

Request for Proposals

RFP-2016-1201

Washington State

Good To Go!

Back Office System

Offered by

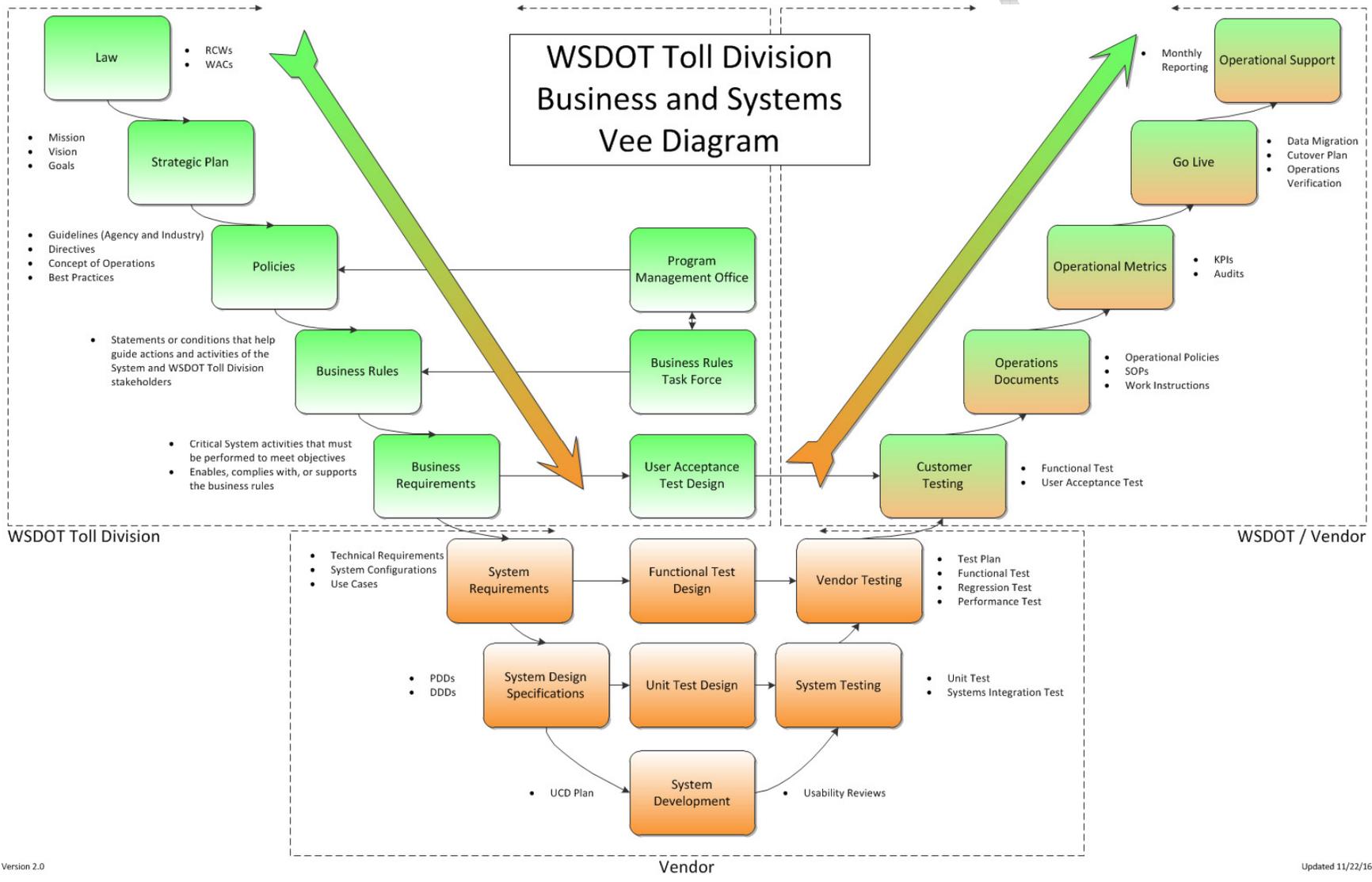
Washington State

Department of Transportation



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The WSDOT Business and Systems Vee Diagram is a graphical representation of the relationship between the guiding business principles of the WSDOT Toll Division (including the Washington Administrative Code, the Revised Code of Washington, policies, business rules, and business requirements) and the systems that are developed, tested and operated that comply with those business principles (including back office and lane systems, development, testing, and operations).



WSDOT

Toll Division

Back Office System Business Rules

Revised 11/23/16

1. General

1.1. Services

1.1.1. The Back Office System (BOS) shall support the various Customer activities indicated in below:

- Establish an account
- Make a one-time payment
- Close an account
- Manage account activities
- Change correspondence delivery method or frequency
- Perform pass management
- Talk to a Customer Service Representative (CSR)
- Obtain activity statement
- Request activity statement
- File a dispute or complaint
- Enroll in an offered discount plan

1.2. Integrated Voice Response Phone System

1.2.1. The BOS' phone system shall include an automated Integrated Voice Response (IVR) system that provides call-in Customer service 24 hours per day, 7 days per week, except for scheduled Maintenance.

1.2.2. The IVR shall initially answer all inbound Customer calls.

1.2.3. The IVR shall notify the Customer of current wait times based on call volumes and handling times.

1.2.4. The IVR shall notify the Customer of historically low volume call times.

1.2.5. The IVR shall provide the Customer the option of a call back when a CSR becomes available.

- 1.2.6. If a Customer attempts to exit the IVR and talk to CSR when the call center is closed, the IVR shall inform the Customer when the call center is scheduled to re-open.
- 1.2.7. If a Customer exits the IVR to talk to a CSR, the IVR shall inform the Customer that the call may be monitored or recorded for quality.
- 1.2.8. The IVR shall support providing general information to Customers in the following languages using scripts provided and maintained by WSDOT:
 - English
 - Spanish

1.3. Online Website

- 1.3.1. The BOS website shall provide online Customer service 24 hours per day, 7 days per week, except for scheduled Maintenance.
- 1.3.2. The BOS shall notify Customers at least 48 hours in advance of all scheduled website maintenance.
- 1.3.3. If a Customer attempts to access the website when it is unavailable, the BOS website shall display a Maintenance message that will inform the Customer when the website is scheduled to become available.
- 1.3.4. In addition to providing online Customer service access, the BOS website shall also provide Customers with content regarding and/or access to links related to other WSDOT provided information, such as WSDOT's statewide tolling efforts and Toll Facility specific information.
- 1.3.5. The BOS website shall only display information that has been reviewed and approved by WSDOT.
- 1.3.6. The BOS website shall adhere to web accessibility standards for all content on the website.
- 1.3.7. The BOS website shall support providing common questions and answers, the online account application instructions, Pass installation instructions, and the Customer Agreement in English on the website in downloadable and printable form.
- 1.3.8. The BOS website shall be provided in English.
- 1.3.9. The BOS website shall provide a live chat feature which interfaces to the CSC.
- 1.3.10. The BOS website shall be mobile friendly.

1.4. Email

- 1.4.1. The BOS shall support inbound and outbound emailing services.
- 1.4.2. The BOS shall use and provide the email address goodtogo@wsdot.wa.gov for communicating with Customers via email.
- 1.4.3. The BOS shall ensure the incoming emails are secure and accessible only to authorized personnel.

*** End of Section ***

PRELIMINARY

2. Account Establishment

2.1. General

- 2.1.1. The BOS shall support the concept of a single Customer account.
- 2.1.2. The BOS shall support the establishment of multiple types of Customer accounts that allow a Customer to pay for a Toll or assessed fee incurred on any WSDOT Toll Facility, along with other payments associated with customer accounts and toll transactions.
- 2.1.3. The BOS shall support the various Customer activities related to standard and commercial account establishment.
- 2.1.4. When establishing an account, the BOS shall verify the payment information provided.
- 2.1.5. WSDOT-approved Non-Revenue Passes and License Plates shall be administered by the BOS through the discount program.
- 2.1.6. At the time of account setup, the BOS shall request and store the four (4) digit code for State agencies on the Customer account.

2.2. Account and Customer Types

2.2.1. The BOS shall support the following Customer account types:

- Standard Account
- Commercial Account

2.2.2. The BOS shall support the following Customer types:

- Unregistered Customer
- Prepaid Customer
- Zero Balance Customer
- Postpaid Customer
- Non-revenue Customer
- Government Customer

2.3. Account Information

2.3.1. The BOS shall support securely storing various information related to Customer accounts including:

- Account type
- Personal identification number (PIN)
- Primary Contact Name (including First and Last)
- Additional Contact Name
- Primary Billing Address (including country)
- Secondary Billing Address (including country)

- Shipping Address (including country)
- Primary Phone Number
- Additional Phone Number(s)
- E-Mail Address
- Additional E-Mail Address
- Business Name (may be a person)
- Contact's Title/Position
- Statement Delivery Method and Frequency Preference
- Other Correspondence Delivery Method Preference
- Replenishment Method (Automatic or Manual)
- Primary Automatic Replenishment Instrument
- Secondary Automatic Replenishment Instrument
- Tertiary Automatic Replenishment Instrument
- License Plate of Vehicle(s) (including characters, jurisdiction and type)
- Year, Make, Model of Vehicle(s)
- Color of Vehicle(s)
- Discount Plan(s)
- Pass ID
- Request for Pass(es) or other retail item(s) (including quantity)

2.3.2. The BOS shall support determining and storing various information related to Customer accounts as follows:

- Account Number (unique for each account)
- Account Status (based on account information)
- Initial Minimum Payment Required, including (minimum level of pre-paid funds, pass fee for each requested pass, retail item fee for each requested retail item, sales tax as applicable for each pass and retail item)
- Initial Minimum Replenishment Threshold
- Initial Default Replenishment Threshold
- Initial Minimum Replenishment Amount
- Initial Default Replenishment Amount
- Pass Identification Number(s)
- Other potential account(s) that may have already been established for the same Customer

2.3.3. The BOS shall not capture or store driver license number.

2.3.4. Customers establishing or maintaining an account via the website shall be required to enter the Pass number or the license plate number twice to verify the information is entered correctly.

2.3.5. Customers establishing or maintaining a Pass account via the website shall be required to enter the Pass number and receive system verification that the Pass number is valid.

2.3.6. Upon completion of the account opening process, a printable receipt shall be generated, with a unique ID number.

2.4. Displaying Account Information

- 2.4.1. When displaying time information to a user or Customer, the BOS shall display the time in a 12-hour clock (i.e. am/pm) local-time format.
- 2.4.2. When displaying credit card, debit card, or ACH information to a user or Customer, only the last four numbers shall be displayed (for financial security purposes).
- 2.4.3. The BOS shall never display a Customer's account PIN to a user or Customer.

* * * End of Section * * *

PRELIMINARY

3. Payment Processing

3.1. Methods of Payment

3.1.1. The BOS shall support accepting and processing the following credit/debit cards as a Customer's method of payment:

- MasterCard®
- Visa®
- American Express®
- Discover®

3.1.2. The BOS shall support accepting and processing the following forms of Customer payments:

- personal check
- business check
- money order
- cashier's check
- traveler's check
- bank or teller's check
- government check (warrant)
- voucher or similar draft guaranteed by a U.S. bank
- Electronic Benefits Transfer (EBT)
- Cash in the form of U.S. coin or currency
- Automatic Clearing House (ACH) including foreign banks
- Third-party bill pay

3.1.3. The BOS shall support accepting and processing Inter/Intra-Agency Payment (IAP) as a Customer's method of payment for accounts flagged as a state agency.

