

TB-2023-3
Exhibit B

DRAFT FOR TOLLING BODY CONSIDERATION



Louisville Southern Indiana Ohio River Bridges

Business Rules Document

Version 5.08

Approved August 31, 2023

Effective at Road Side System Full Revenue Service

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Document History

Table 1: Overview of Changes

| Date | Version | Author | Summary of Changes |
|-------------------|---------|-------------|---|
| June 05, 2015 | 1.02 | Kapsch | Addressed comments and edits. |
| June 29, 2015 | 2.03 | Kapsch | Addressed comments and edits. |
| October 28, 2018 | 3.09 | Kapsch | Addressed comments and edits. |
| December 15, 2017 | 4.03 | Kapsch | Addressed comments and edits. |
| January 15, 2018 | 4.04 | Kapsch | Addressed comments and edits. |
| December 10, 2018 | 5.01 | Kapsch | Addressed comments and edits. |
| February 16, 2023 | 5.02 | JBR | Inserted Transition from TSP to TSP2 Business rules and toll rate notice timing adjustment. |
| February 16, 2023 | 5.03 | JBR | Revised to align TSP2 BOS new toll system vendor and collection agency business rules. |
| February 16, 2023 | 5.04 | JBR | Revised to align with new road side system vendor business rules. (Never used.) |
| June 29, 2023 | 5.05 | JBR and ETC | Addressed comments, edits, and new timelines; makes clarifications. (Never used.) |
| June 29, 2023 | 5.06 | JBR and ETC | Addressed comments, edits, and new timelines; makes clarifications. (Never used.) |
| August 31, 2023 | 5.07 | JBR and ETC | Revised to align with timelines; made clarifications; added two new notifications that are needed to support two factor authentication. |
| August 21, 2023 | 5.08 | JBR and ETC | Revised to align with timelines; made clarifications; added two new notifications that are needed to support two factor authentication. |

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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 Customer Service Center (CSC), Back Office System (BOS), Road Side System, Collection Agency and their applicable sub-systems.

Table 2: Requirements

| RTM # | Requirement Text | Form K Requirement Number |
|-------|--|---------------------------|
| | Please reference the respective TSP2, RSP2 or Collection Agency Contract documents for specific requirements that apply to those respective systems. | |

1.2. Document Objectives

These Business Rules and Operations Requirements, developed from the Statement of Works, 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 governs how the RiverLink Toll Collection System shall function and operate, especially in response to the various operating situations that occur during the toll collection process based on business cases and policy decision.

1.3. Transition from TSP to TSP2

1.3.1. Transactions occurring through March 31, 2023

TSP (Kapsch) business rules approved on February 16, 2023 (v5.02) governed all transactions that occurred through March 31, 2023 which included:

- Local 6C transponder transactions (registered/prepaid) including both transactions processed with a transponder read and transactions involving a plate read (image-based);
- E-ZPass transponder transactions (registered/prepaid) including both transactions processed with a transponder read and transactions involving a plate read (image-based); and
- Unregistered/invoiced image-based transactions.

Note: TSP stopped invoicing at go-live but continued to collect and provide those payments to the States.

1.3.2. Transponder-Based Transactions April 1, 2023 through TSP2 go-live

TSP business rules approved on February 16, 2023 (v5.02), governed the following transactions that occurred on April 1, 2023 through TSP2 go-live:

- Local 6C transponder transactions (registered/prepaid) processed with a transponder read (not involving a plate read); and
- E-ZPass transponder transactions (registered/prepaid) processed with a transponder read (not involving a plate read).

1.3.3. Image-Based Transactions April 1, 2023 through TSP2 go-live

TSP2 business rules approved on February 16, 2023 (v5.03) governed the following transactions that occurred on April 1, 2023 through TSP2 go-live, with the exception of any business rule governing the timing of the beginning of the invoicing process, which did not apply, and the exception of Section 5.12, as Pay by Plate will not be available for these transactions until December 2024:

- Unregistered/invoiced transactions;
- Local 6C transponder transactions (registered/prepaid) involving a plate read; and
- E-ZPass transponder transactions (registered/prepaid) involving a plate read.

These transactions were recorded and stored but not processed and/or invoiced until after the TSP2's go-live date. Transactions that were recorded and stored between April 1, 2023 and TSP2's go-live date were invoiced and mailed during August - December 2023.

1.3.4. Transactions occurring on or after TSP2 go-live

TSP2 business rules approved on August 31, 2023 (v5.07) govern all transactions that occur on or after the TSP2 go-live, which include:

- Local 6C transponder transactions (registered/prepaid) including both transactions processed with a transponder read and transactions involving a plate read;
- E-ZPass transponder transactions (registered/prepaid) including both transactions processed with a transponder read and transactions involving a plate read; and
- Unregistered/invoiced transactions.

Exception: Any business rule governing the timing of the beginning of invoicing shall not apply to unregistered/invoiced transactions occurring between TSP2 go-live and Full Revenue Service Date, during which time processing may be delayed due to the transition. The first invoice for each unregistered/invoiced transaction between go-live and Full Revenue Service Date, shall be mailed by February 28, 2024.

1.3.5. Transactions occurring on or after Full Revenue Service Date

Business rules approved on August 31, 2023 (v5.08), which replace business rules v5.06 in their entirety (meaning v5.06 will never go into effect), will govern all transactions that occur on or after Full Revenue Service Date, which include:

- Local 6C transponder transactions (registered/prepaid) including both transactions processed with a transponder read and transactions involving a plate read;
- E-ZPass transponder transactions (registered/prepaid) including both transactions processed with a transponder read and transactions involving a plate read; and
- Unregistered/invoiced transactions.

Exception: Any business rule governing the timing of the beginning of invoicing shall not apply to unregistered/invoiced transactions occurring between Full Revenue Service Date and February 1, 2024, during which time processing may be delayed due to the transition. The first invoice for each unregistered/invoiced transaction between Full Revenue Service Date and February 1, 2024 shall be mailed by February 28, 2024.

2. Terminology

2.1. Acronyms

Table 3: 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 |
| ALPR | Automatic License Plate Recognition |
| 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 |
| EJ | Environmental Justice |
| 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 |
| JBR | Joint Board of Representatives |
| KYTC | Kentucky Transportation Cabinet |
| LP | License Plate |
| LPN | License Plate Number |
| MIR | Manual Image Review |
| MOMs | Maintenance Operations Management system |

| Acronym | Definition |
|-----------|--|
| MWUC | Mobile Walk-Up Center |
| NTP | Network Time Protocol |
| ORB | Ohio River Bridge and/or its RiverLink Tolling System, contextually |
| OSS | Operations Support Service |
| RiverLink | Louisville Southern Indiana Ohio River Bridge and its Tolling Body, contextually |
| RJDP | Duplicate E-ZPass transaction |
| RSP2 | Road Side Services Provider 2 (TransCore) |
| 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) |
| TSP2 | Toll Services Provider 2 (ETC) |
| TVL | Transponder Validation List |
| TZC | Toll Zone Controller |
| VPN | Virtual Private Network |
| WUC(s) | Walk-Up Center(s) |

2.2. References

Table 4: List of References

| Number | Reference |
|--------|--|
| Ref.1 | For history of references with the legacy business rules document, please refer to the LSIORB_BR_CLEAN-OPERATIONS-ALL_v05-01 document (approved by the Tolling Body on December 18, 2018). |

2.3. Definitions

Table 5: List of Definitions

| Term | Description |
|-----------------------------------|---|
| Account | A RiverLink Account established by a Customer for the payment of tolls. |
| Administrative Fees | Late fees, violation fees, collection fees, and/or charges for the administration of accounts, individually or collectively. |
| Administrative Hearing | Conducted for the resolution of disputes on whether a toll is due and payable. |
| 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. |
| All Electronic Tolling | A system of toll assessment and collection while vehicles pass through tolling zones at highway speeds, using exclusively electronic toll collection and video tolling, without manual toll collection. |
| 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). |
| Away Transponder | Transponders or tags issued by or on behalf of another tolling entity (other than the states' parties for the Ohio River Bridges Project) that may be used to pay a toll during a crossing. |
| Back Office System | The system that provides road side toll transaction processing, customer service and website, customer account management, invoicing and payments, third-party system integrations and reconciliation. |
| 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. |
| Business Rules | A set of policies and procedures established from time to time by the tolling body pursuant to a toll policy agreement of the states' parties that defines how the toll transactions will be processed. |
| Cash | All references to cash refer to U.S. currency. |
| Chronic Violator | A violator with an unpaid balance of tolls and fees in excess of two hundred fifty dollars (\$250). |
| Collections Agency | The contractor, as a representative of the JBR, that attempts to successfully collect past due debts on behalf of the JBR. |
| Commercial Transponder Account | A pre-paid RiverLink Transponder Account that is manually or automatically pre-paid with more than 4 vehicles assigned to it pursuant to which tolls are automatically debited from the Account. Also known as "Commercial Account" in Indiana Administrative Code. |
| Commercial Vehicle | A multi-axle vehicle used for carrying goods or fare-paying passengers. KY definition "Commercial Motor Vehicle". |
| Commercial Video Account | A prefunded video tolling account that is manually or automatically pre-paid with more than 4 vehicles allowed on the account, pursuant to which tolls are automatically debited from the account upon identification of registered license plate numbers. Also known as "Registered video account" in Indiana Rules and Regulations. |
| 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. |

| Term | Description |
|-----------------------------------|--|
| 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). |
| Department Account | A RiverLink Account tolling account with an unlimited number of vehicles and transponders, pursuant to which tolls are invoiced or auto charged. |
| Dispute | A written protest that a toll, fee or fine was assessed incorrectly or that a customer's account was incorrectly debited. KY definition "Protestant" and "Protestant's vehicle" |
| DMV | The Indiana bureau of motor vehicles, the Indiana secretary of state, the Indiana department of revenue, the Kentucky division of motor vehicle licensing, and any department or agency of any other state with jurisdiction over vehicle registration. |
| Exempt Crossing | A crossing by registered or listed vehicles of the Transit Authority of River City or a successor agency or by registered or listed police, fire, ambulance, or other emergency vehicles. |
| Final Settlement | A Settlement between IAG or other interoperable tolling agencies after Reconciliation has been completed and accepted by the two Agencies. |
| Fleet Account | A RiverLink pre-paid tolling account with an unlimited number of vehicles allowed, pursuant to which tolls are debited from the pre-paid account. |
| Frequent User Program (FUD) | A discount program for frequent users as defined in Section 3.4.1 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 or a license plate on a RiverLink Account on a RiverLink tolling facility. |
| Home Transponder | Transponders or tags issued by the states' parties or the toll operator on behalf of the states' parties (which may include transponders eligible for use at other toll facilities). |
| Image-based/Video Toll | A traffic transaction (and potential financial Transaction) for which a charge is associated with a particular vehicle that is identified by the vehicle's license plate if the vehicle's registered owner does not have a toll account. Also known as "Photo Toll" in Kentucky's Administrative Regulations. |
| 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. |

