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Louisville Southern Indiana Ohio River Bridges Project

Business Rules and Operational Requirements
RIVERLINK OPERATIONS VERSION
Version: 05.01

Table of Contents

1   Introduction

This document contains the Business Rules for the Louisville Southern Indiana Ohio River Bridge (RiverLink) All Electronic Tolling (AET) System.

1.1   Document Scope

The scope of the **Business Rules** document is to describe the expected outcomes of the sub-systems that make up the All Electronic Tolling Solution (AETS). This document shall apply to any and all processes and activities performed by the CSC and BOS and their sub-systems.

Requirement TP-015: Business Rules and Operational Requirements (BROR)

The Toll System Provider shall provide an initial BROR for the Project no later than 90 days after NTP. Once approved by the Joint Board, the Business Rules and Operational Requirements shall be attached to the Technical Requirements. The Business Rules and Operational Requirements shall be updated 180 days prior to the Tolling Readiness Date and again 90 days after the System Acceptance Test is successfully completed. The Business Rules and Operational Requirements shall be submitted to the Joint Board each time for review and approval. The Business Rules and Operational Requirements shall describe all Business Rules for the Operations and Maintenance Work for all components of the System, including any external systems used to operate and maintain the System.

Note: The Joint Board will make itself available to discuss the Business Rules with the TSP during the Business Rule development period.

1.2   Document Objectives

These Business Rules and Operations Requirements, developed from the Statement of Work, contractual documents, and all applicable appendices/attachments, are the framework for the design, implementation, and operational protocols for the RiverLink Toll Collection System.

This document, along with other TSP deliverables, shall constitute the baseline Business Rules which will be translated into detailed technical requirements.

2 Terminology

2.1 List of Acronyms

ACRONYM	DEFINITION
ACD	Automatic Call Distributor
ACH	Automated Clearing House
ACHA	National Automated Clearing House Association
AET or AETS	All Electronic Tolling System
AVC	Automatic Vehicle Classification
AVDC	Automatic Vehicle Detection and Classification includes an Axle Counter device
AVI	Automatic Vehicle Identification
BOS	Back Office System
BR(s)	Business Rule(s)
CMS	Call Management System
CSC	Customer Service Center
CSR	Customer Service Representative
CSS	Customer Service System
EFT	Electronic Fund Transfer
FDCPA	Fair Debt Collection Practices Act

ACRONYM	DEFINITION
FIFO	First In First Out
FTP	File Transfer Protocol
HOLD	See Account Hold
IAG	InterAgency Group (E-ZPass)
ICPS	Image Capture System
INDOT	Indiana Department of Transportation
IVR	Interactive Voice Response
KPTIA	Kentucky Public Transportation Infrastructure Authority
LP	License Plate
LPN	License Plate Number
RiverLink	Louisville Southern Indiana Ohio River Bridge and its Tolling Body, contextually
MIR	Manual Image Review
MOMs	Maintenance Operations Management system
MWUC	Mobile Walk-Up Center
NTP	Network Time Protocol
ORB	Ohio River Bridge and/or its RiverLink Tolling System, contextually
RJDP	Duplicate E-ZPass transaction

ACRONYM	DEFINITION
RSS	Road Side System
SFTP	Secure File Transfer Protocol
SMS	Short Message Service
TAG	Tolling Transponder
TARC	Transit Authority of River City
TCS	Toll Collection System
TSP	Toll Services Provider (Kapsch)
TVL	Transponder Validation List
TZC	Toll Zone Controller
VPN	Virtual Private Network
WUC(s)	Walk-Up Center(s)

2.2　References

NUMBER	REFERENCE
Ref.1	The Louisville-Southern Indiana Ohio River Bridges Joint Board "To Provide, Operate, Manage, And Maintain A Toll Collection System And Provide Back Office Toll Collection And Customer Service For Louisville- Southern Indiana Ohio River Bridge TOLL SERVICES AGREEMENT"
Ref.2	"Resolution Adopting Rates" passed by the LSIORB Tolling Body on May11, 2016
Ref.3	"Resolution TB-2013-1" passed by LSIORB Tolling Body on September 5, 2013
Ref. 4	E-ZPass OPERATIONS INTERAGENCY AGREEMENT and all amendments.

NUMBER	REFERENCE
Ref. 5.	InterAgency (IAG) Reciprocity Agreement (current version)
Ref. 6	E-ZPass InterAgency Group Reimbursement of Credit Card Fees (current version)
Ref. 7	E-ZPass Inter-Customer Service Center Interface File and Reporting Specifications version 1.51k

2.3 Definitions

TERM	DESCRIPTION
Account	A RiverLink Account established by a Customer for the payment of tolls.
Agency	Any Agency that is a member of the Interagency Group
Agency ID – E-ZPass	The Agency ID- E-ZPass is the three digit agency code as recorded in the Transponders.
Away Agency	Any Agency that is not the customer's Home Agency
Away Customer License Plate Table	Table that contains a list of valid license plates from customers (Home and Away)
Business Day	**"Business Day" means any day other than a Saturday, Sunday or federal legal holiday or day on which banks or trust companies are authorized to be closed for business in Indiana and Kentucky.**
Cash	All references to cash refer to U.S. currency.
Commercial Account	A RiverLink Transponder Account with more than 4 vehicles assigned to it.
Conditional Settlement	An interim Settlement between IAG or other Interoperable Tolling Agencies prior to final Settlement.
Customer	A party that properly pays tolls for the use of RiverLink facilities
Customer Account Information	The Account holder's name, address, and any other identifying characteristics; the make, model, year and plate number of such vehicles; all photographs, microphotographs, videotapes and other recorded images of such vehicles created by E-ZPass equipment; and itemized statements of Account deductions for the use of such system.
Customer License Plate File	File with Customer license plates for each Away Agency
Day	Unless otherwise noted, the use of "day" shall mean calendar day.
Degraded Mode	When one or more pieces of a system are not functioning as designed and/or expected with potential impact to system operation(s) either present or imminent (e.g. a "check engine" light).
ETC	Electronic Toll Collection; a method of paying tolls electronically without human intervention in the lane.

TERM	DESCRIPTION
Final Settlement	A Settlement between IAG or other interoperable tolling agencies after Reconciliation has been completed and accepted by the two Agencies.
Frequent User Program	A discount program for frequent users as defined in Section 4.4.1 of these Business Rules
Home Agency	The agency that holds the customer's account and provided the customer its Transponder.
Home Transactions	A toll transaction which occurs using a RiverLink Transponder on a RiverLink tolling facility.
Interface Control Document (ICD)	Document that describes the data interface and the specifics of fields, files, naming conventions, etc., with which each party must comply when exchanging data through the interoperable interface.
Inter-Agency Group (IAG)	Organization consisting of other toll operators that processes E-ZPass transactions. Otherwise known as E-ZPass Group.
Inter-Agency CSC	Away Agency or CSC that is part of the E-ZPass Group and exchanges data to process interoperable Transactions
Invalid Transponder	A Non-valid Transponder issued by the CSS and provided in the TVL.
Invalid Transponder Customer File	E-ZPass File with list of invalid transponders from Home or Away Agency.
Mobile Application	(Mobile App) A software application developed specifically for use on small wireless computing devices (such as smart phones or tablets) running the Apple IOS environment or the Android environment. The application will provide the ability to manage a Customer's Account – pay a one-time toll, make an Account payment, add/remove vehicles, request Transponders/report Transponders missing, update Account information, and provide basic toll information – location and rates.
Negative Balance	A balance on a customer Account where the net amount is less than $0.00.
RiverLink User	The driver of any vehicle using a RiverLink enabled toll lane.
Personal Account	A RiverLink Transponder Account with 4 or fewer vehicles assigned to it.

TERM	DESCRIPTION
Posting	The recording of a toll transaction against a customer's Account and deducting the toll charge from the customer's Account balance
Pre-Paid Accounts	Customer Accounts that require money be on deposit in advance for their Transponder transaction to be accepted as valid.
Reconciliation	The process whereby a Home Agency and an Away Agency resolve any discrepancies in arriving at Final Settlement.
Rejected Transaction	Toll Transactions that are rejected by the CSS. The specific conditions for the rejection of a Toll Transaction is assigned a code. Some examples include (the specific codes will be defined in the ICD): "D" – Duplicate Toll Transaction, Posting failed "I" – Invalid Transponder, Posting failed "C" – Transponder Not Found "O" – Transaction too old
Retail Location	Any location where Unregistered Transponder Accounts can be opened.
RiverLink	The TCS for the Louisville-Southern Indiana Ohio River Bridges.
Settlement	The transfer by a Home Agency of United States dollars representing the gross toll revenues due to an Away Agency for Valid Transponder Transactions incurred on the Away Agency's facilities by the Home Agency's customers.
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Transponder (RiverLink Transponder)	A radio frequency identification (RFID) device issued by RiverLink that is used to identify a vehicle.
Transponder Status File	Also known as Transponder Status Update File is a file with information stating if the Transponder is in a Valid or Invalid state.
Tag Status File	Known as Tag Status Update File is a file with information stating if the Tag is in a Valid or Invalid state.
Tag Transaction	A toll Transaction received by the BOS to the CSS for a vehicle which is equipped with a Valid Tag.

TERM	DESCRIPTION
Tag Validation File	A file maintained by each Agency of Tags issued by that Agency which denotes the status of each Tag issued as having one of four values (valid, low balance, invalid, or lost/stolen) consistent with IAG technical guidelines
Tag Validation List (TVL)	A partial or full (comprehensive) list containing mainly the RiverLink Tag identifiers, the associated license plate and classification. This list is issued by the BOS.
Tag Validation List Update	A list of RiverLink Tag Validation List changes since the last Tag Validation List or Tag Validation List Update and issued by the CSS.
The Tolling Body	The Tolling Body for the Louisville Southern Indiana Ohio River Bridges Project, created by the Bi-State Development Agreement and the Interlocal Agreement
Tolling Body Representatives	Employees for Indiana and Kentucky designated to manage the TSP Agreement on behalf of the Tolling Body.
Toll(ing) Point	Designated location or locations where tolls are collected.
Toll Transaction	A Transaction created by the BOS by the passage of a vehicle and sent by the BOS to the CSS.
Transaction Record	An electronic record of a vehicle's use of a Tolling Point.
Transaction Reconciliation File	Also known as Correction File or Correction Reconciliation Files is a file that contains corrected Transaction Records made by the Away Agency to be processed by the Home Agency
User Agreement	The Agreement related to the use of the RiverLink ETC system and accepted by the Customer with the first use of the RiverLink Transponder
Valid ID (Identification)	Any identification acceptable per the guidelines provided by PCI and ACHA or as otherwise defined in these Business Rules.
Valid Transponder	RiverLink Transponder issued by the CSS and provided in the TVL.
Valid Transponder – E-ZPass	A Valid Transponder, or a transaction from a valid Account, through an activated E-ZPass lane.
Valid Transponder Transaction	The passage of a Valid Transponder, or a transaction from a valid Account, through an activated E-ZPass lane.

TERM	DESCRIPTION
VTOLL	A Toll Transaction processed by a license plate number that is on a valid account where the Tag does not read.
Watch List	A list of up to 250 license plates for use by the RiverLink Tolling Body to uniquely identify vehicles via a license plate's alpha-numeric string.
WebSite (or Customer Website)	The Customer Website shall provide RiverLink Account management functions to the Customer, and shall be 1) accessible to mobile devices irrespective of differences in presentation capabilities and access mechanism; and 2) accessible on a range of mobile devices, including but not limited to: smart phones and tablets.

3   General Business Rules

3.1   Vehicle Classifications (CLA)

ID	DESCRIPTION	[*VARIABLE VALUE*]
GEN-CLA-001 (Passenger Vehicle) (Vehicle Class 1)	Vehicle Class 1 shall include all vehicles which have **no more than two (2) axles and are 7'6" or less in height as measured at the tallest part of the Vehicle**. This class applies equally to vehicles used for commercial and non-commercial purposes.	
GEN-CLA-002 (Medium Vehicle) (Vehicle Class 2)	Vehicle Class 2 shall include all vehicles which have **two (2) axles and are taller than 7'6", all vehicles which have three (3) axles, and all vehicles which have four (4) axles,** including any axles after a trailer hitch, if present. This class applies equally to vehicles used for commercial and non-commercial purposes.	
GEN-CLA-003 (Large Vehicles) (Vehicle Class 3)	Class 3 shall include all vehicles which have **five (5) or more axles**, including any axles after a trailer hitch, if present. This class applies equally to vehicles used for commercial and non-commercial purposes.	
GEN-CLA-004 (placeholder)	Class 4 shall be reserved for future use by the LSIORB Tolling Body, if it chooses to create one additional vehicle class, drawn from those that can be independently identified to the required accuracy by each of the two classification methods cited in RS-026 of the RFP.	

ID	DESCRIPTION	[VARIABLE VALUE]
GEN-CLA-005	The 10 billing categories presently in effect are as follows: 1 ETC Account, Vehicle Class 1 2 ETC Account, Vehicle Class 2 3 ETC Account, Vehicle Class 3 4 Registered Video Account, Vehicle Class 1 5 Registered Video Account, Vehicle Class 2 6 Registered Video Account, Vehicle Class 3 7 Unregistered Video Account, Vehicle Class 1 8 Unregistered Video Account, Vehicle Class 2 9 Unregistered Video Account, Vehicle Class 3 10 ETC Account with Frequent User Discount, only applicable to Vehicle Class 1 when assigned to a personal account Additional billing categories may be created if additional Account types or vehicle classifications are later adopted.	

The IAG class corresponding to each vehicle class in RS-002 shall be as follows:

	VEHICLE TYPE	AXLES	# OF TIRES	DUAL TIRES?	7,000+ LBS.?	IAG CLASS	ORB CLASS
Automobile/ Sport Utility (with possible trailer)	1	2	4	N	N	72	Class 1 (2 axle vehicles)
	1	3	6	N	N	76	Class 2 (3 axle vehicles)
	1	4	8	N	N	**80**	Class 3 (4+ axle vehicles)
	1	5	10	N	N	**84**	Class 3
Motorcycle (with possible sidecar or trailer)	2	2	2	N	N	136	Class 1
	2	3	3	N	N	**140**	Class 2'
	2	4	>3	N	N	**144**	Class 3
Pick-Up Truck (with possible trailer)	3	2	4	N	N	200	Class 1
	3	2	4	N	Y	202	Class 1
	3	2	6	Y	N	201	Class 1
	3	2	6	Y	Y	203	Class 1
	3	3	6	N	N	204	Class 2
	3	3	6	N	Y	206	Class 2

	VEHICLE TYPE	AXLES	# OF TIRES	DUAL TIRES?	7,000+ LBS.?	IAG CLASS	ORB CLASS
	3	3	>= 8	Y	N	205	Class 2
	3	3	>= 8	Y	Y	207	Class 2
	3	4	8	N	N	**208**	Class 3
	3	4	8	N	Y	**210**	Class 3
	3	4	>= 10	Y	N	**209**	Class 3
	3	4	>= 10	Y	Y	**211**	Class 3
	3	5	10	N	N	**212**	Class 3
	3	5	10	N	Y	**214**	Class 3
	3	5	>= 12	Y	N	**213**	Class 3
	3	5	>= 12	Y	Y	**215**	Class 3
Passenger/ Cargo Van (seating 1-9 passengers)	4	2	4	N	N	264	Class 1
Passenger/ Cargo Van (seating 1-9 passengers)	4	2	4	N	N	264	Class 1
	4	2	4	N	Y	266	Class 1
	4	2	6	Y	N	265	Class 1
	4	2	6	Y	Y	267	Class 1
	4	3	6	N	N	268	Class 2
	4	3	6	N	Y	270	Class 2
	4	3	8-10	Y	N	269	Class 2
	4	3	8-10	Y	Y	271	Class 2
Minibus/ Team Van/ Stretch Limo (seating 10-15 passengers)	5	2	4	N	N	328	Class 1
	5	2	4	N	Y	330	Class 1
	5	2	6	Y	N	329	Class 1
	5	2	6	Y	Y	331	Class 1
	5	3	6	N	N	332	Class 2
	5	3	6	N	Y	334	Class 2
	5	3	8-10	Y	N	333	Class 2
	5	3	8-10	Y	Y	335	Class 2
Buses (seating 16 or more passengers)	6	2	4	N	N	392	Class 1
	6	2	4	N	Y	394	Class 1
	6	2	6	Y	N	393	Class 1
	6	2	6	Y	Y	395	Class 1
	6	3	6	N	N	396	Class 2
	6	3	6	N	Y	398	Class 2
	6	3	8-10	Y	N	397	Class 2
	6	3	8-10	Y	Y	399	Class 2
	6	4	8	N	N	400	Class 3
	6	4	8	N	Y	402	Class 3

	VEHICLE TYPE	AXLES	# OF TIRES	DUAL TIRES?	7,000+ LBS.?	IAG CLASS	ORB CLASS
	6	4	>= 10	Y	N	401	Class 3
	6	4	>= 10	Y	Y	403	Class 3
Recreational Vehicle/ Motor Home	7	2	4	N	N	456	Class 1
	7	2	4	N	Y	458	Class 1
	7	2	6	Y	N	457	Class 1
	7	2	6	Y	Y	459	Class 1
	7	3	6	N	N	460	Class 2
	7	3	6	N	Y	462	Class 2
	7	3	8-10	Y	N	461	Class 2
	7	3	8-10	Y	Y	463	Class 2
	7	4	8	N	N	464	Class 3
	7	4	8	N	Y	466	Class 3
	7	4	>= 10	Y	N	465	Class 3
	7	4	>= 10	Y	Y	467	Class 3
Truck	8	2	4	N	N	520	Class 1
	8	2	4	N	Y	522	Class 1
	8	2	6	Y	N	521	Class 1
	8	2	6	Y	Y	523	Class 1 (
	8	3	6	N	N	524	Class 2
	8	3	6	N	Y	526	Class 2
	8	3	8-10	Y	N	525	Class 2
	8	3	8-10	Y	Y	527	Class 2
	8	4	8	N	N	528	Class 3
	8	4	8	N	Y	530	Class 3
	8	4	>= 10	Y	N	529	Class 3
	8	4	>= 10	Y	Y	531	Class 3
	8	5	10	N	N	532	Class 3
	8	5	10	N	Y	534	Class 3
	8	5	>= 12	Y	N	533	Class 3
	8	5	>= 12	Y	Y	535	Class 3
	8	6	12	N	N	536	Class 3
	8	6	12	N	Y	538	Class 3
	8	6	>= 14	Y	N	537	Class 3
	8	6	>= 14	Y	Y	539	Class 3
	8	7	14	N	N	540	Class 3
	8	7	14	N	Y	542	Class 3
	8	7	>= 16	Y	N	541	Class 3
	8	7	>= 16	Y	Y	543	Class 3
Auto Transporter (up to 65')	9	3	n/a	Y	Y	591	Class 2
	9	4	n/a	Y	Y	595	Class 3
	9	5	n/a	Y	Y	599	Class 3
	9	6	n/a	Y	Y	603	Class 3
	9	7	n/a	Y	Y	607	Class 3
Auto Transporter (over 65')	10	4	n/a	Y	Y	659	Class 3

	VEHICLE TYPE	AXLES	# OF TIRES	DUAL TIRES?	7,000+ LBS.?	IAG CLASS	ORB CLASS
	10	5	n/a	Y	Y	663	Class 3
	10	6	n/a	Y	Y	667	Class 3
	10	7	n/a	Y	Y	671	Class 3
Tractor Trailer Combination (trailer <= 48')	11	3	n/a	Y	Y	719	Class 2
	11	4	n/a	Y	Y	723	Class 3
	11	5	n/a	Y	Y	727	Class 3
	11	6	n/a	Y	Y	731	Class 3
	11	7	n/a	Y	Y	735	Class 3
Tractor Trailer Combination (trailer > 48')	12	3	n/a	Y	Y	783	Class 2
	12	4	n/a	Y	Y	787	Class 3
	12	5	n/a	Y	Y	791	Class 3
	12	6	n/a	Y	Y	795	Class 3
	12	7	n/a	Y	Y	799	Class 3
Tandem Trailer Combination (each trailer <= 28.5')	13	5	n/a	Y	Y	855	Class 3
	13	6	n/a	Y	Y	859	Class 3
	13	7	n/a	Y	Y	863	Class 3
	13	8	n/a	Y	Y	867	Class 3 (
	13	9	n/a	Y	Y	871	Class 3
	13	10	n/a	Y	Y	875	Class 3
Tandem Trailer Combination (each trailer > 28.5')	14	5	n/a	Y	Y	919	Class 3
	14	6	n/a	Y	Y	923	Class 3
	14	7	n/a	Y	Y	927	Class 3
	14	8	n/a	Y	Y	931	Class 3
	14	9	n/a	Y	Y	935	Class 3
	14	10	n/a	Y	Y	939	Class 3
Tandem Trailer Combination (one trailer <= 28.5' other > 28.5')	15	5	n/a	Y	Y	983	Class 3
	15	6	n/a	Y	Y	987	Class 3
	15	7	n/a	Y	Y	991	Class 3
	15	8	n/a	Y	Y	995	Class 3
	15	9	n/a	Y	Y	999	Class 3
	15	10	n/a	Y	Y	1003	Class 3
Tractor/ Mobile Home Combination	17	3	n/a	Y	Y	1103	Class 2
	17	4	n/a	Y	Y	1107	Class 3
	17	5	n/a	Y	Y	1111	Class 3
	17	6	n/a	Y	Y	1115	Class 3

	VEHICLE TYPE	AXLES	# OF TIRES	DUAL TIRES?	7,000+ LBS.?	IAG CLASS	ORB CLASS
	17	7	n/a	Y	Y	1119	Class 3
	17	8	n/a	Y	Y	1123	Class 3
	17	9	n/a	Y	Y	1127	Class 3
	17	10	n/a	Y	Y	1131	Class 3

3.2 Toll Rates

The Tolling Body may change any toll rate at any time. Toll rates in the TCS are configurable amounts. The following Toll Rates shall apply as excerpted from the referenced "Resolution Adopting Rates" passed by the Tolling Body which specifies the initial toll pricing as follows:

CURRENT TOLL RATES (EFFECTIVE JULY 1, 2018)			
	VEHICLE CLASS 1	VEHICLE CLASS 2	VEHICLE CLASS 3
Transponder	$2.05	$5.13	$10.25
Video (Registered)	$3.08	$6.15	$11.28
Video (Unregistered)	$4.10	$7.18	$12.30

Per the Resolution, each of the above listed toll rates will be effective upon tolling commencement and will increase annually, beginning July 1st 2018, and thereafter on each July 1st for as long as tolls are in force, by the greater of (a) the rate of inflation as measured by the Consumer Price Index (CPI), or (b) 2.50%.