3.1.4. ACH payments will require either a signed authorization or electronic signature authorization from the Customer. The authorization can also be verbal for payments by phone and memorialized in the notes.

3.1.5. The bank's routing number will be verified by the BOS against a list of valid routing numbers that will be refreshed quarterly.

3.1.6. 3.1.6 The BOS shall manage the Good to Go! Pay Card program. The Pay Card is an anonymous payment method associated to a Good to Go! Pass with the following characteristics:

- Customers can purchase and reload the Pay Card at authorized locations.
- Account replenishments using the Pay Card are subject to fees applied by authorized locations.
- The funds will be made available on the account that has the Pass linked to Pay Card initially or to a new account if the Pass is not linked to an account at the time the payment is processed.
- The Pay Card can't be replaced in the event of loss or stolen, but the funds will remain on the *Good to Go!* account.

- When replenishing funds to an account that has an outstanding balance due to negative balance, unpaid toll bills or Notice of Civil Penalties; payments will be applied to the outstanding balance with the remaining amount available for future toll payments.

3.2. Order of Payment Applications

3.2.1. The order of payment is configurable.

3.2.2. The BOS shall ensure the reversal of any payment also causes the associated “paid” items to revert to unpaid status.

3.2.3. Payments should be applied to unpaid tolls and/or fees with the goal of completing paying the oldest open toll transactions first. In the absence of a payment order requested by a customer, the BOS shall apply each Customer payment to any outstanding and unpaid Toll Transactions and/or account fees related to the Customer’s account in the following order:

- Insufficient funds fees (also referred to as NSF or returned check fees), if applicable,
- Transponder receivable for CSC prepaid accounts, if applicable,
- Tolls,
- Toll bill reprocessing fees (also referred to as late fees/reminder fees),
- Civil Penalties,
- Statement fees receivable,
- Pay by plate fees (also referred to as photo-enforced fees).

For unpaid toll trips which have been forwarded for collections, BOS will not allow a payment by customers through the website or CSRs through CBOS. Instead, customers or CSRs attempting to post a payment to an unpaid toll transaction in collections will be prompted to contact 3rd party collection vendor to schedule payment.

Since the 3rd party collection vendor will be given authority to enter into settlement agreements or payment plans, payment order related to payments received for unpaid toll trips in collections will be at the direction of the 3rd party collection vendor.

3.3. Automatic Replenishment

3.3.1. The BOS shall support accepting the following payment instruments from Customers for automatically replenishing their Prepaid Accounts:

- Credit Cards
- Branded/Labeled Debit Cards (without PIN)
- Automatic Clearing House (ACH)

3.3.2. The BOS shall require a Customer’s signature (either written or electronic via the Web) authorizing the CSC to use the Customer provided ACH payment instrument for automatic replenishment.

3.3.3. The Customer can call in to a CSR to change the replenishment amount but it cannot be lowered less than the minimum auto replenish amount.

3.3.4. After the first automatic replenishment failure, an Automatic Replenishment Payment Failure (or Declined ACH) notification shall be sent to the Customer by the BOS.

3.3.5. The BOS will retry a failed credit card automatic replenishment payment using the following schedule:

- Reattempt #1 – Two (2) days after the initial replenishment failure
- Reattempt #2 – Two (2) days after Reattempt #1

Note: For ACH automatic replenishment accounts, this reattempt schedule shall follow the schedule defined by the Customer and processed in accordance with the NACHA rules. There shall be up to two reattempts. The reattempts shall only occur for failures due to insufficient funds.

3.3.6. If the account fails to replenish after the required number of attempts have been made, the BOS will no longer attempt automatic replenishments; the Customer account will be switched to manual replenishment and an alert will be placed on the Customer's account.

3.3.7. When the replenishment method is changed, the BOS shall reset the "failed replenishment counter" to zero and replenishments will occur as normal (i.e., the next automatic replenishment failure will generate an Automatic Replenishment Payment Failure notification to the Customer.) If the account has switched to manual replenishment, the Customer may re-enroll in the auto replenishment program via the web or with a CSR. (For ACH, the ACH Authorization form will need to be completed before automatic replenishment can begin.)

3.3.8. For ACH, the Customer selects two days of the month (e.g. 7th and 22nd) and the amount of the replenishment for the *Good To Go!* account. The BOS shall then replenish the account on the days selected and the amount charged will be the amount required to bring the account balance back to the replenish amount selected.

3.4. Payment Adjustments

3.4.1. The BOS shall support allowing an Authorized User to make a financial adjustment to any Customer Payment Transaction (including a previously made adjustment). The adjustment shall not financially alter the original Transaction being adjusted and no original data will be altered

3.4.2. The BOS shall support classifying, tracking and reporting on all adjustments based on type, user, and posting date.

* * * End of Section * * *

4. Account Management

4.1. General

The BOS shall support the various Customer activities related to account management indicated below:

- Request account to be closed
- Change account's contact information (except owner's name)
- Change account's owner (name)
- Change account's auto-replenishment instrument(s) (including add or delete)
- Change replenishment threshold or amount
- Change vehicle information (year, make, model, color and/or license plate)
- Change statement delivery method or frequency preference
- Change other correspondence delivery method preference
- Change account's PIN
- Change user's online password
- Report Pass lost or stolen
- Request additional or replacement Pass or retail item
- Return Pass or retail item
- Transfer Pass to another account
- Obtain current account balance
- Obtain information on previous payment(s)
- Obtain information on previous Transaction(s)
- Request activity statement (to be mailed) – historical or user specified date-range
- Obtain activity statement – historical or user-specified date-range
- Talk to a CSR
- Dispute Toll and/or Fee charge
- Dispute Carpool Status
- Enroll in an offered discount plan
- Register customer provided Pass
- File a complaint

4.2. Account Statuses

4.2.1. The BOS shall support the following statuses for all accounts:

- Active – Account is eligible to receive electronic toll transactions.
- Pending to Close – Allows 'X' days for pending transactions to post to Customer's account before closing the account. Initially this value will be set to 5 days.
- Closed – Customers may request, in writing, to have their account closed, or it may be closed by the CSC after X months of inactivity.
- Suspended – Account can be manually suspended by a CSR; typically done per Customer request.

4.2.2. The BOS shall not allow an account to close with a negative balance.

4.2.3. Suspended and Closed account holders will receive photo toll bills for any transactions that do not post to the account.

4.2.4. When funds are available on the account at the time of closure, the Customer will be refunded the balance, minus the inactivity fee, if applicable. The account cannot be driven negative by the inactivity fee. If the funds on the account are not sufficient to pay the Inactivity Fee, the remaining balance will be charged to bring the account balance to zero.

4.3. Account Merge and Feature Changes

4.3.1. The BOS shall allow the accounts to merge when authorized by verified account holders.

4.3.2. The BOS shall permit customers to change account features based on Customers' preference, such as changing from ZBA to prepaid balance for a lower toll rate, or changing from prepaid to post billing, etc.

4.3.3. The BOS shall maintain the account history for all accounts, whether merged or feature changed.

4.4. Account Fees

4.4.1. The BOS shall support the following account fees:

- Non-Sufficient Funds Fee
- Account Inactivity Fee
- Statement Fee (scheduled statement)
- On-Demand Statement Fee (on-demand activity statement, including reprints)
- Pay By Plate Fee
- Monthly Maintenance Fee

4.5. Correspondence

4.5.1. The BOS shall support generating and/or issuing (i.e. emailing and/or mailing) correspondence to Customers and/or potential Customers.

4.5.2. The BOS shall support logging, storing and reporting on all CSC generated correspondence based on correspondence type, date generated, generation method (including user ID, if applicable) and method of delivery.

4.5.3. The BOS shall support email as the default communication method for accounts that have an email address.

4.5.4. Letters

4.5.4.1. The CSC shall support generating and issuing the following letters, at a minimum. All letters and notifications will be available for both automatic and on-demand printing.

- Account at or below zero balance
- Account Inactivity

- Account Information Update Confirmation
- ACH Authorization Form
- Automatic Replenishment Payment Failure
- Credit Card Expiring
- Dunning Letter
- Declined ACH
- Dispute Resolution
- Low Balance – Replenishment
- Miscellaneous Refund
- Need Affidavit Proof
- Need Bankruptcy Proof
- New Enrollment (with and without a Pass)
- New Online User
- New Pass Request
- No Account
- Payment Processing Error
- Plates Added
- Replace Passes
- Replenishment Change Scheduled
- Rental Notice
- Returned Check
- Returned Email

4.5.5. Statements

4.5.5.1. The BOS shall support generating and issuing account activity statements per the Customer’s preference – printed monthly or quarterly, or not printed.

4.5.5.2. Statements must contain, at a minimum: the Customer’s name, mailing address, account number, starting balance, ending balance, and detailed transaction information for the specified statement period.

4.5.5.3. Detailed transactions information shall contain: Transaction ID Number, Transaction Type (Toll, Fee, Payment, Etc.), Transaction Date, Transaction Time, Location (Road/Plaza/Lane/Ramp), License Plate Number and/or Pass Number and the Toll Amount.

4.5.5.4. Activity Statement details will not be sent via email. The BOS will support sending a notification via email to customers when a statement is available for viewing via Customer’s online account.

4.5.6. Toll Bills and Notices of Civil Penalty

4.5.6.1. The BOS shall support generating and issuing Toll Bills and Notices of Civil Penalty for the purposes of billing Customers for unpaid Toll Transactions.

4.5.6.2. Toll Bills that have a minimum number of transactions will not be mailed until additional transactions post to the account and bring the balance due over the threshold.

4.5.7. Enrollment Applications

- 4.5.7.1. The BOS shall support issuing, accepting and processing written Customer enrollment applications.
- 4.5.7.2. The BOS shall provide an online Customer enrollment application process that allows a Customer to self-enroll via the online website, and include terms and conditions for which the Customer must agree.
- 4.5.7.3. The online application process will include a method to authorize the BOS to use the Customer provided ACH payment instrument for automatic replenishment via a digital signature.
- 4.5.7.4. The BOS shall allow all applications to be scanned and linked to the correct Customer account.

4.6. Returned Payments

4.6.1. The BOS shall support uniquely identifying a Payment Transaction that was rejected due to dishonored payment or Non-Sufficient Funds.

4.6.2. For NSF Checks the following rules apply:

- Appropriate NSF Fee shall be assessed.
- Transactions previously marked as paid shall be reversed and the status changed to unpaid.
- The billed transactions will continue to age following the transaction aging process.
- The Customer shall be notified that the payment for the toll and fees, plus NSF fees is due immediately.

4.6.3. For Credit, Debit Cards and ACH the following rules apply:

- The account will not be opened if the initial payment failed during account establishment, unless another form of payment is tendered and cleared.
- The CSC shall attempt to notify a Customer within three (3) days, by any contact means available. This applies to the ACH payments and bank card payments received by mail or fax.
- A fee will not be assessed for a declined payment card or ACH.

4.6.4. Customer accounts can go negative with rejected payment fees (i.e. credit card charge back, NSF check) in order to capture those costs in the event that the account replenishes successfully.

4.7. Refunds

4.7.1. All electronic refunds regardless of amount will be handled by the BOS. Those refunds that require WSDOT to issue a physical warrant will result in a data file (in an agreed to file format) being sent so that WSDOT can produce the warrant. WSDOT will communicate via data file the information about the warrant once it is issued.

