Exhibit E

VDOT Standard Operating Procedures for ETC Services

Statewide Toll Customer Service Center
RFP# WLP-100
CSC Detailed Operations Manual

Version 1

Faneuil, Inc.
2 Eaton Street, Suite 1002
Hampton, Virginia 23669

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Approvals

Organization Responsibility	Signature	Date
Faneuil Implementation Manager		
VDOT Project Manager		
IBI Project Manager		
Program Director, VDOT EZPass		

Document Revision History

Version	Date	Summary of Revisions

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1. INTRODUCTION

The Virginia Department of Transportation has a contractual relationship with Faneuil Inc. to provide electronic toll collection (ETC) services and to operate the E-ZPass Virginia Customer Service Center (CSC) locations in Clifton Forge, Richmond, Gloucester Point, and Northern Virginia. This document provides a detailed overview of the operational procedures and instructions for all routine and non-routine day-to-day tasks handled by the CSC staff including:

- Background information concerning toll facilities, IAG agreements and interoperability, and the violation program

- Administrative policies regarding system access and personnel staffing

- CSC operational procedures

- Financial department procedures

- Inventory and mail room procedures

- Violations processing

The policies and procedures presented in this manual are a compilation of VDOT preferences and requirements along with Faneuil's experience. The CSC management staff is responsible for ensuring the procedures in this document are followed according to the policies given by VDOT. As necessary, CSC staff provides updates and descriptions of processes to add to this document.

1.1. E-ZPass Virginia Program Overview

The E-ZPass Virginia system allows customers to pay tolls electronically via a vehicle-mounted radio frequency identification, or RFID, device called a transponder or *tag*. The tag interacts with equipment in E-ZPass Virginia lanes. The radio signal-initiated transaction starts the process by automatically deducting the toll amount from the customer's E-ZPass Virginia account. See Table 1 for account types.

Table 1.1 System Account Types

ACCOUNT TYPE	DESCRIPTION	REPLENISHMENT OPTIONS
Individual *Always Pre-Paid*	Individual accounts are always pre-paid and typically have an individual (not a company or corporation) on record as financially responsible for the account. If the customer prefers, an individual may open an individual account with a company name (in the last name field) for tax purposes, roadway discounts, or other customer-preference reasons. Corporate credit cards are acceptable. The	Automatic replenishment (credit card or ACH). This is required for any account with 5 or more transponders. Manual replenishment (cash, check, money order,**Error! Bookmark not defined.** travelers check, credit card)

ACCOUNT TYPE	DESCRIPTION	REPLENISHMENT OPTIONS
	account holder receives a quarterly statement at no additional charge. Individual customers include daily commuters, business travelers, or recreational and other occasional drivers. Vehicles are typically motorcycles or cars, SUVs, vans, and trucks with two axles, not exceeding 7,000 pounds. Account is typically in a person's name.	
Commercial *Pre-Paid*	Commercial accounts are always pre-paid and typically have a company or corporation on record as financially responsible for the account. In certain instances, the CSC may open a commercial account in an individual's name, typically because the individual opening the account is registering a commercial vehicle. The account holder receives a quarterly statement at no charge. Commercial customers include trucking companies, private transit companies, express delivery companies, taxicab and livery services, and other small businesses with a fleet of vehicles using toll roadways. Includes all classes of vehicles—two-axle as well as vehicles that exceed 7,000 pounds and have more than two axles. Account is typically in a business' name.	Automatic replenishment (credit card and ACH). This is required for any account with 5 or more transponders. Manual replenishment (cash, check, money order, travelers check, credit card)

1.2. IAG Relationship

The E-ZPass Virginia system is a member of the Interagency Group (IAG), a collaboration of ETC agencies and their roadways. Reciprocity agreements among the members enable E-ZPass customers to use their home agency transponders to travel on other agencies' roadways.

Home agency refers to the agency where a customer established his E-ZPass account. For example, VDOT is the home agency for customers who established their E-ZPass Virginia account through the main or remote VDOT CSC locations. *Away agency* refers to any other agency that honors E-ZPass Virginia as a toll collection option; currently, this includes Delaware, Illinois, Indiana, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, and West Virginia. Figure 1.1 shows the away agency locations.

All agencies have the opportunity to participate in meetings about E-ZPass policies on a regular basis. If an issue arises that VDOT needs to address Faneuil will assist in presenting this to the IAG.

Figure 1.1 E-Z Pass Agencies
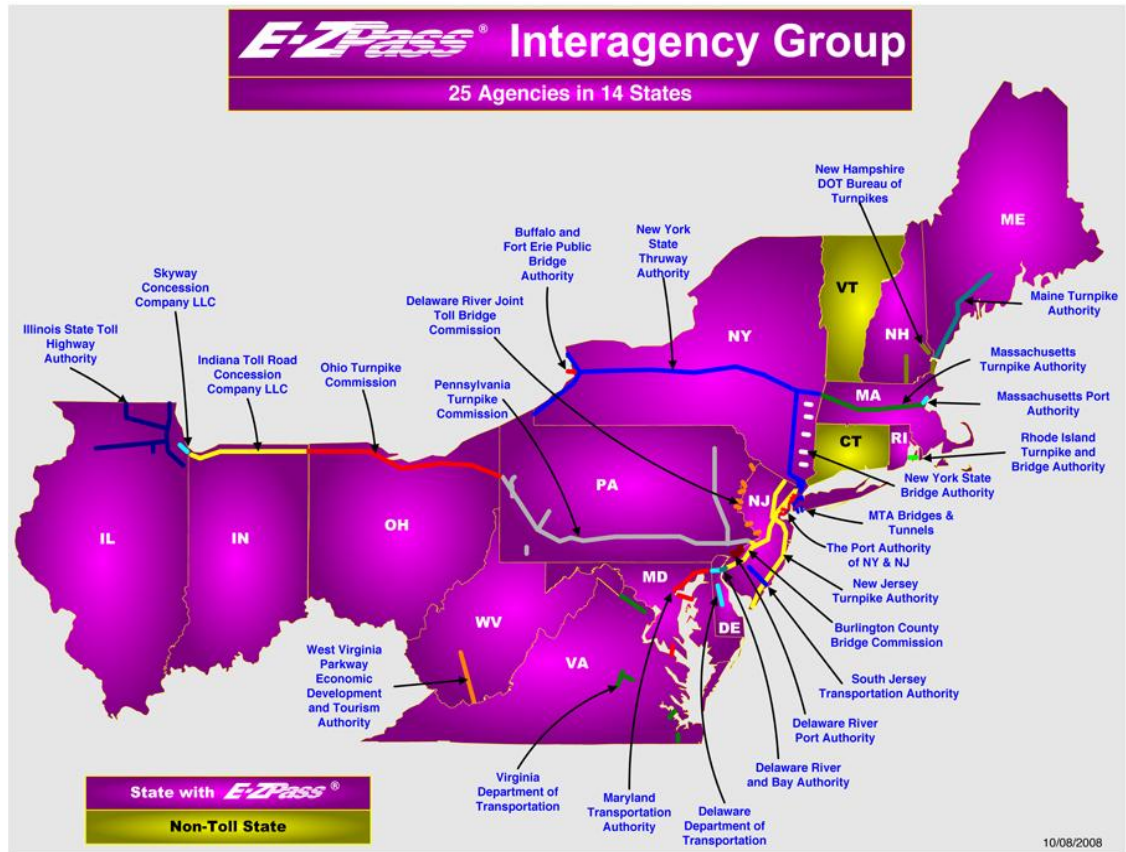
Note: *Ohio is the newest member of the E-ZPass Interagency Group, joining in October of 2009.*

1.3. E-Z Pass Virginia Facilities

Table 1.2 lists the VDOT E-ZPass Virginia CSC facilities and their locations.