| Term | Description |
|--------------------------------|--|
| Motorist | The registered owner of a vehicle engaged in a crossing as shown in the records of the applicable DMV. |
| Negative Balance | A balance on a customer Account where the net amount is less than \$0.00. |
| Non-Revenue Department Account | A RiverLink post-paid tolling account with an unlimited number of vehicles allowed, pursuant to which tolls are exempt. |
| Online | Posted on designated websites for the Ohio River Bridges Project. |
| Personal Temporary Account | A manually pre-paid RiverLink Transponder Account with 1 tag and 1 vehicle assigned to it with a pursuant to which tolls are automatically debited from the Account. |
| Personal Transponder Account | A pre-paid RiverLink Transponder Account that is manually or automatically pre-paid with 4 or fewer vehicles assigned to it pursuant to which tolls are automatically debited from the Account. Also known as "Private Account" in Indiana Administrative Code. |
| Personal Video Account | A prefunded video tolling account that is manually or automatically pre-paid, pursuant to which tolls are automatically debited from the account upon identification of registered license plate numbers. Also known as "Registered video tolling account" in Indiana Rules and Regulations. |
| 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 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. |
| Registration Hold | When a person has not made a timely payment of a currently due and payable toll, fine, or fee as established in the project document, the toll operator will notify the DMV of the state in which the motorist has registered the vehicle of the occurrence of the toll violation and that outstanding tolls and fees remain due and payable. The toll operator will request the applicable DMV to impose a hold on renewal of vehicle registration (or to suspend vehicle registration if permitted under applicable state law) or withhold vehicle registration renewal until payment is made in full of all outstanding tolls and fees. |
| 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 |
| Registered Owner | Vehicle owner as shown in the records of the applicable DMV. Also known as Indiana "Motorist". |
| Retail Location | Any location where Unregistered Transponder Accounts can be opened. |
| RiverLink | The toll collection system for the Louisville-Southern Indiana Ohio River Bridges. |
| RiverLink User | The driver of any vehicle using a RiverLink enabled toll lane. |
| RSP2 | The Road Side Services Provider and operator (i.e., TransCore) providing integration and operation of the RiverLink road side system. |
| 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. |
| 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 the RiverLink and IAG 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. |
| Toll | The user fee to be paid for the privilege of using any of the Ohio River Bridges. |
| Toll Notice Number | A number assigned to the monthly invoice on which all tolling transactions for a monthly billing period, and all unpaid fees and balances carried over for tolling transactions for prior periods, are reflected. |
| 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 Toll Service Providers Agreements on behalf of the Tolling Body. |
| Toll(ing) Point | Designated location or locations where tolls are collected. |
| Toll Rate | Toll rates established by the tolling body and published online. |
| Toll Transaction | A Transaction created by the road side system by the passage of a vehicle and sent by the road side system to the BOS. |
| Toll Service Provider 2 (TSP2) | The Toll Services Provider and operator 2 (i.e., Electronic Transaction Consultants) providing integration, toll operations, management and collection of the RiverLink back office and customer service center at TSP2 go-live. |
| Toll Violation | The failure of a motorist to pay a toll when due after a crossing, which is a moving violation and an Indiana Class C infraction and a Kentucky violation. |
| 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. |
| Transponder (RiverLink Transponder)/Tag | A radio frequency identification (RFID) device issued by RiverLink that is used to identify a vehicle. Also known as Indiana "Tag". |
| 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. |
| Unregistered Video Account | A post-paid video tolling account with one vehicle allowed on the account, pursuant to which tolls are invoiced upon identification of registered license plate numbers. Also known as "Registered video account" in Indiana Rules and Regulations. |
| User Agreement | The Agreement related to the use of the RiverLink electronic toll collection 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. |
| Vehicle | Every device (motorized or nonmotorized) in, upon, or by which any person or property is or may be transported, towed, or drawn upon an Ohio River bridge. A vehicle includes any vehicle being towed for purposes of axle count. |

| Term | Description |
|-------------------------------|---|
| Vehicle Classification | The differentiation of vehicles for purposes of toll rate classifications. Also known as Indiana "Vehicle category". |
| Video Tolling | A toll collection method involving the assessment of tolls against a motorist engaged in a crossing by virtue of video, photograph, laser, in ground loops, and other license plate recognition technology, including future technology developed for that purpose, other than electronic toll collection. |
| Violator | A motorist who has committed a toll violation. |
| 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)

The road side system is managed by the RSP2 who is responsible for the business rules in this section.

Table 6: Vehicle Classifications

| 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 or, if applicable, object substantially covering the width 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 | <p>The 10 billing categories presently in effect are as follows:</p> <ul style="list-style-type: none"> 1 Personal Transponder, Vehicle Class 1 2 Personal Transponder, Vehicle Class 2 3 Personal Transponder, Vehicle Class 3 4 Personal Video, Vehicle Class 1 5 Personal Video, Vehicle Class 2 6 Personal Video, Vehicle Class 3 7 Unregistered Video, Vehicle Class 1 8 Unregistered Video, Vehicle Class 2 9 Unregistered Video, Vehicle Class 3 10 Personal Transponder with Frequent User Discount, only applicable to Vehicle Class 1 when assigned to a personal account. <p>Additional billing categories may be created if additional Account types or vehicle classifications are later adopted.</p> <ul style="list-style-type: none"> 11 Personal Temporary, Vehicle Class 1 12 Commercial Transponder, Vehicle Class 1 13 Commercial Transponder, Vehicle Class 2 14 Commercial Transponder, Vehicle Class 3 15 Commercial Video, Vehicle Class 1 16 Commercial Video, Vehicle Class 2 17 Commercial Video, Vehicle Class 3 18 Fleet, Vehicle Class 1 19 Fleet, Vehicle Class 2 20 Fleet, Vehicle Class 3 21 Department, Vehicle Class 1 22 Department, Vehicle Class 2 23 Department, Vehicle Class 3 <p>Additional billing categories may be created if additional Account types or vehicle classifications are later adopted.</p> | |

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

Table 7: IAG Classes

| | 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 |

| | Vehicle Type | Axles | # of Tires | Dual Tires? | 7,000+ lbs.? | IAG Class | ORB Class |
|--|--------------|-------|------------|-------------|--------------|-----------|-----------|
| 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 |
| | 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 |

| | Vehicle Type | Axles | # of Tires | Dual Tires? | 7,000+ lbs.? | IAG Class | ORB Class |
|---------------------------------------|--------------|-------|------------|-------------|--------------|-----------|-----------|
| | 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 |
| | 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 (|

| | Vehicle Type | Axles | # of Tires | Dual Tires? | 7,000+ lbs.? | IAG Class | ORB Class |
|--|--------------|-------|------------|-------------|--------------|-----------|-----------|
| | 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 |
| | 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 |

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| | Vehicle Type | Axles | # of Tires | Dual Tires? | 7,000+ lbs.? | IAG Class | ORB Class |
|---|--------------|-------|------------|-------------|--------------|-----------|-----------|
| | 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 |

| | Vehicle Type | Axles | # of Tires | Dual Tires? | 7,000+ lbs.? | IAG Class | ORB Class |
|--|--------------|-------|------------|-------------|--------------|-----------|-----------|
| | 17 | 5 | n/a | Y | Y | 1111 | Class 3 |
| | 17 | 6 | n/a | Y | Y | 1115 | Class 3 |
| | 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. The FY 2023 toll pricing is as follows:

Table 8: FY 2024 Toll Rates

| Current Toll Rates (effective July 1, 2023) | | | |
|---|-----------------|-----------------|-----------------|
| | Vehicle Class 1 | Vehicle Class 2 | Vehicle Class 3 |
| Transponder | \$2.52 | \$6.30 | \$12.57 |
| Video (Registered) | \$3.79 | \$7.55 | \$13.82 |
| Video (Unregistered) | \$5.04 | \$8.81 | \$15.09 |

Per the Resolution, each of the above listed toll rates becomes effective July 1, 2023, and will increase annually July 1st of each calendar year 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)) and Frequent User Discount (rounded up to the nearest cent (\$0.01) in favor of the customer) shall be provided in writing to the TSP2 and any other relevant entities (marketing, IAG, etc.) by the Tolling Body or Joint Board Representatives no later than forty-five (45) calendar days prior to the effective date of the toll rate change of July 1st. At no time will the TSP2 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 ready for release and communicated to customers and the media on or about June 1st of each year.

The Consumer Price Index for all Urban Consumers (CPI-U), US City average by expenditure, as published by the U.S. Bureau of Labor Statistics, in April of the current year shall be used to determine the toll rate increase.

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 TSP2. The following table lists initial specific administrative fees. Monthly invoices will have an assigned Toll Notice Number for that month, and also will reference prior Toll Notice Numbers for tolling transactions and fees that remain unpaid. The administrative fees shown below are applied to each Toll Notice Number.

Table 9: Administrative Fees

| Initial Administrative Fees | |
|--|--|
| Description | Amount |
| 1st Monthly Bill showing a toll notice number | No Fee for that toll notice number |
| 2nd Monthly Bill showing a toll notice number | \$5.00 Late Fee for that toll notice number |
| Account Statement – Upon Request (E-mailed) | No Fee |
| 3rd Monthly Bill showing a toll notice number | \$25.00 Violation Fee for that toll notice number |
| 4th Monthly Bill showing a toll notice number | \$30.00 Collections Fee for that toll notice number |
| Monthly Account Statement (E-Mailed) | No Fee |
| Monthly Account Statement (Web) | No Fee |
| Non-Commercial Monthly Account Statement (Mailed) | \$2.00 / month flat fee, labeled as Paper Statement Charge |
| Commercial Monthly Account Statement (Mailed) | \$2.00 / month flat fee |
| 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 |
| 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** **The application of this fee will be managed operationally by CSRs and documented via SOPs allowing the CSR to choose to apply this fee or not based on the scenario occurring with the customer. The SOP will provide clear guidance. |

3.4. Discounts

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

3.4.1. Frequent User Program

The BOS is managed by TSP2 who is responsible for the business rules in this section.