- 4.7.2. The BOS shall recover any outstanding fees or Tolls from the account balance prior to issuing an account refund.
- 4.7.3. The BOS shall refund the remaining account balance electronically to the credit/debit card or ACH on the Customer's account when an account is closed. For accounts that cannot be refunded electronically, the Customer will be issued the refund by State Warrant mailed by WSDOT to the account's last recorded mailing address.
- 4.7.4. The BOS shall inform Customers, when setting up an Unregistered Account that refunds will not be issued to Unregistered Pass Accounts.
- 4.7.5. The BOS shall issue a refund letter to all Customers issued a refund.
- 4.7.6. The refund policy needs to be clearly displayed for Customers paying with bankcards via the website.
- 4.7.7. Balances of \$2.00 or less shall not be refunded unless requested by the Customer within six (6) months of the overpayment.
- 4.7.8. Upon receiving written request to close an account, or the automatic closure of an Inactive account, where a refund is due the account status shall be changed to Pending Close for five (5) days to ensure all outstanding transactions have posted.
- 4.7.9. Refunds requiring a government warrant will not be sent to WSDOT for processing if the Customer has been flagged as having a bad address. The refundable amount will stay on the account. After 24 months of inactivity, the refund will be sent to the Department of Revenue (DOR) as escheatment with the name and last known address and be cleared from the BOS.
- 4.7.10. WSDOT issued refunds (via warrant) that are returned with bad address will be handled by WSDOT. The BOS shall support flagging the Customer account for "bad address".
- 4.7.11. Refundable amounts for \$2.00 or less (for credit card, ACH or warrant) will be accumulated and sent to the Department of Revenue periodically as escheatment.

4.8. Customer Information Requests

- 4.8.1. The BOS shall support logging, tracking and reporting on the status of Customer requests based on status and date. This logging, tracking and reporting includes both correspondences to and from the Customer.
- 4.8.2. The BOS shall support the option for Customers to request information or assistance via the web using the Click-to-Call feature.

* * * End of Section * * *

5. Inventory Management

5.1. General

5.1.1. The BOS shall support the various Customer activities related to Pass management including:

- Report pass lost or stolen
- Request additional or replacement pass or retail item
- Return pass or retail item
- Transfer pass to another account
- Register customer provided pass

5.1.2. The BOS application shall support the following Pass statuses:

- Active (Pass is good)
- Stolen (Pass is reported stolen)
- Lost (Pass is reported lost)
- Invalid (Pass is read invalid)

5.2. Pass Types

5.2.1. The BOS shall support the utilization and management, including tracking and reporting, of inventory, sales and status of the following WSDOT provided Pass types:

- Interior Mounted Sticker Pass
- Interior Mounted Switchable On/Off Pass
- Interior Mounted Moveable Pass
- Interior Mounted Occupant-Declarable Transponder (ODT) (WSDOT Flex Pass)
- Exterior Mounted Motorcycle Sticker Pass
- Exterior Mounted License Plate Hard Case Pass

5.2.2. The BOS shall not allow non-WSDOT issued Passes to be registered to any Pass Account.

5.3. Pass Fee(s)

5.3.1. The BOS shall support the following Pass fees:

- Interior Mounted Sticker Pass
- Interior Mounted Occupant-Declarable Transponder (ODT) (WSDOT Flex Pass)
- Exterior Mounted Motorcycle Sticker Pass
- Exterior Mounted License Plate Hard Case Pass

Notes:

1. The BOS shall determine and charge the appropriate sales tax. The sales tax for mailed Passes is destination based (not applicable for shipments out-of-state). For mobile

units, the tax will be based on location of the mobile unit. Sales tax is charged at the point of purchase.

2. For web/mail orders, tax is assessed and account charged when order is mailed to Customer.
3. Federal Government entities do not pay state sales tax.

5.4. Other inventory items

5.4.1. The BOS shall support tracking inventory related to the sale and/or distribution of *Good To Go!* passes such as welcome kits, mailing supplies, envelopes, and other pass packaging.

* * * End of Section * * *

PRELIMINARY

6. Toll and Trip Transaction Processing

6.1. General

- 6.1.1. The BOS shall support Toll Transaction processing by accurately building and posting valid Trip Transactions to the proper Customer accounts at the proper amounts based on information received from the RTS vendors.
- 6.1.2. The BOS shall chronicle all processed Trip Transactions in a traceable and reportable manner.
- 6.1.3. The BOS shall apply toll rates based on information received from the RTS Vendors for dynamically priced facilities and information provided in the toll rate schedule provided by WSDOT for variable or fixed price facilities.
- 6.1.4. When processing received Toll Transactions, the BOS shall not re-process Toll Transactions that have already been successfully formed into Trip Transactions and sent to the CBOS for posting or billing unless it is determined that an error has occurred.
- 6.1.5. Toll Transactions should be built into fully formed Trip Transactions and posted or billed within eight (8) Calendar days of receiving the transaction from the RTS vendors.
- 6.1.6. When processing received Toll Transactions, the BOS shall not post duplicate Trip Transactions to a Customer Toll Account. A duplicate Trip Transaction is any Trip Transaction that matches an already posted Trip Transaction containing the same Transponder or License Plate at the same toll point within ± 60 seconds.

6.2. Pass Trip Transactions

- 6.2.1. The BOS shall support processing Pass Toll Transactions received from the RTS vendors into fully formed Trip Transactions.

6.3. Photo-Enforced Trip Transactions

- 6.3.1. The BOS shall support processing Photo-Enforced Toll Transactions RTS vendors into fully formed Trip Transactions.
- 6.3.2. The BOS may process those Photo-Enforced Toll Transactions received from the RTS vendors that meet a minimum OCR confidence level without any manual image review. All other plate-based Toll Transactions received shall be processed with manual image review to either verify the OCR license plate determination or provide license plate information (where OCR did not provide any license plate information).
- 6.3.3. The BOS Vendor will monitor and adjust the image review process from time to time to meet performance requirements.
- 6.3.4. For all Photo-Enforced Toll Transactions, the BOS shall dismiss the transaction after the third attempt to obtain vehicle owner information without a result.

6.4. Toll Transaction Fee(s)

6.4.1. The BOS shall support addition of the following Toll Transaction Fees:

- Pay by plate fee (photo-enforced fee)
- Second toll bill reprocessing fee (late fee, reminder fee)
- Civil penalty fee

6.4.2. The Toll Bill Reprocessing Fee will be added to the second notification when any transactions from the first notification remain unpaid.

6.5. Toll Transaction Adjustments

6.5.1. The BOS shall support allowing an Authorized User to make a financial adjustment to any Toll Transaction (including a previously made adjustment). The adjustment shall not financially alter the original Transaction being adjusted. The audit trail should be maintained for all transaction information; including dates, times, users, etc.

6.5.2. The BOS shall support classifying, tracking and reporting on all adjustments based on type, user, and posting date.

6.6. Negative Balances

6.6.1. The BOS shall post transactions to Customer accounts until more than \$X or longer than X days (both parameters configurable).

6.6.2. The BOS will send a letter to the Customer when the account balance reaches zero or becomes negative. When auto replenishment attempts fail or the Customer fails to make a payment, future Toll Transactions (with images) will be photo enforced and sent to the Customer on a Toll Bill after a WSDOT configured grace period. Toll transactions without images will continue to post to the prepaid account and be pursued via a Dunning letter and Collections after a WSDOT configured grace period.

6.6.3. The Registered Vehicle Owner will be sent a Toll Bill for transactions that occur after the grace period until the account is replenished

* * * End of Section * * *

7. Trip Building

7.1. General

- 7.1.1. The BOS' trip building engine shall incorporate defined trips identified in the trip definition file received from the TMC in accordance with the Toll Rate Module ICD.
- 7.1.2. Based on individual Transactions created at each Toll Zone, the BOS shall complete the trip building process by compiling AVI, image, toll rate, and other Transaction information for each vehicle passing through a Toll Facility.
- 7.1.3. The BOS shall assign a unique and sequential trip ID to each Trip.
- 7.1.4. Each assembled Trip shall include all associated Transaction data related to each vehicle's passage through a Toll Facility.
- 7.1.5. The trip building process shall take into account single Toll Zone transactions constituting a single Trip and multiple Toll Zone transactions constituting a single Trip.
- 7.1.6. The BOS shall have the capability of identifying when there is a missing Toll Zone transaction between sequential transactions and determine whether or not there should be a single Trip assembled or multiple Trips.
- 7.1.7. A Trip shall be capable of including both transponder and photo toll transactions.
- 7.1.8. The BOS shall contain logic with configurable parameters for discerning Trips including single or multiple transactions.
- 7.1.9. Valid split Trip Transactions shall be posted to a Customer Toll Account based on the following criteria:
- Same Transponder or License Plate seen in any direction, then in the opposite direction, and then back in original direction.
 - Transponder or License Plate seen at an identified toll zone end point.
 - Transponder or License Plate seen at the last toll point of any facility.
 - Same Transponder or License Plate seen at a toll point that is before a toll point previously detected.
 - Same Transponder or License Plate seen at the same toll point more than 60 seconds after the initial detection.

* * * End of Section * * *

8. Toll Rates

8.1. Toll rate setting, calculation, and distribution

8.1.1. The toll rates and discounts are set by the Toll Setting Authority with input from WSDOT per RCW 47.56.030.

8.1.2. The Toll Setting Authority periodically reviews toll rates and discounts to determine if financial, traffic management, and other toll system objectives are being adequately met.

8.1.3. Toll rate calculation and distribution for existing lane toll systems:

- SR 16—Static toll rates are held in the BOS where they are matched to customer transactions based on payment method. Toll rates are not dynamically displayed on SR 16.
- SR 167—Toll rates are scheduled and calculated internal to the lane toll system. Traffic data is collected by WSDOT Traffic Management System (TMS) and sent to the SR 167 Facility Management and Administration System (FMAS) where dynamic toll rates are calculated and then posted to toll rate signs.
- SR 520—Time of day toll rates are held in the BOS and sent to the SR 520 FMAS where the lane toll system posts rates to the toll rate signs. The BOS matches scheduled toll rates to customer transaction based on payment method.
- I-405—Toll rates are calculated as part of TMS where the traffic data is collected. WSDOT is developing and will control the calculation algorithm. The rates are then sent to the toll vendor FMAS where they are posted to toll rate signs along the facility and ultimately matched with customer transactions and trips.
- Toll rate calculation and distribution for future lane toll systems
 - Bridge and tunnel facilities —Toll rates will be held in the BOS and sent to the toll vendor FMAS where the lane toll system posts rates to the toll rate signs. The BOS will match the scheduled toll rates to customer transactions based on payment method
 - HOT or ETL facilities —Toll rates will be calculated as part of the TMS where the traffic data is collected. The rates will then be sent to the toll vendor FMAS where they will be posted to toll rate signs along the facility and ultimately matched with customer transactions and trips.

8.2. Toll rates (WAC references)

8.2.1. SR 16 — Toll rates on SR 16 are listed in WAC 468-270-070 and vary by vehicle axles and method of payment.

8.2.2. SR 167 — Toll rates for SR 167 vary based upon several factors including time of day, traffic volumes, traffic demand, and overall corridor performance. The toll rate schedule shall be adjusted as needed by WSDOT to meet HOV performance criteria as defined in RCW 47.56.403 and WAC 468-300-828 in order to maintain average HOT lane vehicle speeds above forty-five miles per hour, at least ninety percent of the time during peak hours. When the SR 167 HOT lanes are in operation, the minimum toll rate is \$0.50 and the maximum toll rate is \$9.

