls taken by the CSR (separate by Spanish and English);						
	· the number of and average length of calls handled for each line;						
	· the average and maximum wait time for each line;						
	· the time taken for a CSR to answer a call once that option is selected and						
	· the number of times a given menu is repeated consecutively during a given call.						
	The Contractor shall provide other performance reports to monitor emails, including but not limited to:						
	· number of emails received CSRs;						
	· number of emails answered by group or individual CSRs;						

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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-Offeror 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.
1683	<ul style="list-style-type: none"> number of emails unanswered; average speed of answer by time period, daily, weekly, monthly; CSR availability and email purpose. 						
1684	The Contractor shall provide other performance reports to monitor chats, including but not limited to: <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. 						
1685	The Contractor shall provide other performance reports to monitor texting, including but not limited to: <ul style="list-style-type: none"> number of texts offered to CSRs; number of texts answered by CSRs; number of texts unanswered; average speed of answer by time period, daily, weekly, monthly; CSR availability and Text purpose. 						
1.16.4.5. Print/Mail Reports							
1686	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: <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	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: <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	The Contractor shall provide reports that allow for transaction/trip reconciliation of the BOS, including but not limited to: <ul style="list-style-type: none"> transactions/trips exchanged with the ETTM System; transactions/trips Posted to accounts and 						

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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.
	· 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	The Contractor shall provide the capability to select a random sample of the work for review and audit including but not limited to:						
	· provide hyperlinked report reflecting a random sample of a certain number of Cases over a certain period of time (for example, 100 Cases which were opened or closed between June 1 and June 30) which shall allow the Authority to click on the hyperlink to open and audit each Case and						
	· provide hyperlinked report reflecting a random sample of a certain number of adjusted or reversed transactions/trips over a certain period of time (for example, 100 transactions/trips that were dismissed between June 1 and June 30) which shall allow the Authority to click on the hyperlink to open and audit each dismissal.						
1.16.4.8. ETTM Contractor Performance Measures Reports							
	ETTM System Contractor Performance Measures reports shall assist the Authority, the Contractor and the ETTM System Contractor in tracking, management, and assessing of the ETTM System Contractor against a subset of their Performance Measures. The ETTM System Contractor has the responsibility to provide for the majority of their Performance Measures Reporting. The report shall be designed and Approved during the Reports Design Workshop.						
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							

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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.
	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.						
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.						

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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-Offoror 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.
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: WRTO 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);						
1708	· problematic license Plate Types and						
	· exceptions that need to be investigated (Cases).						
1708	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;						
	· payments amount received from DMV and						
	· number of Registration Holds released;						

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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.
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:						
	· files transmitted or loaded;						
	· license plates added;						
	· license plates identified as exceptions;						
	· effective beginning and end dates/times of the license plates;						
	· updates made to the license plate information and the processing status of the license plates.						
1713	The Contractor shall provide reports that track the rental information provided by the rental car company, including but not limited to:						
	· files transmitted or loaded;						
	· Image-Based Transactions/Trips against license plate and/or renter/operator for rental period;						
	· outstanding amounts;						
	· vehicle status (Registration Hold);						
	· Notices and Alerts;						
1714	· status or workflow stage and 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:						
	· payments (sales);						
	· voids;						
	· refunds;						
	· exceptions and 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:						

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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.
1719	· number of payments;						
	· chargebacks, chargeback reversals and replenishments;						
	· refunds;						
	· reversals;						
	· adjustments;						
	· errors;						
	· authorizations;						
	· settlements;						
	· payment source;						
	· Credit Card type;						
	· processed amounts;						
	· process status (for example accepted, declined);						
	· counts and amounts reported by the Merchant Service Provider for each transaction type;						
	· counts and amounts reported by the Merchant Service Provider for each card type;						
	· variances;						
	· declined reasons;						
	· date and time of transmission;						
1720	· Credit Card account number in PCI-compliant format;						
	· account number;						
	· number of attempts and						
	· processing fees.						
	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;						
	· response received;						
	· errors;						
	· no response;						
	· retries;						