Table 1.2 E-ZPass Virginia CSC Facilities

FACILITY	LOCATION	FUNCTIONS
Northern Virginia	610 Herndon Parkway, Suite 900 Herndon, VA 20170	Walk-in services, including transponder distribution and account management. Call center overflow.
Richmond	Midlothian Market Shopping Center 175 Wadsworth Dr. Richmond, VA 23236	Walk-in services, including transponder distribution and account management. Call center overflow.
Coleman	1811 George Washington Memorial Hwy Gloucester Point, VA 23062	Walk-in services, including transponder distribution and account management. Call

FACILITY	LOCATION	FUNCTIONS
		center overflow.
Clifton Forge	1504 Chestnut Street Clifton Forge, VA 24422 1-877-762-7824	Primary call center, account research and adjustment, fulfillment, transponder control and inventory, mail service functions, and violation processing.

The hours of operation for each facility are listed below:

- **Northern Virginia**: 8:00 a.m. to 7:00 p.m. Monday through Friday, closed Saturdays

- **Richmond**: 8:00 a.m. to 6:00 p.m. Monday through Friday, closed Saturdays

- **Coleman**: 8:00 a.m. to 6:00 p.m. Mondays, 9:00 a.m. to 6:00 p.m. Tuesdays and Wednesdays, 8:00 a.m. to 5:00 p.m. Thursdays and Friday, closed Saturdays

- **Clifton Forge**: 7:00 a.m. to 7:00 p.m. Monday through Friday, closed Saturdays

Note: *Any potential changes to the hours of operation are approved by VDOT before implementation.*

The table below lists the VDOT CSC holidays and dates.

Table 1.3 VDOT CSC Holidays and Dates

VDOT CSC HOLIDAYS	DATES
New Year's Day	January 1
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Thanksgiving Day	Fourth Thursday in November
Christmas Day	December 25

2. ADMINISTRATION AND PERSONNEL POLICIES

2.1. Administrative Policies

This section describes administrative and personnel policies, including system and facility access.

2.1.1. User Identification and Access on the Network

This section is intended for E-ZPass Virginia operations staff for control of user identification (ID) on, and access to, the ST_local network.

2.1.2. Usage and Access

The information technology staff monitors the central host computer system for the Customer Service Center (CSC) application and Violation Processing System (VPS) and has access to the functions described here. The system administrator must revise and re-release information for this section for other employees to access the functions.

User IDs are issued at the domain controller console which, for the ST_local domain, is the STPRINT domain controller. This system is located in the server room in the Clifton Forge service center.

Note: To perform this procedure the user must log in to the console with an account in the domain administrators access group.

- **To issue a user ID**

1. Login or break screen lock using any domain administrator account.

2. Go to **Start**/**All Programs**/**Administrative Tools/Active Directory Users and Computers** to open the Active Directory Users and Computers applications

3. Expand the **Sites** organizational unit and select the relevant site (Clifton Forge, Richmond, Northern Virginia, and Coleman Bridge).

4. Expand the site and click on the **Users** organizational unit.

5. Right click in the Users organizational unit and select **New/User**. Type a character string in the **User Logon Name** field. This is the user ID that the employee uses at each login. Use the person's first initial, last name.

6. Type a name in the **Full Name** field. This is the user's full legal name.

7. Type a character string in the **Password** field. This is the password the employee uses to log in to his first user session. The initial password must contain at least seven characters preferably with random letters, numbers, and optional punctuation as specified in the Password Policy. Retype the same string into the **Confirm Password** field. Remember or record this string to give to the new user.

8. Ensure that the checkbox **User Must Change Password …** is checked.

9. In familiarizing a new staff member, give him his user ID and initial password and assist him in logging in and choosing and new password

Note: *To reset the password for an existing user, contact the IT (Information Technology) staff.*

2.1.3. Password Security Policy

This policy provides information about access to the CSC system domain and data as required for E-ZPass Virginia purposes, and to limit access to authorized users.

This policy applies to users of CSC and systems connected to the network at all of the E-ZPass Virginia facilities.

Users of the E-ZPass Virginia system are issued user IDs as applicable for access to the Windows ST Domain, the CSCWinClient Application and the Forté® VPS Application.

Passwords expire as follows and must conform to the standard set forth in this policy:

- Windows ST Domain: 30 days

- CSCWinClient Application: 45 days

- Forte VPS Application: 45 days

Passwords for the Windows ST Domain must contain at least seven characters. Passwords are a combination of lower-case letters, at least one capital letter, and one numeral. Punctuation characters—**(% &!,**—are an option and are encouraged, but the first and last characters must not be punctuation, and the characters **/ ** and **?** are not allowed. The user is locked out of the system after three failed login attempts. Password requirements and restrictions for the CSC and VPS applications are detailed in Chapter 3 and Chapter 6 respectively.

Operations managers watch for evidence of mishandled passwords and change any password found to be vulnerable. All personnel are responsible for reporting violations of this policy to any member of CSC management. Personnel who place systems security at risk by violating this policy are subject to disciplinary action, up to and including dismissal.

2.2. System Outages and Help Desk

In the event a system outage occurs, authorized management and/or supervisory personnel notify the Information Technology department of the issue in detail. Once reported, Figure 2.1 diagrams the communication flow until the issue(s) is/are resolved:

Figure 2.1 System/Network Outage Flow Chart
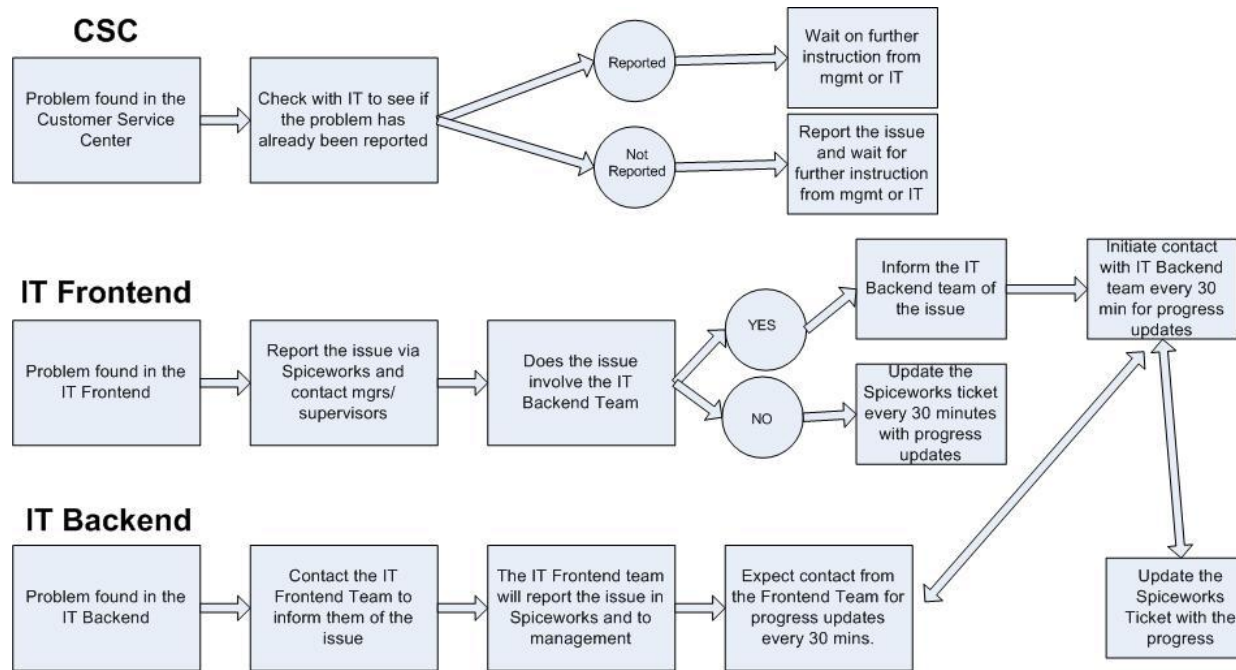
2.2.1. On-Call I.T. Support