The referenced “Resolution Adopting Rates” specifies a discount for “frequent users” and was enacted only for “passenger vehicle” classifications with a personal transponder 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 transponder 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 Customer is eligible for the Frequent User Discount (FUD) when they have forty (40) pre-paid Transponder Transactions on RiverLink facilities to a single RiverLink 6C Transponder with the appropriate vehicle classification within a calendar month. Video transactions (VTOLLS) associated to the 6C transponder, up to when the vehicle is deemed as meeting the Excessive VTOLL threshold, will be applied toward the 40 required transactions. When eligibility is reached, the Account shall receive the FUD for the Toll Transactions within that month; or
- A Customer is eligible for the Frequent User Discount (FUD) when they have forty (40) pre-paid Transponder Transactions on RiverLink facilities to a single RiverLink E-ZPass Transponder with the appropriate vehicle classification within a calendar month. Video transactions (VTOLLS) of the primary vehicle associated to the E-ZPass transponder, up to when the vehicle is deemed as meeting the Excessive VTOLL threshold, will be applied towards the 40 required transactions. When eligibility is reached, the Account shall receive the FUD for the Toll Transactions within that month.
- 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 toll pricing is listed in the following table.

Table 10: Frequent User Toll Pricing

| Description | Vehicle Class 1 | Vehicle Class 2 | Vehicle Class 3 |
|---|--------------------------------------|-----------------|-----------------|
| Frequent Users with Personal Transponder (Registered) Account | Transponder rate with a 50% discount | N/A | N/A |

3.4.2. TARC

The BOS is managed by TSP2 who is responsible for the business rules in this section.

The LSIORB Tolling Body has passed an EJ Mitigation Plan that 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:

- 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 TSP2. 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 TSP2 shall provide to TARC from the inventory purchased by the LSIORB Joint Board, local 6C Transponders. TARC shall properly install these Transponders in the vehicles on the approved list. As vehicles are removed from the approved list, the TSP2 shall retire the Transponders associated with those vehicles. TARC vehicles that 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 TSP2, and/or vehicles without a corresponding assigned Transponder, etc.).

Table 11: TARC Vehicle Class

| 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 |

Table 12: TARC Approved Vehicle List

| ID | Description | [Variable Value] |
|-------------|--|-------------------------------------|
| GEN-TAR-001 | Reporting will be provided as required and as requested, 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 | The TSP2 shall report time of day and frequency of use for TARC Transponders as requested, every [1 month]. | # of Days/weeks periodic definition |

4. Lane and Host Business Rules

The road side system is managed by RSP2 who is responsible for the business rules in this section.

4.1. General Lane and Host Business Rules

Table 13: General Lane and Host

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| L&H-GEN-001 | When a loss of communication between the road side 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 |
| 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 road side 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 image-based transaction and flag as an exception where an unrecognized Tag was read. | do/do not |
| L&H-GEN-010 | When transaction(s) are moved from the road side 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

Table 14: AVDC or AVC Business Rules

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| L&H-AVC-001 | Intentionally left blank | |
| L&H-AVC-002 | Intentionally left blank | |
| 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 | |

| ID | Description | [Variable Value] |
|---------------|--|------------------|
| 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

Table 15: 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 image-based toll transaction 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

Table 16: ICPS or ICS Business Rules

| 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 |

| ID | Description | [Variable Value] |
|-------------|--|------------------|
| 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

Table 17: 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 |
| 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 sixty (60) Days. | |
| L&H-TZC-008 | When the Host has not been available for sixty (60) 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 | When operating in degraded mode, the AVI Subsystem will default to Class 1 for all transactions. | |
| 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. | |
| 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 Plans

The BOS is managed by TSP2 who is responsible for the business rules in this section.

The various Account Plans for the RiverLink Tolling System (where pa = per Account and pv = per vehicle) operate according to the following parameters. Note that pre-existing accounts migrated to the new back office will be “grandfathered” in allowing a 1:4 ratio for E-ZPass transponder to vehicles (license plates). These migrated E-ZPass accounts will have a primary vehicle (license plate) associated to the E-Zpass transponder based upon the most frequently used vehicle (license plate) on the account at the time of migration from TSP to TSP2. If an Account holder removes the primary vehicle (license plate) from their account via the website, they will be prompted to select a new primary vehicle (license plate) from the vehicles on the account. Other primary vehicle (license plate) changes can be handed via phone/CSR. Any new vehicle (license plate) added to any transponder account must have a transponder assigned to it.

Table 18: Account Plan Parameters

| 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) |
|------------------------|--|----------------------------|---------------------|--------------------|--------------------|---|
| Personal Transponder | \$20.00pa | Y | 6C or E-ZPass | 1:1 | Max 4 | Y |
| Commercial Transponder | \$20.00pv | Y | 6C or E-ZPass | 1:1 | Unlimited | N |
| Personal Temporary | \$20.00pa + cost indicated on retail packaging | Y | 6C | 1:1 | 1 | N |
| Department | \$0 | Y | 6C | 1:1 | Unlimited | N |
| Non-Revenue Department | \$0 | Y | 6C | 1:1 | Unlimited | N |
| Personal Video | \$20.00pa | N | n/a | n/a | Max 4 | N |
| Commercial Video | \$20.00pv | N | n/a | n/a | Unlimited | N |
| Unregistered Video | n/a | N | n/a | n/a | 1 | N |
| Fleet | \$20.00pv | Y | 6C or E-ZPass | 1:1 | Unlimited | N |

5.2. Account Establishment (AES)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

The RiverLink 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 RiverLink back office system.

Table 19: Account Establishment

| Account Plan | Paper Application (Walk up center, mail, email, mobile WUC) | Online (Website, mobile web) | Telephone |
|------------------------|---|------------------------------|-----------|
| Personal Transponder | Yes | Yes | Yes |
| Personal Video | Yes | No | Yes |
| Personal Temporary | N/A | N/A | N/A |
| Commercial Transponder | Yes | Yes | Yes |
| Commercial Video | Yes | No | Yes |
| Department | Yes | No | Yes |
| Non-Revenue Department | Yes | No | No |
| Unregistered Video | N/A | N/A | N/A |
| Fleet | Yes | No | Yes |

Table 20: Account Establishment Business Rules

| 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 (Terms and Conditions) 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. | |
| 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 Walk-Up Centers (WUCs) by paying with the following payment options: a valid credit card (Visa, MC, AMEX, Discover) a check (except at certain Retail locations) or money order ACH payment Cash | Payment option types |

| ID | Description | [Variable Value] |
|--------------|---|--|
| 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 (Visa, MC, AMEX, Discover) using ACH payment | Payment option types |
| 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 (Visa, MC, AMEX, Discover) using a check or money order using ACH payment 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 (Visa, MC, AMEX, Discover) using ACH payment ApplePay GooglePay PayPal | 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 using a credit card or check), Account Owner contact information, one or more license plate(s), an acknowledgment of the User Agreement (Terms and Conditions), and the required minimum balance or more <i>*a replenishment method (including cash as an option) Note: this is optional for certain plans</i> Vehicle type Vehicle model, make, year, and color | |
| CSC-AES-009a | To open a Temporary Account, the customer may visit an authorized retail store and is required to provide the cost as indicated on the transponder packaging plus the minimum account balance or more. | Amount required to open account |
| CSC-AES-010 | A Registered Personal Transponder Account may have 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. |

| ID | Description | [Variable Value] |
|-------------|---|--|
| CSC-AES-011 | For accounts registered after the new back office go-live, a maximum of one active vehicle (license plate) to one active E-ZPass transponder is allowed. For Personal and Commercial accounts registered before the new BOS go-live (and migrated to the new BOS), a maximum of four active vehicles (license plates) to one active E-ZPass transponder is allowed. These migrated E-ZPass accounts will have a primary vehicle (license plate) associated to the E-ZPass transponder based upon the most frequently used vehicle (license plate) on the account at the time of migration from TSP to TSP2. If an account holder removes the primary vehicle (license plate) from their account via the website, they will be prompted to select a new primary vehicle (license plate) from the vehicles on the account. Other primary vehicle changes can be handled via phone/CSR. Any new vehicle (license plate) added to any transponder account must have a transponder assigned to it. | |
| 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 accountable for the payment of all tolls charged through the use of any Transponder(s) and vehicle(s) associated with that pre-paid Account. | |
| 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 posted to a shell account. The system will look up the registered vehicle owner information. If an Unregistered Video Account already exists for the registered owner of the vehicle associated with the toll, the toll shall be charged to the existing Unregistered Account. If the system does not find an existing account, then the system will create a new unregistered account using the lookup information. | |

5.3. Account Management (ACC)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Table 21: ACC Business Rules

| ID | Description | [Variable Value] |
|-------------|--|------------------|
| CSC-ACC-001 | The RiverLink Customer Agreement (Terms and Conditions) 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 (pre-paid) Account. | |

| ID | Description | [Variable Value] |
|-------------|--|-------------------------------|
| 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) Pending Close (able to apply tolls and/or payments, but transponders/vehicles are Ineligible) Pending Close – Inactivity | |
| CSC-ACC-004 | VTOLL When a customer has a Personal Transponder or Commercial Transponder 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 transponder account rate indicating that the Toll Transaction has posted but the transponder was not read. | |
| CSC-ACC-005 | If a customer has [10] consecutive VTOLLS post to their Account associated with the same vehicle, an Excessive VTOLL notification 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 | If the customer's vehicle continues to incur contiguous VTOLLS after an Excessive VTOLL notification has been sent, then after a configurable number of contiguous VTOLLS for that vehicle (which may be zero), all subsequent VTOLL Toll Transactions for that vehicle will post to the customer's Account at the prepaid account with no transponder until the vehicle's transponder is read in a RiverLink facility's lane. | # of consecutive transactions |
| CSC-ACC-007 | If the VTOLLS for a vehicle are not consecutive, then the count to determine notification to the customer restarts. | |
| CSC-ACC-008 | A VTOLL (including VTOLL Toll Transactions applied to an Account at the transponder rate) are counted toward the Frequent Users Program eligibility until the vehicle is flagged as 'Excessive VTOLL' per the configured number of transactions [10]. | # of consecutive transactions |
| CSC-ACC-009 | CSRs are able to navigate to and view the static images of transactions from the BOS. | |