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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-Offeror 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.
1721	<ul style="list-style-type: none"> 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. 						
1722	<p>The Contractor shall provide reports that display Credit Card payment processing fees, including but not limited to:</p> <ul style="list-style-type: none"> card type; transaction type; quantity processed; amount processed; per-transaction fees and percentage fees. 						
1723	<p>The Contractor shall provide reports that display Credit Card payment processing trends, including but not limited to:</p> <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.						
	<p>The Contractor shall provide reports that track the transmission of the Credit Card expiration update request files, including but not limited to:</p> <ul style="list-style-type: none"> records in the file; response received; errors; 						

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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-Offeror 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.
1732	· 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:						
	· records in the file;						
	· response received;						
	· errors;						
	· no response;						
	· retries;						
	· old information;						
	· new information;						
	· Credit Card account number in PCI-compliant format;						
	· account number;						
	· current account balance (receivable or prepaid);						
	· status of update;						
	· exceptions and · account Alerts.						
1.16.5.8. Reconciliation with the Authority's Bank Reports							
	All payments and funds received by the BOS are deposited in the Authority's Bank Accounts. The Authority requires the capture of all deposit data in the BOS. Fees for services provided also must be reflected separately in the reporting.						
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.						

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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-Offeror 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.
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	The Contractor shall provide completed reconciliations and supporting BOS reports that reconcile to the bank statements provided by the bank, including but not limited to:						
	· beginning balance;						
	· activities for the month (such as payments, adjustments and checks cleared);						
	· deposits in transit;						
	· outstanding checks;						
	· reconciling items and						
	· ending balance.						
1.16.5.9. Reconciliation with Collections Reports							
	The Contractor shall utilize collection services to pursue Image-Based Transactions/Trips and other unpaid receivable balances.						
1742	Reports provided by the BOS shall track:						
	· the transmission of files;						
	· Collections Placements in Collections by Collection Agency;						
	· collections aging and						
1743	· performance of each Collection Agency.						
	The Contractor shall provide reports that track the transmission of the collection files and Collections responses including but not limited to:						
	· number and dollar value of accounts by account type in the Collections file;						
	· outstanding amounts (fees, penalties and Tolls);						
	· number and dollar value of Collections Placements;						
	· number and dollar value of transactions/trips;						
1744	· number of responses received and						
	· number of errors.						
1.16.5.10. Reconciliation with California FTB Tax Intercept Program Reports							
	The Contractor shall utilize the California FTB to pursue Image-Based Transactions/Trips and other unpaid receivable balances.						
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)							

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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-Offeror 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.
	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.						
1752	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;						
	· 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						

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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-Offeror 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.
	· 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.						

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
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.		

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

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

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	· 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.		
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.		

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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
40	The Contractor shall conduct reviews of the access matrix against the actual access for all employees in accordance with all security Requirements. Such reviews shall be conducted no less than quarterly or anytime at the request of the Authority. The Authority shall be invited to witness this review. The schedule for these reviews shall be included in the Operations Plan.		
41	The Contractor shall ensure all Facilities used by the Contractor to perform any Work in support of the Agreement shall be established and maintained in compliance with the Security Standards throughout the Term of the Agreement.		
1.2. Operational Functions			
	CSC Operations shall cover all functional areas as summarized below, including any required manual interactions or data entry that may be required of Contractor staff.		
1.2.1. Account Management			
	The Contractor shall provide the following services in an efficient and effective manner that allows customers to establish, manage and monitor their accounts.		
42	The Contractor shall process all account opening activities, not otherwise performed by the customer, using the BOS, including but not limited to processing the customer application, customer acceptance of terms and conditions, Account Plan enrollment and qualification verification, payment processing, and transponder Fulfillment.		
43	Using the BOS, the Contractor shall be responsible for the Fulfillment of any and all transponder types specified by the Authority.		
44	The Contractor shall support the assigning, qualification verification and management of Account Plans, including non-revenue plans in the BOS, as Approved by the Authority,		
45	In case of an incorrect or incomplete application, the Contractor shall contact the customer to facilitate successful account creation.		
46	The Contractor shall support all activities related to account closing. In the event of closing the Contractor shall ensure that the customer's transponder(s) is changed to the appropriate status in the BOS and that all outstanding balances are paid or handled in accordance with the Business Rules, Operations Plan and SOPs prior to closing the account.		
47	The Contractor shall update customer account information based on 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		

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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
	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.		
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.		