8.2.3. SR 520 — Toll rates on SR 520 are shown in WAC 468-270-071 and vary by vehicle axles, day and time of travel, and method of payment.

8.2.4. I-405 — Toll rates for I-405 vary based upon several factors including time of day, traffic volumes, traffic demand, and overall corridor performance. The toll rate schedule shall be adjusted as needed by WSDOT to meet performance criteria as defined in RCW 47.56.880 and WAC 468-270-077 in order to maintain average ETL lane vehicle speeds above forty-five miles per hour, at least ninety percent of the time during peak hours. The minimum toll rate is \$0.75 and the maximum toll rate is \$10.

8.3. Pricing during events (incidents)

8.3.1. Pricing on single-point toll facilities during events will continue as long as the facility is operational.

8.3.2. Pricing on express toll lane facilities will continue until WSDOT Toll Operations (or designee) alter operations following the Standard Operations Procedures.

* * * End of Section * * *

9. Toll Rate Assignment

9.1. General rules for all facilities

- 9.1.1. The BOS shall incorporate toll rates identified in the toll rate data file received from the RTS vendors in accordance with the Toll Rate Module ICD.
- 9.1.2. A Customer who is identified in any segment in the facility will be charged the appropriate toll.
- 9.1.3. The BOS shall assign priority for transponders in the following order:
- HOV mode, any status (if HOV exemptions are applied)
 - Valid/low balance status in SOV mode
 - All other SOV statuses

9.2. Rate assignment for time-of-day toll facilities

- 9.2.1. Customers will still be charged the scheduled toll rate as published in the current WAC even if the toll rate sign is blank.
- 9.2.2. Customers will be charged the lower of either the WAC rate or the rate displayed on the toll rate sign if the toll rate sign is not displaying the correct toll rate.

9.3. Rate scheduling for HOT and Express Toll Lanes

- 9.3.1. The toll rate in effect at a given time will be set either dynamically, or by the use of a time-of-day schedule or in an override status.
- 9.3.2. The time-of-day toll rates shall be used when the WSDOT vehicle detection information is not available, when the dynamic pricing algorithm is not functional, or when selected by the operator
- 9.3.3. Toll rate plans are unique for the facility, day of the week and direction of travel.
- 9.3.4. WSDOT will create a toll rate plan based on an analysis of historical toll rates, as appropriate, to back up any dynamic toll rate plans for when traffic data is not available or other non-standard operations scenarios.
- 9.3.5. The BOS shall maintain the back-up toll rate plans received from the TMC for use during non-standard operating scenarios.

9.4. Rate assignment for HOT Lanes

- 9.4.1. Customers will be charged the toll rate they see on a toll rate sign associated with the toll point where they are first identified.
- 9.4.2. When a Customer's first transaction is at an exit toll point, the Customer will be charged the toll rate displayed on the most immediate upstream toll rate sign.

9.4.3. The account associated with the transponder shall be charged only once for a trip if a transponder is read at any point along the facility. The charge will be the toll rate in effect at the entry point of the trip or where first read.

9.4.4. Toll trips “time out” after a configurable amount of time. After this time limit expires, new transponder reads shall be used to calculate a new trip.

9.4.5. Exception cases are as follows:

- Upon confirmation by WSDOT of an incident affecting the facility, the TMC can set a retroactive override to include trips of customers that may have been impacted by the incident. These customer trips are billed \$0.00.
- Exception cases OPEN TO ALL, CLOSED, HOV ONLY, <blank>, or two illuminated dots are as follows:
 - If a Customer trip starts with an exception case message, they shall be charged the displayed toll rate at the next toll point where they are identified, and this next location shall be the start of their trip.
 - If a Customer trip only includes a toll point(s) with an exception message, the Customer shall be charged \$0.00.

9.5. Rate assignment for Express Toll Lanes

9.5.1. General

9.5.1.1. Customers will be charged the toll rate they see on a toll rate sign (excluding arterial toll rate signs) associated with the toll point where they are first identified

9.5.1.2. When a Customer’s first transaction is at an exit toll point or another toll point that does not have an explicitly associated toll rate sign, the Customer will be charged the toll rate displayed on the most immediate upstream toll rate sign.

9.5.1.3. Customers shall be charged for the longest logical segment driven during priced operations.

9.5.1.4. Customer trips with both SOV and HOV declared transponder mode transactions in the same trip shall be charged the SOV rate for the entire trip

9.5.1.5. Customer trips with at least one valid HOV transponder mode transaction, one or more photo-toll transactions, and no SOV transponder mode transactions, shall be assigned the HOV fare for the entire trip.

9.5.1.6. Customer trips with at least one valid SOV transponder mode transaction, and one or more photo-toll transactions, shall be assigned the SOV AVI fare for the entire trip.

9.5.1.7. Customer transactions with the transponder in HOV mode shall illuminate the beacon, regardless of the TVL pass status.

9.5.1.8. Customer trips with SOV mode transactions and a mix of pass status transactions:

- that include one or more transaction with a “Stolen” or “Lost” status, shall be designated as a “Photo” type trip transaction and the fare assigned accordingly.
- that DO NOT include one or more transaction with a “Stolen” or “Lost” status, shall be designated as an “AVI” type trip transaction and the fare assigned accordingly.

9.5.1.9. Customers may exit and re-enter the express toll lanes in the same direction of travel and same toll point sequence and still be assigned a single trip and appropriate toll, provided they complete their trip within the toll trip time out period and provided their transactions are all during periods of normal, priced operations.

9.5.1.10. Customers who are seen on the same roadway in a different direction before the toll trip time out period ends will have their initial trip closed and will start a new trip in the new direction of travel.

9.5.1.11. Customers who leave the facility through one of the designated facility exit toll points will have the end of their trip assigned to that exit read location.

9.5.1.12. Customers with transactions that have different vehicle axle classifications within the same trip will be assigned the lowest axle classification among those transactions for that trip.

9.5.1.13. For all toll transactions where OCR values differs:

- 2-axle vehicles: assign the greatest confidence OCR
- 3-axle (and more) vehicles: assign the front plate OCR value

9.5.2. Toll rate bricks

9.5.2.1. Exception cases CLOSED are as follows:

- If a Customer trip starts at a toll point with a normal toll rate displayed and includes a subsequent toll point within their trip with CLOSED message displayed, the Customer shall be charged for only the fully completed upstream toll fare zone(s) and this shall end that trip to that toll point, regardless of the toll trip time out period. If the customer trip has not completed a full toll fare zone, the Customer shall be charged \$0.00.
- If a Customer trip only includes a toll point(s) with a CLOSED message, they shall be charged \$0.00.
- If a Customer trip starts with a CLOSED, they shall be charged the displayed toll rate at the next toll point where they are identified, and this next location shall be the start of their trip.

9.5.2.2. Exception cases OPEN are as follows:

- If a Customer trip starts at a toll point with a normal toll rate displayed and includes a subsequent toll point within their trip with OPEN message displayed, the Customer shall be charged for only the fully completed upstream toll fare zone(s) and this shall end that trip to that toll point, regardless of the toll trip time out period. If the Customer trip has not completed a full toll fare zone, the Customer shall be charged \$0.00.

- If a Customer trip only includes a toll point(s) with an OPEN message, they shall be charged \$0.00.
- If a Customer trip starts with an OPEN message, they shall be charged \$0.00 for their trip, regardless of whether their trip includes subsequent toll points with a normal toll rate displayed.

9.5.2.3.Exception cases HOV ONLY are as follows:

- If a Customer trip in SOV mode starts at a toll point with a normal toll rate displayed and includes one or more subsequent toll points with an HOV ONLY message displayed, fare assignment shall follow normal processes based on the entrance toll point and longest, logical trip.
- If a Customer trip in SOV mode starts at a toll point with an HOV ONLY message displayed, they shall be charged the displayed toll rate at the next toll point where they are identified, and this next location shall be the start of their trip.
- If a Customer trip in SOV mode only includes a toll point(s) with an HOV ONLY message displayed, they shall be charged \$0.00.

9.5.2.4.Exception cases <blank> or two illuminated dots are as follows:

- If a Customer trip starts at a toll point with a normal toll rate displayed and includes one or more subsequent toll points with a <blank> or two illuminated dots message, fare assignment shall follow normal processes based on the entrance toll point and longest, logical trip.
- If a Customer trip starts with a <blank> or two illuminated dots message, they shall be charged the displayed toll rate at the next toll point where they are identified, and this next location shall be the start of their trip.
- If a Customer trip only includes a toll point(s) with a <blank> or two illuminated dots message, they shall be charged \$0.00.

9.5.3.Toll information signs

9.5.3.1.If a customer with a transponder in HOV mode starts their trip with a <blank> or two illuminated dots message, they shall be charged the scheduled HOV toll rate.

* * * End of Section * * *

10. Photo Tolling and Adjudication

10.1. Images

- 10.1.1. The BOS may support the manual review of license plate images for Photo Toll Transactions within three (3) Business Days of the transaction date where the OCR confidence level is below a minimum threshold. The BOS Vendor will monitor and adjust the image review process to meet performance requirements.
- 10.1.2. The BOS shall support identifying and reporting Photo Toll Transactions that contain images that are not readable by a human and shall mark those transactions in an exception table.
- 10.1.3. The BOS shall support performing quality checks of the manual review of license plate images.
- 10.1.4. The BOS shall support the ability for Customers to securely view the license plate images associated with their unpaid toll transactions online.
- 10.1.5. The BOS shall support forced manual review of any image that may be considered problematic regardless of the assigned OCR confidence.

10.2. Toll Transaction Matching

- 10.2.1. The BOS shall attempt to post a photo-based toll transaction to pre-established customer accounts prior to requesting registered owner information.
- 10.2.2. If there is no match found, the BOS shall support three (3) attempts to acquire the name and address of the registered vehicle owner for Photo Toll Transactions. If no match is found on initial attempt, and the underlying image has a high confidence OCR rating, the BOS shall return the image to the manual review process.
- 10.2.3. The BOS shall attempt three registered owner look up over the course of 45 days (15-day intervals). After three attempts, if unable to acquire the name and address, the BOS shall provide necessary information for WSDOT's approval to dismiss the Photo Toll Transaction.
- 10.2.4. The following vendors will be used for license plate name and address lookup: Washington State Department of Licensing (DOL) for Washington State Plates; and a third-party vendor for all other states.
- 10.2.5. Where the vehicle registered owner is a rental car business, the BOS shall send a letter to the rental car business stating that a Toll Bill will be issued if the business fails to respond within thirty (30) Calendar Days of the date the letter was mailed. The response must either provide the name and address of the vehicle's renter or a police report if the vehicle was stolen. If the rental car company fails to timely respond, the BOS shall issue a Toll Bill to the rental car company for the respective Photo Toll Transactions.
- 10.2.6. If the rental car company does not pay the toll and fees within eighty (80) Calendar Days of the toll transaction the BOS shall issue an NOCP.
- 10.2.7. If the rental car company provides the renter information, then the BOS shall send a Toll Bill to the identified renter and the letter shall become part of the Photo Toll account. If the renter

fails to pay within eighty (80) Calendar Days of the issuance of the first toll bill an NOCP will be issued.