5.4. Account Maintenance (ACM)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

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

Table 22: ACM Business Rules

| ID | Description | [Variable Value] |
|-------------|--|------------------|
| CSC-ACM-001 | <p>The CSC shall support customer service functions through the following interface(s):</p> <ul style="list-style-type: none"> • WUCs • CSC Call Center / IVR • Web Site • Mobile Website • Fax • E-Mail • Standard Mail • SMS Messaging • Chat • MWUC • Retail Location(s) | |
| CSC-ACM-002 | <p>Functionality to maintain RiverLink Accounts shall include but not be limited to:</p> <ul style="list-style-type: none"> • 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 | <p>Accounts that do not have sufficient funds to cover the cost of tolls will have a DMV lookup performed and a monthly bill sent to the vehicle registered owner.</p> | |

| 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 Balance Alert 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 costs associated with monthly bills. The Account Balance Alert notification will be sent to the customer the day after their Account goes negative and will be sent, via the preferred delivery method indicated on their Account (SMS or email). | |
| 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 or web or mobile website. | |
| CSC-ACM-006 | The IVR PIN Notification will be sent to the customer with a temporary PIN when a customer requests a PIN reset. | |

5.5. Account Closure (ACL)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Table 23: ACL Business Rules

| ID | Description | Variable Value |
|-------------|---|--------------------------------------|
| CSC-ACL-001 | 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 (which will be pursued by third party collections), or the Revenue Control Manager (RCM) and/or the Joint Board must approve the write-off of the negative balance. Upon approval from the Joint Board, the agency will follow the defined write-off process to close out open receivables. | |
| CSC-ACL-002 | A customer may request to close their pre-paid Account via: <ul style="list-style-type: none"> WUCs CSC MWUC E-mail (received from email address associated with the account) | |
| CSC-ACL-003 | An Account closure may be requested by: The Account holder, the Joint Board representatives for: <ul style="list-style-type: none"> Accounts of customers that are inappropriate or disruptive to CSRs Any other Account that the Joint Board representatives feel should be closed pursuant of the Customer Agreement (Terms and Conditions), 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 closure. | |
| CSC-ACL-005 | An Account that is in a pending to close status, where the balance is greater than \$0.00, shall be refunded. The system will create a refund request. The refund will be issued, and the account balance must be \$0.00 before the system can close the account. | |
| 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 to Close" status from the time the Account closure request is made until the date the Account is closed. | # of days in Pending to Close status |

| ID | Description | Variable Value |
|--------------|---|--|
| 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 to Close status |
| CSC-ACL-009 | When an Account is in a "Pending to Close" status, toll transactions will still post to the account. | |
| CSC-ACL-010 | A customer's account will automatically be closed after [three hundred sixty-five [(365)]] days of inactivity. | # of days of inactivity |
| CSC-ACL-011 | Intentionally left blank | |
| CSC-ACL-012 | Intentionally left blank | |
| CSC-ACL-012a | Intentionally left blank | |
| CSC-ACL-013 | Requests for Account closure must be submitted in writing in person at the WUCs or by phone on a recorded line. 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 to 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 to Close status, any subsequent transactions that are received by the BOS for processing will be rejected on the Closed Account. | Rejected; applied to Unregistered Video; other |

5.6. Notifications

RiverLink Account-related notifications shall display the RiverLink logo, return address, website address, and phone number. The CSC shall support the generation of the following notifications via Print, Email or SMS based on the communication methods available for the RiverLink Account and a customer's requested settings.

Table 24: Notifications

| Notification Type | Frequency of Generation | Notification Channel | Criteria for Generation |
|--------------------------------|---------------------------------|----------------------|---|
| Customer Statements | Monthly | Print or Email | Sent on the 15th of each month. |
| ACH Email Payment Receipt | As Needed ¹ | Email or SMS | Sent when "Electronic Funds Transfer" is received. |
| ACH Pmt Rej Bank Acct Not Rem | As Needed | Email or SMS | When ACH payment failed, and the billing type remains on the customer account. |
| ACH Pmt Rej Bank AcctRem NoSec | As Needed | Email or SMS | When ACH payment failed, and no secondary payment method exists. |
| ACH Pmt Rej Bank AcctRem SecAv | As Needed | Email or SMS | When ACH payment failed, and a secondary payment method exists. |
| Credit Card Expiring Soon | 15 th of every month | Email or SMS | Credit card is expiring at the end of the following month. |
| Credit Card Expired | Monthly | Email or SMS | Sent when the primary credit card is expired. |
| Low Balance Alert | Daily | Email or SMS | Balance has reached below the low balance amount and a replenishment method is not available. |
| IVR PIN Notification | As Requested | Email | Customer Request (CSC) (Available). |

| Notification Type | Frequency of Generation | Notification Channel | Criteria for Generation |
|---------------------------------|--|--|---|
| Account Registration Success | As Requested ¹ | Print or Email | Account registration summary email is sent to primary contact when a CSR selects for it. Otherwise, if the CSR selects for this notification to be printed and handed out at the WUC. |
| New Account Welcome | Two (2) Business days after the account is opened ¹ | Print or Email | Customer has opened a new account online, over the phone, or in person. |
| Account Address Verification | As Needed | Email or SMS | When correspondence sent to the account holder via US Postal Service was returned to agency offices as undeliverable. |
| Bad Email Address | As Needed | Print or SMS | Sent when a valid E-Mail address does not exist on customer account. |
| Account Payment Failure | Daily | Email or SMS | A payment method (any payment method) has failed for various reasons. |
| Payment Method has been Blocked | As Needed | Email or SMS | Sent to customers when the credit card on the account has been blocked after a rebill or payment attempt. |
| Dispute Request Form | As Requested | Print *Located on the RiverLink Website for Print | The form to complete to dispute toll transactions and/or monthly bills. |
| Case Created | As Needed | Email or SMS | Once a case is created, the system generates this notification to record the case creation. |
| Dispute Received | Daily | Print or Email | Customer has disputed charges and letter is sent acknowledging that the dispute is being reviewed. |
| Awaiting Customer Action | As Needed | Email | Once a case is created and after x number of days, if the customer needs to provide documentation, the system generates a reminder email. |
| Dispute Accepted Positive | Daily | Print or Email | Sent to customers advising them their dispute has been accepted. |
| Dispute Rejected Negative | Daily | Print or Email | Sent to customers advising them their dispute has been rejected. |
| Excessive VTOLLS | Daily | Email or SMS | 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 Balance Alert | Daily | Email or SMS | RiverLink account has a negative balance and there are no pending automatic replenishments. |
| Billing Info Changed | As Needed ¹ | Email or SMS | Sent when a change is recently made on an account to the Billing Methods. |
| Check Refund | Daily | Print | Letter sent to the customer along with the requested refund. |
| Credit Card Refund | Daily ¹ | Email | Letter sent to the customer when owed a credit card refund. |
| 1 st Monthly Bill | Daily | Print | Notice sent to customer for unpaid/partially paid image transactions. |
| 2 nd Monthly Bill | Daily | Print | Notice sent to customer on the vehicle anniversary date if the 1 st Monthly Bill remains unpaid/partially paid. |
| 3 rd Monthly Bill | Daily | Print | Notice sent to the customer after 1 st and 2 nd Monthly Bills remain unpaid/partially paid on the next vehicle anniversary date after 2 nd Monthly Bill. |

| Notification Type | Frequency of Generation | Notification Channel | Criteria for Generation |
|--|--|--|---|
| 4 th Monthly Bill | Daily | Print | Notice advising the customer that their account remains unpaid and is eligible to be sent to Collections Agency. |
| Monthly Bill (MB) Created | Daily | Email or SMS | Sent when a Monthly Bill (MB) is generated due to insufficient balance on a registered account. |
| Monthly Bill Reminder | Two (2) weeks after MB and no payment received | Email or SMS | Sent when there is a negative balance on the account for MBs. |
| Monthly Bill/Statement (Department Accounts) | Daily | Print or Email | Notice sent to a department account. |
| Monthly Bill Payment Receipt | As Needed ¹ | Email | Sent when an online payment is received on an MB. |
| Payment Plan Agreement | As Needed | Print or Email | When a Payment Plan is established for a customer account; includes the terms and actual agreement. |
| Payment Plan Installment Reminder | As Needed | Email or SMS | Sent when a customer has an active payment plan, and their next installment is due in two weeks and has not yet been paid. |
| Default on Payment Plan | As Needed | Print or Email | Notification sent to the customer advising that they have defaulted on the terms of their payment plan. |
| Registration Hold Notification | As Needed | Print | Notification advising customer that a vehicle registration Hold was placed on their vehicle. |
| Vehicle Hold Release | As Needed ¹ | Print, Email or SMS | Notification advising the customer that their vehicle has been released from Vehicle Registration Hold. |
| Rebill Amount Increased | As Needed ¹ | Email or SMS | Notification advising customer that the rebill amount has increased. |
| Reset Password Notification | As Requested | Email or SMS | Sent when the customer requests to reset the password for their online account. |
| Return Letter for Checks | As Needed | Print | User generated notification for a customer check that cannot be processed due to missing or incorrect check information. |
| Tag Recall Reminder | As Needed | Email or SMS | Recall reminder for replacing old hard-cased battery tag with a new hard-cased battery or sticker tag. |
| Transponder has been Removed | Daily ¹ | Email or SMS | Sent when a transponder has been end dated on the account. |
| Unable to Close Account | Daily | Email | Sent when a customer account cannot be closed due to a negative balance. |
| Vehicle File Uploaded Successfully | As Needed ¹ | Email | Sent when a customer uploads a vehicle file successfully. |
| Vehicle Information Changed | As Needed ¹ | Email or SMS | Sent when a vehicle is added to an existing account. |
| Email Payment Receipt | As Needed ¹ | Email or SMS | Sent when a payment is received on a customer account. |
| Excessive Amount Owed | Daily | Email or SMS | Sent when an account reaches a configurable amount owed. |
| Administrative Hearing Request Form | As Requested | Print *Located on the RiverLink Website for Print | If the registered owner of a vehicle does not agree with the resolution of a toll dispute, the owner may request an administrative hearing; they must complete this form. |
| Hearing Request Received | As Needed | Print or Email | Sent when the Administrative Hearing is updated to the status of "Hearing Request Received". |
| Hearing Request Denied | As Needed | Print or Email | Sent when the Administrative Hearing is updated to the status of "Hearing Request Rejected". |

| Notification Type | Frequency of Generation | Notification Channel | Criteria for Generation |
|--|-------------------------|----------------------|---|
| Close Account Confirmation | As Needed ¹ | Print or Email | Sent when customer requests to close their account. |
| Account Closure | As Needed ¹ | Email | Sent when a customer account closure is complete. |
| Verification Code for Account Registration Notification | As Needed | Email or SMS | Sent when a customer registers for an online account. |
| Verification Code for Login or Update Account Notification | As Needed | Email or SMS | Sent when a customer attempts to login to their online account or when a customer updates information on their account. |

As a result of the transition from TSP1 to TSP2, the following notices may not be sent between Go-Live and October 1, 2023: Credit Card Expired, Credit Card Expiring Soon, Excessive VTOLLS, Payment Plan Agreement, Default on Payment Plan, Payment Plan Installation Reminder, Rebill Amount Increased, Return Letter for Checks, Tag Recall Reminder, Registration Hold Notification, and Vehicle Hold Release.