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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
	The Contractor shall be responsible for managing the various Account Plan programs including, enrollment in the program, eligibility verification, program membership renewal, and handling questions from customers regarding how the programs work and questions about specific transactions/trips under the programs. In addition to the Account Plans listed in this section, the Contractor should expect that plans may be added, deleted or modified over the course of the Operations and Maintenance Phase.		
59	In accordance with Business Rules, Operations Plan and SOPs, the Contractor shall provide support for all the Account Plans, including new and modified plans.		
60	For the Account Plans that require qualification, the Contractor shall verify qualification, scan and attach the qualification documentation prior to adding the plan(s) to the customer account.		
61	For Account Plans requiring qualification, the Contractor shall remove the Account Plan and notify the customer if their eligibility requirements are no longer met.		
62	For Account Plans which expire and require renewal, the Contractor shall verify qualification prior to renewing the plan on the customer account.		
63	For Account Plans requiring payment, the Contractor shall collect appropriate payment from the customer as required by the enrollment process for the specific Account Plan.		
1.2.1.3. Non-Revenue Program			
	The Authority allows for non-revenue passage on qualified users on specific facilities. Non-revenue passage may be assigned at the individual transponder, or account level. The Contractor shall maintain strict control when a transponder is issued to an account with a non-revenue plan and the reason for issuing it. The Authority must ALWAYS Approve the issuance of any non-revenue transponder.		
	The Contractor shall be responsible for managing enrollment in the program after obtaining the Authority's approval, verifying eligibility, handling questions from customers in regard to how the programs work and questions about specific transactions/trips under the programs.		
64	In accordance with the Business Rules, Operations Plan and SOPs, the Contractor shall provide support for all of the Authority's non-revenue programs.		
65	Prior to applying a non-revenue plan to a transponder, plate or an account, the Contractor shall obtain Approval from the Authority.		
66	The Contractor shall maintain documentation of authorization for each non-revenue plan that has been assigned to a transponder or an account, and this documentation shall be available for review by the Authority at all times.		
67	The Contractor shall manage non-revenue account participants certification that the transactions/trips on a non-revenue account are according to the agreement.		
68	The Contractor shall perform random checks to confirm the transponder is being used on an authorized plate.		
69	The Contractor will administer non-revenue accounts that do not have transponders issued when directed by the Authority.		
1.2.2. Privacy			

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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
	Privacy is of utmost concern to the Authority. The Contractor shall adhere to privacy and security Requirements set forth below and in the Security Standards and current law and regulations.		
70	The Contractor shall develop and comply with all Approved Security Standards. Security Standards shall be updated to reflect changes in industry requirements, partner agreements and to address detected security weaknesses.		
71	The Contractor shall not release information to anyone unless authorized by the Authority. The Contractor shall develop an SOP and approval process for the release of information.		
72	The Contractor shall establish reasonable methods to verify the identity of customers prior to the release of any customer account information, and such methods shall be documented in the Operations Plan and SOPs.		
73	The Contractor shall validate the identity of the customer prior to release of any image. This may include requiring a photo ID at a WIC.		
1.2.3. Rental Cars			
	The Authority's customers utilize rental vehicles which create transactions/trips that are initially assigned to a rental agency. The Authority may utilize Rental Car Service Providers and/or other designated entities for processing the rental car trips.		
74	The Contractor shall work directly with customers, the Rental Car Service Provider and/or other designated entity to accurately process all rental car trips and resolve rental-related requests.		
75	The Contractor shall enter into agreements with a Rental Car Service Provider for the purpose of providing a seamless and cost-effective solution for customers. The Authority shall have the right to review and approve all Rental Car Service Provider Agreements.		
76	The Contractor shall provide the capability for a rental customer to post-pay a toll based on the Authority's Business Rules.		
77	The Contractor shall process affidavits of non-liability for rental/lease vehicles and pursue the named party.		
78	The Contractor shall resolve charges by rental agencies for accountholders who incur a charge by rental agencies.		
1.2.4. Search Warrants, Subpoenas, Litigation and Public Records Requests			
	The Authority receives requests for information and assistance from the law enforcement and legal communities as well as public records requests. These requests are highly time-sensitive and required sensitive and skilled handling.		
79	The Contractor shall refer all requests, inquiries, subpoenas, search warrants, public records requests and official information requests to the Authority, in accordance with Business Rules, Operations Plan and SOPs.		
80	In accordance with the Business Rules, Operations Plan and SOPs for handling and tracking of such requests, the Contractor shall gather and provide the information requested by the search warrant or subpoena upon receiving Approval from the Authority to do so.		