10.2.8. Upon successful lookup of registered owner information from the DOL or the 3rd party vendor, a Toll Bill account will be created for the Photo Toll Transactions.

10.3. Toll Bill Processing

10.3.1. The BOS shall support issuing a Toll Bill in accordance with defined billing cycles:

- Within 8 business days for new toll bill customer accounts,
- On a once-per-month basis for recurring customer accounts.

10.3.2. The BOS shall support issuing Toll Bills that include:

- registered owner's or renter's name either obtained by DOL, forwarding address, or other means, i.e. sold vehicle with new registered owner (Reassignment)
- current known address
- license plate and jurisdiction
- contact information for the CSC, including the website address to pay the Toll Bill online
- a detailed breakdown of the Toll charges and fees assessed, complete transaction information, date, time, facility and lane.
- language that an unpaid Toll Bill shall become a Notice of Civil Penalty and the potential consequences
- information on disputing the Toll Bill
- a pay due date of 15 Calendar Days from generation
- a Toll Bill fee, if applicable
- all outstanding toll transactions, and past due amounts and payments, if applicable

10.3.3. All unpaid transaction from a Toll Bill shall age to a subsequent Toll Bill reminder, and a Reprocessing fee will be applied to the account. If a subsequent Toll Bill reminder is sent, containing unpaid toll transactions, it shall also include any additional photo tolls incurred since the issuance of the previous Toll Bill and shall include the total balance of all unpaid transactions and fees. Any additional Toll Bills containing unpaid toll transactions from a prior Toll Bill will contain a Toll Bill Reprocessing Fee.

10.3.4. When the toll transactions on a Toll Bill are unpaid for eighty-one (81) Calendar Days they each become an NOCP. When the last unpaid transaction from a Toll Bill ages to eighty-one (81) Calendar Days old and becomes an NOCP, the NOCPs from that Toll Bill will be sent to the Customer in the form of an NOCP Summary.

10.3.5. The BOS shall handle returned mail as follows:

- Where the US Postal Service has returned a Toll Bill and provided a new forwarding address, the BOS shall resend the Toll Bill to the new address and update the Toll Bill Account.
- Where a Toll Bill is returned and there is no new address, the BOS shall utilize the Skip Tracing service. If a new address is provided from skip tracing, the BOS shall resend the Toll Bill to the new address and update the Toll Bill account.

- If no correct Customer address is available, then the BOS shall allow annotation on the customer account as having a bad address. Toll Bills will continue to be generated every thirty (30) Calendar Days containing all photo toll transactions assessed during those thirty (30) days. The Toll Bills will be stored within the associated Photo Toll Account, but no further Toll Bills will be sent until a new address is obtained.
- NOCP Summaries will be sent to the address of record even where the account is annotated as having a bad address. If a Toll Bill reprocessing fee was assessed and remains unpaid at the time of the NOCP Summary generation, it shall be applied to the NOCP Summary.
- The returned mail (physical bill) will be stored and destroyed according to the SOPs and WSDOT retention policies; the information in the system remains intact.

10.3.6. The BOS shall support automatically tracking and updating outstanding Photo Toll Bill Transactions as they age through the System, including calculating and updating the status and amount due with associated fees.

10.3.7. The BOS shall generate and mail Toll Bills and NOCP's on all business days excluding postal holidays.

10.3.8. Overpayments will be placed in a suspense account (as confirmed by WSDOT's chart of accounts).

10.3.9. When the overpayment is more than \$2, and a refund is requested by the Customer within six (6) months of the overpayment, the amount shall be refunded within fifteen (15) Calendar Days.

10.3.10. When the overpayment is more than \$2, and the refund is not requested from the Customer, and contact information is available for the Customer, the overpayment shall be either applied to an outstanding balance or refunded after the next full billing cycle which contains no payment application activity. Overpayments \$2 or less, and not requested within six (6) months, will follow the state escheatment process.

10.4. Notice of Civil Penalty (NOCP)

10.4.1. If a Customer fails to pay their Photo Toll within 80 Calendar Days of the toll transaction, the BOS will generate a Notice of Civil Penalty to be issued to the registered owner or renter of the vehicle that incurred the transaction. The BOS shall support issuing NOCPs not sooner than 80 Calendar Days after an unpaid Photo Toll Transaction has occurred. Each NOCP will have a \$40 civil penalty along with the unpaid toll amount and will be contained in a NOCP Summary. The NOCP Summary shall be in a form substantially similar to that provided by WSDOT and include, but not be limited to:

- One or more NOCPs which each shall include:
 - the registered owner's or renter's name either obtained by DOL, forwarding address, or other means, i.e. sold vehicle with new registered owner (Reassignment)
 - license plate number and jurisdiction
 - transaction information, i.e. Date, Time, Lane, Location
 - an image of the captured license plate that is clearly legible

- the Toll charges, and penalty amount and due date to pay the NOCP Summary
- Toll Enforcement Officer certification, signature and identification number
- the reprocessing fee(s), if applicable
- current known address
- unique identification numbers and bar coding to track and process the NOCP Summary and individual NOCPs
- a description of the consequences of an unresolved NOCP
- information on disputing the NOCP or NOCP Summary
- payment information
- WSDOT Toll Enforcement Office contact information

10.4.2. Upon certification by a WSDOT Toll Enforcement Officer, a NOCP Summary shall be generated and mailed first-class to the registered vehicle owner or renter. The NOCP Summary shall not be generated until the last unpaid transaction from the applicable Toll Bill has aged to 81 Calendar Days and shall include all unpaid transactions from that Toll Bill.

10.4.3. If the tolls related to the Toll Bill reprocessing fee are paid, and the fee itself remains unpaid, the fee shall not age to a NOCP, but may be pursued through the WSDOT-designated collection agency.

10.4.4. The BOS shall support aggregating and placing multiple images and multiple transactions on the NOCP Summary for mailing in one envelope. Only one reply envelope will be supplied per envelope.

10.4.5. When an NOCP Summary comes back as undeliverable to the address of record, but an alternate address is provided by the USPS, the BOS shall update the customer account with new address and re-mail the NOCP Summary.

10.4.6. When an NOCP Summary comes back as undeliverable and with no alternate address, the NOCP Summary information shall be sent to DOL for registration hold; and continue to age to collections. The returned NOCP Summary shall be retained according to SOPs and WSDOT retention policies.

10.4.7. NOCP Certification

10.4.7.1. Prior to issuing the NOCP Summary, each unpaid transaction shall systematically be placed in a queue for certification by a WSDOT Toll Enforcement Officer (TEO).

10.4.7.2. Each TEO shall be assigned a login identification number to access the toll violations awaiting certification.

10.4.7.3. The BOS shall provide the TEO the ability to approve the NOCP transaction for inclusion in the NOCP Summary and will record the time and date of the certification and the TEO Name and ID number.

10.4.7.4. If the TEO rejects the transaction, the BOS shall provide a drop down box with the following reject codes:

- Poor image quality
- State does not match DOL/LES registered owner file
- Plate does not match DOL/LES vehicle information

- Incomplete name or Registered owner or renter
- Incomplete address
- Incomplete toll trip information
- Incorrect TEO information
- Less than 80 Calendar Days past due

10.4.7.5. The BOS will place rejected transactions in a queue for supervisor review. The BOS shall provide the supervisor the ability to override a rejection and make corrections to the NOCP. If the supervisor changes the NOCP information, the BOS shall ensure the transactions go back into the TEO queue for review and certification.

10.4.7.6. The BOS shall keep a record of all transactions processed by a TEO during each certification session. The BOS shall report on the number of transactions reported in a session and the disposition of each by TEO. The BOS shall aggregate all certification sessions by date to indicate the number of transactions processed and the total number passed and the total number rejected by reason code.

10.4.8. Dismissals

10.4.8.1. The BOS must allow dismissals of one or more NOCPs prior to a hearing or submittal of a dispute in the event of a system error or as otherwise allowed and directed by WSDOT.

10.4.8.2. The following shall be a basis for NOCP dismissal which shall be noted on the Toll Account and reportable from the BOS:

- System Error. Upon notification to or detection by WSDOT or the CSC, NOCPs determined to be issued erroneously must be dismissed. The BOS must allow such dismissal at any point in the NOCP process.
- Valid Customer Account. If a Customer contacts the CSC and indicates that they had a valid account at the time of the unpaid toll transaction, the BOS must allow the CSR to verify the account status.

10.4.8.3. If the NOCP is dismissed, the BOS should generate the appropriate correspondence for mailing to the registered owner or renter. The notice of dismissal shall be mailed within two (2) Business Days of the dismissal.

10.4.9. Suspend Status

10.4.9.1. The BOS must be able to place a transaction in suspend status for up to three (3) years and provide the reason for the suspense.

10.4.9.2. Suspense may occur for any of the following reasons:

- Bankruptcy. In the event of written notification to WSDOT, the CSC or the collections agency, the BOS must allow any unpaid transaction or account fee to be placed in suspend status pending further direction from WSDOT or the collections agency. The BOS should flag the customer account as being subject

to bankruptcy filing. Any transaction or violation that occurs after the bankruptcy filing is subject to continued processing and is collectible.

- Appeals. An NOCP must be placed in suspend status in the BOS in the event of an appeal of an administrative law judge decision. Interest shall continue to accrue.
- System Resolution. An unpaid toll transaction or fee shall be placed in suspense in the BOS pending the resolution of a system error.
- Investigation. An unpaid toll transaction or fee may be placed in suspend status in the BOS for no more than ten (10) Calendar Days to allow an investigation of a customer dispute about payment of the transaction or Customer account that is related to the unpaid toll transaction or fee.

10.4.9.3. The BOS should generate correspondence to notify the Customer that the unpaid toll transactions and/or account fees are in suspend status pending final determination by the court or WSDOT, whichever is applicable.

10.4.10. NOCP Related Notifications

10.4.10.1. The BOS shall send Pre-NOCP notification to the Customer if the transactions belong to CSC registered license plates.

10.4.10.2. The Pre-NOCP notification may be in the form of both email and phone call depending on the contact information available and contact method preference on the Customer account.

10.4.10.3. The Pre-NOCP notification shall be sent at least ten days prior to NOCP being issued.

10.5. Interest

10.5.1. The BOS shall begin accruing simple interest 30 Calendar Days after failure to pay the NOCP by the due date.

10.5.2. Interest is calculated at 1.0 percent simple interest per month thereafter, however, interest ceases to accrue when the account is written off.

10.5.3. Interest will stop accruing when the account is placed with Collections. However, interest charges that accumulated while in Collections will remain due to WSDOT and shall begin to accrue once the item is returned to the CSC as uncollectible. As a result, the amount due to WSDOT will include the interest charged for the period it was in Collections as well the interest that accrues while the item is at the CSC.

10.5.4. Excess interest collected by the collection agency will be sent to the BOS and recorded in the Customer's account following all acceptable accounting processes.