5.7. Returned Mail & Nixies

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

Table 25: Returned Mail and Nixies Business Rules

| ID | Description | Variable Value | Vendor Responsible |
|-------------|--|----------------|--------------------|
| CSC-NIX-001 | If the returned mail has a forwarding address, the OSS specialist will enter the postal service provided address to the account and the system will reissue monthly bills (if applicable). The monthly bill will be reissued with a new document issue date. | | TSP2 |
| 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. | | TSP2 |
| CSC-NIX-003 | If the returned monthly bill does not have a forwarding address, the system will queue a request for skip tracing. | | TSP2 |
| CSC-NIX-004 | Intentionally left blank | | TSP2 |
| CSC-NIX-005 | During Collection Agency Collections, when an Account is skip traced, any new information retrieved will be sent to the BOS via the inbound demographic file. | | Collections Agency |
| CSC-NIX-006 | The system will initiate skip tracing when a bad address with no forwarding address is received on a monthly bill. The system will not escalate the receivables until a new address is retrieved.. | | TSP2 |
| CSC-NIX-007 | When a new address is located the skip trace will send the new address to the BOS. The system will add the new address to the account and reissue the monthly bill. | | TSP2 |

¹ Customer may opt-out of receiving the notification.

| ID | Description | Variable Value | Vendor Responsible |
|-------------|---|----------------|--------------------|
| 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. | | TSP2 |
| CSC-NIX-009 | If no additional address information is obtained, the Account will not escalate any further. | | TSP2 |

5.8. Transponder Management (TRM)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Table 26: TRM Business Rules

| ID | Description | Variable Value |
|----------------|---|----------------|
| CSC-TRM-001 | Customers shall be able to use a valid transponder to make toll payments on all RiverLink Tolling Points. | |
| CSC-TRM-002 | Each transponder on a pre-paid personal transponder account must be associated with one active vehicle (license plate) on the Account. For E-ZPass pre-paid personal transponder accounts, each transponder may be used in other vehicles associated with the Account, one active primary license plate (vehicle) for the transponder is required. | |
| CSC-TRM-003 | A maximum of one active license plate to one active 6C Transponder is allowed. | |
| CSC-TRM-003(a) | For accounts registered after the new BOS go-live, a maximum of one active vehicle (license plate) to one active E-ZPass Transponder is allowed. For Personal and Commercial accounts registered before the new BOS go-live (and migrated to the new BOS), a maximum of four active vehicles (license plates) to one active E-ZPass transponder is allowed. These migrated E-ZPass accounts will have a primary vehicle (license plate) associated to the E-ZPass transponder based upon the most frequently used vehicle (license plate) on the account at the time of migration from TSP to TSP2. If an Account holder removes the primary vehicle (license plate) from their account via the website, they will be prompted to select a new primary vehicle (license plate) from the vehicles on the account. Other primary vehicle (license plate) changes can be handled via phone/CSR. Any new vehicle (license plate) added to any transponder account must have a transponder assigned to it. | |
| CSC-TRM-003(b) | A license plate may only be active on a single Account but can be associated with multiple Accounts. | |
| CSC-TRM-004 | The CSC system assigns a status to each transponder in the system. They are: Inventory: Transponder has been placed into inventory in the system, awaiting assignment to a Customer Account. While transponder is in inventory, it remains invalid. Assigned: Transponder is valid, assigned to a Customer Account, and is available for use Damaged: Transponder is invalid and not available for use Lost: Transponder is invalid. Can be reactivated Stolen: Transponder is invalid. Can be reactivated Invalid: Transponder is invalid. Can be reactivated | |
| CSC-TRM-005 | A transponder can only be active (assigned) on one account at a time. | |
| CSC-TRM-006 | Intentionally left blank. | |

| ID | Description | Variable Value |
|-------------|---|----------------|
| CSC-TRM-007 | Transponders may be issued and distributed from multiple venues as approved by the Joint Board Representatives. | |
| CSC-TRM-008 | An active transponder will be issued to a Customer opening an Account in person (WUCs, Retailer or MWUC). | |
| CSC-TRM-009 | An active transponder will be issued to a customer opening an Account remotely (via mail or retail location). | |
| CSC-TRM-010 | A transponder must be active in order for a toll transaction to post against the transponder. | |
| CSC-TRM-011 | A customer may report a transponder as lost, stolen, or damaged via: WUCs Telephone (with a CSR) RiverLink Customer Website E-mail Chat Mobile Website MWUC | |
| CSC-TRM-012 | A customer can request an additional transponder or replacement transponder: 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 Website MWUC | |
| CSC-TRM-013 | Upon receipt, the Tolling Body Representatives will be notified when new transponder inventory are received. | |
| CSC-TRM-014 | When a shipment is received, a data file with transponder serial numbers will be sent along with shipment. This file is used to track transponders shipped and resolve discrepancies if they exist. | |
| CSC-TRM-015 | All transponders received will be scanned for testing and accountability and to verify that there are no duplicate or previously used numbers. | |
| CSC-TRM-016 | Any transponder(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 transponder bins are inventoried and reconciled, and then the transponders are returned to the manufacturer along with defective log, for credit. | |
| CSC-TRM-017 | Transponder inventory data will be entered and updated into the system as being "in inventory" until assigned to a Customer Account. | |
| CSC-TRM-018 | Transponder inventory will be secured at the CSC and WUC facilities and an inventory control methodology will be employed to ensure that Transponder inventory is both secured and periodically audited and reconciled. | |

| ID | Description | Variable Value |
|-------------|--|----------------|
| CSC-TRM-019 | Preventative and detective controls to ensure the safeguarding of Transponders. 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 Transponder Inventory Control Process for Receipt of Inventory | |
| CSC-TRM-020 | Audit of all transponder 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 transponder fulfillment on a daily basis, using the CSC system generated reports to identify transponder inventory levels, burn rate, inventory coverage, forecast demand and when transponders are approaching out of warranty status. | |
| CSC-TRM-022 | The transponder 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 Transponder Requests Fulfilled (by Transponder Type) Additional Transponder Requests Fulfilled (by Transponder Type) Replacement Transponder Requests Fulfilled (by Transponder Type) Total Transponders Fulfilled (by Transponder Type) # of Transponders Mailed (by Transponder Type) Processing Timeframes for Fulfillment | |

5.9.Financial Processing

The BOS is managed by TSP2 who is responsible for the business rules in this section.

5.9.1. Payment Processing (PAY)

Table 27: PAY Business Rules

| ID | Description | Variable Value |
|-------------|--|----------------|
| CSC-PAY-001 | Payments shall be accepted via: <ul style="list-style-type: none"> • WUCs • MWUCs • Telephone (with a CSR) • RiverLink Customer Website • Mail (lockbox) • IVR • Retail location(s) • Mobile Website | |

| ID | Description | Variable Value |
|-------------|--|----------------|
| CSC-PAY-002 | <p>Customers are able to make payments via the following payment methods:</p> <ul style="list-style-type: none"> • Cash (WUCs, Retail) • Check/Money Order (WUCs, MWUCs, Mail) • Credit Card (WUCs, MWUCs, Retail, CSC, Phone, IVR, Web/Mobile Website) • Debit Card (WUCs, MWUCs, Retail, Phone, IVR, Web) • ACH/ (Phone, Web) | |
| CSC-PAY-003 | <p>The following credit cards may be used:</p> <ul style="list-style-type: none"> • Visa • MasterCard • American Express • Discover | |
| CSC-PAY-004 | <p>The following information is required to process a credit card payment:</p> <ul style="list-style-type: none"> • Cardholder Name (as it appears on card) • Credit/Debit Card # • Expiration Date • Billing Address • Billing Address Zip Code • CVV security code (Visa/MC/Discover-3 digit; AmEx-4 digit) • LPN/Jurisdiction and/or RiverLink Account Number | |
| CSC-PAY-005 | <p>The following information is required to process a check payment:</p> <ul style="list-style-type: none"> • 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 | <p>The following information is required to process an ACH as per the ACHA:</p> <ul style="list-style-type: none"> • 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 | <p>Payments shall be applied to the Account number that is indicated on the payment or accompanying remittance document.</p> | |
| CSC-PAY-008 | <p>If payment information is received without an Account number, the payment will be applied to the Account to which the LPN/jurisdiction is associated.</p> <p>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 the account cannot be identified, see Business Rule CSC-PAY-009.</p> | |

| ID | Description | Variable Value |
|-------------|---|------------------------------|
| 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 a Return Letter for Checks notification, using mailing information available. If it is not possible to return the payment to the sender, the system shall hold the payment for [(3) years]. If, after (3) 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 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). | |
| CSC-PAY-012 | <p>The system shall apply payment in any amount (Full, partial and overpayment) to customer account open receivable items using the following payment order:</p> <ul style="list-style-type: none"> i. Payment plan installments ordered by due date, with the closest installment date due first. ii. Monthly bills, oldest to newest, by issue date. iii. Any transactions that are not on a monthly bill (uninvoiced tolls and fees) oldest to newest by account posting date. <p>Note: Unpaid balances will follow the normal billing/collections process.</p> | |

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 will automatically send account updates, i.e., expiration date, to the back office for all the enrolled cards to minimize the payment rejections will be enabled.