The on-call time schedule consists of the time between 4pm and 7am Monday through Friday. On-call staff members rotate and a documented schedule will be available to display who is on-call for each day. The staff member identified as "on-call" will also be available during weekends for system/network monitoring

2.2.1.1. Examples of Issues in Which On-Call I.T. Support Would be Needed

- CSR cannot access necessary applications, i.e., Echopass, CSCWinClient, or Forte VPS
- Customer Service or Violation applications are not responding
- Call center is not receiving inbound phone calls
- Internet is down
- E-ZPass Virginia website is reported as being down
- Electricity in any of the centers goes out for an extended period

2.2.1.2. RESOLUTION AND COMMUNICATION

Once any issue has been reported and verified by a supervisor, a help-desk ticket is placed at the following website: http://172.16.200.151/helpdesk. Responsible I.T. staff will be accountable for contacting the Supervisor back within 15 minutes via phone,

email or the issues page above. Detailed information is required to ascertain what the issue is. A cell phone or office phone number is also required. In the event that the internet is down or there are network issues preventing access to the system issue page, the on-call number is to be used explicitly. On-call staff are responsible for keeping Supervisors apprised of the situation all issues has been resolved. The on-call number is 540-862-8646

2.2.2. Help Desk

Help Desk support is designed to support minor, common technical issues that affect one person or a small segment of the workforce. Examples of these types of issues include:

- Password resets

- Desktop issues

- Phone or application issues (that are only affecting one or few)

Help desk issues are entered and tracked on the following website: http://172.16.200.151/helpdesk. This web application allows the user to enter, edit, and update the ticket information.

Each ticket is assigned to helpdesk personnel and all changes in the ticket status trigger automatic emails to the assigned IT personnel and the user who entered the ticket

2.3. Building Security and Access Controls

The security for the CSC facilities has several components. These components link to a central access control system located in the main CSC located in Clifton Forge. The access control system controls the following components:

- Video surveillance system

- Keycard access and card reader points

- Intrusion detection system

- Emergency services contact

2.3.1. Video Surveillance

The video surveillance system are housed locally at each center can only be accessed from that location. The points of surveillance are strategically placed to capture activity at access points to the facility, money handling areas, and other significant processing areas.

Remote image viewing is available. In addition, for 30 days, the system retains recorded activities. A record of the video information is archived.

2.3.2. Access Control

Each facility, except for the Richmond Retail Center, has an access control system managed from the Clifton Forge location. This system serves two purposes—providing facility access for authorized personnel and providing alarms for intrusions, fire, or other emergencies.

To facilitate the management of proper access to all the CSC facilities, each facility uses a keycard access system that connects to a central monitoring system. The system administrator or other authorized manager sets up the keycards. Each keycard is assigned to a specific employee. The employee information is entered and a detail record of the employee is created for access privileges. For example, the staff member may access the general building but not the system room.

The system administrator will manage the database of all authorized personnel for each person and level of access. This information is also archived for future reference.

2.3.2.1. ACCESS CONTROL – RICHMOND RETAIL CENTER

Authorized personnel are assigned a key to the front door of the retail center and the code to disarm the ADT alarm system. Currently, the authorized staff exclusively includes the Retail Center Supervisor, the Retail Center CSR Lead, and the Retail Center Senior CSR. The rear door to the Richmond Retail Center can only be opened from the inside.

2.3.3. Intrusion Detection

Intrusion detection is provided as part of the access control system. In the event of an access point breach, the system automatically contacts the security vendor and the facility point of contact to advise that the there was an incident. In addition to

contacting the security vendor, the system also contacts the appropriate law enforcement agency.

2.3.4. Emergency Services Contact

In the event of an emergency during business hours or if a facility has a fire, carbon monoxide detected, or a medical emergency, the staff can connect to local emergency vendors through the access control system or by calling 911, whichever is faster.

During non-business hours, facility access control automatically notifies the security vendor and appropriate emergency services. The security vendor calls the point of contact for the location.

2.4. Security System Testing

2.4.1. Alarm Testing

The operations assistant tests the building alarm system and panic buttons at all stations quarterly and then logs the results. The log is available in the manager's office.

Defective or delayed alarm functions must be reported the same day.

2.4.2. Security System Checks

Each CSC facility performs security system checks monthly to ensure both safety and operability of the security system. Each month, a manager on the access list must call the security system vendor (currently ADT), provide the necessary access information—such as name and password—and complete the following steps.

To complete a security system check

1. Ensure the building is empty. If employees remain, instruct them to remain motionless for approximately 10 seconds.

2. Ask the security vendor representative to place the security system in test mode. Unless the sensors detect motion, all points will reset and the manager can conduct the test.

3. Trigger each alarm by performing the following actions:

    1.) Open all doors which have sensors.

    2.) Wave an object in the motion detector's range to trip it.

    3.) Tap the glass or make a loud noise in the vicinity of the alarm to trip the glass break alarms.

    4.) Hold the burglary/panic alarm button for 5 seconds to trip it.

After performing the test, the conducting manager must call the security vendor to place the system in normal mode and to review alarm performance. Specific malfunctions must be diagnosed and repaired as soon as possible by arranging a site visit

2.5. Personnel Security

In order to ensure a safe working environment for all staff, CSC management has implemented the following personnel procedures in accordance with Faneuil company policies.

2.5.1.   Substance Abuse Policy for the Drug-Free, Violence-Free Workplace

Drug Free Workplace
In response to federal requirements for drug-free workplaces, and in keeping with Faneuil concern for the health and safety of its work force, Faneuil has instituted the following Drug-Free Workplace Policy:

- This policy certifies Faneuil's intent to maintain a drug-free workplace. The first section describes the prohibitions of this policy such as the manufacture, distribution, sale, possession or use of a controlled substance in the workplace.

- In addition, this policy creates a Drug Awareness Program that provides information on the dangers of workplace drug use to all employees as well as information about available private and community treatment facilities.

- The last section of this policy lists the disciplinary actions that employees will face for any violation of Faneuil's Drug-Free Workplace Policy. Finally, an employee acknowledgement must be signed and dated by each employee who receives a copy of this policy.

The Drug-Free Workplace Act specifically requires Faneuil to notify each employee that, as a condition of employment, each employee must:
- Comply with Faneuil's Drug-Free Workplace Policy.

- Notify Faneuil of any conviction for drug-related offense committed in the workplace within three (3) days of conviction.

- Testing: Drug tests will be administered under the following conditions:
  o when an employee shows signs of impairment on the job;
  o after any accident or occurrence that results in an injury on the job as defined by the Occupational Safety and Health Administration;
  o after any vehicular accident when it appears that the employee might reasonably have avoided the accident or minimized the consequences, but did not do so;

- o at hiring time, when all new hires will be required to pass a pre-employment drug-screening test as a condition of employment; and
  - o random testing
- Any employee who violates this company policy, including refusal to submit to drug testing, will be subject to disciplinary action including termination of employment.

Prohibitions

Faneuil's Drug-Free Workplace prohibits employees from engaging in any of the following activities:

- Use, possession, manufacture, distribution, dispensation or sale of illegal drugs on company premises or company business, in company supplied vehicles, or during working hours.