10.6. Adjudication of Disputes

10.6.1. The BOS shall provide the following adjudication documents and reports:

- Written Dispute in Lieu of Hearing Form
- Lobby Docket

- Notice of Hearing
- Notice of Hearing Denial
- Notice of Dismissal
- Notice of Suspense and Pending Review
- Administrative Hearing Docket
- Written Dispute Docket
- Final Order of Liability by Default (Failure to Appear)
- Final Order of Liability (Administrative Hearing)
- Final Order of Liability (Written Dispute)
- Cases not Adjudicated Report
- Evidence Package, including the Written Dispute Form and other documents contained in the Scanned Documents file.
- ALJ Performance ALJ System Reports for use by the Office of Administrative Hearing (OAH) and the Legislature
- Manual correspondences generated as necessary and appropriate to respond to specific circumstances or for general operations

10.6.2. If a request to schedule a hearing or a written dispute is received beyond Day 30, the BOS should generate a letter stating that (i) the hearing or written dispute is beyond the deadline and therefore denied, and (ii) that payment is due, and if not paid the NOCP may proceed to Collections and will proceed to DOL, unless otherwise directed by WSDOT.

10.6.3. Scheduling Hearings

10.6.3.1. When a hearing is requested or a written dispute submitted, the BOS shall be able to assign a case number to the disputed NOCP Summary and schedule cases to hearing rooms as follows:

- In-person hearing shall be assigned and scheduled in the two hearing rooms at Seattle and one hearing room at Fife.
- Written Disputes in Lieu of Hearings shall be assigned to the “virtual” hearing rooms for OAH to manage. The number of virtual hearing rooms may vary based on the number of written disputes requiring judicial review.

10.6.3.2. The BOS shall schedule one case (one individual customer) for all disputed NOCP Summaries that are associated with a single or multiple license plates as requested by the customer.

10.6.3.3. The BOS shall schedule in person hearings according to the first available time slot or according to the customer’s needed accommodation, and at the requested location. The default location will be the WSDOT Toll Enforcement Office in Seattle.

10.6.3.4. The BOS will create hearing dockets for each of the hearing rooms.

10.6.3.5. The hearing docket will be divided into four (4) sessions of 90 minutes each. The BOS will initially schedule no more than nine (9) cases per 90 minute session. The number of cases to be scheduled is subject to change based on the judges’ ability to process cases.

- 10.6.3.6. When a judge is unable to hear all of the cases in a session, the BOS shall allow the judge to reschedule the hearing for another day.
- 10.6.3.7. Written Disputes in Lieu of Hearing shall be scheduled by the BOS into virtual hearing rooms. The number of cases scheduled per day will be determined by WSDOT and the Office of Administrative Hearings concurrently. Initially, WSDOT plans for fifty (50) cases to be scheduled for each virtual hearing room per day.
- 10.6.3.8. Written Dispute cases in the virtual hearing room that are not completed at the end of the day by the judge will be placed at the top of the work queue by the BOS for the next business day.
- 10.6.3.9. The BOS should be able to note any special requests for accommodations (e.g., language translators, hearing impaired).
- 10.6.3.10. The BOS shall, by default, provide a hearing date that is at least 14 Calendar Days from the hearing request date. The BOS shall accommodate Customer's request for a different date and time provided that such date is not more than 30 Calendar Days beyond the first date available for hearing. A Supervisor override is required to allow for scheduling beyond the configured date.
- 10.6.3.11. For In-Person Hearings, a Notice of Hearing (in a form substantially similar to that provided by WSDOT) shall be generated by the BOS and provided to the Customer by mail or in person, and shall contain the following information:
- Case number and License Plate number
 - Customer name and address
 - The Hearing Location
 - Hearing Room (if applicable)
 - Hearing Date & Time
 - A list of acceptable supporting evidence documentation (e.g., sold vehicle report, police report)
 - General information about what to expect during the hearing.
- 10.6.3.12. A Notice of Hearing must be generated by the BOS on-demand. All Notices of Hearing must be linked to the account and available for reprint.
- 10.6.3.13. The BOS shall ensure that evidence packages are available to the judges by the close of business the day before the case is scheduled for review.
- 10.6.3.14. The BOS shall generate for daily posting by CSC staff, the hearing docket for each hearing room and all hearing times. The docket will include the case number, hearing date and time, hearing room, Customer names. Each case will appear in date-time order. Docket should be available to the judges at least one business day prior to the hearing date.

10.6.4. Administrative Law Judge (judge) Reviews

- 10.6.4.1. The adjudication of NOCP disputes shall be conducted by a judge designated by the OAH. The BOS shall provide the judge with access to the evidence package and hearing docket, the ability to record the hearing and the ability to scan evidence produced by the

Customer at the hearing. The judge shall have the ability to add the scanned evidence to the electronic case file/evidence package.

10.6.4.2. The judge will enter their decisions into the BOS in the form of a judgment for each NOCP transaction on the NOCP Summary.

10.6.4.3. The BOS shall allow each individual disputed NOCP to be assigned one of the following decisions by the judge:

- Liable (Hearing),
- Liable (No Show),
- Liable (with Mitigation)
- Not Liable, or
- Continuance

10.6.4.4. If the Customer is found not liable for the violation, the BOS shall indicate on the account that no payment is due and the reasons for non-liability:

- Not Liable-Stolen
- Not Liable-Sold
- Not Liable-License Plate Incorrect
- Not Liable-Payment Misapplied
- Not Liable-Vehicle not on Account
- Not Liable-Other

10.6.4.5. If Customer is found liable but with mitigating reasons, the ALJ shall be able to select from the following reasons:

- Death
- Hospitalization
- Divorce/Separation
- Active Duty Military Service
- Eviction/Homelessness
- Failure to receive toll bill
- Processing error.

10.6.4.6. If the Customer is found liable for a violation, the BOS shall update the account to show the amount of payment that is due. The Customer has ten (10) Calendar Days to pay.

10.6.4.7. If Customer does not appear at the in-person hearing, the judge shall enter a finding of liable and the BOS shall generate a final order of default to be mailed to the Customer within one (1) Business Day of the disposition date.

10.6.4.8. A judge may grant a continuance for cases set for hearing as necessary and as determined by the judge. The continuance shall be noted on the Customer's account and Case File in the BOS and a new Notice of Hearing shall be mailed no later than the next Business Day or provided to the Customer.

10.6.4.9. The disposition of each individual NOCP contained in the NOCP Summary must be listed on the Final Order by the BOS.

10.6.5. Payments after Final Order

10.6.5.1. The Customer will be allowed at least a 20-Calendar Day grace period to pay the amount due from the Final Order by the BOS. The Final Order shall be sent to collections and/or the DOL.

10.6.5.2. Payment types accepted by the BOS during the payment period shall include cash, check, money order, credit card or ACH and debit card, if paid at the Toll Enforcement Office. The debt will not be released for check, money order or ACH payments until after payment has cleared the bank (7 – 14 days). Once payment clears, a receipt shall be mailed to the Customer.

10.6.5.3. The receipt shall identify the NOCP Summary Notice Number and Case Number, the amount paid and any remaining balance. The BOS shall provide a receipt to individuals paying in person, and if requested by the Customer, shall provide a receipt by mail or email by the next business day.

10.7. Collections

10.7.1. The CSC must support third-party collections of negligent accounts as directed by WSDOT. WSDOT will contract outside collections agency in accordance with State guidelines. WSDOT AFS will approve accounts sent to collections.

10.7.2. If the renter of a vehicle owned by a rental car agency is found liable and fails to pay, the BOS shall only allow the renter to be sent to Collections.

10.7.3. No accounting entries occur when a claim is sent to the collection agency but the BOS must flag the account as “in collections”.

10.7.4. When notification of payment is received from the collection agency, the BOS will record the payment on the account. The payment date will be reflected as the date of notification.

10.7.5. A CSR may send outstanding amounts due on a pre-paid account to WSDOT for approval before account is sent to the collection agency. The BOS will generate a letter which states the amount due and that the account has been forwarded to collections. As these are not photo enforced, the amounts cannot result in either a NOCP or a DOL hold.

10.7.6. Once an item is referred to a collection agency, it must be paid through the collection agency. The BOS will state in all documents that it cannot accept payment for transactions in collections.

10.8. Washington State Department of Licensing Holds

10.8.1. The BOS shall ensure unpaid NOCPs and Final Orders on Washington State Vehicles can be sent to the Washington State Department of Licensing (DOL) not less than 30 Calendar Days after issuance and in accordance with the ICD.

10.8.2. All NOCP and related hold information will be maintained and accessible in the BOS for at least three (3) years.

10.8.3. At least two (2) unpaid transactions are required by the BOS for a DOL Vehicle Registration Hold. Past due NOCPs are candidates for a DOL Vehicle Registration Hold request.

10.9. Appeals

10.9.1. If a Final Order of Liability is issued on an in-person hearing, the BOS will allow the Customer thirty (30) Calendar Days to appeal the decision to Superior Court.

10.9.2. When the CSC vendor receives notification of appeal from WSDOT the BOS should allow for the NOCPs to be placed on "Appeal" status pending superior court decision.

10.9.3. Upon WSDOT's request to the CSC vendor, the BOS shall generate a record of decision which includes all information related to the case including the evidence package, the court transcript (tape recording) of the hearing, the hearing disposition and any other evidence available to the judge at the time of the hearing.

10.9.4. The BOS shall have the ability to accept payments on suspended transactions with a suspend status of "appeal".

10.9.5. The BOS shall have the ability to update the status with the Superior Court rulings and instructions, including accepting payments in full as well as partial amounts if ordered by the Superior Court.

10.10. Bankruptcy Handling

10.10.1. The BOS shall support State and Federal laws in handling bankruptcy claims of toll Customer accounts.

10.10.2. The BOS shall flag the Customer account for the bankruptcy hold when the bankruptcy filing is received. The BOS shall provide all supporting documentations to the Court when requested.

10.10.3. The BOS shall maintain a detailed log for all bankruptcy filings received and keep it updated as new information become available.

10.10.4. The BOS shall suspend all account and unpaid toll transaction correspondences for customer accounts flagged as in bankruptcy.

* * * End of Section * * *

11. Discount Program Management

11.1. General

11.1.1. The BOS shall support both Transaction-based and account-based Toll and fee discount plans.

11.1.2. The BOS will only credit discounts to an eligible Customer account for transactions using a Pass or a plate. The discount will not apply to Unregistered Account.

11.1.3. The BOS shall ensure a Toll Transaction can be eligible for multiple Pass and Account Level discounts but the total amount of the discount cannot exceed the amount of the Toll.

11.1.4. The BOS discounts may include the following:

- Non-Revenue
- Vehicle Occupancy
- Government
- Location Based
- Frequent User
- Emergency

11.1.5. The BOS will round all calculated discounts to the nearest penny.

11.1.6. The BOS will post a transaction for each discount type applied to the account and will have a unique transaction type.

11.1.7. The BOS shall ensure that Location-Based Discount Plans allow for Reduced Tolls for Customers who live and/or work within certain designated geographic locations (e.g. Mercer Island). Discounts for this plan are applied at the Account level.

11.1.7.1. The BOS will calculate the Location Based Discount as $\text{Location Based Discount} = (\text{Location Based Discount Rate}) \times (\text{Posted Toll Amount})$.

11.1.7.2. For the Location Based Discount Plan, the BOS will post a credit transaction to the account after the associated Pass Toll Transaction has been posted.

11.1.8. The BOS shall ensure that Vehicle Occupancy Discount Plans allow Reduced Tolls for vehicles with a certain number of vehicle occupants. Discounts for this plan are applied at the Pass level.

11.1.8.1. The BOS will calculate the Vehicle Occupancy Discount as $\text{Vehicle Occupancy Discount} = (\text{Vehicle Discount Rate}) \times (\text{Posted Toll Amount})$.