The calculated toll rates (rounded up to the nearest cent ($0.01) shall be provided in writing to the TSP and any other relevant entities (marketing, IAG, etc.) by the LSIORB Tolling Body no later than sixty (60) Days prior to the effective date of the toll rate change. At no time will the TSP have responsibility for toll rate calculations.

The toll rate change shall be effective at 12:00:01A.M. on the morning of July 1st of each year.

Notification of an upcoming toll rate change shall be communicated to Customers via e-mail, Website, printed materials (statements, invoices, etc.), and TSP-provided signage as instructed by the LSIORB Tolling Body.

The Consumer Price Index, **as published by the U.S. Bureau of Labor Statistics**, for all Urban Consumers for all categories averaged from the time period preceding from **May** of the prior year to and including the month of **April** in the current year just prior to the Toll Rate increase on July 1st is the basis for the Toll Rate increase stated above.

The U.S. Bureau of Labor Statistics usually issues the CPI for the previous month on or about the 15th of the following month. So, in order to start messaging to the media and customers at least a month or so in advance of a toll rate increase on July 1, we should back up the period for which we are calculating the CPI to be May-April such that we have the CPI by May 15 each year and ready for release to public on or about June 1.

3.3   Administrative Fees

It is understood that the Tolling Body intends for administrative fees to be "reasonable" (e.g., cost-basis justified and not punitive). The LSIORB Tolling Body may elect to change the fees at any time in order to maintain reasonable cost recovery and shall do so with sixty (60) Days advance written notice to the TSP. The following table lists initial specific administrative fees.

INITIAL ADMINISTRATIVE FEES	
DESCRIPTION	**AMOUNT**
1st Toll Notice	No Fee
2nd Toll Notice	$5.00 Administrative fee per invoice
Account Statement – Upon Request (E-mailed)	No Fee
3rd Toll Notice - Violation	$25.00 Administrative Fee per Violation Notice
4th Toll Notice – Collections	$30.00 Administrative Fee per Collections Notice
Inactivity Fee	The lesser of $5.00 or the remaining Account balance applied on a monthly basis while Account funds remain available.
Monthly Account Statement (E-Mailed)	No Fee
Monthly Account Statement (Web)	No Fee

INITIAL ADMINISTRATIVE FEES	
DESCRIPTION	**AMOUNT**
Non-Commercial Monthly Account Statement (Mailed)	$2.00 / month flat fee
Commercial Monthly Account Statement (Mailed)	$2.00 for the first four (4) pages, and $0.20 for each additional page / monthly
Reversal Fee (Returned Check/NSF Fee)	(Amount charged by custodian bank) + ($5 to cover reversal and notification costs)
Transponder (6C – RiverLink local)	$0 Customers may receive one (1) free 6C Transponder per vehicle when opening an Account and making the minimum required deposit.
Transponder (6C – RiverLink local) Replacement	$0 First replacement per vehicle $5.00 Second or more replacement per vehicle.
Transponder (E-ZPass – RiverLink)	$15.00
Transponder (Replacement – Defective during warranty period E-ZPass – RiverLink)	$0.00
Transponder (Replacement – Damaged, Lost, Stolen, or defective outside of warranty period E-ZPass – RiverLink)	$15.00

3.4   Discounts

All discounts shall be implemented at the BOS (and not on any Roadside System(s)).

3.4.1   **Frequent User Program**

The referenced "Resolution Adopting Rates" specifies a discount for "frequent users" and was enacted only for "passenger vehicle" classifications with a personal Account; other vehicle classifications are not eligible for this discount. For purposes of implementation, "Passenger Vehicle" shall be interpreted to mean a Class 1 vehicle on a personal ETC Account.

The discount described in this section shall be applied as a per-Toll-Transaction discount for transparency and Accountability. A customer is eligible for this discount when:

a) A Customer has forty (40) pre-paid Transponder Transactions on RiverLink facilities to a single RiverLink 6C Transponder with the appropriate vehicle classification within a calendar month. When eligibility is reached the Account shall receive the appropriate discount(s) for the qualifying Toll Transactions within that month and Toll Transactions charged to that Transponder shall be assigned the Frequent User rate for the remainder of that calendar month; or

b) A Customer has forty (40) pre-paid Transponder Transactions on RiverLink facilities to a single RiverLink E-ZPass Transponder while crossing in any of the vehicles correlated with the Transponder (up to four vehicles) with the appropriate vehicle Classification within a calendar month. When eligibility is reached the Account shall receive the appropriate discount(s) for the qualifying Toll Transactions and the Toll Transactions charged to that Transponder shall be eligible for the Frequent User rate for the remainder of that calendar month.

c) Account holders may see the Toll Transactions which qualify towards their frequent-user discount by viewing their account online.

Once an Account Holder becomes eligible for the Frequent User rate with one of the conditions above, the Frequent User toll pricing is applied to Toll Transactions charged to the eligible Transponder in that month as described in the table below. The Frequent User rate shall increase along with other toll pricing as stipulated in 3.2 Toll Rates.

The Frequent User toll pricing is as follows:

DESCRIPTION	VEHICLE CLASS 1	VEHICLE CLASS 2	VEHICLE CLASS 3

DESCRIPTION	VEHICLE CLASS 1	VEHICLE CLASS 2	VEHICLE CLASS 3
Frequent Users with RiverLink Transponder (Registered) RiverLink Account	Transponder rate with a 50% discount	N/A	N/A

3.4.2   TARC

The LSIORB Tolling Body has passed an EJ Mitigation Plan which includes a commitment to allow TARC buses to cross without charge.

The discount described in this section shall be applied as a per Toll Transaction discount for transparency and accountability. In order to be eligible for this discount, **all** of the following conditions shall apply:

a) TARC shall work with the Tolling Body Representatives to obtain approval of a list of vehicles eligible for the discount. Only vehicles owned by TARC shall be included on the list. Once approved by the Tolling Body Representatives, TARC shall provide the list to the TSP. TARC shall periodically update the list and obtain approval of any changes as vehicles are added or retired. The list shall include license plate numbers for the vehicles on the list.

The TSP shall provide to TARC from the inventory purchased by the LSIORB Joint Board, local 6C Transponders. TARC shall property install these Transponders in the vehicles on the approved list. As vehicles are removed from the approved list, the TSP shall retire the Transponders associated with those vehicles. TARC vehicles which do not meet the above conditions are not eligible for the discount (e.g., vehicles whose LPs are not on the approved list with the TSP, and/or vehicles without a corresponding assigned Transponder, etc.).

DESCRIPTION	CLASS 1 (2 AXLE VEHICLES)	CLASS 2 (3 AXLE VEHICLES)	CLASS 3 (4+ AXLE VEHICLES)
TARC vehicles with a valid RiverLink Transponder	Transponder rate with a 100% discount	Transponder rate with a 100% discount	Transponder rate with a 100% discount

ID	DESCRIPTION	[VARIABLE VALUE]

ID	DESCRIPTION	[VARIABLE VALUE]
GEN-TAR-001	Reporting will be provided every **[1 month]** for TARC usage to facilitate the comparison of the TARC master list of Transponders to the plates from Toll Transactions with TARC receiving the discount via images.	# of Days/weeks periodic definition.
GEN-TAR-002	Every **[1 month]**, the TSP shall report time of day and frequency of use for TARC Transponders.	# of Days/weeks periodic definition.

4 Lane and Host Business Rules

4.1 General Lane and Host Business Rules

ID	DESCRIPTION	[VARIABLE VALUE]
L&H-GEN-001	When a loss of communication between the roadside and the host is detected then [**do**] generate a MOMS alarm and [do] report to MOMS.	do/do not
L&H-GEN-002	When any lane or host exception or error occurs, then [do] generate an alarm or event and [**do**] report to MOMS.	do/do not
L&H-GEN-003	When running backups, software updates, and file downloads, then [**do**] report its success or failure to MOMS.	do/do not
L&H-GEN-004	When the AET system recovers from a failure event, then [**do**] send an event to MOMS.	do/do not

ID	DESCRIPTION	[VARIABLE VALUE]
L&H-GEN-005	When the TZC primary server experiences a failure that prevents it from creating transactions, then [*do*] failover to the secondary server and become fully operational without restart or human intervention.	*do/do not*
L&H-GEN-006	When any exception or error occurs, then [*do*] raise an alarm and report to MOMS	*do/do not*
L&H-GEN-007	The roadside system always operates in normal mode. At all times, vehicles must be counted; there is no system closed nor system maintenance mode supported that does not count vehicles.	
L&H-GEN-008	Intentionally left blank	
L&H-GEN-009	When a Tag that is not in the TVL is detected then [*do*] process transaction as an unregistered video transaction and flag as an exception where an unrecognized Tag was read.	*do/do not*
L&H-GEN-010	Whentransaction(s) are moved from the roadside to the host via a manual method then [*do*] flag the transaction(s) as manually moved.	*do/do not*

4.2 Automatic Vehicle Detection and Classification (AVDC or AVC) Business Rules

According to SA-018 in the TSP contract, the TCS must retain violation enforcement images and associated Transactions online in the BOS for one (1) year after the date of reconciliation. The automatic license plate reader (ALPR image storage from the toll zones was estimated based upon a projected LSIORB average daily traffic (ADT) of 125,000 vehicles.)

ID	DESCRIPTION	[VARIABLE VALUE]
L&H-AVC-001	Intentionally left blank	
L&H-AVC-002	Intentionally left blank	

ID	DESCRIPTION	[VARIABLE VALUE]
L&H-AVC-003	Intentionally left blank	
L&H- AVC-004	When a mismatch is detected between the AVDC class and the Tag class then [**do**] transfer the image of the vehicle to the BOS for further processing.	_do/do not_
L&H- AVC -005	When the AVDC processes an exception condition then [**do**] include the condition in the transaction report.	_do/do not_
L&H- AVC -006	Intentionally left blank	
L&H- AVC -007	When exception conditions occur within the AVDC subsystem, then [**do**] include the exception in the transaction.	_do/do not_
L&H- AVC -008	When a mismatch occurs between the number of axles reported by the Transponder or TVL and the AVC subsystem, then the [**AVC**] reported axles will prevail for purposes of the Transaction Record and the toll.	_AVC / TVL_
L&H-AVC-009	When only the axle counter report axle data, then report the Transponder or TVL axle counts in the Transaction Record but use the axle counter as detected axles parameter used to determine the vehicle class	_TVL / Loops_
L&H- AVC -010	Intentionally left blank	

4.3 Automatic Vehicle Information (AVI) Business Rules

ID	DESCRIPTION	[VARIABLE VALUE]
L&H-AVI-001	When AVI detection data is received then check the Tag status in the TVL and set flags accordingly in the Transaction Record.	
L&H-AVI-002	When a Tag status of invalid, insufficient funds, or lost/stolen is detected in a vehicle traveling in the tolling zone lane, then the lane shall process the transaction as an unregistered video toll and transfer the captured images and Tag data to the BOS for processing.	*Tag / Other Video*
L&H-AVI-003	All Tag detections, regardless of whether or not they represent valid tags/Accounts, shall be included in the transaction message and the system will check the TVL for exception processing.	*do/do not*
L&H-AVI-004	When a Tag not associated with E-ZPass or the RiverLink system is detected, then report the Tag and flag/process the transaction as an unregistered video toll and transfer the captured images and Tag data to the BOS for reporting.	*Tag / Other Video*
L&H-AVI-005	When multiple Tags are detected in the same lane at the same time for the same vehicle, then associate all Tag reads to the single, correlated transaction.	
L&H-AVI-006	When loss of communication to any element of the AVI system is detected, then report the loss to the MOMS.	
L&H-AVI-007	Intentionally left blank	

4.4 Image Capture System (ICPS or ICS) Business Rules

ID	DESCRIPTION	[VARIABLE VALUE]

ID	DESCRIPTION	[VARIABLE VALUE]
L&H-ICS-001	When image storage capacity reaches [**50%**] then generate an alarm to MOMS. Additional alarms to MOMS shall be generated each time an additional 10% of the storage capacity is reached.	*Storage capacity Percentage*
L&H-ICS-002	When a loss of communications to any element of the ICPS is detected, then [**do**] report the communications loss to MOMS.	*do/do not*
L&H-ICS-003	When any ICPS element reports an error or failure message, then [**do**] send an event to MOMS.	*do/do not*
L&H-ICS-004	When the ICPS element recovers, then [**do**] send the status message to MOMS.	*do/do not*
L&H-ICS-005	When a vehicle without a Tag is detected then [**do**] transfer the captured images to the BOS so the transaction can be processed as a VTOLL or unregistered video transaction.	*do/do not*

4.5 Toll Zone Controller (TZC) Business Rules

ID	Description	[Variable Value]
L&H-TZC-001	When a failover automatically occurs from the primary system to the secondary system then [**do**] generate an alarm message to MOMS.	do/do not
L&H-TZC-002	Following an automatic failover that caused a switch from the primary to the secondary TZC, no automatic switch back to the primary TZC will take place, even if the cause of the failover is cleared. Only if the secondary TZC suffers a failure while in operation will the system failover back to the primary TZC. Otherwise, manual intervention is required to return to the primary.	
L&H-TZC-003	When a subsystem fails, then [**do**] report an alarm to MOMS.	*do/do not*
L&H-TZC-004	When a subsystem recovers, then [**do**] report the event to MOMS.	*do/do not*

ID	Description	*[Variable Value]*
L&H-TZC-005	When there is a time synchronization error involving one or more of the subsystems that make up the toll zone controller then operate in Degraded Mode, then [*do*] report to MOMS, and switch over to secondary NTP source and possible local source.	*do/do not*
L&H-TZC-006	Intentionally left blank	
L&H-TZC-007	When the TZC detects a loss of communication to the host, then buffer transactions for up to thirty (30) Days.	
L&H-TZC-008	When the Host has not been available for thirty (30) Days, then manually transfer data to the Host and overwrite the oldest transactions when space is required.	
L&H-TZC-009	When a loss of communication to any element of the lane and/or Host systems is detected then report the loss to the MOMS.	
L&H-TZC-010	When the AVI Subsystem is unavailable, then flag each transaction in degraded mode, send transaction to image review, and indicate AVI unavailability.	
L&H-TZC-011	When the axle counting and separation subsystems are unavailable, then operate in a degraded mode with functioning laser subsystems and send to image review.	
L&H-TZC-012	Intentionally left blank	
L&H- TZC-013	When the AVDC detection contains spurious data from only one of the elements of the AVDC (i.e., partial laser data with loop), then suppress inclusion of the bad data in the transaction report and flag the transaction.	
L&H- TZC-014	When laser scanners are non-operational, then use Axle Detectors for classification.	

ID	Description	*[Variable Value]*
L&H- TZC-015	When the MOMS polls the AVDC subsystem, then send a status.	
L&H- TZC-016	When loss of communication to an element in the AVDC subsystem is detected, then report an alarm to MOMS.	
L&H- TZC-017	When the AVDC subsystem generates health and status messages, then send those messages as event or alarms to MOMS.	
L&H-TZC-018	When the AVDC subsystem is completely unavailable, then generate transactions without attributes and send a notification to MOMS.	
L&H-TZC-019	When only a Tag is read by the lane, then generate transactions without attributes and send a notification to MOMs.	

5 CSC and BOS Business Rules

5.1 Account Types (ACT)

The various Account Types for the RiverLink Tolling System (where pa = per Account and pv = per vehicle) operate according to the following parameters:

Account Type	Account Subtype	Minimum Opening Account Balance	Transponder Required (Y/N)	Transponder Type(s)	Transponder per LP	Vehicle Limitation	Eligible for Frequent User Discount (Y/N)
ETC Account	Personal	$20.00pa	Y	6C or EZP	1:1 or 1:4	Max 4	Y
ETC Account	Commercial	$20.00pv	Y	6C or EZP	1:1 or 1:4	Unlimited	N
ETC Account	Temporary	$20.00pa	Y	6C	1:1	1	N
ETC Account	Government	$0	Y	6C	1:1	Unlimited	N
Registered Video Account	Personal	$20.00pa	N	n/a	n/a	Max 4	N
Registered Video Account	Commercial	$20.00pv	N	n/a	n/a	Unlimited	N
Unregistered Video Account	n/a	n/a	N	n/a	n/a	Unlimited	N

5.2   Account Establishment (AES)

The CSC Back Office System provides multiple methods to establish any type of Account. An Account can be established by completing a paper application, a web-based application, or by applying over the phone. The table below describes the methods for each Account type to establish an Account in the CSC back office system.

Method	Mode(s)	ETC Account	Registered Video Acct	Unregistered Video Acct	Government Acct	Commercial Acct
Paper Application	• Walk up Center • Mail-In • Fax-In • Mobile WUC	Yes	Yes	N/A	Yes	Yes
Online	• Website • Mobile App	Yes	Yes	N/A	No	No
Telephone	• Telephone	Yes	Yes	N/A	No	Yes

Customers will not have the ability to open a temporary Account online or on the Telephone.

ID	Description	*[Variable Value]*
CSC-AES-001	If a vehicle passes through a toll zone on an RiverLink system, for which a registered Home or Away Account does not exist, and there is sufficient data captured to identify the registered owner of the vehicle, then an Unregistered Account is established in the name of that registered owner.	
CSC-AES-002	A registered customer must acknowledge a User Agreement (RiverLink Customer Agreement, or RiverLink Agreement) prior to that customer establishing any Pre-Paid Account.	
CSC-AES-003	Registered Accounts are pre-paid/pre-funded Accounts with a minimum per-Account balance for personal accounts and a per-Vehicle balance for commercial accounts required prior to Account establishment.	

ID	Description	*[Variable Value]*
CSC-AES-004	Registered (personal) Accounts shall have a minimum opening balance of: [*$20*] per Account	*$ per Account;*
CSC-AES-004(a)	A Registered Commercial Account shall have a minimum opening balance of: • [*$20*] per vehicle up to (but not to exceed) [$*unlimited*], •	*$ per Account;* *$ max threshold;* *xx times estimated monthly usage*
CSC-AES-005	A customer may open a Registered Account at the IVR, Walk-Up Centers (WUCs) by paying with the following payment options: • a valid credit card • a debit card (with Visa/MC logo) • a check (except at certain Retail locations) or money order • Cash	*Payment option types*
CSC-AES-006	If a RiverLink User opens a Registered Account over the telephone by speaking to a Customer Service Representative (CSR), then payment may be made with one of the following payment options: • using a valid credit card • using a debit card (with Visa/MC logo) • using ACH payment	*Payment option types*

ID	Description	*[Variable Value]*
CSC-AES-007	If a RiverLink User opens a Registered Account by mailing a completed enrollment application, then payment may be made with one of the following payment options: • using a valid credit card • using a debit card (with Visa/MC logo) • using a check or money order • Using cash (although customers are encouraged to use the other payment methods via mail if at all possible).	*Payment option types*
CSC-AES-008	A customer may open a Registered Account via the RiverLink Customer Website with one of the following payment options: • using a valid credit card • using a debit card (with Visa/MC logo) • using ACH payment	*Payment option types*
CSC-AES-009	To open a Registered Account, the customer is required to provide: • Driver's License or Valid Government ID (optional) (for customers opening Accounts in person, either at the WUC or MWUC), • Account Owner contact information, • one or more license plate(s), • an acknowledgment of the User Agreement, and • the required minimum balance or more • a replenishment method (including cash as an option) • Vehicle type • Vehicle model, make, year, color, and nickname	
CSC-AES-009a	To open a Temporary Account, the customer is required to provide the cost as indicated on the transponder packaging plus the minimum account balance or more.	*Amount required to open account*

ID	Description	*[Variable Value]*
CSC-AES-010	A Registered Personal Account may be associated with up to four Transponders and vehicles regardless of Transponder type (6C or E-ZPass).	*Can elect to limit Account types to Transponder-only or to limit the number of vehicles and/or Transponders per Account.*
CSC-AES-011	An E-ZPass Transponder may be used in any of the four vehicles associated with a Personal Account or up to four vehicles assigned to it on a Commercial Account. A 6C Transponder may only be used in the vehicle for which it is assigned. If a customer uses a Transponder outside of these parameters a toll equal to the video toll rate will be charged to that customer's pre-paid Account.	
CSC-AES-012	A Temporary Account may be associated with a single 6C Transponder with a single vehicle.	*Can elect to limit Account types to Transponder-only or to limit the number of vehicles and/or Transponders per Account.*
CSC-AES-013	Intentionally left blank	
CSC-AES-014	Any pre-paid Account holder shall be liable for the payment of all tolls charged through the use of any Transponder(s) and vehicle(s) associated with that pre-paid Account.	

ID	Description	*[Variable Value]*
CSC-AES-015	When a toll transaction cannot be applied to an active or eligible Registered, Temporary, or interoperable account, then the toll shall be used to create an Unregistered Account. If an Unregistered Account already exists for the registered owner of the vehicle associated with the toll, the toll shall be charged to the existing Unregistered Account.	

5.3 Account Management (ACC)

ID	Description	*[Variable Value]*
CSC-ACC-001	The RiverLink Customer Agreement shall include provisions such that the use of a vehicle with a Transponder at any RiverLink tolling point shall constitute the customer's acceptance of the terms and conditions in the RiverLink Customer Agreement, and shall require maintaining properly-mounted Tags (as applicable) and properly-registered vehicles (as applicable).	
CSC-ACC-002	The RiverLink Customer Agreement must be acknowledged prior to establishment of a Registered or Temporary (pre-paid) Account.	