- Unauthorized use or possession, or any manufacture, distribution, dispensation or sale of a controlled substance on company premises or while on company business or while in company supplied vehicles.

- Storing in a locker, desk, automobile or other repository on company premises any controlled substances whose use is unauthorized.

- Being under the influence of a controlled substance on company premises or while on company business, or while in company supplied vehicles.

- Any possession, use, manufacture, distribution, dispensation or sale of illegal drugs off company premises that adversely affects the individual's work performance, their own or the safety of others at work, or Faneuil's regard or reputation in the community.

- Failure to adhere to the requirements of any drug treatment or counseling program in which the employee is enrolled.

- Failure to notify Faneuil of any conviction under criminal drug statutes for a workplace offense within three (3) days of the conviction;

- Refusal to sign a statement to abide by Faneuil's Drug-Free Workplace policy.

- Unauthorized Use of Prescribed Medicine. An employee undergoing prescribed medical treatment with a drug, which may alter their physical or mental ability, must report this treatment to Faneuil's HR Department. Human Resources will determine whether a temporary change in the employee's job assignment is warranted during the period of treatment.

2.5.2.   Emergency Policies

Medical Emergencies

In the event of a medical emergency, the CSC staff contacts the local emergency services by dialing 911 and asking for assistance. The staff member describes the situation and remains on the phone with the 911 operator until emergency service arrives at the scene.

In the case of any medical emergency, the operations staff writes up an account of the incident as soon as possible following the incident and files it with human resources.

Weather Emergencies

In the event of a weather emergency, the staff has a call tree that facilitates the communication of any weather emergency that may affect the operation. The operations manager consults with VDOT in the event of a weather-related emergency that may affect one or more of the CSC locations.

Safety Emergencies

Safety emergencies are emergencies that affect the facility where an urgent evacuation of a facility is necessary. This includes a fire or other immediate emergency.

In the event of a fire, the staff follows evacuations plans as described in the orientation program. The staff contacts the fire department when and where it is safe and as soon as possible.

Building evacuation diagrams are posted on walls throughout each service center. Fire drills are conducted on a quarterly basis to re-emphasize protocol for such situations.

2.5.3.   Workplace Safety

Faneuil is committed to the safety of its employees and its property and equipment. To this end, we will utilize a safety program in our daily activities. Disregard of any company safety rule and regulation may result in disciplinary action including termination of employment.

It is necessary that Faneuil established safety rules and regulations be observed by all employees at all times. With regard to these rules, the following will be considered standard procedure for all employees.

All questions concerning the reason for doing something in a certain manner may be asked of any member of management at any time. The employee will inform the Human Resources Department in the event that a safety regulation is modified that may compromise an employee's safety.

Employees' decisions will always be guided by Faneuil's commitment to safety. Should a hazardous situation or condition exist and a decision has to be made on safety or production, safety concerns will always take precedence over production.

It is the responsibility of each manager and supervisor to see that every employee at Faneuil is provided with safe working conditions, all safety regulations are observed and employees use good common sense to protect themselves as well as others. Management and supervisors will periodically inspect working conditions and may suspend all work activity until an unsafe condition is corrected.

The most important part of safety is the employee. It is the responsibility of each employee to abide by the safety rules; these rules are made for your protection. Employees are expected to report any personal injury immediately, however minor and all dangerous conditions and practices to the Human Resources department.

Safety Rules

Besides the following listed safety rules, each employee will make himself familiar with the work place and check if there are any additional special safety rules in the designated work area.

- First aid supply kits are provided in the work area. It is the responsibility of the supervisors to see that the kits remain well stocked.

- Know where the fire extinguishers are located and how to use them.

- All defective materials or tools must be brought to the attention of the supervisor and not remain on the job.

- Practice good housekeeping. Keep work area clean and free from stumbling hazards, etc.

- Learn to lift the correct way. Bend knees. Keep back erect. Get help for heavy loads.

- No scuffling or horseplay on the job.

- Do not run within the work area.

- Do not allow raw material, finished goods or trash to be in aisles or stairways.

- Employees must be sure that their actions do not endanger other employees, or damage company or personal property.

- Keep guards and protective devices in place at all times.

- Do not attempt to operate special machinery or equipment without permission and instructions.

- Do not repair or adjust machinery while it is in operation and never oil moving parts except on equipment fitted with safeguards for this purpose.

Reporting Injuries and Accidents

Employees must advise management of all accidents, injuries or illnesses that occur while at work. All accidents, injuries or illnesses that occur while at work must be reported immediately no matter how slight they may appear.

Faneuil provides the proper forms for reporting job related accidents, injuries and illnesses. Failure to report these occurrences may be cause for disciplinary action.

In the event of a vehicular accident involving a company owned vehicle or while on company business, employees will report all information immediately to management. In no instance will responsibility for an accident be expressed to anyone until the proper person in Faneuil has been notified and permission has been obtained to make statements.

2.5.4.   Corporate Vision

These values govern the manner in which Faneuil conducts all work.

Mission

Our mission is to provide integrated customer management solutions that enable our clients to build profitable lifetime customer relationships and exceptional customer service. We accomplish this mission by focusing completely on the needs of our clients and their customers while developing core competencies to meet them.

Vision

Our vision is to be a dynamic leader in diversified, innovative customer service solutions to clients worldwide.

Values

Faneuil has established a set of core values that govern all of our internal and external relationships.

2.5.5.   Equal Employment

Faneuil is built upon teamwork, equal opportunity and is committed to developing and implementing a program of nondiscrimination and affirmative action. Faneuil subscribes to the principles of an equal opportunity employer and will recruit, interview, hire, classify, train, promote, demote, discipline, transfer, terminate, and set rates of pay or other compensation on the basis of merit and qualification without regard to race, religion, creed, color, gender, age, national origin, disabled or Vietnam Era veteran status, pregnancy, ancestry, sexual orientation, or disability.

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Any violations of Faneuil "Equal Employment Opportunity Policy" by an employee must be reported immediately to management. Further, management and supervisory personnel will be responsible for maintaining a work environment that is free of racial, sexual, or any other form of harassment.

Faneuil will cooperate with federal, state or local government agencies that have the responsibility to ensure our compliance with various laws relating to employment.

Management will furnish such reports, records and other matters as requested in order to foster the program of equal opportunity for all persons regardless of race, creed, religion, color, gender, age, national origin, disabled or Vietnam Era veteran status, pregnancy, ancestry, sexual orientation, or physical or mental handicap according to the policies stated in the previous paragraphs.

Management, individually and collectively, has the overall responsibility of carrying out Faneuil's Equal Employment Opportunity Policy in their respective work areas.

2.5.6. Background Screening

There may be times when it is necessary to screen and test an employee to determine what risks Faneuil may assume with employment of the individual. Screening and testing for security reasons and for drug or alcohol abuse may be required. Procedures such as psychological and medical laboratory tests will always be performed under the direction of a certified professional and according to the laws, which apply.

Personnel with a disability, which would affect their ability to take a particular test, shall advise Human Resources so that a suitable accommodation can be arranged. Medical documentation may be requested from the employee concerning a special request.

Candidates should not have any felony convictions within the past 7 years to be considered for employment. Convictions beyond the 7-year limitation will be assessed based upon the nature, severity and frequency of the offenses. Convictions for crimes of violence or involving theft or dishonesty (theft, fraud, etc.) may disqualify an applicant from consideration.

Candidates with misdemeanor convictions will be considered after review of each individual situation. Decisions will be made on factors including but not limited to:

- Frequency of offenses

- Position applied for versus convicted charge

- Time elapsed since most recent conviction

The E-ZPass Virginia Service Center will follow the policy and practices of Faneuil's Human Resources department.