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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
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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No.	Requirements	Required Inputs	
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		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.		

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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
95	The Contractor shall work with the Authority and ETTM System Contractor to take the necessary steps to correct identified errors from the automated review process so that they do not continue to occur. For example, an ETTM System may be mistaking the letter "E" for the letter "F" for the State of California so the Contractor would communicate the problem to the specific ETTM System Contractor and provide examples of the issue.		
1.2.6. Owner Identification			
	Successful acquisition of accurate ROV information is critical to the success of the Authority's Violation enforcement program. The Contractor shall be completely responsible for establishing and maintaining both technical and operational relationships with the Registered Owner 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.		

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

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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
112	The Contractor shall be required, at its own expense, to communicate to customers or the general public, including resending corrected notifications, any information related to issues or problems caused by the Contractor that affect customers, as further set forth in the Agreement.		
113	The Contractor shall be responsible for printing, packaging and distributing printed information, developed by the Authority.		
114	The Contractor shall manage the sending of e-blasts (sending of an email simultaneously to a group of people), developed by the Authority, to selected groups of customers or all customers using BOS functionality.		
1.2.7.2. Outgoing Communications (Future)			
	The Authority may elect during the Term of the Agreement to offer video tolling for unregistered accounts (mailed invoices) as the first step of the Violations process. The Authority anticipates that video tolling transactions would be grouped in regular intervals, such as weekly or monthly, prior to mailing invoices to customers.		
115	If directed by the Authority, the Contractor shall manage the mailing of invoices and the subsequent customer dispute and Violations process.		
1.2.7.3. Incoming Customer Communication			
	Incoming customer communication includes customer applications; replenishment payments; Violation payments; customer complaints; disputes; general public inquiries; legal notices (for example, bankruptcy, subpoena etc.); requests for account closures, account information updates and transponders. These communications will be received through all channels including but not limited to phone calls, faxes, texts, chat sessions, emails, Authority contacts, and mail.		
	Facilities and procedures are required to provide careful and efficient handling of all incoming customer communication, including the BOS providing for tracking of customer requests as Cases associated to the appropriate account(s).		
116	The Contractor shall assume the responsibility of establishing all required post office boxes.		
117	The Contractor is responsible for all mail pickup and transfer between Facilities as required.		
118	The Contractor shall receive mail from the post office boxes for incoming mail.		
119	All customer contacts handled directly through the Contractor staff shall be noted in the customer account in the BOS to maintain an accurate history of the customer's interaction with the CSC and Authority.		
120	The Contractor shall provide a response for all correspondence received from the customer regardless of which channel the customer uses to communicate, including but not limited to, correspondence received by:		
	· email;		
	· fax;		
	· text;		
	· chat;		
	· communication from the website's "Contact Us" feature and		