Table 28: REP Business Rules

| 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 | <p>The following information is required to set-up a credit card/debit card auto-replenishment method:</p> <ul style="list-style-type: none"> • Cardholder Name (as it appears on card) • Credit/Debit Card # • Expiration Date • Billing Address • Billing Address Zip Code • CVV security code (Visa/MC/Discover -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). <p>The following information is required to set-up an ACH auto-replenishment method:</p> <ul style="list-style-type: none"> • Account holder name • Billing Address • Telephone Number • RiverLink Account Number • Routing and Bank Account Number • LPN / Jurisdiction | |
| CSC-REP-004 | <p>Minimum replenishment amount is:</p> <p>[\$20.00] per account for personal accounts up to (but not to exceed) [\$unlimited]</p> <p>[\$20.00] per vehicle for commercial accounts up to (but not to exceed) [\$unlimited]</p> <p>[\$20.00] per vehicle for fleet accounts up to (but not to exceed) [\$unlimited]</p> | <p>\$ per plate;</p> <p>\$ max threshold;</p> <p>xx times estimated monthly usage</p> |
| CSC-REP-005 | <p>Minimum threshold balance to trigger auto-replenishment will be set to:</p> <p>\$6.00[\$variable] per account for personal accounts or [thirty (30%)] of the authorized replenishment amount (whichever is higher) rounded up to the next full cent value</p> <p>\$12.00[\$variable] per vehicle for commercial accounts or [thirty (30%)] of the authorized replenishment amount (whichever is higher) rounded up to the next full cent value</p> <p>\$12.00[\$variable] per vehicle for fleet accounts or [thirty (30%)] of the authorized replenishment amount (whichever is higher) rounded up to the next full cent value</p> | <p>% of replenishing amount</p> <p>(Currently turned off per State Party request)</p> |
| 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 | <p>A Customer may change their auto-replenishment instrument(s), including adding/deleting:</p> <ul style="list-style-type: none"> • At the WUCs • Over the telephone (with a CSR) • By using the RiverLink Customer Website | |

| ID | Description | Variable Value |
|-------------|--|----------------|
| CSC-REP-009 | A customer may change their auto-replenishment threshold and/or amount: <ul style="list-style-type: none"> At the WUCs Over the telephone (with a CSR) By using the RiverLink Customer Website | |
| CSC-REP-010 | A Customer's automatic replenishment occurs when the account reaches the minimum threshold amount as described in business rule CSC-REP-005. | |
| 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 day. If the additional attempts fail, an Account Payment Failure notification is generated, and the failed payment method is removed from the account. For Accounts 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, an Account Payment Failure notification is generated, and the failed payment method is removed from the account. | |
| CSC-REP-012 | Registered Account holders who sign up to have their monthly statement delivered via email will have their fees waived. Customers who select to have their monthly statement printed and mailed will be charged a monthly statement fee. | |

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 Account Payment Failure notification must go out advising them of the change in funding to their Account.

Table 29: Returned Checks Business Rules

| 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 |
| 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. | |

| ID | Description | [Variable Value] |
|-------------|--|-----------------------------|
| 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 Account Payment Failure notification to the Customer advising that the check payment has been reversed and an NSF fee has been applied to the Account. | |
| 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 (3)] 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)

Table 30: REF Business Rules

| 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 to close" 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 issued back to the original credit card (if applicable), otherwise all remaining refunds will be issued via check. 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. | |
| CSC-REF-004 | For credit card refunds, if a refund cannot be made to the credit card or debit card on file, 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 account comments. | |
| CSC-REF-006 | If a Customer owes tolls or fees, no refund is to be provided. | |

5.9.5. Chargebacks

Table 31: Chargebacks Business Rules

| 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. Write-Offs

In some circumstances, the authorized CSC staff shall write off violation transactions and fees according to RiverLink approved guidelines. Writing off a violation reduces the balance for both the toll(s) and fees to zero.

Write-offs can either be processed manually by authorized 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.

Table 32: Violation Write-Off Processing

| Write Off Reason | Criteria | Manual or Batch Process | Frequency |
|----------------------|--|-------------------------|-----------------------|
| Agency Request | Request received from JBR to write off toll transactions and fees. | Manual or Batch | As requested |
| No Owner of Record | Transactions have remained in "DMV Not Found" status for a configurable amount of Days as determined and approved by the JBR. | 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 |

| Write Off Reason | Criteria | Manual or Batch Process | Frequency |
|---|---|-------------------------|--------------|
| 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 Web

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Table 33: IVR/Web Business Rules

| ID | Description | [Variable Value] |
|------------|--|------------------|
| BO-IVR-001 | The IVR system Customer Website and Mobile Web shall provide customers 24/7 access to a toll-free automated phone system for payment and customer support services and information. | |
| BO-IVR-002 | The IVR system will be used to answer all customer calls. | |
| BO-IVR-003 | The IVR, Customer Website and Mobile Web will be fully integrated with the CSC system to allow customers to self-serve. | |
| BO-IVR-004 | IVR, Customer Website, and Mobile Web 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 Web transaction accordingly. | |
| BO-IVR-005 | Customers calling into the IVR shall be able to: Review Account Information/Activity Replenish Balances Make a Payment (Monthly Bill) Obtain Information (i.e., Hours of Operations/Locations/After Hour, Holiday, Emergency Recordings) Change Password/PIN Request to speak to an Agent Request a Call Back | |
| 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 and Account number or Transponder number or monthly bill number (for paying of monthly bill). | |
| BO-IVR-010 | The IVR shall accept the following payment methods from Customers who are processing payments thru the system: <ul style="list-style-type: none"> • 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. | |

| ID | Description | [Variable Value] |
|------------|---|------------------|
| 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. | |
| 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

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Table 34: Unregistered Video Account Business Rules

| 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 created, and a video transaction shall be posted to the Account for the toll. | |
| CSC-VID-002 | An unregistered video transaction shall be withheld from billing until the vehicle's customer billing anniversary date is determined (anniversary date calculation uses the back office's system posted date of the oldest unpaid transaction + a configurable number of days [15]) and is payable individually during that period without the monthly billing process. | # of days; |
| CSC-VID-003 | The Minimum toll balance to trigger a Monthly Bill for the [year] following a crossing for an unregistered video Account will be set to a [\$0.01] monthly bill threshold balance. | Timing; \$ threshold balance |

| ID | Description | [Variable Value] |
|--------------|---|-----------------------------------|
| CSC-VID-004 | Once the minimum monthly bill threshold balance is met, a Monthly Bill is sent to the registered owner containing any additional tolls that the vehicle owner may have accumulated during that period. The oldest transaction establishes the vehicle anniversary date. No fees are assessed on the first monthly bill for each Toll Notice Number; tolls only. | <i>Initial Invoice trigger(s)</i> |
| CSC-VID-005 | The monthly bill will contain at a minimum: <ul style="list-style-type: none"> • Amount of toll(s) due • 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 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 bills, convenience, etc. | |
| CSC-VID-006 | The payment due date will be set to the next anniversary date minus [four days]. For example: Payment Due Date = 02/12/2021 11:59:59 PM if: <ul style="list-style-type: none"> • Monthly Bill Generated Date: 01/16/2021 12:01:00 AM • Monthly Bill Mail Date: 01/18/2021 (*assuming 2 days to mail) • Next Anniversary date = 02/16/2021 12:00:00 AM | <i># of days</i> <i>Days</i> |
| CSC-VID-007 | If an owner fails to pay a monthly bill, all subsequent monthly bills will be generated based on the following dates for a vehicle's monthly billing cycle: <ul style="list-style-type: none"> • Start Date = last monthly bill generation date • End Date = vehicle anniversary date – 1 day For example: If the vehicle anniversary date = 2/16/2021, then the Start Date = 1/16/2021 and the End Date = 2/15/2021. A monthly bill that contains any tolls and fee(s) on a Toll Notice Number that are more than 30 days unpaid or partially paid shall be assessed a Late Fee amount of \$[5] per Toll Notice Number. | <i>\$ Late Fee</i> |
| CSC-VID-008 | A monthly bill that contains tolls and fee(s) on a Toll Notice Number that are more than 60 days unpaid or partially paid shall be assessed a Violation Fee amount of \$[25] per Toll Notice Number. This is in addition to the previous Late Fee amount. | <i>\$ Violation Fee</i> |
| CSC-VID-009 | A monthly bill that contains tolls and fee(s) on a Toll Notice Number that are more than 90 days unpaid or partially paid shall be assessed a Collection Fee amount of \$[30] per Toll Notice Number. This is in addition to the previous Late Fee and Violation Fee. | <i>\$ Collection Fee</i> |
| CSC-VID-009a | A monthly bill that contains tolls and fee(s) that are more than 120 days unpaid or partially paid shall be sent to Collections. | |
| CSC-VID-010 | When payment is made for a transaction before the payment due date on the 1 st Monthly Bill, no fees will be assessed. | |

| ID | Description | [Variable Value] |
|-------------|---|---|
| CSC-VID-011 | If a Customer with an Unregistered Account converts to a pre-paid Transponder 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; <i>Vehicle / customer Account</i> |
| CSC-VID-012 | If a motorist fails to pay the combined amounts, then on the next anniversary date of the monthly billing cycle, the TSP2 shall notify the applicable DMV of the unpaid amounts and request withholding or suspension of vehicle registrations or renewals. TSP2 shall also refer the motorist's balances to collections for further action if no payment is received by the vehicle's anniversary date after the Fourth Monthly Bill. | |
| 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 | Monthly Bills will be mailed (hardcopy) or e-mailed upon request. | |
| CSC-VID-015 | An option shall be available by December 2024 for customers to pay tolls assigned to unregistered video accounts online without having to wait for a monthly bill 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

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Table 35: Pay by Plate Business Rules

| ID | Description | [Variable Value] |
|-------------|--|------------------|
| CSC-PBP-001 | The Pay By Plate (PbP) functionality for transactions not yet on a monthly bill will be available to the Unregistered Video Account holders via telephone call to the CSC. PbP functionality will not be available on the RiverLink.com website until December 2024. When PbP functionality is available on the RiverLink.com website, the Business Rules herein addressing such functionality will control. | |
| CSC-PBP-002 | Unregistered video 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 system shall retrieve all transactions that have posted to the unregistered video account associated with the license plate number provided, and have not been included on a monthly bill. | |
| CSC-PBP-004 | If an unregistered video 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 customer 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 not receive messages related to their transactions, unless they repeat the registration. | # Days |

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| CSC-PBP-006 | Unregistered Video Transactions already included on a monthly bill shall direct the customer to the Pay Monthly Bill page of the website. | |
| CSC-PBP-007 | Uninvoiced transactions shall also be displayed on the website providing the customer with the option to pay a monthly bill and uninvoiced transactions. | |
| CSC-PBP-008 | If the information provided corresponds to only uninvoiced transactions, the customer will be directed to the current unregistered video account screen with the uninvoiced 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 by the customer in full. | |
| CSC-PBP-010 | The customer can 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. The payment method is only used for one-time use and not stored in the Toll Collection System for future use. | |
| CSC-PBP-012 | Monthly bills and transactions included in Payment Plans will be separate from new uninvoiced transactions eligible for Pay by Plate. | |
| CSC-PBP-013 | The Customer can select un-invoiced transactions to pay for some or all of the un-invoiced 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)

The BOS is managed by TSP2. Both the TSP2 and Collections Agency are responsible for the business rules in this section.