2.5.7. Rules of Conduct

Faneuil expects that all of its employees will conduct themselves with the pride and respect associated with their positions, their fellow employees, customers, suppliers and everyone else associated with Faneuil in one form or another. Employees will always use good judgment, discretion, and the highest standards of ethical conduct in carrying out Faneuil's business.

Failure to interact courteously and tactfully with managers, co-workers, customers, vendors or associates to the point that productivity or morale suffers may be grounds for termination.

2.5.8. Rest or Break Periods

All breaks are to be taken when scheduled. You will be considered tardy for leaving early or coming in late for your scheduled shift or taking a longer break than scheduled.

2.5.9. Information Security Policy

2.5.9.1. E-Z Pass Virginia Privacy Policy

The Virginia Department of Transportation (VDOT) respects the privacy of all customers who participate in the E-ZPass Virginia electronic toll collection (ETC) system, and VDOT intends to ensure and protect the privacy of all E-ZPass Virginia customers. This directive establishes a privacy policy and subsequent documentation of the guidelines and procedures for collecting, retaining, and releasing sensitive personal data and/or information that customers must provide to establish an E-ZPass Virginia ETC account and/or use the E-ZPass Virginia ETC system.

2.5.9.2. Policy

It is VDOT's policy to collect and retain only essential E-ZPass Virginia customer information and/or personal data to properly conduct and record E-ZPass Virginia financial transactions. Also, personal data that E-ZPass Virginia customers provide to VDOT is not shared or released under any circumstances. Information that VDOT collects relative to individual E-ZPass Virginia customer usage, is only released to A) satisfy a bona fide court order/subpoena for information, B) assist authorized law enforcement officials/agencies in the conduct of criminal investigations, C) to the individual E-ZPass Virginia account owner(s), or D) to facilitate collection of unpaid tolls.

2.5.9.3. Conditions for Release of Information

VDOT releases E-ZPass Virginia customer personal information and/or data only under the following conditions:

- As directed by a bona fide court order or subpoena.

- In response to an authorized request by law enforcement officers and/or officials related to a specific toll violation and/or tollgate strike incident. In each instance, the requesting authority receives only the customer name, address, phone number, account status, and violation/incident specific toll transaction information.

- As requested by an E-ZPass Virginia account owner and/or co-owner.

2.5.9.4. Handing Media Contact

This section describes the policy and procedure for handling the media.

CSRs do not make public comments on operations or any E-ZPass Virginia situations. Any media (television, radio, newspaper, Internet) personnel who contact the CSC for information are referred directly to the CSC senior management.

2.5.9.5. Procedures for Release of Information

The following procedures strictly govern the release of any E-ZPass Virginia customer personal information and/or data by VDOT:

- Court order/subpoena: Upon receipt of a bona fide court order or subpoena for information, a copy of the subject court order/subpoena is made and kept on file. VDOT also records and documents all provided information.

- Requests made in person by law enforcement officers and/or officials at the CSC: Requests made in-person at the E-ZPass Virginia CSC must be made directly to the CSC manager. The CSC manager notifies VDOT of the request, obtains official identification (badge number) of the requesting officer/authority, and calls the respective enforcement agency to verify the badge number. After verifying, the CSC records and documents the official identification (badge number) and all provided information.

- Requests made in-person by law enforcement officers and/or officials at the VDOT Central Office: In-person requests at the VDOT Central Office must be made directly to the director of the innovative finance and revenue operations division or a designated assistant director. The director/assistant director obtains official identification (badge number) of the requesting officer/authority, and calls the respective enforcement agency to verify the badge number. After verifying, the director/assistant director records and documents the official identification (badge number) and all provided information.

- Requests made by law enforcement officers and/or officials while on duty (in lanes) at a toll facility: In this case, the officer calls the CSC and asks to speak with a manager. The CSC Manager contacts VDOT about the requested

information and receives authorization prior to giving out information. The CSC staff documents the request and the approval.

- E-ZPass Virginia account owners: Requests for information by individual E-ZPass Virginia account owners must be made in-person, and are honored only upon presentation of a legally recognized form of personal identification.

- Spouses of E-ZPass Virginia account owners: Account owner information is provided only to a spouse if a) it is a shared account, b) the spouse appears in person, and c) the spouse provides a legally recognized form of personal identification.

- Research-related requests: Individuals and/or organizations requesting E-ZPass Virginia information or data for research-related purposes are provided only applicable summary information. Under no circumstances shall personal or customer-specific information or data be disclosed.

- Investigations by non-law enforcement agencies and/or organizations: Requests for customer-specific information pursuant to investigations by non-law enforcement agencies and/or organizations is expressly disallowed and is not honored.

2.5.9.6. Documentation of Requests

Written requests in the form of Court Order, Subpoena or official request on law enforcement agency letterhead and copies of the information provided are retained in a file at the Customer Service Center.

The following list outlines the ways E-ZPass Virginia handles requests for information.

- All Requests for information must be directed to VDOT. VDOT advises E-ZPass Virginia how to proceed.

- VDOT determines what information to release and advises the CSC staff.

- At VDOT's direction, the CSC staff forwards the information to VDOT or the requesting party.

This information remains on file for one year from date of release.

2.5.10. Data Security

To protect property and ensure the security of customer information, all CSRs must follow these data security guidelines:

- Handle customer information in a manner consistent with the Privacy Policy. Forward all confidential or customer personal information to the appropriate location or dispose of the information properly in the shredder before leaving for the day.

- Always keep credit card receipts together and out of sight. Shred credit card receipts that contain account numbers.

- Never leave cash or checks in the open. Always put cash and check payments in the drawer when receiving them.

- Never disclose computer passwords. Log in to Windows and the CSCWinClient system at the beginning of the day and log out at the end of the day. Lock or log out of the computer when leaving the desk. Press **Ctrl**+**Alt**+**Delete** to lock or log out.

- Never leave assigned transponders unattended. During lunch and breaks, lock up or return to inventory all transponders assigned. Return all transponders to inventory before leaving for the day.

- Staff members are personally responsible for all transponders assigned to them and any financial transactions (cash, checks, credit/debit cards) processed during the workday.

2.5.11. Additional Personnel Policies

This section describes additional personnel policies.

2.5.11.1. Attendance Rules

In the daily production process at Faneuil the work passes from operation to operation, each step contributing value added activities to the finished product. This means that each job depends on the successful and timely completion of all other jobs. Because of this fact, absenteeism is disruptive to all operations.

If one person is absent, this may cause others to work overtime in order to accomplish work that is not completed by the absent person. Worse, a one-person absence could cause other jobs to "catch up" or run out of work. In this case, absenteeism does have an overall negative impact on Faneuil's production, resulting in a loss of earnings or even the loss of customers.

Therefore, attendance is of vital importance, not only in relation to co-workers but also with respect to the overall company. Providing high quality service for total customer satisfaction does depend on commitment and attendance.

Note: Center Management may modify the level and enforcement of adherence to the attendance policy in order to meet operational needs.

2.5.11.2. Time Clock Rules

Government regulations require that Faneuil keep an accurate record of hours worked by employees. Employees are required to punch in when they report to work and punch out when they leave. Employees must punch in no earlier than five (5) minutes before their starting time and punch out no later than

fifteen (15) minutes after their scheduled shift has ended unless approved by management.

Employees who are not recording their working time on a time clock are required to keep track of their working hours on a departmental time card or time sheet which will be provided by the Human Resources Department.

2.5.11.3.   Dress Code

Employees are expected to use their good judgment and common sense in presenting themselves as "appropriate" for their positions. Clothing, hairstyles or personal hygiene must not pose a safety hazard or create an unacceptable appearance.