CSC-ACC-003	A Registered or Temporary Account shall have one or more of the following statuses:
	
	• **Active** (able to apply tolls)
	• **Closed** (not able to apply tolls)
	• **Hold** / Suspended (able to apply tolls but the escalation of unpaid tolls/invoices is suspended). This is applied to an Account when:
	  • The customer is disputing toll charges/invoices. The hold is placed while the dispute is being processed, so customer avoids incurring any additional charges in the interim.
	  • The customer has requested an administrative hearing for Home Transactions (Away Toll Transactions are not eligible for administrative hearings). The hold is placed while the administrative hearing is scheduled and heard. The hold is placed, so customer avoids incurring any additional charges while he awaits the hearing.
	  • Violation Account has been placed on Payment Plan, in order to allow time for the customer to make timely payments toward their plan without the violation escalating further.
	• **Pending Close** (able to apply tolls and/or payments, but transponders/vehicles are Ineligible)
	• Pending Close – Inactivity	

ID	Description	*[Variable Value]*
CSC-ACC-004	**VTOLL** When a customer has an ETC Account, and the transponder is not read at the time the Toll Transaction occurs in the lane, a VTOLL posts to the Account at the ETC rate indicating that the Toll Transaction has posted but the transponder was not read.	
CSC-ACC-005	If a customer has [*10*] consecutive VTOLL post to their Account associated with the same vehicle, a notice is sent to the customer advising them to confirm proper mounting of their transponder and/or advising them to have the transponder tested if it is mounted correctly.	*# of consecutive transactions*
CSC-ACC-006	Once a VTOLL notification is sent, if the customer continues to incur VTOLLs, after 10 additional ([*20*] total) consecutive Toll Transactions, all subsequent VTOLL Toll Transactions will post to the customer's Account at the Registered Video Rate.	*# of total consecutive transactions*
CSC-ACC-007	If the VTOLL are not consecutive, then the count to determine notification to customer restarts.	
CSC-ACC-008	A VTOLL (including VTOLL Toll Transactions applied to an Account at the ETC rate) are not counted toward the Frequent Users Program eligibility.	
CSC-ACC-009	CSRs *are* able to navigate to and view the tatic mage transactions from the TCS.	

5.4 Account Maintenance (ACM)

The CSC shall support the maintenance of RiverLink Accounts, updating Customer Accounts, and processing customer requests made via telephone, storefront, mail, fax, e-mail, or web.

ID	Description	*[Variable Value]*
CSC-ACM-001	The CSC shall support customer service functions through the following interface(s): • WUCs • CSC Call Center / IVR • Web Site • Mobile app • Fax • E-Mail • Standard Mail • SMS Messaging • Chat • MWUC • Retail Location(s)	

ID	Description	*[Variable Value]*
CSC-ACM-002	The CSC shall support the following minimum functions as part of maintaining RiverLink Accounts: • Demographic Updates • Change Account's authorized contact • Add, modify or end date vehicle information • Change Tag status • Request additional Tags • Returning or replacing damaged or defective Tags • Update replenishment information • Update statement generation method • Post payments • Post payment reversals • Review previous payments • Review Account balance • PIN requests • Support for returning or requesting replacement of damaged or defective E-ZPass Tags • Closing Accounts • Updating Account notes • Account Conversion • Transfer and/or Merge an Account from one Account owner to another Account owner • Document management • Workflow management • Payment Plans • Disputes and escalation • Add/Dismiss/amend Fees • Apply goodwill credit	
CSC-ACM-003	Account Holders whose Accounts do not have sufficient funds to cover the cost of toll expenses will create an Unregistered (non-pre-paid) Account.. Account Holders whose Accounts do not have sufficient funds to cover the cost of toll expenses shall remain liable for any toll expenses incurred by any vehicle registered to the Account	*Time of Day; Number of Business Days*

ID	Description	*[Variable Value]*
CSC-ACM-004	Customers whose accounts have a balance of less than $0.00 are considered to have a negative balance. These customers will receive an Account Replenishment Required notification, indicating that the net balance on their Account has gone negative and advising them to replenish their Account in order to bring their Account back into good standing and avoid additional toll costs associated with having an Unregistered (non-pre-paid) Account. The Account Replenishment Required notification will be sent to the customer the day after their Account went negative and will be sent to the customer, via the preferred delivery method indicated on their Account (mail, SMS or email). Account Replenishment Required notifications shall include a payment coupon (remittance document) at the bottom of the notification.	
CSC-ACM-005	The CSC System shall allow a customer to set-up a Personal Identification Number (PIN) for their Account. The PIN is used for identification purposes when calling or logging into their Account via IVR, web or mobile app.	
CSC-ACM-006	The PIN Request Notification will be sent to the customer with a temporary PIN when a customer requests a PIN reset.	

5.5   Account Closure (ACL)

ID	Description	Variable Value
CSC-ACL-001	▪ An Account with a negative balance shall have its Tags marked as "Inactive". An Account with a negative balance cannot be marked for closure. In order for an Account with a negative balance to be closed, either: The customer must pay the negative balance, or; The RCM and/or the Joint Board must approve the write-off of the negative balance.	

ID	Description	Variable Value
CSC-ACL-002	A customer may request to close their pre-paid Account via: ▪ WUCs ▪ CSC ▪ MWUC ▪ Mail ▪ e-mail	

CSC-ACL-003	An Account closure may be requested by:
	
	• The Account holder,
	• the Joint Board representatives for:
	  o Accounts of customers that are inappropriate or disruptive to CSRs
	  o Any other Account that the Joint Board representatives feel should be closed pursuant to the terms of the Customer Agreement, and
	• a person or entity authorized by the Account holder	

CSC-ACL-004	An Account not maintained per User Agreement terms may result in Account suspension or closure.	
CSC-ACL-005	An Account that has been closed, where the balance is greater than $0.00, shall be refunded.	
CSC-ACL-006	Refunds shall be made no sooner than [**fifteen (15)**] Business Days from the date the Tag is made inactive to allow for transaction posting time.	*xx # of business days*
CSC-ACL-007	Accounts shall be placed in a "Pending Closed" status from the time the Account closure request is made until the date the Account is closed.	*# of days in Pending Closed status*
CSC-ACL-008	Account status shall be updated to "Closed" after all refunds have been provided or the Account balance has been written off.	*# of days after being in Pending Closed status*

ID	Description	Variable Value
CSC-ACL-009	When an Account is placed in a "Pending Closed - Inactivity" status, then any vehicles or Tag(s) assigned to that Account are still in a "Valid" status and toll transactions occurring after the Pending Closed-Inactivity date/time stamp shall be applied.	
CSC-ACL-010	A customer's Account status will automatically change to "Pending Closed - Inactivity" status after [**three hundred sixty-five (365)] days** of inactivity.	*# of days of inactivity (Currently turned off per State request)*
CSC-ACL-011	If there is a positive balance, the Account will remain in "Pending Closed – inactivity" status and will be charged an Inactivity Fee until such time as the customer provides valid information allowing a refund to be made successfully or until the Account has a ($0) balance, at which time the Account will be closed. Under no circumstances shall the Inactivity Fee be allowed to take an Account to a negative (less than $0.00) balance. If the Account does not have sufficient funds to deduct the Inactivity Fee, the Inactivity Fee shall be adjusted to equal the amount remaining in the Account.	
CSC-ACL-012	CSR may reverse Inactivity Fees without managerial approval within the first invoice period after the fee has been applied.	
CSC-ACL-012a	Customers may place their Registered Account in Suspended (Hold) Status at no charge, if they will be away for an extended period of time during which their Tags can be made inactive and they can avoid being placed in inactive status. Customers requesting a Suspension of their Account must: • Have a positive balance on their Account. • Total time requesting that their Account be suspended cannot exceed 365 days. • The minimum time for an Account to be suspended is 30 days.	

ID	Description	Variable Value
CSC-ACL-013	Requests for Account closure must be submitted in writing. Requests should include Account holder name, address, listing of Account(s) that they are requesting be closed, an effective date for the closing (at a minimum the effective date would be fifteen (15) calendar days from the receipt of the request) and contact information should there be a need to contact the customer regarding the request.	
CSC-ACL-014	When an Account closure is requested and includes a Tag, then the Tag will be marked inactive, and the Account will remain in pending close status for [**fifteen (15) days** to fully settle.	*Number of days;*
CSC-ACL-015	Once the Account has been closed and is no longer in Pending Close status, any subsequent transactions that are received by the BOS for processing will be rejected on the Closed Account.	*Rejected; applied to Other Video; other*

5.6 Correspondence

RiverLink Account-related correspondence shall display the RiverLink logo, return address, and website address. The CSC shall support the generation of the following system letters:

Letter Type	Frequency of Generation	Criteria for Generation
Customer Statements	Monthly	15th of each month
Credit Card Expiration	15th of every	Credit card is expiring at the end of the following month
Low Balance Alert	Daily	Balance has reached below Account balance threshold
PIN Request Notification	As requested	Customer Request (CSC) (Available)
New Enrollment (Welcome Letter)	Daily	Customer has opened an RiverLink Account
Auto-Replenishment Suspended – Action Required	Daily	Credit card has declined

Returned Check Notice	Daily	Customer check for replenishment of Account was returned by financial institution
Account Suspended – Action Required	Daily	Account Suspended due to non- payment
Dispute Reviewed – Payment Due	Daily	Determination that customer's claim is invalid and payment is/is not due.
Request for Review	Daily	Customer has disputed toll and letter is sent acknowledging that the toll is being reviewed
Dispute Resolution	Daily	Sent to customers advising them of the disposition of their dispute review
Violation Notice Past Due	Daily	Violation payment is past due; Pre-Collections notification
Account Inactive	Daily	Sent to customer advising that Account is no longer active
Unapplied Payment	Daily	Active Account to post-toll payment not found
Final Notification-Action required	Daily	Final notification letter sent 15 days after the customer is notified that account is in collections.
VTOLL Attention Required	Daily	Notification sent when License Plate Number has registered ten (10) or more consecutive tolls without a transponder. This notification will be sent to customers at the State Parties discretion.
Account Replenishment Required	Daily	RiverLink account has reached $0 balance and requires replenishment
Refund Letter	Daily	Letter sent to the customer along with the requested refund.
1st Toll Notice	Daily	Notice sent to customer for transactions that are image transactions
2nd Toll Notice	Daily	Notice sent to customer 30 days after the 1st Toll Notice remains unpaid.

3rd Toll Notice - Violations Notice	Daily	Notice sent to the customer after 1st and 2nd Toll Notices remain unpaid. Sent 30 days after 2nd Toll Notice
4th Toll Notice - Collections Notice	Daily	Notice advising the customer that their account remains unpaid and is eligible to be sent to Collections Agency.
Toll Dispute Request Received	Daily	Letter advising the customer that toll dispute request has been received and is pending review.
Payment Plan Agreement	As Needed	The Payment Plan agreement is provided to the customer that has entered a payment plan agreement at the WUC.
Payment Plan Default Notification	As Needed	Notification sent to the customer advising that they have defaulted on the terms of their payment plan.
Vehicle Registration Hold Notification	As Needed	Notification advising customer that a vehicle registration Hold was placed on their vehicle.
Vehicle Registration Release Notification	As Needed	Notification advising the customer that their vehicle has been released from Vehicle Registration Hold.

5.7 Returned Mail & Nixies

When correspondence, statements and violation notices are returned to the Service Center they are processed according to the following business rules:

ID	Description	Variable Value
CSC-NIX-001	If the returned mail has a forwarding address, the OSS specialist will enter the postal service provided address and reissue the document. The document will be reissued with a new document issue date.	
CSC-NIX-002	When the Account is updated with forwarding address information, the previous address shall be available for review as part of Account address history.	
CSC-NIX-003	If the returned mail does not have a forwarding address, the OSS will open a case on that Account indicating a returned mail item.	

ID	Description	Variable Value
CSC-NIX-004	When an Account has an open Nixie case, it becomes eligible for skip tracing to be performed in order to identify more current address information.	
CSC-NIX-005	During Collections, when an Account is skip traced, a batched skip tracing waterfall process is initiated, applying multi-levels of skip processing to improve address information results.	
CSC-NIX-006	If a case has been batch skipped and no new information is located, then the case is processed through a manual skip trace team.	
CSC-NIX-007	When a new address is located the skip trace will mail out a new document with a new document issue date to the updated address and the Account will be noted with the new address.	
CSC-NIX-008	When the Account is updated with the skip trace results, the previous address shall be available for review as part of Account address history.	
CSC-NIX-009	If no additional address information is obtained, then the case remains in an open status and the Account will continue to escalate through the workflow status until such time as the Account reaches collections at which point additional skip tracing is performed as part of their collection program (including updated telephone information and outbound call campaigns).	

5.8 Tag Management (TRM)

As per BO-123, The Toll System Provider shall provide a TCS that includes Tag inventory and fulfillment application services. The TCS Tag inventory and fulfillment services shall include Tag purchasing, distribution, tracking, warranty data, returns to the manufacturer, and reporting interfaced with the INDOT procurement process. The TCS shall import Tag manifest lists from common file formats to be used in the TCS without additional manipulation. The TCS shall include barcode processing which results in automatic entry of Tag identification numbers into the TCS. The TCS shall track the full life cycle of a Tag from the time it is purchased

through allocation to each of the centers for distribution, through the fulfillment process and finally through the end life of the Tag when it is removed from inventory. The TCS shall provide a report of the total number of Tags, the locations of those Tags, where the Tags are in the distribution process, the Customer Account to which they have been assigned, shipping information, and information for final delivery to the Customer. The inventory process shall Account for the locations (both physical and within the distribution process) of all Tags during their life cycle. The TCS shall produce reports that detail the number of Tags distributed, the number of Tags requested to date, the number of Tags fulfilled, the number of Tags shipped, and the number of requests in progress. The TCS shall track and provide reporting for warranty information on the Tags, returns to the manufacturer warranty expiration dates, and number of Tags in inventory.

ID	Description	Variable Value
CSC-TRM-001	Customers shall be able to use a valid Tag to make toll payments on all RiverLink Tolling Points.	
CSC-TRM-002	Each Tag on a pre-paid ETC Account must be associated with one active license plate on the Account. For E-ZPass pre-paid ETC Accounts, each Tag may be used in other vehicles associated with the Account, one active primary license plate for the Tag is required.	
CSC-TRM-003	A maximum of one active license plate to one active 6C Tag is allowed.	
CSC-TRM-003(a)	A maximum of four active license plates to one active E-ZPass Tag is allowed.	
CSC-TRM-003(b)	A license plate may only be active on a single Account but can be associated with multiple Accounts.	

ID	Description	Variable Value
CSC-TRM-004	The CSC system assigns a status to each Tag in the system. They are: ▪ Inventory: Tag has been placed into inventory in the system, awaiting assignment to a Customer Account. While Tag is in inventory, it remains invalid. ▪ Assigned: Tag is valid, assigned to a Customer Account, and is available for use ▪ Damaged: Tag is invalid and not available for use ▪ Lost. Tag is invalid. Can be reactivated ▪ Stolen. Tag is invalid. Can be reactivated ▪ Invalid. Tag is invalid. Can be reactivated	
CSC-TRM-005	A Tag can only be active (assigned) on one Account at a time.	
CSC-TRM-006	Intentionally left blank.	
CSC-TRM-007	Tags may be issued and distributed from multiple venues.	
CSC-TRM-008	An active Tag will be issued to a Customer opening an Account in person (WUCs, Retailer or MWUC).	
CSC-TRM-009	An active Tag will be issued to a customer opening an Account remotely (via mail or retail location).	
CSC-TRM-010	A Tag must be active in order for a toll transaction to post against the Tag.	

ID	Description	Variable Value
CSC-TRM-011	A customer may report a Tag as lost, stolen, or damaged via: ▪ WUCs ▪ telephone (with a CSR) ▪ RiverLink Customer Website ▪ E-mail ▪ chat ▪ Mobile Application ▪ MWUC	
CSC-TRM-012	A customer can request an additional Tag or replacement Tag: ▪ At the WUCs ▪ Over the telephone (with a CSR) ▪ By using the RiverLink Customer Website ▪ By mailing the request ▪ By emailing the request ▪ Via chat ▪ Mobile Application ▪ MWUC	
CSC-TRM-013	Upon receipt, the Tolling Body Representatives will be notified when new shipments are received.	
CSC-TRM-014	When a shipment is received, a data file with Tag serial numbers will be sent along with shipment. This file is used to track Tags shipped and resolve discrepancies if they exist.	
CSC-TRM-015	All Tags received will be scanned for testing and accountability and to verify that there are no duplicate or previously used numbers.	

ID	Description	Variable Value
CSC-TRM-016	Any Tag(s) that fail testing are considered defective and will be logged as such and placed in a separate physical bin for a return to manufacturer. At the end of each week defective Tag bins are inventoried and reconciled, and then the Tags are returned to the manufacturer along with defective log, for credit.	
CSC-TRM-017	Tag inventory data will be entered and updated into the system as being "in inventory" until assigned to a Customer Account.	
CSC-TRM-018	Tag inventory will be secured at the CSC and WUC facilities and an inventory control methodology will be employed to ensure that Tag inventory is both secured and periodically audited and reconciled.	
CSC-TRM-019	Preventative and detective controls to ensure the safeguarding of Tags. These will include but not be limited to: ▪ Physical/FOB Access ▪ CCTV/Cameras ▪ Requests for Access ▪ Termination of Access ▪ Periodic Inventory Counts/Audits ▪ Daily Reporting of Tag Inventory ▪ Control Process for Receipt of Inventory	
CSC-TRM-020	Audit of all Tag inventory will be conducted on a weekly basis, reconciling it to the inventory listed in the CSC system.	
CSC-TRM-021	Operations will report on Tag fulfillment on a daily basis, using the CSC system generated reports to identify Tag inventory levels, burn rate, inventory coverage, and forecast demand. Process when Tags are approaching out of warranty status	

ID	Description	Variable Value
CSC-TRM-022	The Tag fulfillment supervisor will run inventory reports on a daily basis to monitor inventory levels and determine performance vs. standards outlined for the department. This information will be disseminated on a daily basis to management and the Tolling Body Representatives, including but not limited to: ▪ New Tag Requests Fulfilled (by Tag Type) ▪ Additional Tag Requests Fulfilled (by Tag Type) ▪ Replacement Tag Requests Fulfilled (by Tag Type) ▪ Total Tags Fulfilled (by Tag Type) ▪ # of Tags Mailed (by Tag Type) ▪ Processing Timeframes for Fulfillment	

5.9   Financial Processing

5.9.1   Payment Processing (PAY)

ID	Description	Variable Value
CSC-PAY-001	Payments shall be accepted via: ▪ WUCs ▪ MWUCs ▪ Telephone (with a CSR) ▪ RiverLink Customer Website ▪ Mail (lockbox) ▪ IVR ▪ Retail location(s) ▪ Mobile Application	
CSC-PAY-002	Customer are able to make payments via the following payment methods: ▪ Cash (WUCs, Retail) ▪ Check/Money Order (WUCs, MWUCs, Mail, Retail) ▪ Credit Card (WUCs, MWUCs, Retail, CSC, Phone, IVR, Web/Mobile) ▪ Debit Card (WUCs, MWUCs, Retail, Phone, IVR, Web) ▪ ACH/ (Phone, Web)	

ID	Description	Variable Value
CSC-PAY-003	The following credit cards may be used: ▪ Visa ▪ MasterCard ▪ American Express	
CSC-PAY-004	The following information is required to process a credit card/debit card payment: ▪ Cardholder Name (as it appears on card) ▪ Credit/Debit Card # ▪ Expiration Date ▪ Billing Address ▪ Billing Address Zip Code ▪ CVV security code (Visa/MC-3 digit; AmEx-4 digit) ▪ LPN/Jurisdiction and/or RiverLink Account Number	
CSC-PAY-005	The following information is required to process a check payment: ▪ Account Holder Name ▪ Billing address ▪ Telephone Number (optional) ▪ Valid ID (only required when accepting check at WUCs) ▪ RiverLink Account Number (optional) ▪ LPN/Jurisdiction	
CSC-PAY-006	The following information is required to process an ACH as per the ACHA: ▪ Account Holder Name ▪ Billing Address ▪ Billing Address Zip Code ▪ Telephone Number ▪ RiverLink Account Number (optional) ▪ Routing and Bank Account Number ▪ Check Number ▪ LPN / Jurisdiction	
CSC-PAY-007	Payments shall be applied to the Account number that is indicated on the payment or accompanying remittance document.	

ID	Description	Variable Value
CSC-PAY-008	If payment information is received without an Account number, the payment will be applied to the Account to which the LPN/jurisdiction is associated. If payment information is received without an Account number or LPN/jurisdiction information, every effort will be made to identify the Account to which the payment was intended to be applied. If possible, will send the customer the Unapplied Payment notification to verify to which Account the payment should be applied to.	
CSC-PAY-009	If payment is received without enough information to associate the payment with an Account, an attempt will be made to return the payment to the sender with an Unapplied Payment notification, using mailing information available. If it is not possible to return the payment to the sender, the system shall hold the payment for [*(2) years*]. If, after (2) years, the payment source or appropriate Account has not been discovered then the payment shall be deemed miscellaneous revenue.	*Number; days/months/years*
CSC-PAY-010	Customers may choose to make payments as a one-time payment to an Account, either paying the balance for an unregistered Account, a portion of the balance for an unregistered Account or adding pre-paid funds to pre-paid Accounts; or may choose to provide an automatic replenishment method of payment to a registered or temporary Account.	
CSC-PAY-011	Payments will be applied to transactions in the following order: FIFO (first in, first out according to order of posting to the Account).	

ID	Description	Variable Value
CSC-PAY-012	**Partial Payments** When a payment amount cannot cover the full amount of a transaction or fee, it is applied to the account balance. Customers do not need to pay their full balance to make a payment. Payments are applied to transactions and fees in FIFO order, using the posting date of the transaction or fee. Unpaid balances will follow the normal billing/collections process.	

5.9.2   Auto-Replenishment (REP)

The credit card auto-replenishment process is a method by which the funds on a customer's pre-paid Account are automatically replenished when the Account reaches a predetermined threshold amount.   The CSC back office system identifies those Accounts with balances that have fallen below their preset threshold amount. Credit card and replenishment information for these Accounts are gathered and sent to the financial institution for payment processing.

Credit Card services which allow continued billing despite updated numbers or expirations will be enabled.

ID	Description	Variable Value
CSC-REP-001	Auto-replenishment is available to Customers who have a registered Account.	
CSC-REP-002	A credit or debit card or ACH is required in order to establish auto – replenishment on an Account.	