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.

Table 36: TSR Business Rules

| ID | Description | [Variable Value] |
|-------------|--|---|
| CSC-TSR-001 | If a Customer with an Unregistered Account converts to a pre-paid transponder Account, then any fees shall be waived and the toll rate for the current outstanding tolls shall be reduced to the transponder rate for one time during the lifetime of the [vehicle] . | <i>1 time offer; vehicle / Account; transponder toll rate applied</i> |
| CSC-TSR-002 | A tiered fee settlement may be offered to any Customer by CSRs as long as the customer has not had a tiered settlement in the past 12 months. The settlement details will be manually entered by the CSR. | |
| 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. | <i># of months</i> |
| CSC-TSR-006 | Settlements are only granted provided the Customer is able to make payment for tolls due, in full, at that time. | |

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| CSC-TSR-007 | Tier 1 Fee Settlement: • For 2nd Monthly Bill – [100%] Credit of 2 nd Monthly Bill Administration fee. | % of Fee |
| CSC-TSR-008 | Tier 1 Fee Settlement: • For 3rd Monthly Bill - Credit of [33.3%] of 3rd Monthly Bill Administration fee plus 2 nd Monthly Bill Administration fee | % of Fee |
| CSC-TSR-009 | Tier 1 Fee Settlement: • For 4th Monthly Bill - Credit of [33.3%] of original fee amount. | % of Fees |
| CSC-TSR-010 | Tier 2 Fee Settlement: • For 3rd Monthly Bill - Credit of 50% of 3rd Monthly Bill Administration fee + 2 nd Monthly Bill Administration fee | % of Fee |
| CSC-TSR-011 | Tier 2 Fee Settlement: • For 4th Monthly Bill - Credit of 41.7% of 4th Monthly Bill fee + 3rd Monthly Bill Administration fee + 2 nd Monthly Bill Administration fee | % of Fee |
| CSC-TSR-012 | Tier 3 Fee Settlement: • For 3rd Monthly Bill - Credit 66.7% of 3rd Monthly Bill Administration fee + 2 nd Monthly Bill Administration fee | % of Fee |
| CSC-TSR-013 | Tier 3 Fee Settlement: • For 4th Monthly Bill - 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 TSP2 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 TSP2 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 TSP2. | |
| CSC-TSR-017 | Payment Plan Payment Plans are available for customers who do not wish to open a pre-paid transponder 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 |
| 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 the payment plan and Customer must verbally acknowledge understanding, so the TSP2 [does not] require a signed payment plan (phone recording will serve as an agreement between both parties). | Does / does not |

| ID | Description | [Variable Value] |
|-------------|---|-------------------------------------|
| 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. | <i>Down payment %age</i> |
| CSC-TSR-023 | CSRs are allowed to establish a payment plan of up to [6 months] . | <i># of months</i> |
| CSC-TSR-024 | If granting more than [6] months for a payment plan, the CSR must receive supervisor approval prior to agreement. | <i>## of months</i> |
| CSC-TSR-026 | Payments toward the plan are expected every [30] Days from the anniversary date of the establishment of the payment plan. | <i>## of days</i> |
| 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. | <i>Paid on time / added to plan</i> |
| 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 is loaded onto the outbound dialer and an attempt is made to contact the Customer. Those Customers who are unable to make payment or cannot be contacted, will have full balance due reinstated and will continue in collection process. | |

5.14.Disputes (DIS)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Consistent with RiverLink's intention to be customer-friendly, in dealing with customers who receive monthly bill(s), the following business rules shall be applied in resolving their issue(s). The JBRs, at their discretion, may request the reassignment of tolls, fees, and fines.

Table 37: DIS Business Rules

| 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: <ul style="list-style-type: none"> • Billing Error • Vehicle Ownership Issue • Account Maintenance • Administrative Claim • Other | |
| CSC-DIS-002 | Billing Errors A customer may submit a dispute for billing errors. Examples of billing errors are vehicle classification errors, request to waive fee(s), duplicate transaction(s), incorrect billing address, or some other billing error. A dispute for billing errors may be submitted, as follows: | |

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| CSC-DIS-003 | <p><u>Via WUCs or Call Center providing their Account information.</u></p> <p>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 rate for those with a prepaid account and transponder 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.</p> | |
| CSC-DIS-004 | <p><u>Submit a dispute via the Web.</u></p> <p>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 toll transactions and/or violations will be adjusted to the rate for those with a prepaid account and transponder 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.</p> | |
| CSC-DIS-005 | <p><u>Mail dispute to Service Center for processing.</u></p> <p>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 rate for those with a prepaid account and transponder 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 Dispute Rejected Negative notification.</p> | |
| CSC-DIS-006 | <p>When the dispute request is received, those requests along with supporting documentation i.e., cancelled check, bank statement or credit card statement will be scanned and attached to the customer's Account as part of Account notations by an Operations Support Service (OSS) team member.</p> <p>Disputes should be accepted from customers on the phone, by mail, email, or in the walk-up center.</p> <p>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.</p> <p>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.</p> <p>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.</p> | |
| CSC-DIS-007 | <p>When a dispute is received via web or mail, a case is opened in the CSC system. The customer is sent a Dispute Received Notification.</p> <p>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 Dispute Rejected notification to inform the customer of the outcome.</p> | |

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| CSC-DIS-008 | The items included in a dispute are placed on hold which suspends collection activities and the escalation of tolls (i.e. additional fees) until the dispute is resolved. | |
| CSC-DIS-009 | IAG Customer Dispute / Reciprocity Agreement can be found on the E-ZPass IAG website E-ZPass Group - File Specifications (e-zpassiag.com) . <i>See Inter-CSC File and Reporting Specifications file section Inter-CSC Dispute Policy.</i> | |
| CSC-DIS-010 | Vehicle Ownership Issue: Dispute must be submitted for review in writing either via: <ul style="list-style-type: none"> • Mail, • Web, • E-Mail, • Fax <p>Note: Disputes can be initiated over the phone with a CSR.</p> | |
| CSC-DIS-011 | If a customer requests to initiate a Vehicle Ownership Issue 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 Vehicle Ownership Issue, specifically leased or 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. The customer is sent a Dispute Received Notification. | |
| CSC-DIS-015 | The items included in a dispute are placed on hold which suspends collection activities and the escalation of tolls (i.e. additional fees) for [thirty (30)] days to allow OSS to review the dispute until it is resolved. | # of days |
| 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 Accepted Positive Letter will be sent to the customer. 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 Dispute Rejected Negative notification. | |
| CSC-DIS-018 | Account Maintenance Dispute must be submitted for review in writing either via: <ul style="list-style-type: none"> • Mail, • Web, • E-Mail • Fax <p>Note: Disputes can be initiated over the phone with a CSR.</p> | |

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| CSC-DIS-019 | If a customer requests to initiate an Account Maintenance 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 | Account Maintenance disputes must be accompanied with proof/documentation to support the dispute. | |
| 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. | |
| CSC-DIS-022 | <p>When a dispute is received, a case is opened in the CSC system. The customer is sent a Dispute Received Notification.</p> <p>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.</p> <p>If the information is not received by 30 days, the agent shall reject the dispute by sending the customer a Dispute Rejected Negative notification to inform the customer of the outcome.</p> | |
| CSC-DIS-023 | The items included in a dispute are placed on hold which suspends collection activities and the escalation of tolls (i.e. additional fees) until the dispute is resolved. | |
| CSC-DIS-024 | For tolls to be waived, a vehicle owner must demonstrate that the referenced Toll Transaction(s) are incorrectly billed. | |
| CSC-DIS-025 | <p>If required documentation or proper evidence are not provided, the dispute will be rejected.</p> <p>The customer will receive a Dispute Rejected Negative notification.</p> | |
| CSC-DIS-026 | <p>If a previous owner no longer owns a vehicle, they 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.</p> <p>A Dispute Accepted Positive Letter will be sent to the customer. The notification states that they have provided sufficient supporting documentation and are not liable for the tolls.</p> | |
| 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 billed to the new owner through the monthly billing process. | |
| CSC-DIS-029 | <p>Administrative Claim</p> <p>Dispute must be submitted for review in writing either via:</p> <ul style="list-style-type: none"> • Mail, • Web, • E-Mail • Fax <p>Note: Disputes can be initiated over the phone with a CSR.</p> | |
| CSC-DIS-030 | If a customer requests to initiate an Administrative Claim 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 | Administrative Claim Disputes must be accompanied with official paperwork for example, a police report or copy for a stolen vehicle. | |