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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
	· delivered (USPS or by other means) correspondence.		
121	The Contractor shall monitor and respond to customer requests received by phone, chat and text in real time when received during regular business hours.		
122	The Contractor shall strive to provide first contact resolution and track the number of contacts resolved on first contact.		
123	The Contractor shall encourage users receiving a Violation Notice to open a FasTrak account when they contact the CSC.		
124	The Contractor shall ensure incoming correspondence (paper or electronic) is scanned (in the case of paper correspondence), saved and associated with the customer's account and any applicable Case(s). Non-customer correspondence shall also be scanned and catalogued for easy access. Paper copies shall be shredded, in accordance with security requirements, and policies agreed upon by the Authority, in adherence with the Security Standards and documented in the Operations Plan.		
125	The Contractor shall use the same channel used by the customer or customers preferred channel to respond to the customer correspondence unless the Business Rules, Operations Plan or SOPs specify a different channel or if the nature of the customer issue necessitates the use of a different channel.		
126	The Contractor shall monitor the communications channels used and frequency of all customer correspondence and recommend for consideration BOS configuration changes that improve the use of customer-friendly, efficient and cost- effective customer communication methods.		
127	Some customer contact may involve questions about Image-Based Transactions/Trips. The Contractor shall utilize the BOS to view images related to the transaction/trip in question and if appropriate work with the ETTM System Contractor to correct issues.		
128	All incoming mail shall be processed by the Contractor, in accordance with the SOPs and applicable standards, including but not limited to the Security Standards. Such requirements include but are not limited to: segregation of duties; date stamping the mail, categorization, scanning and/or saving into the BOS as Cases, and then assigning to the appropriate Contractor staff for processing.		
129	The Contractor shall develop a workflow process that clearly documents the handling process for all incoming correspondence and communication through all channels, ensuring all incoming correspondence and communications are recorded, reviewed and properly routed (such as, operational correspondence, financial, contractual, etc.). This shall be documented in the Operations Plan and SOPs.		
130	The Contractor shall ensure all correspondence handling processes and controls are documented and adhered to by operations staff. The Authority shall Approve the correspondence handling process and any changes to the handling process.		

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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
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.		
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.		

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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
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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No.	Requirements	Required Inputs	
		Compliance	Comments
		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.		

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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
166	The Contractor shall monitor and score both live and recorded CSR calls for accuracy, efficiency, professionalism and courteousness in accordance with the Approved Quality Plan.		
167	The Contractor shall monitor and score WIC CSR interaction, resolution activities and outcomes for accuracy, efficiency, professionalism and courteousness in accordance with the Approved Quality Plan.		
168	The Contractor shall review and score all customer interaction channels, resolution activities and outcomes for accuracy, efficiency, professionalism and courteousness in accordance with the Approved Quality Plan.		
169	The Contractor shall review and score Case resolution activities and outcomes for accuracy, efficiency, professionalism and courteousness in accordance with the Approved Quality Plan.		
170	The Contractor shall periodically monitor CSR screen navigations by remotely viewing the CSR's screen.		
171	The Contractor shall track monitoring results and submit a monthly summary to the Authority as part of the Monthly Operations Report.		
172	The Contractor shall track all escalated issues and resolutions and provide a monthly report to the Authority as part of the Monthly Operations Report.		
173	The Contractor shall review information provided by the Authority upon their review of customer interaction and make any changes to improve customer service.		
174	The Contractor shall provide the capability for the Authority to, at the Authority's discretion and without prior notification to the Contractor, monitor all live and recorded calls and all other types of correspondence.		
175	The Contractor shall provide for review by the Authority all documentation related to the Contractor's quality program.		
176	The Contractor shall conduct monthly quality monitoring calibration meetings for all Contractor staff who monitor customer interaction. The Authority shall be invited to attend these meetings.		
1.2.8. Transponder Management			
	The Authority will purchase transponders and the Contractor shall perform all other work related to transponders.		
177	The Contractor shall manage all aspects of the transponder lifecycle. This includes but is not limited to:		
	· initiate a PO request;		
	· receiving into inventory;		
	· testing transponders upon receipt and prior to issuing;		
	· programming transponders as necessary, for example programming a standard 6c transponder to indicate that the vehicle is a motorcycle;		
	· assigning and issuing to customers;		
	· tracking transponders through their life;		
	· recycling (evaluating, cleaning and testing) for reissue;		
	· managing transponder recalls;		
	· warranty return and replacement and disposal of transponders.		