ID	Description	Variable Value
CSC-REP-003	The following information is required to set-up a credit card/debit card auto-replenishment method: ▪ Cardholder Name (as it appears on card) ▪ Credit/Debit Card # ▪ Expiration Date ▪ Billing Address ▪ Billing Address Zip Code ▪ CVV security code (Visa/MC-3 digit; AmEx-4 digit) Authorization to charge the credit card when Account balance meets minimum threshold balance *(Note: Authorization can be given via phone agent as calls are recorded and retained and serve as a record of authorization).* The following information is required to set-up an ACH auto-replenishment method: • Account holder name ▪ Billing Address ▪ Telephone Number ▪ RiverLink Account Number ▪ Routing and Bank Account Number ▪ LPN / Jurisdiction	
CSC-REP-004	Minimum replenishment amount is ▪ [*$20.00*] per Account up to (but not to exceed) [*$unlimited*]	*$ per plate;* *$ max threshold;* *xx times estimated monthly usage*
CSC-REP-005	Minimum threshold balance to trigger auto-replenishment will be set to $6.00[$variable] or 30% of the authorized replenishment amount(whichever is higher) rounded up to the next full cent value.	*% of replenishing amount (Currently turned off per State Party request)*

ID	Description	Variable Value
CSC-REP-006	A Customer may elect to set an Account replenishment amount greater than their initial balance	
CSC-REP-007	A Customer may elect to have a primary and secondary replenishment method (credit card) on file	
CSC-REP-008	A Customer may change their auto-replenishment instrument(s), including adding/deleting: • At the WUCs • Over the telephone (with a CSR) • By using the RiverLink Customer Website • By mailing the request • By emailing the request	
CSC-REP-009	A customer may change their auto-replenishment threshold and/or amount: ▪ At the WUCs ▪ Over the telephone (with a CSR) ▪ By using the RiverLink Customer Website ▪ By mailing the request ▪ By emailing the request ▪ By faxing the request	
CSC-REP-010	A Customer's automatic replenishment date occurs when the Account reaches a minimum threshold amount as described in CSC-REP-005.	

ID	Description	Variable Value
CSC-REP-011	When a Customer's primary replenishment method is declined by the issuing financial institution, the primary replenishment method will be tried again the next Day For Accounts in which there is a single replenishment method, this will be attempted two (2) more times every other Day. If the additional attempts fail, a Replenishment Required notification is generated and the failed payment method is removed from the account. For Account in which there is both a primary and secondary replenishment method, the primary will be attempted 1 more time and then the secondary will be attempted. If either or both attempts fail, a replenishment decline notification is generated and the failed payment method is removed from the account.	
CSC-REP-012	Registered Account holders who sign up for auto-replenishment will have their monthly statement fees waived as an incentive to maintain their Account balance by using the auto-replenishment method.	

5.9.3   Returned Checks

A check that is not paid by the bank on which it is written (drawn) is referred to as a returned check. Often the reason a check is not paid is that the Account on which the check was drawn did not have a sufficient balance. In that case the check is returned as "NSF" or not sufficient funds. Processing of a returned check reverses payments applied to Customer's Accounts and the Returned Check Notice must go out advising them of the change in funding to their Account.

ID	Description	_[Variable Value]_
CSC-RET-001	When checks or ACH are returned to the CSC from a bank, then the Reversal fee of [**($custodian charge) + ($5)**] will be added to an invoice and will follow the normal billing/collections process if unpaid.	_$ NSF Fee_

ID	Description	[Variable Value]
CSC-RET-002	Checks that are returned to the CSC from a bank shall be reversed. The payment is reversed, and the Account balance shall reflect the reversal fee and the returned check fee.	
CSC-RET-003	Returned checks shall be processed by the CSC's finance department. It is the department's responsibility to pursue collection of these items and to maintain good records and documents supporting collection activities and resolution. All returned items (notices and checks) shall be stored in a secure location to ensure Customer Account information remains secure as item is being processed.	
CSC-RET-004	For returned ACH transactions a note is automatically created and added to the Customer's Account indicating the date of the reversal, the return result code returned from the custodian bank, the amount that was returned and transaction ID associated with the attempted payment. For returned checks, the Support Specialist will manually input the notes onto the customer's Account, indicating that the returned item was processed, including date notice was received, amount of returned item, and item#.	
CSC-RET-005	Upon notification from the bank that a check has been returned, the CSC shall send the Returned Check Notice to the Customer advising that the check payment has been reversed, an NSF fee has been applied to the Account and the returned check may be submitted to collections for resolution if not paid within [**30**] Business Days	*# of days provided to make payment*
CSC-RET-006	Payment of returned check and NSF fee shall be made with secured funds (either a credit/debit card, cashier's check, money order, or cash as accepted at WUCs, Website, and Retailers).	
CSC-RET-007	After [**three (03)**] NSF occurrences for the same ACH/Account, that Account shall no longer be accepted as a payment method.	*[number] of NSF occurrences*

5.9.4   Refunds (REF)

ID	Description	*[Variable Value]*
CSC-REF-001	For Pre-paid Accounts, an Account is eligible for a refund after the customer has requested an Account closure, the Account was in a "pending closed" status for [*fifteen (15)*] Days to allow for any additional Account activity For Government Accounts, a refund shall be provided if a customer makes a request approved by the Tolling Body Representatives. An additional [*fifteen (15)*] Days is allowed for any additional Account activity to process before the customer's Account is refund eligible	*# of days that elapse prior to becoming refund-eligible*
CSC-REF-002	Once the refund is eligible, a refund shall be processed within [*one (1)*] Business Day. The refund will be generated, posted to the Account, Account notes added and mailed to the Customer by CSC operations. Refunds shall be made by check if the account did not have autoreplenishment. The RCM shall be notified if the refund meets or exceeds the [*one thousand dollars ($1,000.00)*] refund threshold	*Processing timeframe for refund;* *RCM Approval Threshold $*
CSC-REF-003	When a refund check is issued, then a refund check notification shall be sent to the customer along with the refund check.	*Optional Refund Fee $*
CSC-REF-004	For refund eligible Accounts replenished by credit card or debit card, refunds will be made to the credit card or debit card on the Account only if the refund amount equals the credit card payment amount. If a refund cannot be made to the credit card or debit card on file or the refund amount does not equal the credit card payment amount, a check will be sent to the name and address on the Account.	
CSC-REF-005	For refund eligible Accounts replenished by cash or check, refund checks will be sent to the name and address on the Account, unless otherwise directed by the customer. Such direction shall be recorded by the CSR in the TCS.	
CSC-REF-006	If a Customer owes tolls or fees, no refund is to be provided.	

5.9.5 Chargebacks

ID	Description	*[Variable Value]*
CSC-FNE-001	When the merchant services provider sends a retrieval request for chargeback initiated by a Customer, an OSS agent will research the Account and provide documentation with regard to the credit card transaction and authorization. A response will be submitted to merchant services within ten (10) Days with findings.	
CSC-FNE-002	If notification of chargeback is received from merchant services provider, then the payment processing team performs a chargeback adjustment in the system, reversing the payment from the Account within one (1) Business Day of the date of receipt.	*# of business days*
CSC-FNE-003	For pre-paid Accounts the chargeback reversal adjusts the available funds to the Account.	
CSC-FNE-004	For post-paid Accounts, the chargeback reversal adjusts paid transactions back and shows them as unpaid.	

5.9.6 Violation Write-Offs

In some circumstances, the CSC staff shall write off violation transactions and fees according to RiverLink approved guidelines. Violations are written off when they are deemed uncollectible. Writing off a violation reduces the balance for both the toll(s) and administrative fees to zero.

Write-offs can either be processed manually by CSC staff, as a single or one-off occurrence or can be processed as a batch for a large number of transactions that have met a defined criterion for write off.

The following table lists the various reasons for which transactions may be written off and how they are processed.

Write Off Reason	Criteria	Manual or Batch Process	Frequency

Write Off Reason	Criteria	Manual or Batch Process	Frequency
Agency Request	Request received from LISORB staff to write off transactions	Manual or Batch	As requested
No Owner of Record	Transactions have remained in "DMV Not Found" status for 180 (configurable) Days.	Batch	Upon meeting criteria
Release of Liability	CSC staff upon review of dispute determine that transactions were billed erroneously to Customer, without sufficient information to transfer liability to another party.	Manual	As needed
Paid at IOP	CSC staff through dispute process determine that transaction was paid through Away Agency and was billed to in error through video billing/violation process.	Manual	As needed
Bad Violation Image	CSC staff through dispute process determine that violation image is unreadable and do not have sufficient information to transfer liability.	Manual	As needed
Correction Due to Administrative Review (Hearing)	Administrative Hearing determines that customer is not liable for transactions and forwards request for transactions to be written off.	Manual	As requested
Non-Revenue/Exempt Vehicle	The non-revenue or exempt vehicle was billed for transactions erroneously.	Manual	As needed

5.10   IVR/Web/Mobile App

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
BO-IVR-001	The IVR system, Customer Website and Mobile Application shall provide customers 24/7 access to a toll-free automated phone system for payment and customer support services and information. Additionally, RiverLink will offer person-to-person customer service support from 7:00 am to 7:00 pm, E.S.T., Monday through Friday and 8 AM to 2 PM EST on Saturday during Startup Phase. During the Steady State phase, RiverLink will offer person-to-person customer service support from 8:00 am to 6:00 pm, E.S.T., Monday through Friday	
BO-IVR-002	The IVR system will be used to answer all customer calls.	
BO-IVR-003	The IVR, Customer Website and Mobile Application will be fully integrated with the CSC system to allow customers to self-serve.	
BO-IVR-004	IVR, Customer Website, and Mobile Application self-service functions completed by the customer shall be in near real-time (within 2 seconds), auditable and reported separately as an IVR, Web, or Mobile App transaction accordingly.	
BO-IVR-005	Customers calling into the IVR shall be able to: • Review Account Information/Activity • Replenish Balances • Make a Payment (Video Bill/Violation) • Request a Tag • Obtain Information (i.e. Hours of Operations/Locations/After Hour, Holiday, Emergency Recordings) • Review FAQs • Change Password/PIN • Request to speak to an Agent • Request a Call Back • .	

ID	Description	*[Variable Value]*
BO-IVR-006	All IVR functions shall be provided in both English and Spanish.	
BO-IVR-007	The IVR system will route customers to CSC agents based on the customer selection of queues for routing and based on responses to menus presented through the IVR system.	
BO-IVR-008	The IVR menus, selections, and actions are programmable so that the menu tree can be adjusted as directed by the Tolling Body Representatives.	
BO-IVR-009	When using the IVR to access Customer Accounts, the user must validate Account information including password/PIN created at the time of Account opening, Account number, notice reference ID (for paying of video bill/violation notice), and/or license plate number (LPN).	
BO-IVR-010	The IVR shall accept the following payment methods from Customers who are processing payments thru the system: • Credit Cards (Visa, MasterCard, American Express) • Debit Cards (carrying the Visa or MC logo) • ACH (Electronic Check)	
BO-IVR-011	The IVR shall provide a call management system (CMS) with a comprehensive reporting component	
BO-IVR-012	The IVR shall allow authorized users to utilize the CMS in real time for managing the phone queues and call center staff	
BO-IVR-013	The IVR allows for monitoring performance and call center statistics and providing real-time supervisory alerts for staff performing below a metric threshold	
BO-IVR-014	When using the IVR system to monitor agent performance, a supervisor shall be able to monitor phone conversations in real time.	*2 years*

ID	Description	*[Variable Value]*
BO-IVR-015	All calls received through the IVR will be recorded and the recordings shall be retained for no less than 2 years.	
BO-IVR-016	The IVR shall store and retrieve call-related information such as call-in number, time/date, call duration and Account holder.	
BO-IVR-017	When an agent receives a call through the IVR, the system shall open the customer's Account screen upon routing the call, given sufficient information.	
BO-IVR-018	When the agent concludes the call, he/she will systemically log the reason for the customer contact by use of a call qualifying code.	
BO-IVR-019	The IVR system will provide reports based on these logging categories.	
BO-IVR-020	The IVR system will provide real-time reporting of all Customer Service Center activities, including queues, skills, teams, groups, and individual agent performance.	
BO-IVR-021	The IVR system will provide reports to track performance metrics statistics by the hour, by day and by month for the following metrics: ▪ Total number of calls accepted by CSRs (per queue) ▪ Average Time to Answer ▪ Maximum Time to Answer ▪ Total number of calls that exceed configurable, specified hold time(s). ▪ Total number of abandoned calls. ▪ Average Call Duration	

5.11 **Unregistered Video Accounts**

ID	Description	*[Variable Value]*
CSC-VID-001	When a vehicle crosses a Tolling Point without a Registered Account, the registered owner is liable for that toll. An Account will be generated, and a video transaction shall be posted to the Account for the toll.	
CSC-VID-002	An unassigned video transaction shall be queued in a Transaction Accumulation Period for [**fifteen (15)**] [] days from the date of the transaction occurrence and is payable individually during that period without invoicing processes.	*# of days;*
CSC-VID-003	After the grace period has expired, the Minimum toll balance to trigger a 1st Toll Notice for the [**year**] following a crossing for an unregistered video Account will be set to a [**$5.00**] invoice trigger threshold balance.	*Timing; $ threshold balance*
CSC-VID-004	Once the minimum invoice threshold balance is met, and the transaction(s) grace period has elapsed, a 1st Toll Notice is sent to the registered owner containing any additional tolls that the vehicle owner may have accumulated during that period. This establishes the monthly billing cycle for this Customer.	*Initial Invoice trigger(s)*

ID	Description	*[Variable Value]*
CSC-VID-005	Invoice and collection or related notices will contain at a minimum: • Amount of toll(s) due • Listing of any additional fees • Image of vehicle, including LPN and Plate Patch • Toll Information (date/time/location/LPN) • Due date for payment • Instructions for remitting payment • Reference to the legal authority to collect the toll • Notice of the right to request an administrative hearing to challenge the fact that the toll is owed • Notice of additional fees and possible violation fees and their amounts that will be due and payable if the motorist fails to pay timely • The lower cost, pre-paid Account options available to them for the avoidance of invoices, convenience, etc.	
CSC-VID-006	The invoice due date will be [**35**] Days from the notice generation date. This allows for 5 Days for invoice generation, quality control, and review, and mailing + 30 Days for Customer to make payment.	*# of days* *Days*
CSC-VID-007	If owner fails to pay 1st Toll Notice, the 2nd Toll Notice is sent within [**7**] Days of the 1st Toll Notice due date, adding the 2nd Unregistered Video Account Invoice Administration fee to the 2nd Toll Notice. New payment due date is [**30**] Days from generation of the 2nd Toll Notice. The notice will advise the motorist of any additional administrative fee(s) which may be added upon failure to pay by such date. The notice will state that failure to pay by the date specified will result in the declaration of a "violation" (notice of the laws violated under failure to pay)	*# of days to generate 2nd notice;* *$ admin fee;* *Due date calculation*

ID	Description	*[Variable Value]*
CSC-VID-008	If payment is not made after the 2nd Toll Notice, a Violation (failure to pay) Notice shall be generated within 7 Days of the payment due date from the 2nd Toll Notice. This notice will assess a Violation Toll Notice administration fee per Violation Toll Notice, totaling the cumulative, combined amount of tolls and fees, and requiring payment within [**30**] Days of violation notice generation. The Violation Notice will state that failure to pay by the date specified will result in additional enforcement actions by the toll operator or the Tolling Body Representatives, including notification of the DMV and a hold on registration renewal, collection agency referrals, and possible court actions.	*$ administrative fee* *$ violation fee;* *Due date calculation*
CSC-VID-009	If payment is not made at the violation notice level, then the Account becomes "collections eligible" and is pursued through the collection process. When an Account is sent to collections, an additional collections fee is added to the collections notice.	
CSC-VID-010	When payment is made for a transaction during the initial [**15**] Days or before the payment due date on the 1st Toll Notice, no administrative fee will be assessed.	*# of days*
CSC-VID-011	If a Customer with an Unregistered Account converts to a pre-paid ETC Account., then any fees shall be waived and the toll rate for the current outstanding tolls shall be reduced to the Tag rate for one time during the lifetime of the [**vehicle**].	*$x.xx; Vehicle / customer Account*

ID	Description	*[Variable Value]*
CSC-VID-012	If a motorist fails to pay the combined amounts, then on [the Day after] the due date of the violation notice, the TSP shallimmediately notify the applicable DMV of the unpaid amounts and request withholding or suspension of vehicle registrations or renewals. TSP shall also refer the motorist's balances to collections for further action if no payment is received [twenty (20)] Days after the violation notice has elapsed.	*# of days;*
CSC-VID-013	DMV holds will only be requested/released from KY DMVs and IN BMVs and those DMVs in other states with which the project has established reciprocal enforcement mechanisms.	
CSC-VID-014	Invoices may be: **mailed** (hardcopy) or **e-mailed** (when a known associated e-mail is present for the vehicle).	*Invoice methodology*
CSC-VID-015	An option shall be available for customers to pay tolls assigned to unregistered accounts online without having to wait for an invoice to be generated. In the event a customer pays tolls using this method and no corresponding transaction is found, the money paid shall be returned to the customer via the same payment method.	

5.12 Pay By Plate Business Rules

ID	Description	*[Variable Value]*
CSC-PBP-001	The Pay By Plate(PbP) functionality will be available to the Unregistered Video Account holders using the RiverLink.com website or by calling the CSC with CSR support for Transactions until transactions reach Enhanced Enforcement status.	

CSC-PBP-002	UVA account holders shall enter their license plate, license plate state, and vehicle's last six (6) characters of VIN in order to authenticate their account.	
CSC-PBP-003	Upon receiving the authenticating information, the TCS shall retrieve all transactions that have posted to a UVA associated with the license plate number provided, and may or may not have been invoiced.	
CSC-PBP-004	If a UVA account holder opts to register by providing their email address or cell phone number and receive alerts, they will receive an email or text alert message when they have transactions that can be paid.	
CSC-PBP-005	The Toll Collections System will run a daily automated system process to scan the system for new transactions and will send out a notification to the user when they are available to be viewed and paid initially. This automated process shall occur daily for a configurable amount of time [in days] up to 30 days. After that time, the customer shall no receive messages related to their transactions, unless they repeat the registration.	_# Days_
CSC-PBP-006	Unregistered Video Transactions already invoiced shall direct the customer to the Pay Invoice page of the website.	
CSC-PBP-007	Uninvoiced transactions shall also be displayed on the website providing the customer with the option to pay invoiced and uninvoiced transactions.	
CSC-PBP-008	If the information provided corresponds to only non-invoiced transactions, the customer will be directed to the current UVA screen with the non-invoiced transactions displayed.	

CSC-PBP-009	The customer shall not have the ability to make a partial payment or an overpayment on the Customer Website and only pay for transactions selected the customer in full.	
CSC-PBP-010	The customer shall make a full one time payment for all transactions associated with the license plate.	
CSC-PBP-011	The customer can use all RiverLink accepted Credit Card forms of one-time payment. The payment method is only used for one time use and not stored in the Toll Collection System for future use.	
CSC-PBP-012	Invoices and transactions for customers with Payment Plans will be separate from new un-invoiced transactions eligible for Pay by Plate.	
CSC-PBP-013	The Customer can select un-invoiced transactions to pay for some or all of the transactions. The Dispute process will remain unchanged, please refer to Disputes section of this Business Rules document.	

5.13   Tiered Settlements, Conversion Offers and Payment Plans (TSR)

When a Customer indicates that the payment of outstanding tolls and fees creates an undue hardship or burden for them, then CSRs will work with the Customer to determine if they are eligible for any of the following options in Settlement of outstanding toll charges: conversion offer; payment plan; fee settlement

ID	Description	*[Variable Value]*
CSC-TSR-001	If a Customer with an Unregistered Account converts to a pre-paid ETC Account, then any fees shall be waived and the toll rate for the current outstanding tolls shall be reduced to the ETC rate for one time during the lifetime of the [*vehicle*].	*1 time offer; vehicle / Account; ETC toll rate applied*
CSC-TSR-002	A tiered fee settlement is offered to a Customer	

ID	Description	*[Variable Value]*
CSC-TSR-003	Agents are empowered to offer any of the three (3) tiered settlements, provided they are offered to the Customer in order (i.e., Tier 1, followed by Tier 2, followed by Tier 3 and Tier 4 if the Customer account has a Registration Hold placed on the account).	
CSC-TSR-004	Agents may offer Customers tiered settlements outside of the order, with supervisor approval.	
CSC-TSR-005	If a Customer receives a fee settlement offer, they are not eligible to receive another for [**12**] months.	*# of months*
CSC-TSR-006	Settlements are only granted provided the Customer is able to make payment for tolls due, in full, at that time.	
CSC-TSR-007	Tier 1 Fee Settlement: • For 2nd Toll Notice – [**100%**] Credit of 2nd Toll Notice Administration fee.	*% of Fee*
CSC-TSR-008	Tier 1 Fee Settlement: • For Violation Notice - Credit of [**33.3%**] of Violation Toll Notice Administration fee plus 2nd Violation Notice Invoice Administration fee	*% of Fee*
CSC-TSR-009	Tier 1 Fee Settlement: • For Collection Notice - Credit of [**33.3%**] of original fee amount.	*% of Fees*
CSC-TSR-010	Tier 2 Fee Settlement: • For Violation Notice - Credit of 50% of Violation Toll Notice Administration fee + 2nd Toll Notice Administration fee	*% of Fee*
CSC-TSR-011	Tier 2 Fee Settlement: • For Collection Notice - Credit of 41.7% of Collections Toll Notice fee + Violation Toll Notice Administration fee + 2nd Toll Notice Administration fee	*% of Fee*

ID	Description	[Variable Value]
CSC-TSR-012	Tier 3 Fee Settlement: • For Violation Notice - Credit 66.7% of Violation Toll Notice Administration fee + 2nd Toll Notice Administration fee	*% of Fee*
CSC-TSR-013	Tier 3 Fee Settlement: • For Collection Notice - Credit of 50% of original fee amount.	*% of Fee*
CSC-TSR-014	Supervisor Empowerment Level for fee settlement	*No limit*
CSC-TSR-015	Tier 4 Fee Settlement: For Accounts with Vehicle Registration Holds: Credit of 43.67% of original fee amount.	*% of Fee*
CSC-TSR-016	If notified by the Tolling Body Representatives in writing that an amnesty period is to be implemented for a particular date range, The TSP shall waive all or a portion of a customer's fees in exchange for payment in full of the customer's tolls. The amount of fees to be waived as part of the amnesty period shall be included in the written notice to the TSP from the Tolling Body Representatives. The date range for any amnesty period shall be at least 30 days from the time the Tolling Body Representatives provide notice to the TSP.	
CSC-TSR-017	**Payment Plan** Payment Plans are available for customers who do not wish to open a pre-paid ETC Account but are needing additional time to settle their outstanding balance.	*Required*
CSC-TSR-018	A customer may enter into a payment plan provided they have not: • Entered into a payment plan in the last [**12 months**] for the same Account, or • Have previously defaulted on a payment plan for any other Account.	*# of months/days*

ID	Description	*[Variable Value]*
CSC-TSR-019	Customers may request to enter into a payment plan either via: • Phone • WUCs • Mail • Email • Fax • Website	
CSC-TSR-020	Payment Plans established in person (WUCs), via mail, email or fax will require a signed payment plan agreement.	
CSC-TSR-021	When payment plans are established with a CSR over the phone, then CSR is required to read terms and conditions of plan and Customer must verbally acknowledge understanding, so the TSP [**does not**] require a signed payment plan (phone recording will serve as an agreement between both parties).	*Does / does not*
CSC-TSR-022	When entering into a payment plan, a minimum down payment of at least [**10%**] is required at the time the plan is established.	*Down payment %age*
CSC-TSR-023	CSRs are allowed to establish a payment plan of up to [**6 months**].	*# of months*
CSC-TSR-024	If granting more than [**6**] months for a payment plan, the CSR must receive supervisor approval prior to agreement.	*## of months*
CSC-TSR-026	Payments toward the plan are expected every [**30**] Days from the anniversary date of the establishment of the payment plan.	*## of days*
CSC-TSR-027	Customers who enter into a plan and fail to meet their payment obligation are considered to be in default of the plan.	
CSC-TSR-028	Any additional tolls incurred during the period of the payment plan, shall be [**paid on time**] or Customer would be considered to be in default of payment plan.	*Paid on time / added to plan*

ID	Description	*[Variable Value]*
CSC-TSR-029	When a Customer defaults on their payment plan, they are identified through a payment plan default report, which identifies Customers who are more than 5 Days past their scheduled payment due date.	
CSC-TSR-030	Customer information on the payment plan default report are loaded onto the outbound dialer and an attempt is made to contact the Customer. Those Customers who are unable to make payment or we fail to make contact with, have full balance due reinstated and will continue in collection process.	