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| 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. | |
| CSC-DIS-033 | When a dispute is received, a case is opened in the CSC system. The customer is sent a Dispute Received notification. The same process will be followed for disputes received in writing; please refer to CSC-DIS-022. | |
| CSC-DIS-034 | The items included in a dispute are placed on hold which suspends collection activities and the escalation of tolls (i.e. additional fees) until the dispute is resolved. | |
| CSC-DIS-035 | If the violations on the notice occurred after the Administrative Claim event, this dispute will be accepted, and the notice will be closed. A Dispute Accepted Positive Letter will be sent to the customer. 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 Administrative Claim event or no official paperwork is provided, the dispute will be rejected. The customer will receive a Dispute Rejected Negative notification. | |
| CSC-DIS-037 | Other Any dispute must be submitted for review in writing either via: <ul style="list-style-type: none"> • Mail • Web • E-Mail • Fax <p>Note: Any dispute can be initiated over the phone with a CSR.</p> | |
| CSC-DIS-038 | If a customer requests to initiate an Other 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 | Intentionally left blank | |
| CSC-DIS-040 | When a dispute is received, a case is opened in the CSC system. The customer is sent a Dispute Received Notification. The same process will be followed for disputes received in writing; please refer to CSC-DIS-022. | |
| CSC-DIS-041 | The items included in a dispute are placed on hold which suspends collection activities and the escalation of tolls (i.e. additional fees) for [thirty (30)] days to allow OSS to review the dispute and work with the client until the dispute is resolved. | <i># of days</i> |
| 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 timeframe for the customer to provide supporting documentation expires and no required information is received, the dispute is cancelled and the hold is removed and subsequent billing and collection efforts resume. | |
| 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 Accepted Positive Letter will be sent. The notification states that they have provided sufficient supporting documentation and are not liable for the tolls. | |

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| 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. | <i># of days</i> |
| 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 TSP2 indicating that the TSP2 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 TSP2 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 TSP2 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

Table 38: Administrative Hearings Business Rules

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| CSC-ADH-001 | An administrative hearing request can only be initiated by a customer. | |
| 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: <ul style="list-style-type: none"> • 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 [one (1)] business day, so that a hearing officer can be assigned. | <i># of days</i> |
| CSC-ADH-005 | When a request for Administrative Hearing is made, the transactions included in the request will be placed on Hold. All collection efforts and transaction escalations are suspended until the business day following the resolution of the hearing at which time collection efforts will resume or the transactions will be dismissed. | |
| CSC-ADH-006 | When a customer's request for an administrative hearing is received, a hold is placed on the items included in the hearing request, suspending collection and escalation activity. When a 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 hold shall be extended to accommodate the hearing schedule. | |

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| CSC-ADH-008 | If the hearing officer determines that the toll was charged correctly, the Tolling Body Representative will notify the TSP2, the TSP2 then notifies the Customer Service Center of the outcome, and the hold will be removed and collection/escalation activity resume. | |
| CSC-ADH-009 | The hearing officers will determine whether the transaction(s) charged is owed. Hearing is limited to determining whether a transaction(s) is owed/not owed. | |
| CSC-ADH-010 | If the hearing officer determines that the transaction(s) was charged incorrectly, the Tolling Body Representative will notify the TSP2, the TSP2 then notifies the Customer Service Center that the disputed tolls and associated fees should be dismissed. | |
| CSC-ADH-011 | If the customer appeals the hearing officer's decision, then the hearing officer will provide documentation and the hold will be extended accordingly upon notification to the TSP2, then the TSP2 notifies the Customer Service Center. | |

5.15. Collections (COL)

When a customer fails to respond to the 1st, 2nd, and 3rd Monthly Bills, 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 TSP2 or the States' parties, including notification of the DMV and a hold on registration renewal, and collection agency referrals. 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 all applicable state and federal laws.

Table 39: COL Business Rules

| ID | Description | [Variable Value] | Vendor Responsible |
|-------------|---|------------------|-----------------------------|
| CSC-COL-001 | All unpaid balances may remain in the collection process until the debt is collected. | | TSP2, Collections Agency |
| 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. | | TSP2, Collections Agency |
| 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 anticipated to be sent to the DMV within 5 minutes of the violation being paid in full. | | TSP2 |
| CSC-COL-004 | The system shall process DMV lookups within five (5) days of the transaction date. | | TSP2 |
| 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 No Match. The System will capture and store each response and the date that the response was received from the registered owner lookup. | | TSP2 |

| ID | Description | [Variable Value] | Vendor Responsible |
|-------------|--|------------------|--------------------|
| CSC-COL-006 | Intentionally left blank | | |
| CSC-COL-007 | Intentionally left blank | | |
| CSC-COL-008 | Intentionally left blank | | |
| CSC-COL-009 | If customer phone number is not known, skip tracing is performed to attempt to collect the customer's phone number. | | Collections Agency |
| CSC-COL-010 | Intentionally left blank | | |
| CSC-COL-011 | Intentionally left blank | | |
| CSC-COL-012 | Intentionally left blank | | |
| CSC-COL-013 | If the customer indicates 'DO NOT CALL', the 3 rd Party Collections Agency will mark the customer's phone number as 'DO NOT CALL' but may attempt to contact the customer through alternative communication channels. | | Collections Agency |
| CSC-COL-014 | If there is no response through the dialer campaign, then the 3 rd Party Collections Agency may contact the customer through alternative communication channels. | | Collections Agency |
| CSC-COL-015 | If the customer sends a "CEASE and DESIST" letter, the 3 rd Party Collection Agency will refer the customer to the dispute process for further action. | | Collections Agency |

5.16. Image Management (IMM)

Table 40: IMM Business Rules

| ID | Description | [Variable Value] | Vendor Responsible |
|------------|---|------------------|--------------------|
| BO-IMM-001 | The BOS shall handle images from the road side system following its Transaction Management rules and processes. TSP2 will store for (one) year, up to the point of reconciliation then archived for (10) years thereafter | | TSP2 |
| BO-IMM-002 | The road side system runs a process that logically ties images (both front and rear) to the transaction data per the approved ICD. All images are stored in the ".jpg" file format and sent to the BOS. | | RSP2 |
| BO-IMM-003 | Each Transaction may have up to [three (3)] Images files associated with it per the approved ICD. | # of image files | RSP2 |
| BO-IMM-004 | Requirement Deleted as it does not apply to Toll Collection System. | | NA |
| 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. | | RSP2 |

5.17. Image Review (IMR)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

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.

Table 41: IMR Business Rules

| ID | Description | [Variable Value] |
|------------|--|------------------|
| BO-IMR-001 | All transactions are initially sent to the BOS 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, at least 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. | |
| 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. <ul style="list-style-type: none"> • Unreadable Image • Unclear/Ambiguous Character(s) • Damaged Plate • Camera Issue • Image Not Clear • Image Too Dark • Image Too Light • Camera Alignment Issue • Hatched/Distorted Image • Plate Glare • Plate Obscured • No Plate • Unidentifiable Jurisdiction • Non-US Plate (excludes Mexico & Canada) | |

| ID | Description | [Variable Value] |
|------------|--|------------------|
| BO-IMR-006 | <p>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.</p> <p>The process shall first search for a transponder Account and then for a Registered Pre-Paid Video Account to which to post the transaction.</p> <p>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.</p> <p>If an Interoperability Account is not found with a matching license plate, then Unregistered Accounts shall be searched.</p> <p>If an active Unregistered Account is found, the transaction is posted to that active Account.</p> <p>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, 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.</p> | |
| 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 [four (4)] days measured from the time of travel through the Toll Zone. | # of days |
| BO-IMR-009 | <p>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.</p> <p>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.</p> | |

5.18.DMV

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Table 42: DMV Business Rules

| ID | Description | [Variable Value] |
|------------|---|------------------|
| BO-DMV-001 | For states other than KY and IN, the TSP2 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)

Table 43: WLM Business Rules

| ID | Description | [Variable Value] | Vendor Responsible |
|---------|--|------------------|--------------------|
| 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. | | TSP2 |
| 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 | | RSP2 |
| 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. | | RSP2 |

5.20.Tag Validation List Management (TVM)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

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 TVLs will use the E-ZPass files from the other CSCs and distribute throughout the system.

Table 44: TVM Business Rules

| ID | Description | [Variable Value] |
|------------|---|------------------|
| BO-TMV-001 | The Tag Validation List (or Update) File shall have the contents in the approved ICD. | |

5.21.Transaction Management (TRM)

The BOS is managed by TSP2 who is responsible for the business rules in this section.

Table 45: TRM Business Rules

| ID | Description | [Variable Value] |
|------------|---|------------------|
| BO-TRM-001 | The BOS shall handle transactions from the RSS following its Transaction Management rules and processes. | |
| BO-TRM-002 | <p>The BOS shall classify Transactions as follows (codes and fields are specified in the ICD):</p> <ul style="list-style-type: none"> • 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 | |

| ID | Description | [Variable Value] |
|------------|--|------------------|
| 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 the toll rate 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. | |
| 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 [60 seconds]. | # of second(s) |
| BO-TRM-008 | The RSS shall resend a Transaction file to the BOS if it has not received the corresponding positive acknowledgement within the same day as the transaction file. Once the maximum number of retries per the ICD for sending a Transaction File has been reached, the TSP2 system monitors shall trigger the defined Operational Procedures for accepting the Transaction file. | |
| 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 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 | |

| ID | Description | [Variable Value] |
|------------|---|------------------|
| | <p>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).</p> <p>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 Account</p> <p>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</p> <p>Transaction toll fare: shall contain the Toll Fare of the Interoperable Transaction determined based on the AVC Vehicle Class (including any Image Review update)</p> <p>License plate number: shall contain the License Plate Number of the Interoperable Transaction</p> <p>License plate jurisdiction: shall contain the state, country or government entity which issued the License Plate</p> <p>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)</p> <p>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</p> <p>Wrong way vehicle</p> | |
| BO-TRM-010 | The BOS shall reject a Transaction file (send a negative acknowledgment) if appropriate conditions are met as per the Road side to BOS ICD. | |
| BO-TRM-011 | The BOS shall post toll transactions to Department accounts at the rate for those with a prepaid account and transponder regardless of the account's prepaid balance. However, if a vehicle has met its Excessive VTOLL threshold, then an Excessive VTOLL warning notification shall be sent to the account holder. After the notification has been sent and after a configurable number of contiguous VTOLL transactions for that vehicle (which may be zero), VTOLL transactions for that vehicle shall be posted at the rate for those with a prepaid account and no transponder until that vehicle's transponder is read in a RiverLink facility's lane. | |

6. E-ZPass Business Rules

IAG Reciprocity License and Operating Agreements, Amendments, Specifications and Business Rules required to meet interoperability E-ZPass program requirements can be found on the E-ZPass IAG website: <https://www.e-zpassiag.com/interoperability>. 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 impact RiverLink Business Rules.

Both the TSP and TSP2 are responsible for the business rules in this section.

Table 46: E-ZPass Business Rules

| ID | Description | [Variable Value] |
|-------------|---|------------------|
| IAG-LUR-001 | The BOS and Road side system must meet interoperability E-ZPass program requirements which can be found on the E-ZPass IAG website: https://www.e-zpassiag.com/interoperability . | |

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