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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
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			
	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.		
	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:		

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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
189	· verifying that the transponders function and are correctly encoded;		
	· reading the transponder serial number and verifying that the transponder label, barcode and internal coding are consistent and		
	· ensuring the transponders can be read by simulating functionality on the road.		
190	The Contractor shall return the transponders which fail the testing to the manufacturer in accordance with the Operations Plan.		
1.2.8.3. Transponder Return to Manufacturer			
	When transponders are determined to be defective but have not exceeded their manufacturer's warranty, they are returned to the manufacturer for replacement under warranty.		
191	The Contractor shall track transponder warranty status and manage and resolve all warranty issues with the transponder manufacturer.		
192	The Contractor shall be responsible for ensuring all transponders found to be defective and still under the manufacturer's warranty are returned to the manufacturer, according to the manufacturer's specified return material authorization (RMA) process.		
193	The Contractor shall be responsible for storage of transponders subject to return until such time that the transponder manufacturer accepts the returned transponders.		
194	The Contractor shall be responsible for shipment of the transponders identified for return to the manufacturer.		
195	The Contractor shall track the warranty returns and confirm that the Authority receives the proper credit for the transponders returned under warranty in accordance with the Authority's agreements with the manufacturer.		
1.2.9. Registration Hold			
	California law allows toll agencies to place a hold on DMV vehicle registrations due to unpaid toll Violations. Based on the Business Rules, Operations Plan and SOPs, a Registration Hold may be utilized to enforce payment of a Violation(s).		
196	The Contractor shall place and release Registration Holds using BOS functionality and in accordance with the Business Rules, Operations Plan and SOPs.		
197	The Contractor shall coordinate with the applicable DMV or Third-Party 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.		

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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
1.2.10.	Collections		
	This Collections process covers the assignment of past due amounts on delinquent FasTrak accounts, and delinquent Violations to the Collection Agencies provided by the Contractor. Non-payment of the Notice of Delinquent Toll Evasion Violation may result in the delinquent Violations escalating to Collections. Unpaid transactions/trips and fees on FasTrak accounts that are delinquent may also escalate to Collections.		
	Delinquent Violation debts are placed with a Collection Agency.		
	The process of assigning unpaid transactions/trips, Violations, fees and penalties to Collections is called Collections Placement, and is an automated BOS process. However, based on the Business Rules, each Collections Placement may require a quality review and/or the Authority's approval before the Collections Placement file is submitted to the applicable Collection Agency.		
	Prior to a Collections Placement, the Authority may require the Contractor to perform outgoing calls or mail a pre-collections letter to alert an individual of an impending Collections Placement and allow one more chance to make a payment.		
	The Collection Agencies will provide regular collection activity updates to the BOS by electronic interface. Payments for transactions/trips in Collections can be made to the Collections Agency or to the CSC. The Contractor will manage, monitor and reconcile the transfer of Collections Placement files and revenue collected by the Collection Agencies and the CSC.		
202	The Contractor shall provide the Collection Agencies.		
203	The Contractor shall support outbound collections calls and letters prior to Collections Placements.		
204	The Contractor shall verify that the BOS is performing Collections Placements according to the Business Rules, Operations Plan and SOPs.		
205	While it is expected that the Collection Agencies will be the primary payment processors for debts in Collections, the Contractor shall accept payments for amounts in Collections.		
206	The Contractor shall verify that the Collection Agencies are accurately updating the BOS and shall work directly with the Collection Agencies to completely and accurately resolve any issues in a timely manner, including identification and resolution of any discrepancies between what the BOS identifies is in Collections and what Collection Agencies say is in Collections.		
207	Using the BOS and other data sources as necessary, the Contractor shall perform reconciliations including but not limited to:		
	· reconcile files received from the Collection Agencies to the BOS to ensure the files received from the Collection Agencies are correctly Posted to the BOS;		
	· reconcile outstanding Collections balances per the BOS to outstanding Collections balances per the Collection Agencies on a monthly basis, and research and resolve discrepancies and		
	· reconcile amounts collected by the CSC in relation to Collections Placements sent to the Collection Agencies. There should be no duplicated revenue collections on the same Collections Placement.		
208	The Contractor shall review and verify invoices submitted by Collection Agencies, along with required backup documentation and providing feedback to the Authority.		