Personal appearance, proper hygiene and appropriate attire are important to the work environment. Clients may gauge the quality of Faneuil by the attention Faneuil employees show to their personal appearance and attire. Employees are expected to report to work wearing clean clothing appropriate to their position.

A neat, well-groomed appearance is important to the employee, their fellow workers and to Faneuil's customers and suppliers. Faneuil does not object to male employees having reasonable long hair if it is groomed. Nor does it object to mustaches or beards if they are kept trimmed and do not hinder the employee's performance or safety on the job.

Business situations such as meetings with clients or customers or representing Faneuil require business attire. Men: Suits with ties and polished shoes with leather soles. Women: Suit, dress or matching skirt and blouse ensemble.

Normal working hours that do not require client meetings allow for a more relaxed and casual appearance with some minimum standards. Men: must wear shirts with collars and buttons, socks and no jeans or gym shoes. Women: dress appropriately observing the inappropriate attire below.

"Casual Day" occurs on Friday of each week. Faneuil may relax the "Casual Attire" standard above to allow jeans while still observing the inappropriate attire below.

Articles of clothing that either exposes too much of the employee, is in state of disrepair, contains obscene references or are too casual are considered to be unprofessional and may not be worn in a business environment. Such clothes can be considered harassing, offensive, or just too casual for the office.

Items of specific religious or cultural significance may be acceptable in the office provided they are being worn for such a purpose. Examples of unacceptable attire include:

- Tank tops, halter tops, or muscle shirts that expose the shoulders.

- Bare navels or transparent blouses.

- Obscene clothing adorned with foul language or images.

- Torn clothing or clothing with holes.

- Sweat pants, sweat suits, running shorts or "work out" clothes.

- Hats or headbands indoors.

2.5.12. Internet Use Policy

Company communications equipment such as telephones, computers, networks, and Internet access are important to our everyday operation and are provided to facilitate official company business. Employees must restrict their personal communications to emergency matters only.

The use of company communications equipment for personal calls, faxes, e-mails or other electronic communication is prohibited.

Offensive and or disruptive messages containing sexual, racial, or degrading commentary will not be tolerated and will be subject to disciplinary action.

2.5.13. Maintenance of the Workplace

The CSC operation strives to provide a clean and pleasant work environment. The responsibility for maintaining this environment is a joint one. All personnel must care for and maintain company property and facilities.

Consume meals in the break room. Remove food items from the refrigerator regularly.

The Grounds and Facilities Coordinator provides a clean working environment daily; however, everyone should leave the break room, work stations, and meeting rooms in a neat and orderly fashion after each use.

Clear workstations of daily work and leave desks clean and orderly at the close of each business day.

2.5.14. Personal Telephone Calls And Correspondence

The CSC's main business is serving its customers, so it is important to keep the telephone lines free for customer calls.

The use of company telephone lines for personal calls is prohibited for CSRs. Routine personal calls may be made during personal time from the employee phone located in the break room. In case of an emergency, family members can contact the Call Center and ask the operator to locate you or your supervisor.

Cell phone usage during work hours is not permitted. Cell phones may be kept at employee work areas but must be placed on mute or vibrate. Cell phone calls may be made during lunch and break and before and after business hours. Supervisors or managers need to be advised if an emergency call is received via cell phone. Arrangements can then be made to allow a response to the emergency.

E-ZPass Virginia business addresses may not be used for personal mail.

2.5.15. Request for Time Off

For E-ZPass Virginia to successfully conduct business and serve customers, the staff must be reliable. Unplanned absences seriously hamper E-ZPass Virginia's ability to meet service goals.

All time off must be requested from management via the Faneuil ETS Web Applicaiton. Time off requests need to be made two weeks prior to the absence date. Please see the Faneuil attendance policy for more details.

3. OPERATIONS PROCEDURES

3.1. Operations Open/Close Procedures

Use these procedures for opening the customer service center for business.

3.1.1. Opening Procedures for CSC and Retail Customer Service Centers

The main E-ZPass Virginia Customer Service Center (CSC) opens at 6:30 a.m. to allow staff to enter the building and begin their workday. Each retail location has varying VDOT approved hours of operation,

- **To open the building:**

- A designated manager or supervisor uses a proximity card to unlock the door

- The designated manager or supervisor will deactivate the alarm system

- The building is now ready for employee access. They may access the building using their personal proximity cards.

3.1.2.   Daily Preparations Call Center

- **To prepare for operations on a daily basis:**

1. A Lead CSR or Supervisor walks the facility to ensure systems are up and running and the staff is ready for the first call.

2. A Lead CSR or Supervisor will stock work stations supplies as needed.

3. A Lead CSR or Supervisor reviews the Echopass telephone system at 7:00 a.m. to ensure calls are coming in and are being distributed. The Lead CSR or Supervisor reports issues to the system administrator as needed.

3.1.3.   Daily Preparations Retail Centers

The Retail Centers use specific start-of-day procedures to ensure accurate starting records and ensure successful proofing after funds are taken in during the day.

- **To prepare for the start of the day:**

1. The Lead CSR or Supervisor at the retail locations assign a specified amount of cash from the money vault (currently $200) for use during the business day. The Lead CSR or Supervisor counts the cash to ensure the start-of-day amount assigned is accurate.

2. The Lead CSR or Supervisor opens the locked cabinet that holds the transponders for the walk-in counter. Here, a supply of working transponders is assigned to each retail center CSR.

3. The transponder ranges and the specific CSR that they are assigned to are tracked for supervisor and inventory reference. Each CSR must return the inventory when their shift is finished. In addition to this, each box that is provided from the inventory staff includes a list of the transponder ranges. The CSR uses this log to note to which account the transponders are assigned.

4. After the management staff provides the CSRs with their transponders, the CSRs carry them to their workstations, behind the front counter, for the remainder of their shift.

5. The CSRs sign on to their workstations and log on to the CSC system.

3.1.4. Closing Procedures for CSC and Retail Centers

- **To close the CSC:**

1. The Lead CSR or Supervisor ensures that the lobby is clean and ready to open the following business day.

2. The Lead CSR or Supervisor will lock entrance doors and attempt to open the lobby door to ensure that the manual lock is engaged. If locked manually, the door does not open.

3. For the Retail locations, the Lead CSR or Supervisor changes the sign from "Open" to "Closed."

4. At the end of the day, the Lead CSR or supervisor will reconciles the cash. The specific assigned amount of cash used at the start of each business day ($200) is to be locked in the safe. Additional cash and checks are locked in the safe. The deposit is prepared the following business day and taken to the bank and deposited. The Coleman Service Center has an authorized company take the money to the bank for deposit.

5. The Lead CSR or Supervisor collects the portable transponder tester and places it in the cashbox. The cashbox is then locked in the bottom portion of the safe.

6. The Lead CSR or Supervisor conducts a final walkthrough of the premises to ensure that no employees or unauthorized persons remain in the office.

7. Designated personnel arm the security system and exit the building.

3.2. Operations Open/Close Procedures

This section describes the customer service center (CSC) software system and the procedures the call center and retail customer service representatives (CSRs) use.

3.2.1. CSC System

The CSC system employs user-friendly interface elements that allow for quick and easy access to multiple types of data. In addition, many screens allow the user to search for information in variety of ways, thereby retrieving all possible matches. The CSC software design uses various types of screens and activates "wizards" that walk a user through a series of decisions to simplify complex processes.

The design and functionality of the CSC system promotes near real-time communication between toll lane plazas and the CSC servers. Credit card data entered into the CSC system is used to make a real-time connection to the credit card providers, which will eliminate the use of external point of sale devices to process credit card transactions.