5.14 Disputes (DIS)

Consistent with RiverLink's intention to be customer-friendly, when dealing with customers who receive video billing and/or violation notice(s), the following business rules shall be applied in resolving their issue(s):

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
CSC-DIS-001	When a customer feels that they were invoiced for transactions erroneously, they have the option of initiating a dispute by completing the RiverLink Dispute Form for review and determination. RiverLink agents may complete a dispute on behalf of the customer with the customer's consent and attach the form at the WUC or by Phone with the customer's verbal consent. A dispute is categorized into one of the following: • RiverLink Pre-Paid Tag Account Holder • IAG Customer Dispute • Leased Rentals • Sold Vehicle • Stolen Vehicle • Billing Error	
CSC-DIS-002	RiverLink **ETC (Tag-based) Account Holders** An ETC Account holder may submit a dispute for transactions that were video billed to them, that they claim should have posted as AVI transactions to their pre-paid Account, as follows:	
CSC-DIS-003	*Via WUCs or Call Center providing their Account information.* Disputes described in CSC-DIS-002 will be processed and if the Account is in good status the appeal will be accepted and the video tolls and/or violations will be adjusted to the AVI rate and posted to the customer's Account. If the Account is not in good standing the appeal will be rejected. The agent handling the customer dispute will inform the customer that the Account must first be funded to process a dispute.	

ID	Description	*[Variable Value]*
CSC-DIS-004	*Submit a dispute via the Web.* Disputes described in CSC-DIS-002 will be processed and if the Account is in good status the dispute will be accepted and the video bill transactions and/or violations will be adjusted to the AVI rate and posted to the customer's Account. If the Account is not in good standing the appeal will be rejected. The Account Holder will be advised to contact the Service Center for assistance.	
CSC-DIS-005	*Mail dispute to Service Center for processing.* Disputes described in CSC-DIS-002 will be processed and if the Account is in good status the dispute will be accepted and the violations will be adjusted to the AVI rate to the customer's account. Subsequent violation notices received by the Account holder will be upheld and not adjusted on his/her Account. If the Account is not in good standing the appeal will be rejected. Customer will be advised via a Review Complete – Payment Required notification.	

ID	Description	*[Variable Value]*
CSC-DIS-006	When the dispute request is received, those requests along with supporting documentation will be scanned and attached to the customer's Account as part of Account notations by an Operations Support Service (OSS) team member. When the dispute request is received, those requests along with supporting documentation will be scanned and attached to the customer's Account as part of Account notations by an Operations Support Service (OSS) team member. Disputes should be accepted from customers on the phone, by mail, email, or in the walk up center. Formal Dispute forms are required for Change in ownership (i.e. Leased or sold vehicle), Deceased Registered Vehicle Owner, and reported Stolen Vehicles. For disputes not related to these items, the Agent shall collect the required information from the Dispute Form and input this into the BOS system. All disputes, regardless of how they are presented to the customer service representatives should result in the tolls under dispute being put on hold so they do not continue to age until a determination on the dispute is made. All disputes, regardless of how they are presented to the customer service representative should end with a dispute resolution letter being sent to the customer letting them know what determination was made on their dispute.	

ID	Description	*[Variable Value]*
CSC-DIS-007	When a dispute is received via web or mail, a case is opened in the CSC system, placing the Account in a "Dispute Status" and categorizing by "Dispute Type". The customer is sent a Toll Review Request Received Notification. The Toll Review Request Received notification will notify the customer that the dispute has been received and it may take up to 30 days for a determination. If a customer does not have all information as required by the Dispute Form, the agent will still open the Dispute for the customer. However, the Agent shall notify the customer that they have 15 days to provide the remaining information to RiverLink or the dispute will be cancelled and aging will resume. If the information is not received by 30 days, the agent shall reject the dispute by sending the customer a Toll Reviewed – Payment Due notification to inform the customer of the outcome.	
CSC-DIS-008	When an Account is placed in a "Dispute Status", collection activity, including subsequent invoices, escalation of tolls (i.e. additional fees) and collection activities are held for 30 days to allow OSS to review the dispute and work with the client toward resolving the dispute.	# of days
CSC-DIS-009	IAG Customer Dispute / Reciprocity Agreement *See Section 21. Inter-CSC Dispute Policy*	

ID	Description	*[Variable Value]*
CSC-DIS-010	**Leased Rentals** Dispute must be submitted for review in writing either via: ▪ Mail, ▪ Web, ▪ E-Mail ▪ Fax	
CSC-DIS-011	If a customer requests to initiate a Leased Rental dispute by any other contact channel (phone, WUCs, chat) they will be advised that their request must be made in writing, using one of the aforementioned methods.	
CSC-DIS-012	For leased rental disputes the appellant (leasing or rental agency) must provide a lease or rental contract or copy to the Service Center via mail.	
CSC-DIS-013	When the dispute request is received, those requests along with supporting documentation will be scanned and attached to the customer's Account as part of Account notations by an OSS team member.	
CSC-DIS-014	When a dispute is received, a case is opened in the CSC system, placing the Account in a "Dispute Status" and categorizing it by "Dispute Type". The customer is sent a Toll Review Request Received Notification.	
CSC-DIS-015	When an Account is placed in a "Dispute Status", collection activity, including subsequent invoices, escalation of tolls (i.e. additional fees) and collection activities are held for 30 days to allow OSS to review the dispute and work with the client toward resolving the dispute.	*# of days*

ID	Description	*[Variable Value]*
CSC-DIS-016	If the violations occurred during the contract period, the violations will be reassigned to the renter or lessee and the rental agency or lessor's violation notice will be dismissed. Affidavits will be manually processed by back-office agents to transfer qualifying transactions to a new or existing account that belongs to the signee of the affidavit. A Dispute Resolution Letter will be sent to the customer initiating the dispute. The notification states that they have provided sufficient supporting documentation and are not liable for the tolls.	
CSC-DIS-017	If the contract is not provided or if the violations occurred outside of the contract period, the dispute will be rejected. The customer will receive a Review Complete – Payment Required notification.	
CSC-DIS-018	**Sold Vehicles** Dispute must be submitted for review in writing either via: ▪ Mail, ▪ Web, ▪ E-Mail ▪ Fax	
CSC-DIS-019	If a customer requests to initiate a Sold Vehicle dispute by any other contact channel (phone, WUCs,) they will be advised that their request must be made in writing, using one of the aforementioned methods.	
CSC-DIS-020	Sold Vehicle Disputes must be accompanied with a signed vehicle title or receipt of sale as record of vehicle sale.	
CSC-DIS-021	When the dispute request is received, those requests along with supporting documentation will be scanned and attached to the Customer's Account as part of Account notations by an OSS team member.	

ID	Description	*[Variable Value]*
CSC-DIS-022	When a dispute is received, a case is opened in the CSC system, placing the Account in a "Dispute Status" and categorizing it by "Dispute Type". The customer is sent a Toll Review Request Received Notification. The Toll Review Request Received notification will notify the customer that the dispute has been received and it may take up to 30 days for a determination. If a customer does not have all information as required by the Dispute Form, the agent will still open the Dispute for the customer. However, the Agent shall notify the customer that they have 15 days to provide the remaining information to RiverLink or the dispute will be cancelled and aging will resume.. If the information is not received by 30 days, the agent shall reject the dispute by sending the customer a Toll Reviewed – Payment Due notification to inform the customer of the outcome.	
CSC-DIS-023	When an Account is placed in a "Dispute Status", collection activity, including subsequent invoices, escalation of tolls (i.e. additional fees) and collection activities are held for 30 days to allow OSS to review the dispute and work with the client toward resolving the dispute.	*# of days*
CSC-DIS-024	For tolls to be waived, a vehicle owner must demonstrate that the vehicle was sold or transferred to another party before the referenced Toll Transaction(s) occurred.	
CSC-DIS-025	If the violations did not occur after the vehicle was sold or no proof of sale is provided the dispute will be rejected. The customer will receive a Review Complete – Payment Required notification.	

ID	Description	*[Variable Value]*
CSC-DIS-026	The registered owner must provide the name and address of the person to whom the vehicle was sold or transferred so that the transactions and associated fee(s) can be reassigned to the new owner. A Dispute Resolution Letter will be sent to the customer initiating the dispute. The notification states that they have provided sufficient supporting documentation and are not liable for the tolls.	
CSC-DIS-027	If the name and address of the new owner is known, the transactions will be moved to an Account created for the new owner.	
CSC-DIS-028	Transactions that are reassigned to a new owner as a result of the sale of the vehicle shall be invoiced to the new owner through the video billing process.	
CSC-DIS-029	**Stolen Vehicles** Dispute must be submitted for review in writing either via: ▪ Mail, ▪ Web, ▪ E-Mail ▪ Fax	
CSC-DIS-030	If a customer requests to initiate a Stolen Vehicle dispute by any other contact channel (phone, WUCs, chat) they will be advised that their request must be made in writing, using one of the aforementioned methods.	
CSC-DIS-031	Stolen Vehicle Disputes must be accompanied with a police report or copy.	
CSC-DIS-032	When the dispute request is received, those requests along with supporting documentation will be scanned and attached to the customer's Account as part of Account notations by an OSS specialist.	

ID	Description	*[Variable Value]*
CSC-DIS-033	When a dispute is received, a case is opened in the CSC system, placing the Account in a "Dispute Status" and categorizing it by "Dispute Type". The customer is sent a Toll Review Request Received Letter. The same process will be followed for disputes received in writing; please refer to CSC-DIS-022.	
CSC-DIS-034	When an Account is placed in a "Dispute Status", collection activity, including subsequent invoices, escalation of tolls (i.e. additional fees) and collection activities are held for 30 days to allow OSS to review the dispute and work with the client toward resolving the dispute.	*# of days*
CSC-DIS-035	If the violations on the notice occurred after the vehicle was stolen this dispute will be accepted and the notice will be closed. A Dispute Resolution Letter will be sent to the customer initiating the dispute. The notification states that they have provided sufficient supporting documentation and are not liable for the tolls.	
CSC-DIS-036	If the violations did not occur after the vehicle was stolen or no police report is provided the dispute will be rejected. The customer will receive a Review Complete – Payment Required notification.	
CSC-DIS-037	**Billing Error** Billing error disputes (i.e. double-billed and/or previously paid) must be submitted for review in writing either via: ▪ Mail, ▪ Web, ▪ E-Mail ▪ Fax	

ID	Description	*[Variable Value]*
CSC-DIS-038	If a customer requests to initiate a Billing Error Dispute by any other contact channel (phone, WUCs, chat) they will be advised that their request must be made in writing, using one of the aforementioned methods.	
CSC-DIS-039	If customer claims that the toll transaction(s) were previously paid, they will need to submit a copy of their cancelled check, bank or credit card statement, for review to determine where/when payment was posted and whether the payment satisfied the transactions in dispute.	
CSC-DIS-040	When a dispute is received, a case is opened in the CSC system, placing the Account in a "Dispute Status" and categorizing it by "Dispute Type". The customer is sent a Toll Review Request Received Notification. The same process will be followed for disputes received in writing; please refer to CSC-DIS-022.	
CSC-DIS-041	When an Account is placed in a "Dispute Status", collection activity, including subsequent invoices, escalation of tolls (i.e. additional fees) and collection activities are held for 30 days to allow OSS to review the dispute and work with the client toward resolving the dispute.	*# of days*
CSC-DIS-042	If the dispute received does not contain the supporting documentation needed for processing, the customer will be notified via all contact channels available (mail, phone, e-mail) informing them that additional documentation is needed in order to process their dispute request and alerting them as to the timeframe in which they need to provide the information requested (30 days).	
CSC-DIS-043	If the dispute filter hold expires and no required information is received, the hold is removed and subsequent invoicing and collection efforts resume.	

ID	Description	*[Variable Value]*
CSC-DIS-044	When a dispute has been processed and completed, a response notification will be sent to the customer accordingly once a disposition with regard to their dispute is reached. If the customer provides sufficient supporting documentation, a Dispute Resolution Letter will be sent. The notification states that they have provided sufficient supporting documentation and are not liable for the tolls.	
CSC-DIS-045	Registered Account holders must dispute toll transaction charges within [**sixty (60)**] days of notification of the toll transaction charges by hard copy (paper) or electronic customer account statement.	*# of days*
CSC-DIS-046	When traffic is diverted across a tolled bridge by lawful authorities due to temporary lane closure resulting from an emergency on the interstate immediately adjacent to and approaching a tolled bridge, the Tolling Body Representatives shall provide a certification to the TSP indicating that the TSP shall waive tolls during the time of the temporary closure for customers that file a dispute indicating they were directed by authorities to cross a tolled bridge. A customer must file a dispute to have tolls considered to be waived. Upon review and confirmation of evidence provided, the TSP shall approve the dispute and waive the tolls charged for crossing which occurred during the specified period.	
CSC-DIS-047	If instructed by the Tolling Body Representatives, the TSP shall waive tolls for all customers during a predetermined specific time period. No transactions occurring in such a predetermined time period shall be charged to customers.	

5.14.1 Administrative Hearings

ID	Description	*[Variable Value]*
CSC-ADH-001	An administrative hearing request can only be initiated by a customer.	

ID	Description	*[Variable Value]*
CSC-ADH-002	Prior to requesting an administrative hearing, the customer must have gone through the dispute process.	
CSC-ADH-003	A request for an administrative hearing must be submitted via: • Mail, • Web, • E-mail, • Fax	
CSC-ADH-004	When a request for an administrative hearing is received, the state responsible for the hearing is notified within 1 business day, so that a hearing officer can be assigned.	*# of days*
CSC-ADH-005	When a request for Administrative Hearing is made, the Account is placed on Hold and all collection efforts and Account escalations are suspended until the business day following the resolution of the hearing at which time collection efforts will resume or the tolls will be written off.	
CSC-ADH-006	When a customer's request for an administrative hearing is received, a temporary hold is placed on the customer's Account suspending collection and escalation activity. When a temporary hold is placed, it temporarily stops the timeline for any escalation activity.	
CSC-ADH-007	The hearing officer will send an Administrative Hearing Notice, providing the hearing schedule, and the temporary hold shall be extended to accommodate the hearing schedule.	
CSC-ADH-008	If the hearing officer determines that the toll was charged correctly, the Tolling Body Representative will notify the TSP, the TSP then notifies the Customer Service Center of the outcome and the temporary hold will be removed and collection/escalation activity resume.	

ID	Description	*[Variable Value]*
CSC-ADH-009	The hearing officers will determine whether the toll charged is owed. Hearing is limited to determining whether a toll is owed/not owed	
CSC-ADH-010	If the hearing officer determines that the toll was charged incorrectly, the Tolling Body Representative will notify the TSP, the TSP then notifies the Customer Service Center that the disputed tolls and associated fees should be written off.	
CSC-ADH-011	If the customer appeals the hearing officer's decision, then the hearing officer will provide documentation and the temporary hold will be extended accordingly upon notification to the the TSP, then the TSP notifies the Customer Service Center.	

5.15 Collections (COL)

When a customer fails to respond to the 1st and 2nd Toll Notices, and a Violation Notice, a Collection Notice will be generated. The notice will state that failure to pay by the date specified will result in additional enforcement actions by the toll operator or the States' parties, including notification of the DMV and a hold on registration renewal, collection agency referrals, and possible court actions. If payment is not made at the violation notice level, then the Account becomes "collections eligible" and is pursued through the collection process. All aspects of any collections actions taken shall follow the FDCPA and any related state laws, as applicable.

ID	Description	*[Variable Value]*
CSC-COL-001	All unpaid balances will remain in the collection process for a period of (95) days or until the debt is collected, whichever comes first.	
CSC-COL-002	A report will be generated each month listing the egregious violators from each state (KY and IN) for review and determination if additional collection activities are required.	

ID	Description	*[Variable Value]*
CSC-COL-003	Each day a routine is run through an ICD that sends Vehicle Registration Hold Requests to DMV and the DMV returns a response record acknowledging receipt. Additionally, the CSC will send Release Hold Requests and the DMV will also return a response record. The Vehicle Registration Hold is automatically released if the transactions associated with the hold have been paid in full. Violations paid in full will trigger a Release Hold request that is sent to the DMV within 5 minutes of the violation being paid in full.	
CSC-COL-004	The system shall process DMV lookups within five (5) days of the transaction date.	
CSC-COL-005	The registered owner lookup will return results that either indicate a match, providing demographic information or no match, which would update the status of the record to a code 20 – No Match. The System will capture and store each response and the date that the response was received from the registered owner lookup.	
CSC-COL-006	2nd Stage Collection Process (Post 65-Day Initial Collection Period) Specific criteria shall be used to determine eligibility of delinquent Accounts.	
CSC-COL-007	When a customer enters into the 2nd Stage Collection Process, customers will enter into an active accelerated collections process for 30 days (total of 95 days between initial collection period and 2nd stage collections period).	*# of days*
CSC-COL-008	For the first 15 days of the 2nd stage collection process, the phone numbers for those customers will be loaded into a Dialer campaign. The purpose of this phase is to make certain that those customers are given ample opportunity to remit payment prior to escalating Accounts any further.	*15 days*

CSC-COL-009	If customer phone number is not known, skip tracing is performed to attempt to collect the customer's phone number.	
CSC-COL-010	During the 2nd stage collection process, a customer will be attempted to be contacted a minimum of 2 of times per day (telephone calls).	*Number of attempts per day - 2*
CSC-COL-011	During the 2nd stage collection process, a customer will be attempted to be contacted a maximum of 4 of times per day (telephone calls).	*Number of attempts per day - 4*
CSC-COL-012	During the 2nd stage collection process, a maximum of 1 message will be left with customer per day.	*Number of messages a day - 1*
CSC-COL-013	If the customer indicates 'DO NOT CALL', the process jumps to the Final Notification – Attention Required letter (Last Chance Letter) generation with 15 active collection days remaining and all attempts to contact customer will cease.	*15 days*
CSC-COL-014	If there is no response through the dialer campaign, then a "Final Notification – Attention Required" letter (Last Chance" letter) is sent to the customers who have not paid their balance in full, giving them an additional 15 days to pay before going to the next phase.	*15 days*
CSC-COL-015	If the customer sends a "CEASE and DISMISS" letter, their Active Collection period expires and their Court Evidence Packet is sent to the Joint Board.	

5.16 Image Management (IMM)

ID	Description	[Variable Value]
BO-IMM-001	The BOS shall handle images from the RSS following its Transaction Management rules and processes. TSP will store for (one) year, up to the point of reconciliation then archived for (10) years thereafter	
BO-IMM-002	The Image Server (IS) runs a process called "Correlation" based on a scheduler. Correlation is the process that logically ties images (both front and rear) to the transaction data. The result is an ".xml" file that contains all transaction data as well as the name of each associated image [one (1) rear image, one (1) front image, and the overhead image which is not used in this correlation process]. All images are stored in the ".jpg" file format and sent to the BOS.	
BO-IMM-003	Each Transaction may have up to [three *(3)*] Images files associated with it.	# of image files
BO-IMM-004	Requirement Deleted as it does not apply to Toll Collection System.	
BO-IMM-005	The Images may be sent using a data flow independent from the one carrying all other files related to transactions to preserve bandwidth.	

5.17 Image Review (IMR)

Video images are captured in the lane and matched with a transaction identifying the date, time, lane and plaza. The images are sent to image review for processing. Image review is performed by CSRs who review the vehicle images and license plates captured at the lanes.

ID	Description	[Variable Value]

ID	Description	[Variable Value]
BO-IMR-001	All transactions are initially sent to the Toll Image Processing System (TIPS) where ALPR results are generated and stored in the image processing Database. A set of tests are applied to the read results of each transaction to determine if they are of high enough believability (confidence) to bypass manual image review (MIR). Those transactions that cannot be validated as having the required read accuracy are sent to MIR for processing.	
BO-IMR-002	When a vehicle passes through a Toll Zone on a RiverLink bridge, three images of the vehicle's front and rear license plates shall be captured.	
BO-IMR-003	Images shall be retained for review for all transactions for one (1) year.	
BO-IMR-004	Images shall be reviewed for license plate and state/jurisdiction identification.	

ID	Description	*[Variable Value]*

BO-IMR-005	Images rejected during the review process will be periodically categorized and reported to Joint Board representatives by write-off code.
	
	If image review is unable to identify a license plate, one of the following codes is entered to code-off the transaction.
	