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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
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 through final resolution and potentially transaction Write-Off.		
212	The Contractor shall comply with bankruptcy laws.		
213	The Contractor shall document receipt of Notification of bankruptcy within the BOS and place applicable transactions on hold pending the outcome of the bankruptcy process.		
214	The Contractor shall remove DMV Holds for trips subject to bankruptcy proceedings.		
215	The Contractor shall communicate with the Collection Agencies, as necessary, related to a bankruptcy Notification.		
216	The Contractor shall discontinue collection efforts with the Franchise Tax Board for trip subject to bankruptcy proceedings.		
217	The Contractor shall update the status of the bankruptcy in the BOS upon notification of changes or the resolution and perform the necessary steps to ensure that the BOS accurately reflects the outcome including but not limited to dismissing amounts due, processing Write-Offs and reinstating Violations.		
218	The Contractor shall send copies of bankruptcy Notifications to the Authority.		
219	The Authority will notify the Contractor of any bankruptcy proceedings for which the Authority receives Notifications. The Contractor shall update the status of the bankruptcy in the BOS accordingly and notify the applicable Collection Agency.		
220	The Contractor shall follow up with, provide information and respond to requests from all parties including but not limited to customers, attorneys, the bankruptcy courts and the Authority related to a customer bankruptcy proceeding.		
1.2.12. Violation Investigative Review (Disputes), Administrative Review and Hearing Support			
	When a violator receives a Violation Notice, they can contest (dispute) it. Disputes shall be tracked as Cases in the BOS. The Contractor shall follow California Vehicle Code Section 40250 et seq. with respect to disputes and Administrative 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.		

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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
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.		
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.		

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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
	· 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)			
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.		

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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
249	The Contractor shall identify the funds as Escheated in the BOS as directed by the Authority.		
250	Prior to Escheatment, the Contractor will advertise a Notice of Publication of Unclaimed Funds that will run once a week for two (2) weeks.		
251	When no inquiries are received, the checks will revert back to the Authority. The Authority will provide the Contractor with a list of funds to either reissue a check for or to revert back to the Authority.		
1.2.16. Write-Offs			
	The BOS will provide the capability for the Contractor to monitor, conduct, and report on Write-Offs of unpaid balances or aged amounts.		
252	The Contractor shall develop a Write-Off procedure that complies with legislation and the Authority's policies.		
253	Contractor shall configure BOS to perform automatic Write-Offs based on the Business Rules for unpaid balances which meet the Approved criteria.		
254	Contractor shall monitor the automatic Write-Offs performed by the BOS and report on these to the Authority on a monthly basis.		
1.2.17. Reconciliations			
	The Contractor shall be responsible for the management of the financial operations of the CSC, including the balancing and reconciliation of all Financial Transactions.		
255	The Contractor's balancing and reconciliation activities, which shall be provided to the Authority on a weekly and monthly basis, shall include but are not limited to:		
	· perform daily balancing and close-out of all shifts;		
	· perform daily balancing of all mailed-in payments;		
	· perform daily and monthly reconciliation of all Bank Accounts;		
	· perform daily and monthly reconciliation of all merchant account activity and fees, including but not limited to Credit Cards and Debit Cards and		
	· perform daily and monthly reconciliation of all Lockbox activity.		
256	The Contractor shall develop a process for identifying, reporting and resolving all errors and discrepancies, which shall be included in the Operations Plan.		
257	The Contractor shall perform other financial and transactional reconciliations in an accurate and timely manner, to be provided to the Authority for review, in accordance with the Performance Measures, including but not limited to:		
	· perform daily, monthly and annual reconciliation of all transactions;		
	· perform daily, monthly and annual reconciliation of all Interoperable Agency transactions;		
	· perform daily, monthly and annual reconciliation of all transactions placed at a Collection Agency;		
	· perform daily, monthly and annual reconciliation of all Third-Party Service Provider 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.		

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
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.		
	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);		

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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
265	· 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.;		
	· 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.		

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
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.		
	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;		

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
280	<ul style="list-style-type: none"> physical inventory audit; security audits; financial audit; facility inspections and Authority processing and performance. 		
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:		
	<ul style="list-style-type: none"> checks (including personal, business, e-check, certified and cashier's checks); 		
	<ul style="list-style-type: none"> money orders; 		
	<ul style="list-style-type: none"> cash (United States currency); 		
	<ul style="list-style-type: none"> 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.		

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
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.		
295	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;		
	· 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.		

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
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.		
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		

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
	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.		
	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 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.		

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	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.		
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			

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
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.		
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.		