11.1.8.2. For the Vehicle Occupancy Discount Plan, the BOS will post a credit transaction to the account after the associated Pass Toll Transaction has been posted.

11.1.9. The BOS shall ensure that Government Discount Plans allow for Reduced Tolls for designated government agencies if authorized under current Laws and Regulations.

- 11.1.9.1. The BOS will calculate the Government Discount as $\text{Government Discount} = (\text{Government Discount Rate}) \times (\text{Posted Toll Amount})$.
- 11.1.9.2. For the Government Discount Plans, the BOS will post a credit transaction to the account after the associated Pass Toll Transaction has been posted.
- 11.1.10. The BOS shall ensure that Frequent User Discount Plans allow for Reduced Tolls for frequent users of designated Toll Transportation Facilities based on the number of toll transactions posted to the account over a configurable timeframe. Discounts for this plan are applied at the Account level.
- 11.1.10.1. To qualify for the Frequent User Discount, the total number of qualifying Pass Toll Transactions posted to the account during a given timeframe must be equal to or greater than the configurable parameter (month or quarter).
- 11.1.10.2. Only Pass Toll Transactions using the facility defined by this parameter will qualify for the Frequent User Discount.
- 11.1.10.3. For Frequent User Discounts, the BOS will post a credit transaction equal to the calculated discount to the account at either the beginning of the month or the beginning of the quarter dependent on the timeframe parameter.
- 11.1.10.4. For Frequent User Discounts, the BOS must base the eligible transactions on the Transaction Date of the transaction.
- 11.1.10.5. The BOS will calculate the Frequent User Discount = $(\text{Frequent User Discount Rate}) \times (\text{dollar amount posted for Qualifying Tolls over the previous configurable qualifying timeframe})$.
- 11.1.10.6. The BOS will post a credit transaction equal to the calculated discount to the account at either the beginning of the month or the beginning of the quarter dependent on the timeframe parameter.
- 11.1.11. The BOS shall ensure that Non-Revenue Discount Plans allow for full credit for qualifying toll transactions on designated Toll Transportation Facilities. Discounts for this plan are applied at the transaction level.
- 11.1.11.1. The BOS will require a supervisor override to enroll a Pass in the Non-Revenue Discount Plan.
- 11.1.11.2. Only Pass Toll Transactions using this facility (for the enrolled Pass) will qualify for the Non-Revenue Discount.
- 11.1.11.3. The Non-Revenue Discount will be applied to the customer's account for each Pass Toll Transaction posted to the account for the enrolled Pass using a qualifying facility.
- 11.1.11.4. The BOS will post a credit transaction to the account after the Pass Toll Transaction has been posted. The credit amount will be equal to the toll amount posted.

* * End of Section * * *

12. Toll Rate Management

12.1.1. The BOS shall support capturing, storing and maintaining Toll rate information (Toll rate schedules) for the purpose of determining the proper Toll amount when processing and posting received Toll Transactions.

12.1.2. The BOS provide a user interface to allow an Authorized User to easily input and edit Toll rates schedules.

12.1.3. The BOS shall support Toll rate schedules that allow specific Toll rates to be determined for and applied to receive Toll Transactions based on various information included in the received Toll Transaction records (including but not limited to Transaction date and time, Toll location, and vehicle classification) and based on Toll rate schedule effective dates.

12.1.4. The BOS will process two types of Toll Rates:

- Pass Rate (base rate)
 - The rate posted to the customer's pre-paid account with a valid Pass read.
 - The rate posted to the customer's ZBA account with a valid Pass read.
- Toll Bill Rate (video rate)
 - The rate paid at the lane or invoiced on a Toll Bill.

12.1.5. The BOS shall utilize the Toll rates tables to determine the proper Toll rate for each received Transaction if, and only if, the received Transaction does not already contain a Toll rate.

*** End of Section ***

13. Customer Complaint/Dispute Resolution

13.1.1. The BOS shall support the various Customer activities related to complaints/disputes as follows:

- Dispute toll and/or fee
- Dispute carpool status
- File a complaint

13.1.2. The BOS shall log each received dispute along with the following information:

- Date dispute was received
- Associated Customer account number
- License Plate number or Pass ID
- Transaction date
- Customer's reason for the dispute
- Dispute status (e.g. Unresolved, Resolved, etc.)

13.1.3. The BOS shall accommodate the following dispute reasons with supporting documentation as indicated:

- **Vehicle Sold** – customer did not own the vehicle because it was sold previously (bill of sale required)
- **Stolen Vehicle** – customer had reported the vehicle stolen to the police (police report required)
- **Rental/Lease Vehicle** – customer's rental/lease period was not in effect (agreement required)
- **Carpool Status** – customer had the appropriate passengers and the transponder was in HOV mode (must verify exempt status)
- **Duplicate Trip** – customer received a toll bill and was charged for a transponder toll on their account
- **Emergency Run** – emergency vehicle on official business, responding to a call (documentation required)
- **General Purpose Lane** – customer was in the adjacent general purpose lane
- **Incorrect Plate** – customer received a bill for a different license plate (documentation required)
- **Non-Toll Hours** – customer's trip was during non-tolled hours
- **Split Trip** – customer charged for multiple trips when it should have been assembled as one
- **Authorized Closure** – lane was closed while customer was in the middle of a trip
- **Death** – of registered owner or immediate family member (documentation required)
- **Hospitalization** – customer was or is in the hospital and did not receive the toll bill (documentation required)
- **Divorce/Separation** – customer did not have access to the vehicle per the divorce decree or separation agreement (documentation required)
- **Active Duty Service** – customer was performing active duty service (documentation required)

- **Eviction** – customer was evicted from the address on record (documentation required)
 - **Homelessness** – customer has no formal address
 - **Processing Error** – either a customer service representative or the toll system made an error
- 13.1.4. Disputes for toll transactions on any facility for Pay By Mail Customers who receive a Toll Bill (at any stage) the BOS shall allow a waving of any fees and penalties upon establishment of a prepaid account in good standing and tolls will be reduced to Pay By Plate rates
- 13.1.5. Disputes for toll transactions on Express Toll Lane or High-Occupancy Toll Lane facilities for *Good To Go!* Customers, the BOS shall allow:
- 1st time waving of toll and \$0.25 fee (if applicable) via dismissal process of the first transaction for Customers who claim they were traveling as an exempt vehicle (carpool or motorcycle), or up to thirty (30) Calendar Days of transactions in dispute if the Customer purchases a Flex Pass.
 - 2nd time no waving
- 13.1.6. Disputes for transactions on Express Toll Lane or High-Occupancy Toll Lane facilities for Pay by Mail Customers who receive a first Toll Bill, but before they reach the second Toll Bill stage, the BOS shall allow
- 1st time waving of tolls via dismissal process for all transactions in dispute on a single toll bill and any transactions that occurred since the toll bill was mailed for Customers who verify they were traveling as an exempt vehicle (carpool or motorcycle) upon establishment of a prepaid account in good standing and the purchase of a Flex Pass.
 - 2nd time no waving
- 13.1.7. Disputes for transactions on any facility for *Good To Go!* Customers with a pass who have been assessed \$0.25 Pay-By-Plate fees, the BOS shall allow:
- 1st time waving of \$0.25 fees via dismissal process for all transactions in dispute.
 - 2nd time (and all subsequent times) results in waving of \$0.25 fees via dismissal process for all transactions in dispute after the Customer has his or her pass tested.
- 13.1.8. Disputes for transactions on any facility for *Good To Go!* Customers who receive a second Toll Bill, the BOS shall allow:
- 1st time waving of reprocessing fees via dismissal process (and if Customer elects to bring his or her account in good standing, tolls will be reduced to Pay By Plate rates)
 - 2nd time reduction of tolls to the Pay By Plate rate for all transactions in dispute upon bringing his or her account in good standing
 - 3rd time no waving
- 13.1.9. Disputes for transactions on any facility for Pay By Mail Customers who receive a second Toll Bill, the BOS shall allow:
- 1st time waving of reprocessing fees via dismissal process (and if Customer elects to establish a prepaid account in good standing, tolls will be reduced to Pay By Plate rates)
 - 2nd time reduction of tolls to the Pay By Plate rate for all transactions in dispute upon establishment of a prepaid account in good standing
 - 3rd time no waving

13.1.10. Disputes for transactions on any facility for Pay By Mail Customers who have not used any WSDOT toll facility in the previous 12 months from the disputed transaction date and who receive a second Toll Bill, the BOS shall allow:

- Waving of reprocessing fees via dismissal process for unlimited recurrences.

13.1.11. Disputes for transactions on any facility for Pay By Mail Customers who claim they did not receive a first Toll Bill in the mail, but received a second Toll Bill, the BOS shall allow:

- 1st time waving of reprocessing fees via dismissal process (and if Customer elects to establish a prepaid account in good standing, tolls will be reduced to Pay By Plate rates)
- 2nd time waving of reprocessing fees via dismissal process and reduction of tolls to the Pay By Plate rates if the Customer provides proof that his or her address is current or has been updated with the Department of Licensing and upon establishment of a prepaid account in good standing
- 3rd time no waving

13.1.12. Disputes for transactions on any facility for *Good To Go!* Customers who receive an NOCP that has not been adjudicated, the BOS shall allow:

- 1st time waving of penalties and reprocessing fees via write-off process (and if Customer elects to bring his or her account in good standing, tolls will be reduced to Pay By Plate rates)
- 2nd time waving of penalties via write-off process upon bringing his or her account in good standing and reduction of tolls to Pay By Plate rates
- 3rd time no waving

13.1.13. Disputes for transactions on any facility for Pay By Mail Customers who receive an NOCP that has not been adjudicated, the BOS shall allow:

- 1st time waving of penalties and reprocessing fees via write-off process (and if Customer elects to establish a prepaid account in good standing, tolls will be reduced to Pay By Plate rates)
- 2nd time waving of penalties via write-off process upon establishment of a prepaid account in good standing and reduction of tolls to Pay By Plate rates
- 3rd time no waving

13.1.14. Disputes for transactions on any facility for *Good To Go!* or Pay By Mail Customers who receive a statement, Toll Bill (at any stage), or an NOCP that has not been adjudicated, and provides a defined mitigating circumstance and supporting documentation the BOS shall allow the following (as appropriate):

- **Vehicle Sold** – Dismiss tolls, fees, and penalties.
- **Stolen Vehicle** – Dismiss tolls, fees, and penalties.
- **Rental/Lease Vehicle** – Dismiss tolls, fees, and penalties.
- **Carpool Status** – Dismiss tolls, fees, and penalties.
- **Duplicate Trip** – Dismiss tolls, fees, and penalties on all but one of the trips.
- **Emergency Run** – Dismiss tolls, fees, and penalties.
- **General Purpose Lane** – Dismiss tolls, fees, and penalties.
- **Incorrect Plate** – Dismiss tolls, fees, and penalties.
- **Non-Toll Hours** – Dismiss tolls, fees, and penalties.

- **Split Trip** – Dismiss tolls, fees, and penalties on all but the lowest fare trip.
- **Authorized Closure** – Dismiss tolls, fees, and penalties.
- **Death** – (Of registered owner) Dismiss tolls, fees, and penalties; (Of immediate family member) write off fees and penalties only
- **Hospitalization** – Write off fees and penalties
- **Divorce/Separation** – Write off tolls, fees, and penalties
- **Active Duty Service** – Write off fees and penalties
- **Eviction** – Write off fees and penalties
- **Homelessness** – Write off fees and penalties
- **Processing Error** – Dismiss tolls, fees, and penalties

13.1.15. In the event vehicle ownership changes, the BOS shall reset the number limits on type of dispute Customer can file. The Customer shall present the proper documentation for the purchase of the vehicle.