	• Unreadable Image
	    o Unclear/Ambiguous Character(s)
	    o Damaged Plate
	• Camera Issue
	    o Image Not Clear
	    o Image Too Dark
	    o Image Too Light
	    o Camera Alignment Issue
	    o Hatched/Distorted Image
	    o Plate Glare
	• Plate Obscured
	• No Plate
	• Unidentifiable Jurisdiction
	• Non-US Plate (excludes Mexico & Canada)	

ID	Description	*[Variable Value]*
BO-IMR-006	CSRs shall input information from images that are not rejected through the review process, and the TCS shall search for an Account that contains a matching license plate to which to post the transaction. The process shall first search for either an ETC Account and then to a Registered Pre-Paid Video Account to which to post the transaction. If a Registered Account is not found with a matching license plate locally in the system, then license plate lists from Interoperability Accounts shall be searched. If an Interoperability Account is not found with a matching license plate, then Unregistered Accounts shall be searched. If an active Unregistered Account is found, the transaction is posted to that active Account If an active Unregistered Account is not found, a request for registered owner will be submitted to BMV or MVL or appropriate Out of State DMV if not KY or IN and a new Unregistered Account shall be created and that transaction shall post to the new account once a response with vehicle registered owner is received.	
BO-IMR-007	Image review must match two (2) times before an image is accepted	*# of reviews*
BO-IMR-008	The maximum number of days an image shall be in image review is (4) days measured from the time of travel through the Toll Zone	*# of days*

ID	Description	*[Variable Value]*
BO-IMR-009	The Image Review agent is performing a "blind review" meaning that he/she will make an assessment of the image without knowing where in the image review process the image being reviewed is. Images are reviewed at a minimum by two separate Image reviewers. If their review results do not agree with each other then it goes to the third review process, the Supervisor Review. The system is designed to ensure that the image review is performed by someone other than the initial review. This ensures that the image goes through the double-blind review process.	

5.18 DMV

Video images are captured in the lane and matched with a transaction identifying the date, time, lane and plaza. The images are sent to image review for processing. Image review is performed by CSRs who review the vehicle images and license plates captured at the lanes.

ID	Description	*[Variable Value]*
BO-DMV-001	For states other than KY and IN, the TSP shall provide license plate look up services.	
BO-DMV-002	Interfaces with states and any external DMV/BMV/MVL/ NLETS or others will be referenced and maintained via the BOS documentation.	

5.19 Watch List Management (WLM)

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
WLM-001	At any time, the LSIORB Tolling Representatives may place up to 250 vehicles on a Watch List by logging into the TCS and updating a table. The vehicles may be identified by license plate number or tag ID or both.	
WLM-002	The TCS will set a flag within the Transaction Record to indicate that at the time of vehicle passage, it was on the Watch List	
WLM-003	At any time, the LSIORB Tolling Representatives may log into the system and observe the time and locations where vehicles on the Watch List used the system within the past 7 days.	

5.20 Tag Validation List Management (TVM)

The Tag Validation List (TVL) allows the Lane, Host, and BOS systems to have a clear assignment of the tag status from the tag status file at the time of the tolling transaction. The RiverLink TVL is created by combining the E-ZPass files from the other CSCs plus the RiverLink status files from all RiverLink Accounts, and then distributed throughout the system.

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
O-TMV-001	The Tag Validation List (or Update) File shall contain the following general information: Tag Validation List (or Update) Version: shall contain a unique and sequential identifier of the Tag Validation List common to both Full and Update Tag Validation List Type of Tag Validation List: shall contain one of Full or Update Date/time of production: shall contain the date and time the file was produced Further, each Tag Validation List (or Update) entry shall contain the following information regarding each Interoperable Tag: Tag Identifier: shall contain the Tag unique identifier Registered License Plate Number: shall contain the License Plate Number of the vehicle associated with the Tag Registered License Plate jurisdiction: shall contain the state, country or government entity which issued the License Plate Registered Vehicle Class: shall contain the Vehicle Class of the vehicle associated with the Tag Further to the above information, each Tag Validation List (or Update) may have additional information regarding each Tag Validation List entry.	

5.21 Transaction Management (TRM)

ID	Description	*[Variable Value]*
BO-TRM-001	The BOS shall handle transactions from the RSS following its Transaction Management rules and processes.	

ID	Description	*[Variable Value]*
BO-TRM-002	The BOS shall classify Transactions as follows (codes and fields are specified in the RSS to BOS ICD Version 10.1): Tag-LPN: both the Tag and the License Plate Number were identified during the passage of the vehicle through the Tolling Point, any subsequent Image Review, or Tag Validation List query (either from the Tag or from the LPN) Tag: only the Tag was identified during the passage of the vehicle through the Tolling Point, any subsequent Image Review, or Tag Validation List query LPN: only the License Plate Number was identified during the passage of the vehicle through the Tolling Point, any subsequent Image Review, or Tag Validation List query	
BO-TRM-003	The BOS shall flag Transactions as follows (the flag codes and fields are specified in the approved RSS To BOS ICD Unidentifiable Vehicle: neither the Tag nor the License Plate Number were identified during the passage of the vehicle through the Tolling Point and any subsequent Image Review but available Images show a vehicle present	
BO-TRM-004	The BOS shall include in each Interoperable Transaction Record the version of the Tag Validation List (or last applied Update) that was used during the Transaction processing on the BOS	
BO-TRM-005	The BOS shall post (value) received with the Transactions to Customer Accounts using the Vehicle Class and Toll Fare Amount present in the Transaction Record and not with the Vehicle Class as present in the Customer Account	
BO-TRM-006	Transaction files may contain previously sent Interoperable Transactions if a Bulk Correction is sent by the BOS	

ID	Description	*[Variable Value]*
BO-TRM-007	The BOS shall prevent duplicate transaction postings to an Account by verifying that toll transactions for the same vehicle and/or transponder do not occur within the same lane or directional plaza within [**1 minute**]	
BO-TRM-008	The BOS shall retry to send a Transaction file to the CSS if it has not received the corresponding acknowledgement (either positive or negative) within five (5) minutes. This shall also generate a MOMs alert. The number of retries shall be limited and defined in the ICD Once the maximum number of retries for sending a Transaction File has been reached, the TSP system monitors shall trigger the defined Operational Procedures for restoration.	
BO-TRM-009	The Transaction File shall contain the following general information: • Transaction file sequence number: shall contain a unique and sequential identifier of the Transaction File • Type of Transaction file: shall be one of Normal, Repost (following a Rejection) or Bulk Correction • Date/time of production: shall contain the date and time the file was produced • Further, each Interoperable Transaction in the Transaction file shall contain the following information: • Transaction ID: shall contain the Interoperable Transaction unique identifier as determined by the BOS • Transaction type: shall contain a code identifying the type of Interoperable Transaction • Tag Issuer ID: shall contain the identifier of the entity responsible for the issuing of the Tag(to future-proof the interface for a situation where several issuing entities	

ID	Description	*[Variable Value]*
	participate in the Interoperability)	
	• Primary Tag ID: shall contain the unique identifier of the Tag (Tag type and Tag unique number) identified by the BOS (may be a Tag ID read during the passage, a Tag ID recovered from the TVL or may be empty if no Tag was associated to the Interoperable Transaction)	
	• Other Tag ID: may contain a list of additional Tags identifiers (Tag type and Tag unique number) (shall only be Tag IDs read during the passage)	
	• Tag ID origin: shall contain a code identifying if the Tag ID of the previous field comes directly from the AVI or if it comes from the TVL	
	• TVL version: shall contain the version number of the TVL in production at the time of the passage of the vehicle through the Tolling Point	
	• Transaction date/time: shall contain the date and time of the passage of the vehicle through the Tolling Point	
	• Toll Zone: shall contain the identification of the Tolling Point where the vehicle passage took place, composed of the Toll Plaza and Toll Point identifiers	
	• Direction: shall identify the direction of travel of the vehicle that originated the Interoperable Transaction	
	• Lane: shall contain the lane of the Tolling Point the vehicle was travelling in at the time of the Interoperable Transaction (may be the shoulder if the Vehicle was detected in that zone of the Tolling Point).	
	• Vehicle class AVC: shall contain the Vehicle Class as determined by the RSS AVC or manually during the Image Review. This Vehicle Class shall be used by the CSS when posting the Interoperable Transaction to the Customer	

ID	Description	*[Variable Value]*
	Account	
	• Vehicle class origin: shall contain a code identifying if the Vehicle class of the previous field comes directly from the AVC determination or if it has been changed or validated during the Image Review process at the BOS	
	• Transaction toll fare: shall contain the Toll Fare of the Interoperable Transaction determined based on the AVC Vehicle Class (including any Image Review update)	
	• License plate number: shall contain the License Plate Number of the Interoperable Transaction	
	• License plate jurisdiction: shall contain the state, country or government entity which issued the License Plate	
	• License plate determination: shall contain the way the License Plate Number was determined (OCR, manual during the Image Review, or through a Tag Validation List query)	
	• Image review: shall contain a code informing if the Transaction went through the Image Review process at the BOS as well as the reason for that Image Review	
	• Wrong way vehicle	
BO-TRM-010	The BOS shall reject a Transaction file (send a negative acknowledgment) if any following functional conditions occur: File contains invalid data (codes, identifiers…). If the File contains Duplicate Interoperable Transactions (the definition of a duplicate Interoperable Transaction record is present in the ICD) those will be detected and processed as duplicate	

6 E-ZPass Business Rules

A Partial listing of IAG E-ZPass related documents appears in the reference section above. The documents listed can assist in determining the necessary requirements for the systems supporting electronic toll collection based

upon IAG requirements. This list does not necessarily lead to an all-inclusive list of Business Rules required to meet interoperability needs as some requirements will impact explicit systems and functional requirements and some will generate derived requirements. Negotiated terms and conditions between KPTIA and the IAG, or between KPTIA and other toll operators including those not participating in the E-ZPass Program may also impact these Business Rules.

NOTE: For this section 6, the term "violation" utilized by E-ZPass refers to Unregistered Video Accounts and processes.

6.1 Processing Time (PRO)

Processing Time Goal(s): All IAG E-ZPass transactions should be processed within five (5) business days to facilitate accuracy and a timely reconciliation process.

ID	Description	*[Variable Value]*
EZP-PRO-001	When a transaction file is received from an away CSC then process the file within the [same] business day.	*Same, 1, 2, etc.*
EZP-PRO-002	When a correction file is received from an away CSC then process the file within the [same] business day.	*Same, 1, 2, etc.*
EZP-PRO-003	When an IAG Tag from any agency is detected then the system shall determine its status. If the status is anything other than valid or low balance then the System(s) [will] collect both front and rear images and transfer the transaction to the back office for processing, verification, collections, adjudication, retention, and/or deletion as deemed fit.	*will / will not*
EZP-PRO-004	When a valid IAG E-ZPass transaction is created then the back-office will send the transaction to the relevant IAG CSC for processing within [the same] business day.	*Same, 1, 2, etc.*
EZP-PRO-005	When valid IAG E-ZPass transactions produces a classification mismatch then send the transaction to manual review for confirmation or correction within [the same] business day(s).	*Same, 1, 2, etc.*

ID	Description	*[Variable Value]*
EZP-PRO-006	When an invalid E=ZPass transaction with associated images that has a low LPN confidence then the transaction will be sent for manual review for confirmation or correction within [2] business day(s).	*Same, 1, 2, etc.*

6.2   LookUp Process (LUP)

Lookup Goal(s): First exhaust all known addresses from home agencies before performing DMV look-ups.

6.3   Valid Transaction Corrections

Valid Transaction Correction Goal(s): Out-of-State plate reads without an AVI read may be valid E-ZPass Tags, ensure that E-ZPass is properly allocated.

ID	Description	*[Variable Value]*
EZP-TXN-001	When a valid IAG E-ZPass transaction has no AVDC detection information then flag transaction for cross- check for out-of-state license plate video transactions prior to sending to IAG CSC(s) to ensure no duplicate transactions.	
EZP-TXN-002	When a transaction without a Tag for which an out-of-state license plate is captured and identified, then the subsystem will first check the E-ZPass Customer License Plate files for Tag information(in case their E-ZPass Tag was not read). If the Tag found on the customer license plate file and it is not an invalid IAG Tag then the transaction will be modified to include the Tag information and the transaction flagged per IAG rules (that the Tag was missed) and sent to the relevant IAG CSC for processing.	*True*
EZP-TXN-003	When a transaction without a Tag for which an out-of-state license plate is captured and it is not found in the E-ZPass Customer License Files then the subsystem will check all registered license plates on file to determine if it is tied to a RiverLink Account, if the plate is not found then the transaction will be processed as a violation.	

6.4 Avoid Double-Billing

Avoid double-billing Goal(s): avoid billing both home and away when multiple Tags are read or the license plate matches multiple Accounts.

ID	Description	*[Variable Value]*
EZP-DBL-001	When both a RiverLink Tag and an IAG E-ZPass Tag are detected then the system shall prevent double billing, and always bill locally first prior to any IAG Tag	*True*
EZP-DBL-002	When a vehicle is detected with multiple Tags then the subsystem shall clearly associate all Tags to the same vehicle passage with the RiverLink Tag as the primary Tag.	*True*
EZP-DBL-003	When both an RiverLink Tag and an IAG E-ZPass Tag are detected within the vehicle, then the system will check for a valid local Account and, if found, will not send the transaction for E-ZPass processing.	*True*
EZP-DBL-004	When both a RiverLink Tag and an IAG E-ZPass Tag are detected within the vehicle, then the system will check for a valid local Account and, if not found, the system will send the transaction to E-ZPass for processing.	*True*
EZP-DBL-005	When images associated with an E-ZPass transaction have >XX% LPN confidence then the transaction will be sent directly to the IAG for processing. Image Review processes for images with an E-ZPass follow the rules as outlined in Image Review Section 5.16 of this document.	*% of confidence*

6.5 Miscellaneous

ID	Description	*[Variable Value]*
EZP-MSC-001	When an invalid IAG E-ZPass transaction is captured then process as a violation and retain violation data per violation retention rules.	*True*

6.6   Reciprocity Agreement

The following Business Rules are extracted from the Inter-Agency Group Reciprocity Agreement.

ID	Description	*[Variable Value]*
IAG-RA-001	When scheduling and generating the Inter-CSC files and reports then all files must be transmitted, received, acknowledged, and processed in accordance with IAG Inter-Customer Service Center Interface File Specifications.	*True*
IAG-RA-002	When scheduling and processing the Tag validation file then the file must be processed and transmitted in accordance with the agreements between two agencies or at least one per day.	
IAG-RA-003	When receiving Tag validation files then the file must be received, acknowledged, processed and downloaded to the lanes in accordance with the agreements between two agencies or at least one per day.	
IAG-RA-004	When creating the Tag Validation File then denote the status of each Tag as having one of four values (valid (01), low balance (02), invalid (03) or lost/stolen (04)) consistent with the IAG technical guidelines, as detailed in the Inter-Customer Service Center Interface File Specifications	
IAG-RA-005	When an Away Agency acknowledges receipt of a Tag Validation File detailing a Tag status as lost or stolen then the Home Agency is no longer obligated for transactions that occur with that Tag.	
IAG-RA-006	When scheduling and processing the all Valid Tag Transactions then all data must be consistent with IAG technical guidelines and the file must be processed and transmitted in accordance with the agreements between two agencies or at least one per day.	

ID	Description	[Variable Value]
IAG-RA-007	When receiving Valid Tag Transactions files then the file must be received, acknowledged, and processed in accordance with the agreements between two agencies or at least one per day.	
IAG-RA-008	When processing the transaction file then post the transactions to the proper Accounts within one business day of the receipt of the file.	
IAG-RA-009	When generating the Settlements of a Valid Tag Transactions then do not base the Settlement on transaction posting as Settlement is not dependent on transaction posting.	
IAG-RA-010	When posting transaction to a customer Account then the class as determined by the Away Agency (e.g. from the Tag, AVC system, collector determination) will be used to determine the amount of toll to be posted and honored for Settlement purposes.	
IAG-RA-011	When posting transactions to the customer Account and as long as the Away Agency transfers Valid Tag Transactions within 60 days then honor the transaction if the Account is open.	
IAG-RA-012	When posting transactions to a customer Account that is closed and transaction is older than 10 days then reject the transaction.	
IAG-RA-013	Intentionally Left Blank	
IAG-RA-014	When generating Tag Transaction files then do not include Invalid Tag Transactions for transfer to the Agencies for payment unless otherwise agreed upon by those Agencies.	
IAG-RA-015	When an away agencies customer has violated the operating policies then notify the Away Agency that its customer's Valid Tag will be denied E-ZPass use on that Away Agency's facilities because of an infraction of its operating or administrative policies.	

ID	Description	*[Variable Value]*
IAG-RA-016	When an away agencies customer has violated the operating policies then provide the data needed to the Away Agency for customer notification. The Away Agency will notify the customer that his/her Tag will no longer be valid on its facilities. The Tag should be placed on the lost and stolen list by the away agencies and all agencies will be notified of the lost or stolen Tag. The Agencies will process these Lost or Stolen Tags as violations according to the rules and regulations of the Away Agency.	
IAG-RA-017	When resolving a Customer Disputed Transaction due to cost/benefit or other considerations and the customer Accounts is credited for the disputed amount without further research, then such credits will not affect Settlement or Reconciliation between Agencies.	
IAG-RA-018	When a customer disputes a transaction that occurred on an Away Agency's facility, and such transactions are researched, acknowledged and agreed to be an error of the Away Agency, then the resulting adjustment will become part of the Reconciliation and Settlement between the two agencies and no payments will be made for such transactions.	
IAG-RA-019	When generating Settlements then transfer the gross toll amount due for Valid Tag Transactions as reported by an Away Agency in United States dollars. All transfers will be calculated on a gross basis.	
IAG-RA-020	When scheduling and processing Settlements then transfers will occur in a manner and frequency as determined by the agreement between the Home and Away Agency but will occur at least monthly. Final Settlement will be based on Valid Tag Transactions as reported by the Away Agency regardless of Account status at time of Posting	

ID	Description	*[Variable Value]*
IAG-RA-021	When scheduling and processing Settlements then the actual or estimated revenue as reported by the Away Agency may be used as a basis for Conditional Settlement as agreed between the Home and Away Agencies.	
IAG-RA-022	When generating Settlements then only the Valid Tag Transactions tolls are obligated to be remitted to the Away Agency regardless of the status of the Account at the time of Posting. In the case of lost or stolen Tags, the Home Agency is no longer obligated for transactions that occur after notification to the Away Agency.	
IAG-RA-023	When distributing Tags for Home non-revenue Accounts, then issue RiverLink non-interoperable Tags.	
IAG-RA-024	When processing toll evasion violation images and the identified customers' Accounts is in good standing then create a Valid Transaction.	

6.7   Reimbursement of Credit Card Fees

Extracted from the IAG Credit Card Equity Policy.

ID	Description	*[Variable Value]*
IAG-CC-001	When Settlements are complete and within 25 days of the end of the month during which toll revenues are transferred then generate statements for each Away Agency for the reimbursement of credit card fees.	*True*

ID	Description	*[Variable Value]*

IAG-CC-002	When generating the statement for credit card reimbursement then the following calculations will apply:
	
	1) RATIO of replenishment made with credit cards
	          i.e.; credit card replenishment $ amount / total $ amount of Account replenishments
	
	2) RATE = Total credit card processing fees / Total credit card revenues
	
	Formula:
	
	Toll Revenue x RATIO x RATE = Reimbursement
	
	Toll Revenue (paid by Home to Away) x Home's RATIO x Home's RATE = Amount due Home for credit card fees (reimbursement)
	
	Calculation:
	
	a) RATIO - Credit Card $ replenishments as % of total $ replenishments
	$1,000,000 / $1,400,000 = 71.4%
	b) RATE - Credit Card Replenishment Rate: $22,000/$1,000,000 = 2.2% (.022) Tolls transferred to Away Agency = $50,000;
	RATIO - 71.4% Credit Card = $35,700
	RATE - 2.2% = $785.40 payable by Away to Home
	
	Toll Revenue x RATIO x RATE = Reimbursement
	                  $50,000 x 71.4% x 2.2% = $785.40
		True

6.8   E-ZPass Inter-CSC Interface File Specification Business Rules

These Business Rules are extracted from E-ZPass Inter-Customer Service Center Interface File and Reporting

Specification Version CSC 01.51k dated 2018-06-18. Pages 1 through 116.

Assumptions:

- No discount plans will be offered or honored for E-ZPass Tags issued by RiverLink.
- No permit plans will be available or honored for E-ZPass Tags issued by RiverLink.
- There will be no Non-Toll transaction (E-ZPass Plus) processing or reconciliations.
- Agreements will be made to allow for the maximum grace period allowable for acknowledgements. Noted requirements state that we are required to update lane controllers every 2 hours. Back-office processing may take longer.
- All IAG inter-CSC Settlement reports will be generated as per ICD.
- All Inter-CSC files will be generated as per ICD.
- Permit, Discount Plans and E-ZPass Plus and their related status bits are not supported and will not be changed, set or adjusted in any manner under any circumstance.

6.8.1   Inter-CSC Interface File Specification Introduction General (GEN)

ID	Description	*[Variable Value]*
IAG-GEN-001	When processing files from an Inter-Customer Service Center then validate all files according to the Interface and Reporting Specification document	*True*
IAG-GEN-002	When the creation of the Tag Status File is complete then create an Invalid Tag Customer File as per IAG specifications and send to all Away CSCs for processing.	
IAG-GEN-003	When processing for E-ZPass Account changes then scan E-ZPass customer Accounts for a status change of existing Tags associated with an Account or for the creation of new E-ZPass Accounts and create a Tag Status Update File as per AIG specifications and send to all Away CSCs for processing.	

ID	Description	*[Variable Value]*
IAG-GEN-004	When processing "end of day" then create a Transaction File for all toll transactions occurring at Home Agency facility for valid Tags and license plates belonging to the Away Agencies. In the event that a Customer Service Center services multiple agencies or administers a Tag inventory containing multiple Agency IDs, a single FROM_AGENCY_ID shall be assigned to that CSC.	
IAG-GEN-005	When the processing of a Transaction file from Away agencies is complete then create a Transaction Reconciliation file detailing the disposition of each toll transaction and return to the Away CSC for reconciliation.	
IAG-GEN-006	When processing "end of day" then scan E-ZPass Accounts for any allowed toll rate adjustments (for example when a misclassified transaction that has been determined to be a valid E-ZPass transaction) and create a correction File for the Away Agency/CSC.	