The CSC system is accessible from all CSR, Lead CSR, and Finance Clerks' main workstations. Designed to support E-ZPass Virginia operations, the CSC system allows CSC personnel to enroll E-ZPass Virginia customers, maintain and service E-ZPass Virginia accounts, and fulfill E-ZPass Virginia transponder orders. Any edits made in the application by a user are attributed to that user in the database for audit purposes.

Table 3.1 provides an overview of the CSC system processes.

Table 3.1 Main Service Center CSC Processes

CSC SYSTEM PROCESS	OVERVIEW
Enrollment	Create/open E-ZPass Virginia accounts Process customer payments Send transponder orders to fulfillment
Account Maintenance	Update account records for customers including: Change of address Change of name Change phone number Add a vehicle Change vehicle information Process TRP requests Change statement options Change or update payment method information Change account PIN Add or change E-Mail address Process requests in the ImageWorks system for the following: Lost/Stolen transponders, Found transponders, Disputed Toll Charges, Customer Complaints
Fulfillment	Control transponder inventory Add transponder(s) to an account Remove transponder(s) from an account Receive, prepare, and disburse transponders to customers In addition, provide upon request: – Statements – Dual Lock™ for transponder attachment – Brochures – Other information to support transponder purchases and installations

3.2.2. Log-In Process

To log in to the workstation:

1. Type the username and password when first logging on to the system at the Windows **Login** screen. This enables system access.

2. Log on to the CSC system using the correct username and password. After logging in, all CSR business applications are available.

3. Passwords to access the CSC application are at least eight (8) characters with at least one (1) capital letter and one (1) numeric character. Passwords must be changed every forty-five (45) days and cannot be changed to the password previously used. After four (4) failed login attempts, the user is locked out. Only System Administrators can unlock the user account once four (4) failed attempts have occurred.

3.3. Telephone System

At the start of every shift, the CSR logs in to the phone system. To do this, the CSR will log in to the Echopass Hosted Contact Center, which uses voice over internet protocol (IP) technology. With this technology, the CSR can use the application from the computer desktop. The log in procedure requires each user to log in to the Echocentral system with a login and password and then into the Echocontact 3 application with a login and password.

Figure 3.1 below shows the Echocontact 3 application screen that the CSR sees after logging in. The features are activated by cursor.

Figure 3.1 Echocontact Application
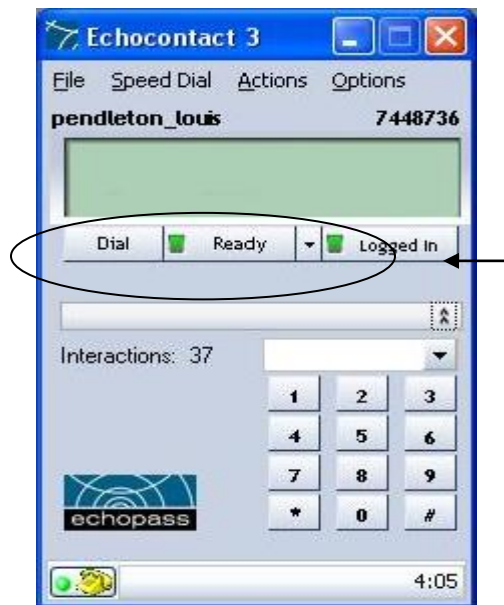
To begin using the Echocontact application, click on the red **Logged Out** button, changing it to a green **Logged In** button [see above]. This action also activates the red Not Ready button for use. When a user presses the red **Not Ready** button, it changes to a green **Ready** button. The user will begin receiving inbound customer phone calls. If a user needs to leave his/her desk or are unavailable for calls during breaks or meetings, he/she presses the green **Ready** button which changes the status to **Not Ready**. For lunches, the user must select "Lunch" from the options after right-clicking on the green **Ready** button. Then the user clicks the green **Logged In** button. This enables the system to bypass the user's station until available again. To log out of Echocontact, the user presses the green **Ready** button and then the green **Logged In** button. To log out of the Echocentral system, the user presses the **X** icon in the upper-right hand corner of the application.

3.3.1. CSR Call Management Guidelines

3.3.1.1. TELEPHONE CALL ANSWER TIME

On *normal* call days, all calls are answered within an average of 30 seconds. On days where the call volume is *high*, calls are answered within an average of 45 seconds.

The customer service manager monitors the daily activity to ensure this is a consistent practice.

3.3.1.2. TELEPHONE CALL ABANDON RATE

The targeted call abandon rate shall be no more than 4% of the total daily and monthly call load for the CSC. This includes all calls at least 30 seconds long terminated by the caller. These call abandonment rates are logged into the monthly report.

3.3.1.3. TELEPHONE CALL DURATION

The telephone CSR is expected to keep inbound customer calls to the CSC to an approximate average of 280 seconds per call to maximize availability. However, the needs of the caller and the resources of the CSR can dictate longer talk times for some calls.

3.3.2. IVR

The Interactive Voice Response (IVR) system answers all incoming calls first and provides the caller with the option to conduct business within the automated system. Several of the IVR options enable a caller to speak with a customer service representative (CSR), at which point the IVR transfers the call to the call center.

The CSC has an automatic call distributor (ACD) application. It receives IVR-transferred calls and routes them to the next available CSR.

During call center hours, the call remains in a queue until a CSR is available. If all CSR lines are busy, the caller immediately hears a message stating that the caller has reached the CSC and that the call is being routed to a customer service representative. The caller is asked to please wait and if all CSRs remain busy, he hears a series of helpful messages while waiting for a CSR.

To observe call center activity, supervisors have access to the Echoinsite display screen, a feature of the Echopass application. This screen shows call, group, and agent

status from the ACD. The current queue length for an individual group can also be viewed on a desk set logged in to that group.

3.4. Customer Account Procedures

3.4.1. Individual Account Enrollment

Most E-ZPass Virginia customers are individual account customers. These customers must pre-pay their tolls. A refundable tag deposit of $25.00 is charged for each transponder requested. The tag deposit is waived only if the customer chooses automatic account replenishment via ACH direct debit, with a secondary credit card on file.

The enrollment process begins when a customer walks in or calls in to the CSC to open an E-ZPass Virginia account. The walk in customer gives the completed application to the CSR for enrollment. The process ends when the new customer receives his/her transponder(s). Individual accounts are subject to the following:

- Start-up account balance: The total start-up amount upon opening an account is the total transponder deposit plus the total pre-paid balance.

- Transponder deposit: A $25.00 deposit is required for each transponder assigned to the account. This deposit is waived only if the customer selects automatic replenishment via ACH direct debit, with a secondary credit card on file.

- Prepaid tolls: The initial prepaid toll amount is a minimum of $35.00 per transponder. If a customer does not think that the total amount of the pre-paid balance will cover his average monthly toll usage, the customer may add additional funds to the pre-paid balance.

- Acceptable forms of payment to open an account are cash, check, credit card, debit card, money order, or gift certificate credit.

- Credit card rejection: If the customer's credit card is declined, the CSR requests another credit card to establish the account. If another credit card is not available, the CSR advises the customer of the nearest walk-in location to open an account and pay with cash or check.

- Account/transponder activation: The transponder is issued to the account and mailed or held for pickup at a walk-in location. The transponder will be active and ready to use once the transponder number is entered into the account, within 24 hours in the state of Virginia and within 48 hours out of state.

- Transponder eligibility: Customers with multiple vehicles may be issued multiple transponders, however there must be one vehicle listed on the patron's account for every transponder. Vehicle information must be provided for each vehicle using an E-ZPass transponder. All customers must provide information about their vehicles, such as license plate number and license-issuing state, year, make, model, color and axle count.