13.1.16. The BOS shall allow manual journal voucher (JV) entries when civil penalty dispute/dismissal related payments are returned or a reversal is deemed necessary. The JV entries shall be made following WSDOT's provided criteria.

* * * End of Section * * *

14. Financial Activities

14.1. Reconciliation

- 14.1.1. The BOS shall allow for financial GL postings to be reconciled for all reported revenues, receivables, and Customer transactions, which will include traffic transaction count and toll revenue, Transponder sales/returns, sales tax charged and collected, all Customer remittances, collections, charges, fees, deposits, and adjustments. Transactions will be balanced and reconciled daily against reports and system processes to ensure the accurate financial accounting of Toll collection activities, including transactions in process.
- 14.1.2. The BOS shall allow reconciliation of each Calendar Day's financial activities by the end of the next Business Day following transaction dates and will provide daily, weekly and monthly summaries and recaps.
- 14.1.3. The BOS shall provide reporting on the successful or unsuccessful completion of all reconciliations to WSDOT.
- 14.1.4. The BOS shall allow reconciling and reporting on duplicate Toll Transactions by Toll Transportation Facility, lane, and time frame daily with a weekly and monthly recap for use in trend analysis and issue resolution.
- 14.1.5. The BOS shall allow reconciling daily Transponder sales for a user configurable sliding window multiple-Day period with a monthly recap.
- 14.1.6. The BOS shall allow reconciling daily other sales and fees with a monthly recap.
- 14.1.7. The BOS shall support reconciliations that compare daily account receivable activity and balances by month and include reconciled aging of all receivables.
- 14.1.8. The BOS shall support automated reconciliations that compare account activity and balances by day and month.
- 14.1.9. The BOS shall support reconciliations with the Office of State Treasurer (OST) and OST identified partners for cash, check, EBT, ACH, credit card, branded debit card, and any other activity for cash equivalents (tender type) and related instruments daily with a monthly recap.
- 14.1.10. The BOS shall support reconciliations between WSDOT's financial system general ledger account balances and CSC Transactions and balances by month and at fiscal yearend (for multiple fiscal accounting periods).

* * * End of Section * * *

15. Interfaces To External Systems

15.1.1. The BOS interface to the WSDOT Toll Transportation Facilities shall support the following:

- Receiving and processing Toll Transactions from each Toll Transportation Facility every ten (10) minutes
- Distributing the entire Pass status file once per Calendar Day
- Distributing Pass status updates every hour
- Indexing received images to the appropriate Photo-Enforced Toll Transaction
 - In instances where there is a problem retrieving the image from the lane, CSC shall post the transaction as AVI if an AVI read is present. If AVI is not present, BOS shall support three automated attempts to retrieve the image and contact the lane vendor to acquire the image manually. If the image is successfully retrieved manually, it is processed. If the image is not received manually within 7 Calendar Days of contacting the lane vendor, then the transaction will be dismissed.
- Making the images available on-demand on a 24 hours per Day, 7 Days per week basis from the BOS
- Receiving the independent traffic counter information at least every five (5) minutes
- BOS shall support transmitting toll rate schedules to the respective Toll Transportation Facility

15.1.2. The BOS interface to registered vehicle owner information source(s) shall support the following:

- Receiving and processing vehicle owner information data files at least once per Calendar Day
- Placing holds on vehicle registration renewals, in a timely manner, based on captured license plate Data and images except where electronic registered owner identification information is not available
- Tracking the files sent for comparison to files received
- Providing statistics and reports on the files and plates that are processed, including which plates resulted in accurate ownership Data and which plates did not

15.1.3. The CSC interface to financial institutions, including WSDOT, Office of State Treasurer (OST) or OST identified partners, shall support the sending, receiving, processing, reconciling and reporting of data related to the following:

- Cash and Check Deposits: daily bank deposits, returned items and other adjustments
- Automated Clearing House (ACH): payments, credits, returned items, and notifications of change.
- Electronic Benefit Transfers (EBT): real-time charges and credits
- Credit Cards and Branded Debit Cards: real-time charges and credits

15.1.4. The BOS interface to other WSDOT systems shall support sending XML or other appropriately formatted data files based on a schedule mutually agreed to by the CSC vendor

and WSDOT on a per interface basis. The format and frequency will be defined in the ICD for each interface.

* * * End of Section * * *

PRELIMINARY

16. Security

16.1. General

- 16.1.1. The BOS shall utilize password protection for all user accessible BOS data systems.
- 16.1.2. When displaying credit card, debit card, or ACH information to a user or Customer using the BOS, only the last four numbers shall be displayed (for financial security purposes).
- 16.1.3. The BOS shall never display a Customer's account PIN to a user or Customer.
- 16.1.4. The BOS shall provide the capability for all account holders (excluding CIP and Toll Bill)) to establish online access to their account. Customers can create their User IDs and passwords online. Unregistered account holders will have read only access.
- 16.1.5. The BOS will support Customers who have forgotten their online User Id by emailing the customer's User ID to the email address on the account after the customer has answered the security questions.
- 16.1.6. The BOS will support Customers who have forgotten their online password by navigating them to their account and prompting them for a new password after they have answered the security questions.
- 16.1.7. The BOS shall allow Customers to use their Toll Bill account number and license plate number to access their account. return
- 16.1.8. The BOS shall require the CVV2 code for online credit/debit card payments.

* * * End of Section * * *

17. Regional Interoperability

17.1. Account Establishment

17.1.1. BOS shall support the establishment of accounts that allow a Customer to pay for a Toll incurred on any Toll Facility supported by the CSC or on any Reciprocating Agency.

17.2. Pay by Plate or Pay by Mail Toll Trips

17.2.1. If a Customer with this account type uses a toll facility at a Reciprocating Agency, the transaction will not post to this account.

17.3. Payment Processing

17.3.1. BOS shall support accepting and processing settlement payments from Reciprocating Agencies in payment of tolls incurred by their customers.

17.4. Pass Types

17.4.1. BOS shall process transactions associated with 6C protocol transponders (Passes) from Reciprocating Agencies.

17.5. Toll Transaction Processing

17.5.1. BOS shall support Toll Transaction processing by accurately posting valid received Toll Transactions to the proper Customer accounts or Reciprocating Agencies at the proper amounts.

17.6. Toll Transaction Fee

17.6.1. A toll trip that cannot be posted to an account or invoiced to a Reciprocating Agency will be Photo Enforced and sent to the customer on a Toll Bill. All relevant fees shall apply.

17.7. Pass Toll Transactions

17.7.1. BOS shall support processing CTOC transponder based transactions for WSDOT customers received in Toll Charges files from Reciprocating Agencies.

17.7.2. BOS shall report the results of processing these transactions to CTOC Agencies in Reconciled Toll Charges files.

17.7.3. BOS shall include all CTOC transactions posting to WSDOT accounts on Settlement Reports and pay the appropriate CTOC Agency for these transactions at the determined settlement interval.

17.7.4. BOS shall include transponder based transactions matching transponders in Tag Status files in Toll Charges files sent to Reciprocating Agencies on a daily basis.

PRELIMINARY

17.8. Photo-Enforced Toll Transactions

- 17.8.1.** BOS shall support processing CTOC image based transactions for WSDOT customers received in Pay by Plate files from Reciprocating Agencies. The CTOC transactions in these files will contain LPNs associated with WSDOT Pass Accounts.
- 17.8.2.** BOS shall support reporting on the result of processing of these transactions in Reconciled Pay by Plate files.
- 17.8.3.** BOS shall include all CTOC transactions posting to WSDOT accounts on Settlement Reports and pay the appropriate CTOC Agency for these transactions at the determined settlement interval.

17.9. Toll Transaction Adjustment

- 17.9.1. BOS shall support allowing an Authorized User to make a financial adjustment to any Toll Transaction (including a previously made adjustment) except to a Toll Transaction that has been sent to a Reciprocating Agency in a Toll Charges or Pay by Plate file. The adjustment shall not financially alter the original Transaction being adjusted. It should not just be money that is not altered; the audit trail should maintain all the information; including dates, times, users, etc.

17.10. Negative Balances

- 17.10.1.** BOS shall post CTOC transponder based transactions to Customer Accounts as long as the transponder had a valid status in the most recent Transponder Status file on the transaction date/time.
- 17.10.2. BOS shall post CTOC image based transactions to Customer Accounts per BR 6.3.

17.11. Toll Transaction Matching

- 17.11.1. BOS shall support matching Photo Toll Transactions to customer accounts within two (2) Business Days of license plate determination.
- 17.11.2. BOS shall include image based transactions matching Reciprocating Agency License Plate Status file license plates in Pay by Plate files sent to appropriate Reciprocating Agency on a daily basis.
- 17.11.3. BOS shall not process such CTOC transactions further until it receives the Reconciled Pay by Plate file, which reports the status of that transaction. If the CTOC transaction posts at the Reciprocating Agency, BOS shall follow the CTOC invoicing process. If the Reciprocating Agency rejects the transaction, BOS shall place the transaction on a toll bill and follow the normal business rules for image based transactions.

17.11.4. WSDOT customers driving on CTOC toll facilities results in image based transactions arriving for processing and posting to WSDOT accounts in daily Pay by Plate files. If such transactions are less than 60 days old, the CSC shall post these transactions to WSDOT customer accounts according to regular business rules. If such a transaction cannot be charged to a Pass Account according to business rules, BOS shall reject that image based transaction. BOS shall send that rejection back to the Reciprocating Agency in the Reconciled Pay by Plate file.

17.12. Toll Bill Processing

17.12.1. If a LPN associated with a valid account comes in a License Plate Status file during the toll billing process (prior to issuing toll bill), BOS shall remove the transaction from the toll bill queue and include it in the CTOC Pay by Plate file for collection from a Reciprocating Agency.

17.13. Notice of Civil Penalties - Dismissals

17.13.1. If the customer claims that they have a valid account with a Reciprocating Agency, BOS shall send the customer a letter instructing them to add the LPN to their Reciprocating Agency account within 10 days. BOS shall check the License Plate Status file for 10 days for that LPN associated with the NOCP. If it arrives in the License Plate Status file, BOS shall dismiss the violation and send the transaction for toll payment in the Pay by Plate file. If not, BOS shall continue with NOCP processing.

17.14. Discount Program Management

17.14.1. Discounts will not apply to CTOC transactions received in Toll Charges files.

17.15. Customer Complaints/Disputes

17.15.1. CSRs will refer WSDOT customers who have disputes/complaints regarding Reciprocating Agency transactions that posted to their WSDOT accounts to call the appropriate Reciprocating Agency. CSRs should have information to help the customer determine the correct agency to contact and be able to provide contact information.

17.16. Financial Activities

17.16.1. BOS shall support automatic reconciliation of CTOC activity including transactions, receivables, payables, and revenue by Reciprocating Agency.

17.17. Interfaces to External Systems

17.17.1. Distribute the entire Pass status file (including CTOC tag status files) once per calendar day

17.17.2. Distribute Pass status updates (including CTOC tag status updates, as available) every hour