6.8.2 General File and Report (GFR)

ID	Description	*[Variable Value]*
IAG-GFR-001	When creating the IAG inter-CSC Settlement reports and inter-CSC Files for Away agencies that service multiple agencies or administers a Tag inventory containing multiple Agency IDs E-ZPass then assign a single FROM_AGENCY_ID to that CSC as per ICD specification.	
IAG-GFR-002	When creating all IAG inter-CSC Settlement reports and inter-CSC Files (except the acknowledgement file) then compress the files using standard Lempel-Zif compression algorithm yielding a compression rate of at least 75%.	
IAG-GFR-003	When compressing all IAG inter-CSC Settlement reports and inter-CSC Files (except acknowledgement file) then rename the file from {FILE_NAME}.{FILE_TYPE} to {FILE_NAME}_{FILE_TYPE}.ZIP using uppercase characters only.	

ID	Description	*[Variable Value]*
IAG-GFR-004	When the Settlement period has ended then generate Settlement reports for IAG-1, IAG-2 and IAG-3 and IAG-6 through IAG-8 for each Away Agency and IAG-11A, IAG-11B and IAG12 for internal use.	
IAG-GFR-005	When the Settlement reports are acknowledged by the away agencies then initiate the transfer of the Settlement funds.	
IAG-GFR-006	When creating all IAG inter-CSC Settlement reports and inter-CSC Files then the date/time values contained in a file name represent the creation date/time of the file and match the date/time value contained in the file's header record.	

6.8.3 Tag Status File (TSF)

ID	Description	*[Variable Value]*
IAG-TSF-001	When transmitting a file to the Away Agencies/CSCs then transmit following the Inter-CSC Transmission Methodology.	
IAG-TSF-002	When creating a Tag Status File then create the Invalid Tag Customer File for the Tags with a status of "Invalid" that contains the name and address information of the associated customer.	
IAG-TSF-003	When pre-processing (validating) a Tag Status List and an invalid header record is encountered then reject the file and notify the Away Agency via the Acknowledgement File.	
IAG-TSF-004	When pre-processing (validating) a Tag Status List and an invalid detail record is encountered then reject the file and notify the Away Agency via the Acknowledgement File.	
IAG-TSF-005	When performing sanity check on a Tag Status File prior to transmission then ensure that there is no unusual growth in the number of Tags from previous versions or unusual changes in the number of Tags with a particular Tag status	
IAG-TSF-006	When creating a Tag Status file then include only E-ZPass Tags issued by RiverLink.	

ID	Description	*[Variable Value]*
IAG-TSF-007	When creating a Tag Status File for CSC that issues Tags for more than one Agency ID-E-ZPass then send only a single Tag Status File containing all Tags.	

6.8.4 Tag Status Update File (TSUF)

ID	Description	*[Variable Value]*
IAG-TSUF-001	When generating a Tag Status Update file then do not generate an Invalid Tag Customer File.	
IAG-TSUF-002	When generating a Tag Status Update file then include all Tag status changes made since the last full Tag Status File, and not just changes since the last update file.	
IAG-TSUF-003	When attempting to generate a Tag Status Update file then scan for new Accounts or changes hourly and if any are found then process the file.	
IAG-TSUF-004	When processing a Tag Status Update List and an invalid header record is encountered then reject the file and notify the Agency/CSC via the Acknowledgement File.	
IAG-TSUF-005	When processing a Tag Status Update List and an invalid detail record is encountered then reject the file and notify the Agency/CSC via the Acknowledgement File.	
IAG-TSUF-006	When processing a Tag Status Update List and the PREV_FILE_DATE or PREV_FILE_TIME do not agree with the date and/or time of the previous full Tag Status File, then reject the file and notify Agency/CSC via the Acknowledgement File.	

6.8.5 Invalid Tag Customer File (ITC)

ID	Description	*[Variable Value]*
IAG-ITC-001	When generating an Invalid Tag Customer File then only include the name/address information of the customers associated with Tags whose status is "Invalid" (TAG_STATUS = '3'.	
IAG-ITC-002	When an E-ZPass Account is closed then all data relating to the Account will be retained for a period of no less than 120 days.	
IAG-ITC-003	When generating a transaction file for an Away agency then include all toll transactions for valid and low balance status Tags (TAG_STATUS ='1' or '2') as well as license plates belonging to the Agency/CSC that do not have companion Accounts with RiverLink. Note: Companion Accounts are not supported in the RiverLink Toll Collection System.	

6.8.6   Transaction File (TFBR)

ID	Description	*[Variable Value]*
IAG-TFBR-001	When generating a transaction file then check for duplicate two (or more) non-license plate transactions for the same ETC_TAG_AGENCY/ ETC_TAG_SERIAL_NUMBER combination in the same ETC_EXIT_PLAZA within a one (1) minute period.	
IAG-TFBR-002	When receiving a Transaction File from an Away Agency then validate the file to ensure it does not contain duplicate two (or more) non-license plate transactions for the same ETC_TAG_AGENCY/ ETC_TAG_SERIAL_NUMBER combination in the same ETC_EXIT_PLAZA within a one (1) minute period.	
IAG-TFBR-003	When duplicate checking a transaction file for transactions that contain license plate data then not utilize the Tag data for any duplication checking. The Tag data in license plate transactions is solely for informational purposes and to aid in identifying the correct E-ZPass Account.	

ID	Description	*[Variable Value]*
IAG-TFBR-004	When posting a license plate based violation with Tag data retrieved from a Customer License Plate file to a customer Account then the customer's statement should reflect only the license plate information to avoid potential confusion with another transaction for the same Tag.	
IAG-TFBR-005	When processing a credit transaction then check if it has a unique ETC_TRX_SERIAL_NUM, the transaction may share the same agency, plaza, lane and date/time information so that it may be accurately reflected on the customer Account and statement. This duplication of agency, plaza, lane and date/time information should not be considered a duplicate.	
IAG-TFBR-006	When posting a license plate transaction then check for duplicates to ensure that a tagged transaction does not already exist for the given Account at the same plaza within one (1) minute of the license plate transaction.	
IAG-TFBR-007	When checking for a duplicate license plate transaction and a duplicate is found then use the appropriate Reconciliation code of RJDP.	
IAG-TFBR-008	When validating that received transaction files are unique then compare the combination of FROM_AGENCY_ID, TO_AGENCY_ID and ICTX_FILE_NUM to verify that each Transaction File was received without any gaps.	
IAG-TFBR-009	When If the ICTX_FILE_NUM of the current transaction file does not equal the prior ICTX_FILE_NUM received from that FROM_AGENCY_ID plus one (1), then set a RETURN_CODE of '06' in the acknowledgment file to signify that a gap in sequence numbers was found and process the transaction file.	
IAG-TFBR-010	When the ICTX_FILE_NUM of the current transaction file is equal to the ICTX_FILE_NUM of a previous Transaction File, then the acknowledgment file shall contain a RETURN_CODE of '05,' and the current transaction file will not be processed.	

ID	Description	*[Variable Value]*
IAG-TFBR-011	When processing an E-ZPass transaction then first check the RiverLink customer base to see if the transaction can be applied to an Account (possibly a companion Account) before including the transaction in a Transaction File destined for another Agency/CSC.	
IAG-TFBR-012	When processing E-ZPass transactions for CSCs which issue Tags with multiple Agency IDs then process all of the transactions destined for them included in a single Transaction File and not in a separate Transaction File for each Agency ID E-ZPass.	
IAG-TFBR-013	When a transaction file is processed then create a Transaction Reconciliation File as to the disposition of the toll transactions which occurred at the Away Agency's/CSC's facilities.	

6.8.7 Transaction Reconciliation File (TRF)

ID	Description	*[Variable Value]*
IAG-TRF-001	When processing a Transaction File and generating the associated Reconciliation File then indicate the association by the ICTX_FILE_NUM field in the Header record.	
IAG-TRF-002	When generating the Reconciliation File then include Reconciliation information for each and every Transaction that was sent in the original Transaction File.	
IAG-TRF-003	When a transaction is rejected with a code of INSU or ACCB then use the Invalid Tag customer file to look up customer name/address information and use the violation process for collection.	
IAG-TRF-004	When processing monthly Settlements between agencies then use the dates embedded within the acknowledgment files for the corresponding Transaction Reconciliation Files and Correction Reconciliation Files. Settlement occurs in the current month for the records dated in the previous month on the agreed upon Settlement date.	

ID	Description	*[Variable Value]*
IAG-TRF-005	When processing monthly Settlements then process only those transactions reconciled with ETC_POST_STATUS values of 'POST', 'PPST' or 'NPST'.	
IAG-TRF-006	When reconciling transaction files then ensure that each The ICTX_FILE_NUM related to the Transaction File matches the ICTX_FILE_NUM in the header of the Transaction Reconciliation File.	
IAG-TRF-007	When reconciling transaction files then verify the report sequence numbers for gaps, then process the file and record data for contact with the Away Agency or possible inclusion in the transaction aging report for the Agency missing sequence numbers.	
IAG-TRF-008	When reconciling transaction files and a duplicate ICTX_FILE_NUM is detected (implying that a Transaction File which has already been reconciled is now being reconciled again),then the Acknowledgement File shall contain a RETURN_CODE of '05' and the current Transaction Reconciliation File should not be processed nor included in the monthly Settlement.	
IAG-TRF-009	When the RECORD_COUNT in the Transaction Reconciliation File header record does not equal the number of transactions in the Transaction File referred to by ICTX_FILE_NUM then the file should not be processed and the associated Acknowledgement File shall contain a RETURN_CODE of '04 nor should the file be included in the monthly Settlement.	
IAG-TRF-010	When the Transaction Reconciliation File contains references to transactions which were not included in the Transaction File referred to by ICTX_FILE_NUM then the file should not be processed and the associated acknowledgment file shall contain a RETURN_CODE of '04 and the file should not be included in the monthly Settlement.	

6.8.8   Correction File (CFBR)

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
IAG-CFBR-001	When a transaction previously sent to the Away Agency was in error then use the Correction File to updated and/or correct information.	
IAG-CFBR-002	When validating that received transaction files are unique then compare the combination of FROM_AGENCY_ID, TO_AGENCY_ID, and ITCX_FILE_NUM to verify that each Transaction File was received without any gaps.	
IAG-CFBR-003	When it is found that the ITXC_FILE_NUM of the current Correction File does not equal the prior ITXC_FILE_NUM received from that FROM_AGENCY_ID plus one (1), then the Acknowledgement File shall contain a RETURN_CODE of '06' to signify that a gap in sequence numbers was found.	
IAG-CFBR-004	When it is found that the ITXC_FILE_NUM of the current Correction File does not equal, the prior ITXC_FILE_NUM received from that FROM_AGENCY_ID plus one (1), then process the current Correction File.	
IAG-CFBR-005	When the ITXC_FILE_NUM of the current Correction File is equal to the ITXC_FILE_NUM of a previous Correction File, then the Acknowledgement File shall contain a RETURN_CODE of '05' and Correction File will not be processed.	
IAG-CFBR-006	When processing transactions for CSCs that issue Tags with multiple Agency IDs then all the transactions destined for them will be included in a single Correction File.	
IAG-CFBR-007	When processing transactions via a Correction File then they must never be transferred automatically again and must be handled manually.	

ID	Description	*[Variable Value]*
IAG-CFBR-008	When the processing of a Correction File is complete, then generate a Correction Reconciliation File for the Away Agency indicated in the correction file. If EPP_TRX_Serial_Number in ITXC doesn't match with ICTX, at that time Reject that transaction and the post code is NPST. When correction ignores a license plate transaction or a tagged transaction due to duplicate transaction, process a complete credit adjustment of the transaction and use RJDP as the reconciliation code. If plaza/lane does not exist in the BOS at the time of the correction file, the same reconciliation code will be used from the ICRX that was transmitted for the original transaction. If the correction applied is the toll amount, the same reconciliation code will be used from the ICRX that was transmitted for the original transaction.	

6.8.9   Correction Reconciliation File (CRF)

ID	Description	*[Variable Value]*
IAG-CRF-001	When generating the reconciliation file then associated the file to a specific Correction File by indicating the ITXC_FILE_NUM field in the Header record.	
IAG-CRF-002	When generating a reconciliation file include each and every transaction sent in the original Correction File.	

ID	Description	*[Variable Value]*
IAG-CRF-003	When processing monthly Settlements between agencies then use the dates embedded within the Acknowledgement Files for the corresponding Correction Reconciliation Files as Settlement occurs in the current month for the records dated in the previous month on the agreed upon Settlement date.	
IAG-CRF-004	When generating Settlements Reports then base them solely on transactions reconciled with ETC_POST_STATUS values of 'POST', 'PPST' or 'NPST'.	
IAG-CRF-005	When reconciling correction files then verify the report sequence numbers for gaps, then process the file and record data for contact with the Away Agency or possible inclusion in the Transaction Aging Report for the Agency missing sequence numbers.	
IAG-CRF-006	When reconciling transaction files and a duplicate ITCX_FILE_NUM is detected (implying that a Correction File which has already been reconciled is now being reconciled again),then the Acknowledgement File shall contain a RETURN_CODE of '05' and the current Correction Reconciliation File should not be processed nor included in the monthly Settlement.	
IAG-CRF-007	When the RECORD_COUNT in the Correction Reconciliation File header record does not equal the number of transactions in the Correction File referred to by ITCX_FILE_NUM then the file should not be processed and the associated Acknowledgement File shall contain a RETURN_CODE of '04 nor should the file be included in the monthly Settlement.	
IAG-CRF-008	When the Correction Reconciliation File contains references to transactions which were not included in the Correction File referred to by ITCX_FILE_NUM then the file should not be processed and the associated acknowledgement file shall contain a RETURN_CODE of '04 and the file should not be included in the monthly Settlement.	

6.8.10 Customer License Plate File (CLPF)

ID	Description	*[Variable Value]*
IAG-CLPF-001	When generating a Tag Status List then generate a Customer License Plate File containing the vehicle license plate numbers of all valid customers (customers with at least one Tag with a TAG_STATUS of '1' or '2').	
IAG-CLPF-002	When generating a Customer License Plate File then only include the license plates associated with the E-ZPass Tags issued by RiverLink.	
IAG-CLPF-003	When generating a Customer License Plate File then do not include any license plates associated with companion Accounts where the Tags were issued by other agencies.	
IAG-CLPF-004	When generating a Customer License Plate File then the Tag information provided will be the first valid Tag for the Account.	
IAG-CLPF-005	When processing Away Agency license plate information then utilize a table to maintain a date for each license plate which would be updated each time information was received for that license plate. License plate data would be purged from the table if no data for the license plate was received for 120 days.	
IAG-CLPF-006	When performing a look-up for license plate information then first check all home Accounts before searching the Away Customer License Plate table for license plate information.	
IAG-CLPF-007	When performing a lookup against the Away Customer License Plate table then use the Tag information associated with the license plate to perform a lookup on the Tag Status File it received from the Agency/CSC for the date corresponding to the date on which the violation took place so as to determine the status of the Account on that date.	

ID	Description	*[Variable Value]*
IAG-CLPF-008	When performing a lookup against the Away Customer License Plate table and the TAG_STATUS was for a valid Account (value of 1 or 2), then the violation transaction would be sent to the Agency/CSC with the license plate information as well as the Tag information found in the table and the Agency/CSC would attempt to post the transaction to the customer's Account.	
IAG-CLPF-009	When performing a lookup against the Away Customer License Plate table and the TAG_STATUS was for an invalid Account (value of 3), then send the customer a violation notice using the name/address information retrieved from the Invalid Customer File (by using the Tag information from the Customer License Plate File and finding the associated name/address information on the Invalid Customer File).	
IAG-CLPF-010	When performing a lookup against the Away Customer License Plate table and the TAG_STATUS was for a lost/stolen Tag (value of 4), the Away Agency/CSC would treat this violation as a standard non-customer violator and retrieve the name/address information from the appropriate DMV.	
IAG-CLPF-011	When processing the Customer License Plate file and an invalid detail record is encountered (e.g., inappropriate LIC_STATE or LIC_NUMBER, etc.), then skip that record and notify the Agency/CSC via the acknowledgment file with a RETURN_CODE value of '02'and continue to process the file.	
IAG-CLPF-012	When processing the Customer License Plate file into the Away Customer License Plate Table and the same LIC_STATE and LIC_NUMBER combination is received from more than one Agency/CSC, then use the information from the lowest numerical FROM_AGENCY_ID.	

ID	Description	*[Variable Value]*
IAG-CLPF-013	When processing Customer License Plate files and it is determined that a complete Customer License Plate File is missing from an Agency/CSC, then utilize the most recent Customer License Plate File received prior to the missing Customer License Plate File.	
IAG-CLPF-014	When processing Customer License Plate files and it is determined that a complete Customer License Plate File is missing and has been missing for over 120 Days then all license plates from that Agency/CSC shall be considered invalid.	

6.8.11   Acknowledgement File (AFBR)

ID	Description	*[Variable Value]*
IAG-AFBR-001	When the pre-processing (validation checks) of each received Inter-Agency CSC file is complete then generate an Acknowledgment File to inform the Away Agency/CSC that the file transmitted was received in its entirety.	
IAG-AFBR-002	When the pre-processing (validation checks) of each received Inter-Agency CSC file is complete then generate an Acknowledgment File with a return code of "00" to inform the Away Agency/CSC that the file transmitted was received and verified in its entirety.	
IAG-AFBR-003	When the pre-processing (validation checks) of each received Inter-Agency CSC file is complete and it is found that the Header record count does not match the number of detail records found in the file then generate an acknowledgment file with a return code of "01" to inform the Away Agency/CSC.	
IAG-AFBR-004	When the pre-processing (validation checks) of each received Inter-Agency CSC file is complete, and it is found that there are Detail record(s) found with invalid data then generate an acknowledgment file with a return code of "02" to inform the Away Agency/CSC.	

ID	Description	*[Variable Value]*
IAG-AFBR-005	When an acknowledgment file with a return code of "02" is created then generate a report showing any detail records that were skipped due to invalid data and have this report available for the Agency/CSC if needed.	
IAG-AFBR-006	When the pre-processing (validation checks) of each received Inter-Agency CSC file is complete, and it is found that the update file date/time does not match the full file date/time then generate an acknowledgment file with a return code of "03" to inform the Away Agency/CSC.	
IAG-AFBR-007	When the pre-processing (validation checks) of each received Inter-Agency CSC file is complete, and it is found that the – Transaction Reconciliation File (or Correction Reconciliation File) does not match corresponding Transaction File (or Correction File) then generate an acknowledgment file with a return code of "04" to inform the Away Agency/CSC.	
IAG-AFBR-008	When the pre-processing (validation checks) of each received Inter-agency CSC file is complete, and it is found that there is a duplicate file sequence number then generate an Acknowledgment File with a return code of "05" to inform the Away Agency/CSC.	
IAG-AFBR-009	When the pre-processing (validation checks) of each received Inter-agency CSC file is complete, and it is found that there is a Gap in sequence number then generate an Acknowledgment File with a return code of "06" to inform the Away Agency/.	
IAG-AFBR-010	When the pre-processing (validation checks) of each received Inter-Agency CSC file is complete, and it is found that there is an invalid ZIP file format or other file structure defect then generate an acknowledgment File with a return code of "07" to inform the Away Agency.	

ID	Description	*[Variable Value]*
IAG-AFBR-011	When generating the acknowledgment file then include the maximum allowable grace period. (Or as negotiated) This parameter is not currently configurable by various Away Agencies, but is ubiquitously applied.	

6.8.12 Inter CSC Transmission Methodology (ICTM)

ID	Description	*[Variable Value]*
IAG-ICTM-001	When generating the inter-customer service center files then all files will be transmitted nightly to each Away Agency except for Tag status update files which will be generated every 2 hours.	
IAG-ICTM-002	When transferring the inter-customer service center Files then use the File Transfer Protocol.	
IAG-ICTM-003	When transmission of an inter-customer service center file is complete, then transmit a 'check' file whose name shall be comprised of the name and file type of the file to which it is associated but with a file extension of 'CHECK' (e.g., {FILE_NAME}_{FILE_TYPE}.CHECK).	
IAG-ICTM-004	When receiving an inter-customer service center file, the process will wait until it detects the presence of the 'check' file to signify transmission is complete then the process can begin processing the associated data file.	
IAG-ICTM-005	When a check file is encountered then it signifies the transmission of the associated file is complete and can be processed.	

6.9 IAG Inter-CSC Interface File Specification Business Rules

These business rules are extracted from E-ZPass Inter-Customer Service Center Interface File and Reporting Specification Version CSC 01 51i dated 2014-04-08. Pages 40 through 98.

6.9.1   IAG-1: Inter-CSC Settlement Report (SRBR)

ID	Description	*[Variable Value]*
IAG-SRBR-001	When the calendar reaches the agreed upon Settlement date for each Agency then generate an IAG-1: Inter-CSC Settlement Report. This report indicates the actual amount of funds wire transferred from the Home Agency to the Away Agency at the end of the Settlement period.	
IAG-SRBR-002	When generating the IAG-1 Inter-CSC Settlement Report then include all the line items that are detailed in the IAG-2 through IAG-6 reports.	
IAG-SRBR-003	When generating the IAG-1 Inter-CSC Settlement Report then the line item for IAG-4 Inter-CSC Discount Plan Revenue will reflect $0.00 as Away Agency discount plans are not supported.	
IAG-SRBR-004	When generating the IAG-1 Inter-CSC Settlement Report then the line item for IAG-5 Inter-CSC Permit Plan Fees will reflect $0.00 as Away Agency Permit Plan Fees are not supported.	
IAG-SRBR-005	When generating the IAG-1 Inter-CSC Settlement Report then the line item for Disputed Tolls and Adjustments will reflect only those transactions which both the Home and Away agencies have agreed to change.	
IAG-SRBR-006	When reconciling reports then the IAG-1 Inter-CSC Settlement Report then the IAG-11A: Casual Use By Reconciliation File Range Report total amount when added to the NPST total from report IAG-12 (NPST Report) should equal the Toll Transactions amount in IAG-1 (Inter-CSC Settlement Report).	

6.9.2   IAG-2: Inter-CSC Toll Transaction Reconciliation Report (TTRR)

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
IAG-TTRR-001	When the calendar reaches the agreed upon Settlement date for each Away Agency then generate one IAG-2: Inter-CSC Toll Transaction Reconciliation Report from all Transaction Reconciliation files that were acknowledged by the Away Agency in the Settlement period. This report indicates the amount of funds due to the Away Agency due to toll transactions.	
IAG-TTRR-002	When generating the Inter-CSC Toll Transaction Reconciliation Report then the total amount paid and matching IAG-1 equals the total of amounts for transaction Reconciliation Posting outcomes of the POST, NPST, and PPST. The amounts in Rejects are not included.	
IAG-TTRR-003	When generating the Inter-CSC Toll Transaction Reconciliation Report then only those Reconciliation files acknowledged in the Settlement period will appear in the report.	
IAG-TTRR-004	When generating the Inter-CSC Toll Transaction Reconciliation Report then include all columns as defined in the Inter-CSC Interface File and Reporting Specification.	

ID	Description	*[Variable Value]*
IAG-TTRR-005	When generating the Inter-CSC toll Transaction Reconciliation Report column for rejected Transaction then include all transactions with a resolution code of INSU, NPST, RINV, TAGB, ACCB, RJDP, OLD1, OLD2 and RJPL. A definition of the E-ZPass Resolution codes are below: • INSU - E-ZPass resolution code for account with insufficient funds • NPST - E-ZPass resolution code for posted Transaction • RINV-E-ZPass resolution code for invalid Tag status • TAGB - E-ZPass resolution code for Tag in bad status • ACCB - E-ZPass resolution code for Account in bad status • RJDP - E-ZPass resolution code for duplicate transaction • OLD1 or OLD2 - E-ZPass resolution code for transactions that are too old to processRJPL - E-ZPass resolution code for rejected plate Note: OLD2 and RJPL are not used in RiverLink Toll Collection System.	

6.9.3   IAG-3: Inter-CSC Toll Correction Reconciliation Report Business Rules

ID	Description	*[Variable Value]*
IAG-TCRR-001	When the calendar reaches the agreed upon Settlement date for each Away Agency then generate one IAG-3 Inter-CSC Toll Correction Reconciliation Report from all correction Reconciliation files that were acknowledged by the Away Agency in the Settlement period. The report details the toll corrections from the line item found on IAG-1.	
IAG-TCRR-002	When generating the Inter-CSC Toll Correction Reconciliation Report then only those correction Reconciliation files acknowledged in the Settlement period will appear in the report.	

ID	Description	*[Variable Value]*
IAG-TCRR-003	When generating the IAG 3 Inter-CSC Toll Correction Reconciliation Report then detail the original amounts of the transactions that were reconciled previously in the ORG column for each resolution code of POST, NPST, and PPST.	
IAG-TCRR-004	When generating the IAG 3 Inter-CSC Toll Correction Reconciliation Report then detail the new corrected amounts of the transactions in the NEW column for each resolution code of POST, NPST, and PPST.	
IAG-TCRR-005	When generating the IAG 3 Inter-CSC Toll Correction Reconciliation Report then detail the amount due which is the difference between the old and the new and shown in the 'NET' column for each resolution code of POST, NPST, and PPST.	
IAG-TCRR-006	When generating the IAG 3 Inter-CSC Toll Correction Reconciliation Report then the "Total Count" column represents the number of transactions in the corresponding Correction Reconciliation file including rejects.	
IAG-TCRR-007	When generating the IAG 3 Inter-CSC Toll Correction Reconciliation Report then detail the number of rejected correction transactions for each Correction Reconciliation File in a the column Total Reject.	
IAG-TCRR-008	When generating the IAG 3 Inter-CSC Toll Correction Reconciliation Report then balance the Settlement Report (IAG-1) line item with the Total NET amount, they should be the same and does not include the Total Rejected Amounts.	
IAG-TCRR-009	When reconciling the IAG-3 Toll Correction Reconciliation Report, the rejected amounts will reconcile with the subtotaled rejected amounts in the IAG-8: Inter-CSC Rejected Corrections Report.	

6.9.4   IAG-4: Inter-CSC Discount Plan Revenue Report

There are no discount plans that apply to any away agencies nor will any discounts impact any away agencies, therefore, the IAG-4: Inter-CSC Discount Plan Revenue report will not be generated.

6.9.5   IAG-5: Inter-CSC Permit Plan Fees Report

There are no Permit Plan Fees programs that apply to any away agencies nor will any permit plans impact any away agencies, therefore, the IAG-5: Inter-CSC Permit Plan Fees Report will not be generated. Currently only applies only to the Regional Consortium which offers the NYSTA permit plan.

IAG-6: Inter-CSC Disputed Toll & Adjustments Report (DTAR)

ID	Description	*[Variable Value]*
IAG-DTAR-001	When the calendar reaches the agreed upon Settlement date for each Away Agency then generate the IAG-6: Inter-CSC Disputed Toll & Adjustments Report detailing the amount of funds due to, or withheld from, the Away Agency due to disputed tolls previously paid to the Away Agency and subsequently credited to the Customer's Account. This report will reflect only those transactions which both the Home and Away agencies have agreed to change.	

6.9.6   IAG-7: Inter-CSC Rejected Transactions Report

ID	Description	*[Variable Value]*
IAG-RTR-001	When generating the IAG-7: Inter-CSC Rejected Transactions report then detail each transaction rejected from each acknowledged IRXC files that have resolution codes of RINV, INSU, TAGB, ACCB, RJDP, OLD1, OLD2.	
IAG-RTR-002	When generating the IAG-7: Inter-CSC Rejected Transactions Report then reconcile the Total amount shown on the report with the line item amount reflected for rejected amounts on the IAG-1 Settlement Report.	
IAG-RTR-003	When generating the IAG-7: Inter-CSC Rejected Transactions Report then reconcile the subtotals for each reconciliation file number to ensure it equals the rejected amount for that file shown in the IAG-2 Toll Transaction Reconciliation File.	

ID	Description	*[Variable Value]*
IAG-RTR-004	When reconciling the IAG-7: Inter-CSC Rejected Transactions Report to the IAG-2 Toll Transaction Reconciliation Report the column TOTAL REJECT & AMT columns on both reports will be the same.	

6.9.8   IAG-8: Inter-CSC Rejected Corrections Report (RCR)

ID	Description	*[Variable Value]*
IAG-RCR-001	When generating the IAG-8: Inter-CSC Rejected Corrections Report then detail the individual transaction corrections for each toll correction Reconciliation file that were not accepted by the Home Agency with the amount of funds represented by those transactions and the applicable rejection codes of RINV, INSU, TAGB, ACCB, RJDP, OLD1, OLD2 .	
IAG-RCR-002	When generating the IAG-8: Inter-CSC Rejected Corrections Report then detail each transaction rejected from each acknowledged IRXC files that have resolution codes of RINV, INSU, TAGB, ACCB, RJDP, OLD1, OLD2.	
IAG-RCR-003	When reconciling the IAG-8: Inter-CSC Rejected Corrections Report the subtotal rejected amounts will reconcile with the rejected amounts in the IAG-3 Toll Correction Reconciliation Report.	

6.9.9   IAG-9: Inter-CSC Reconciliation Aging Report (RAR)

ID	Description	*[Variable Value]*
IAG-RAR-001	When there are transaction files and transaction correction files that have been sent to an Away Agency in a past week period that not been reconciled then generate an IAG-9: Inter-CSC Reconciliation Aging Report. This report should be followed up with contact to the Away Agency for resolution.	
IAG-RAR-002	When generating the IAG-9: Inter-CSC Reconciliation Aging Report then detail all ICTX and ICTX files names the associated dollar amounts outstanding.	

6.9.10 IAG-10: Inter-CSC Discount Plan Analysis Report

There are no discount plans that apply to any away agencies nor will any discounts impact any away agencies, therefore, the IAG-10: Inter-CSC Discount Plan Analysis Report will not be generated.

6.9.11 IAG-11A: Casual Use By Reconciliation File Range Report (CURF)

ID	Description	*[Variable Value]*
IAG-CURF-001	When required then generate the IAG-11A: Casual Use By Reconciliation File Range Report to break down reconciled transactions by Posting date and plaza.	
IAG-CURF-002	When generating the IAG-11A: Casual Use By Reconciliation File Range Report then the total amount indicated in this report should equal the total POSTED amount indicated in IAG-2 (Inter-CSC Toll Transaction Reconciliation Report).	

6.9.12 IAG-11B: Casual Use By Posting Date Range Report (CUPD)

ID	Description	*[Variable Value]*
IAG-CUPD-001	When required then generate the IAG-11B: casual use by Posting date range report to break down reconciled transactions by Posting date and plaza.	
IAG-CUPD-002	When generating the IAG-11B: Casual Use By Posting Date Range Report then the report is organized by Posting regardless of Transaction date or Reconciliation file number. Therefore it will not tie directly to reports based on Reconciliation files.	

6.9.13 IAG-12: Not Posted Report (NPST)

ID	Description	*[Variable Value]*
IAG-NPST-001	When required then generate the IAG-12: NPST Report to break down reconciled transactions which were not posted (NPST) but will be paid to the Away Agency because the Tag status list indicated the Tag was valid but the Account has a different status or is closed.	

ID	Description	*[Variable Value]*
IAG-NPST-002	When generating the IAG-12: NPST Report then the total amount indicated in this report should equal the amount shown in the NPST column of report IAG-2 (Inter-CSC Toll Transaction Reconciliation Report).	

6.9.14   IAG-13 A,B,C,D: Local Use Reports (LUR)

ID	Description	*[Variable Value]*
IAG-LUR-001	When required then generate the IAG-13 A, B, C, D: Local Use Reports detailing all received transactions which occurred on the Away facilities including those that were rejected.	
IAG-LUR-002	When generating the IAG-13 A and B Local Use Reports then the total toll amount should equal the amount shown in the posted plus NPST columns of the IAG-2 report received by the Away Agency which is the same amount as the toll transactions shown on the IAG 1 Settlement Report received by the Away Agency.	
IAG-LUR-003	When generating the IAG-13 C and D Local Use Reports then process all transactions which occurred on away facilities including those rejected by collection data or by date range, these reports do not tie to payments due.	

6.9.15   IAG-1N through IAG 16N: Inter-CSC Non-Toll Report

There are no non-toll related usage that applies to any away agencies therefore the IAG-1N through IAG 16N: Inter-CSC Non-Toll Reports will not be generated.

7   Inter-Customer Service Center Interface File and Reporting Specification Appendices

These Business Rules are extracted from E-ZPass Inter-Customer Service Center Interface File and Reporting Specification Version CSC 01 51i dated 2014-04-08. Appendices A through H.

8 Agency Codes

ID	Description	*[Variable Value]*
IAG-AC-001	When processing Tag Agency IDs E-ZPass then refer to the Agency Code table for lookups.	

9 Plaza Codes

ID	Description	*[Variable Value]*
IAG-PC-001	When referencing Away Agency Plaza Codes then refer to the Plaza Code Reference Table for lookups	

10 Class Codes

ID	Description	*[Variable Value]*
IAG-CC-001	When referencing or mapping Away Agency Class codes then refer to the Class Code Lookup Table for lookups	

11 Network Topology Business Rules

ID	Description	*[Variable Value]*
IAG-NT-001	Requirement Deleted as it does not apply to Toll Collection System.	

12 CSC/Agency Cross Reference

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
IAG-CR-001	When processing Agency ID EZ-Pass then refer to the Agency Code Cross Reference table for where the "From/To ID" corresponds to the {FROM_AGENCY_ID} and {TO_AGENCY_ID} fields used in the file naming convention for file processing	

13 Non-Toll Transaction Flow

ID	Description	*[Variable Value]*
IAG-PP-001	No Non-Toll Business Rules.	

14 Acknowledgement File RETURN_CODE Values

ID	Description	*[Variable Value]*
IAG-AK-001	When pre-processing and validating the Inter-Agency Files (ICTX, ITXC, ICRX, IRXC, ITAG, ITGU, IITC, and ICLP) and the outcome is successful then set the acknowledgment return code to a status of "00".	
IAG-AK-002	When pre-processing and validating the Inter-Agency Files (ICTX, ITXC, ICRX, IRXC, ITAG, ITGU, IITC, and ICLP) and there is a header/detail count discrepancy then set the acknowledgment return codes to a status of "01" and do not process the file.	
IAG-AK-003	When pre-processing and validating the Inter-Agency Files (ICTX, ITXC, ICRX, IRXC, ITAG, ITGU, and IITC) and there is an invalid detail record found then set the acknowledgment return code to "02" and do not process the file.	

ID	Description	*[Variable Value]*
IAG-AK-004	When pre-processing and validating the Inter-Agency File (ICLP) and there is an invalid detail record found then set the acknowledgment return code to "02" and process the file	
IAG-AK-005	When pre-processing and validating the Inter-Agency Files (ICRX, IRXC) and the Reconciliation File does not match the Transaction File then set the acknowledgment return code to "04" and do not process.	
IAG-AK-006	When pre-processing and validating the Inter-Agency Files (ICTX, ITXC, ICRX, IRXC) and there is a duplicate file sequence number then set the acknowledgment return codes to a status of "05" and do not process the file.	
IAG-AK-007	When pre-processing and validating the Inter-Agency Files (ICTX, ITXC) and there is a gap is sequence numbers then set the acknowledgment return code to "06" and process the file.	
IAG-AK-008	When pre-processing and validating the Inter-Agency Files (ICTX, ITXC, ICRX, IRXC, ITAG, ITGU, IITC, and ICLP) and there a bad zip file or file structural issue is found then set the acknowledgment return code to "07" and do not process the file.	

15   Inter-CSC Dispute Policy

ID	Description	*[Variable Value]*
IAG-DP-001	Upon membership the Disputed Toll Adjustment Policy in Accordance with the IAG Reciprocity Agreement will be adopted and will be included in the Customer Service Representative Dispute Resolution Policy Manual for E-ZPass transactions in its entirety	

15.1   General Rule # 1: Responsibility of Handling Disputes

ID	Description	*[Variable Value]*
IAG-DP-002	When processing E-ZPass Customer disputes then ensure that RiverLink is the Home Agency that issued the Tag and where the customer's Account is managed. Example provided by IAG: An exception is when a reported dispute occurred on the Pennsylvania Turnpike. The RiverLink customer service representatives should refer customers with PTC transaction disputes to the PTC Customer Service Center. If PTC accepts the dispute they will credit the Home customer by submitting a transaction correction file to the Home Agency for processing.	

15.2   General Rule # 2: Acceptable Reasons for Passing Back Disputes

ID	Description	*[Variable Value]*

| IAG-DP-003 | When processing E-ZPass Customer dispute where the customer produces a receipt showing they paid cash for the transaction under dispute then pass-back the transaction to the Away Agency. The Customer service representative must retain a copy of the receipt(s) for potential use by Away Agency. If the Away Agency requests a receipt, then the Home Agency must provide it.
When processing E-ZPass Customer dispute where the transaction is a duplicate for 2 or more transactions from Tags or Accounts managed from the <u>same</u> customer service center then under the following circumstances:
    1.   Tag and Tag – The same Tag reads twice within the time limit specified by the Inter CS File and Reporting specification, section 6.5.1 "Transaction File, Processing Requirements".
    2.   Tag and Plate - Plate and Tag read from the same Account within the time limit specified by the Inter CS File and Reporting specification, section 6.5.1 "Transaction File, Processing Requirements".
    3.   Multiple Tag charges from the same vehicle. This is usually the result of multiple Tags being transported by one vehicle and can be seen as:
        2 or more Tags being read from the same Account
        2 or more Tags being read from 2 or more Accounts for the same customer.
        2 or more Tags being read from 2 or more Accounts from different customers. (i.e., a husband and wife with different Accounts or other examples of personal or business Accounts reasonably related.)
the transaction can be passed back as a duplicate to the Away Agency. | |

IAG-DP-004	When processing E-ZPass Customer dispute where the transaction is a duplicate for two (2) or more transactions from Tags or Accounts managed from different customer service centers then the customer will be asked to provide copies of both statements as evidence of the duplicate charge. Only one charge will be passed back to the Away Agency as requested by the customer. Customers that travel with two (2) Tags in one (1) vehicle will be limited to ten (10) reimbursements for first-time requests, and subsequent reimbursement requests will be restricted to 2 per month unless a supervisor override is provided. Customers should be advised that repetitive behavior may result in future denial for duplicate charge reimbursement or the potential for Tag /Account suspension. When processing an E-ZPass Customer dispute where the Tag has been returned then under the following circumstance:
	
	    1. If a Tag is charged while in the transport of a mail truck (US Postal or private mail carrier) the Away Agency will accept the pass-back.
	    2. If a Tag is charged incorrectly while in the transport of a tow truck, flat-bed, or a car carrier the Away Agency will accept the pass-back.
	
	the transaction can be passed back as a Tag return to the Away Agency. The Customer Service Representative should reasonably determine that the Tag was scheduled for mail delivery or the tow or car carrier charge was unjustified. An invoice or bill from the tow or carrier company must be provided as evidence.	

ID	Description	[Variable Value]
IAG-DP-005	When processing an E-ZPass Customer dispute where the transaction is a Violation or Manual Toll is processed to a customer from an image or from a manual form but the customer was identified incorrectly then pass back the transaction to the Away Agency under the following circumstances: 1. The wrong license plate was identified by the image reviewer, or the Tag was incorrectly entered during the processing of a manual toll, resulting in the wrong customer being charged. This human error incident can occur occasionally but is likely to be a non-repeating error. 2. A state may issue a variety of different license plate types, i.e., Veteran, Medical, Honorary, etc., and license plate serial numbers may be repeated across these types. When the correct serial number is identified by an Away Agency but is assigned to the wrong customer's plate type, this error may repeat across plazas and result in multiple incorrect charges to a customer. An automatic pass-back of this type of dispute is allowed, limited to 10 occurrences, per Account, per Settlement period.	*True*
IAG-DP-006	When processing an E-ZPass Customer dispute that does not meet the requirements above for automatic dispute pass-back then the customer service representative may seek pre-approval from the Away Agency. The Away Agency is expected to apply reasonable judgments in their considerations of when to pre-approve a disputed toll for pass-back	

15.3   General Rule # 3: Acceptable Timeframes for Pass Back and Acceptance of Disputes

ID	Description	[Variable Value]

ID	Description	*[Variable Value]*
IAG-DP-007	When processing a dispute then ensure the disputed transaction(s) occurred during the most recent three calendar months plus the current month of the Settlement period (90 Days + current). The '90 Day + current' limitation is based on the date of the original transaction relative to the Settlement period, without regard to when the dispute was actually made or when credit may have been given to the customer. The Away Agency has 60 Days to deny the deduction.	
IAG-DP-008	When receiving a dispute pass back, adjustment then validate the claim within 60 Days. For disputed toll pass backs that are preapproved by the Away agency, then within 60 Days from the date of the approval submit the IAG-6 report that includes the preapproved credit. Again, like all rules, these timeframes may be adjusted between agencies by specific agreement.	

15.4 General Rule # 4: Limitations on Multiple, Repeated, or Large Dollar Credits

ID	Description	*[Variable Value]*
IAG-DP-009	When processing a customer dispute then check the customer's history as there are limitations on allowable pass back transactions due to volume, size, or patterns of particular Accounts. As certain customers may attempt to 'work around' paying legitimate tolls by continually submitting disputes, failing to replace defective Tags, failing to update license plates.	

15.5 General Rule # 5: Limitations on Individual Credits

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
IAG-DP-010	When processing an allowable pass back then use the Away agencies' published toll schedules to determine the appropriate credit amount for each disputed transaction. Failure to do so may result in a denial of the credit passed back by the Away Agency. For ticketed system transactions where the point of origin is unknown (maximum fare was charged), the Home Agency may accept the customer's word as to the entry point. However, for reasonableness, the Home Agency should review prior travel patterns of this customer for similar trips. For duplicate transactions or erroneous violation tolls, the entire amount of the transaction may be credited	

15.6 General Rule # 6: Required Reporting

ID	Description	*[Variable Value]*
IAG-DP-011	When generating the Settlement of disputed toll adjustments based on the IAG-6 Inter-CSC Disputed Toll and Adjustments Report then generate an Excel spreadsheet of all disputed transactions to be included in the Settlement. The purpose of the spreadsheet is to provide the Away Agency with a tool to perform an analysis of the items being disputed; the excel document can be sorted and analyzed in a way that allows the Away Agency to identify problems within their lanes, or, problems with the dispute being claimed. The excel spreadsheet should contain all of the information on the IAG-6 and must tie to it. The spreadsheet must also indicate customer Account number, Tag number, original transaction amount, corrected transaction amount, and the amount of the adjustment applied for each transaction. The only dispute reasons that may appear on the report are the acceptable reasons detailed above or by agreement between the affected agencies. The excel spreadsheet and the IAG-6 Report to the Away Agency must be provided within 20 Days after the Settlement period.	

15.7 General Rule # 7: Settlement Frequency and Schedule

ID	Description	*[Variable Value]*

ID	Description	*[Variable Value]*
IAG-DP-012	When settling the disputed toll adjustments then the frequency is no more than monthly. The Settlement for a particular month occurs on a one month lag from the current month of toll revenue Settlement. For preapproved disputed toll pass backs, the Home agency has 60 Days from the date of approval to submit the IAG-6 report. The Settlement schedule of the preapproved pass back will be the same as other pass backs included on the report.	

16   Detailed Description of Document Changes

No.	Version	Status	Date	Author(s)	Type of the change
00	00-01	Processed	2015-May-12	Multiple	DRAFT for review and comment/edit
01	01-02	Processed	2015-June-05	Multiple	DRAFT addressing comments/edits for review
02	02-03	Processed	2015-June-29	Multiple	DRAFT addressing comments/edits for review
03	03-09	Processed	2015-Oct-28	Multiple	DRAFT addressing comments/edits for review
04	04-03	Updated	2017-12-15	Multiple	DRAFT addressing comments/edits for review
05	04-04	Updated	2018-01-15	Multiple	DRAFT addressing comments/edits for review
06	05-01	Updated	2018-12-10	Multiple	DRAFT addressing comments/edits for review

Table 1   Overview of changes

Reference to the status- and version administration:

Status:

processed   the document is being processed

released   the document has been checked and released by quality assurance; it can only be modified if the

version number is updated.

Versions:

Take place in two stages. Accepted documents receive the next higher integral version number.

00-01, 00-02 etc.   not released versions, with the status "**processed**"
01   first released version with the status "**released**"
01-01, 01-02 etc.   Versions, which supplement the version 01-00 and "**processed**" are
02   second released version with the status "**released"**

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