- **To create new E-ZPass Virginia accounts: (Retail CSR procedure)**

1. Greet the customer and determine his/her needs. If the customer requests a new account, ask him/her to fill out an E-ZPass Virginia application form. Provide assistance to customers who submit applications with incomplete or missing information.

2. Ask what method of replenishment the customer prefers, suggesting that it is more convenient to do an automatic credit card payment or ACH direct debit rather than cash, check, or money order replenishment.

3. Inform the customer that the $25.00 tag deposit per E-ZPass transponder will be waived only if automatic replenishment by ACH direct debit is selected with a secondary credit card also on file.

4. Ask for the initial payment into the account. If the account is opened with a credit/debit card, (customers may have already written this information on the application, but the policy is to see the credit/debit card whenever possible). If declined, request a second credit card.

5. Ask for the driver's license for identification verification.

6. In the CSC system, click on **Customer Service** from the main toolbar and select **Open New Account** from the options that appear. A window appears prompting you to select the type of account from a drop-down list that includes: **Commercial**, **Hybrid**, **Non-Revenue**, and **Private**. After selecting the account type, click **OK**.

7. Complete the application fields on the **Contacts**, **Account Status**, **Replenishment** and **Services** tabs from the information given by the customer on the E-ZPass Virginia application form. Click **Apply** at the bottom when finished. Figure 3.2 provides a view of the **New Account** screen with the tabs listed across the top.

Note: *Until further notice, if the customer's name includes a suffix (such as Jr., Sr., III, etc.), include it in the Last Name field following the customer's last name.*

Figure 3.2 New Account Screen

8. To add additional contacts to the account, click on **Options** from the main toolbar and select **Contacts**, then **Add New Contact**. Edit the fields on the **New Contact** screen and click the **Apply** button.

9. Add vehicle information to the account by clicking on **Options** from the main toolbar and selecting **Vehicles**, then **Add New Vehicle**. The Vehicle Maintenance Wizard prompts the user to enter the license plate number, state, make, model, year, color, and vehicle class code of the vehicle. Click the **Finish** button on the final screen of the wizard to complete the process.

Note: *Customer accounts remain in an Open Payment Pending status until payment is made on the account. Once payment is made, the account status changes to Open Pending.*

10. Use the CSC system to process a payment for the initial prepaid toll amount $35 x the number of transponders requested and any applicable transponder deposit. Payment may be entered into the account by the Tag Request Wizard or by making a payment into the account using the Payment Wizard. If the customer elects to pay by credit card and the authorization is declined, inform the applicant and request an alternate credit card. If a second credit card is declined, request that the customer pay with cash, check, or money order.

    Note: Customer accounts remain in an Open Pending status until transponders are assigned. Once transponders are added to a new account, the account status changes to Active.

11. Assign transponders to an account by selecting **Options** from the main toolbar and selecting **Transponders**, then **Add New Transponders**. The Add/Maintain Tags Wizard prompts the user to designate the transponder number or range of transponder numbers, vehicle class, account type, and status. The user can also specify an applicable discount program to the transponder. Click the **Finish** button on the final screen of the wizard to complete the process. The status of the newly opened account will now be *Active*.

12. Use the CSC system to process a payment for the initial prepaid toll amount of all applicable transponders and any applicable transponder deposit. If the customer elects to pay by credit card and the authorization is declined, inform the applicant and request an alternate credit card. If a second credit card is declined, request that the customer pay with cash, check, or money order.

Reinforce the following points with the customer before completing an account setup:

- The low balance and replenishment amounts can be increased at the customer's request.

- Replenishment amounts of less than $35.00 per transponder are not allowed and low balance thresholds of less than $10.00 per transponder are not allowed; however, customers can request an increase to either of those amounts.

- Customers should be encouraged to set the replenishment amount at the average amount of their monthly toll usage to reduce the number of replenishment transactions per month. The customer should calculate the amount and frequency he drives on toll roads and replenish his account accordingly to always keep sufficient funds in the account.

- Customers should also be encouraged to set the low balance threshold to the average 3-4 day toll usage if that amount is greater than the $10.00 per transponder minimum.

- If a customer's replenishment fails, he is notified by mail. This notice explains that he needs to update the account with a valid card for continued auto replenishment, or he can manually replenish the account.

- Explain the activation process for the new transponder (s); inform the customer that the packet he receives includes a welcome letter, the Customer Agreement, mounting instructions and a customer account statement, which shows the transponders assigned to the account and the prepaid balance.

- Discount programs are offered directly from participating toll facilities. If applicable, select a program for the account. Contact information to the applicable toll facility is given to customers interested in enrolling. Upon contacting the toll facility, customers are given information about the program features and any applicable fees. After enrollment in the Chesapeake Discount Program, applicable fees are deducted from the customer's E-ZPass Virginia account balance.

- When all of the customer information is entered, print a Customer Account Report, a receipt, and any other necessary paperwork. The CSR may add comments or notes to the account, if needed.

- Place the completed and signed customer application form and printed copy of the customer account summary in the collection box to be scanned.

- Only authorized CSRs can set up Non-Revenue and Hybrid as described in Table 3.2..

Table 3.2 E-ZPass Virginia Programs

PROGRAM	DESCRIPTION
Discounts	There are three forms of discounts applicable to E-ZPass Virginia customers: • The E-ZPass Virginia discount (automatic) is a discount toll rate offered to all travelers using a transponder—it does not require special enrollment. • The E-ZPass Virginia Plan (subscription) Chesapeake Discount Program • The E-ZPass Virginia Discount Plan (subscription) Dulles Greenway VIP Program
Non-Revenue	VDOT determines the persons who receive free passage on Virginia Roadways, and any restrictions to enforce. Examples of vehicles receiving full passage may include the following vehicles traveling in the line of duty: • Ambulances • Police department vehicles • Fire department vehicles Participants eligible for non-revenue benefits must first establish a pre-paid account. (This can be waived at VDOT's discretion.) The CSC helps VDOT monitor its respective non-revenue customers and accounts.
Hybrid	Individuals authorized by VDOT who have non-revenue accounts can fund their accounts. This enables non-revenue account holders to use E-ZPass away agency facilities and pay the toll. Within Virginia, these accounts incur non-revenue transactions, while transactions out of state are debited from their account balance.

When all of the customer information is entered, print the Customer Account Report, a receipt, and any other necessary paperwork. The CSR may add comments or notes to the account, if needed.

3.4.2.   Individual Account Enrollment: Phone CSR

At the start of the workday, the call center CSR signs in to his workstation and then logs on to the CSC system following the same procedures as detailed for the walk-in CSR (See 3.2.1.2). The CSR logs into the EchoPass telephone system.

The enrollment process for an individual account begins when a customer calls the CSC to open an E-ZPass Virginia account. The process ends when the new account is forwarded to the fulfillment area where customer requests for transponders are processed.

- **To create new E-ZPass Virginia accounts:**

1. Greet the caller and ask how you can help today.

2. Inform the caller about the E-ZPass Virginia website and its application process functionality.

3. Ask what method of payment the customer prefers.

- If the customer wants to pay with cash, check, or money order, direct him to the nearest walk-in center and provide the location and hours of operation of the walk-in center.

- If the customer wants to pay with credit/debit card, request that the credit card be available.

- The CSR should make the customer aware that they will need to provide their contact information and driver's license number and the vehicle make, model, year, and color for each vehicle that they will be using the E-ZPass.

- Complete the E-ZPass Virginia application in the CSC system for the customer. Customers may not open accounts for other people.

4. Complete a partial set up of the account by following steps 6 through 9 in section 3.2.1.4

5. Use the Tag Request Wizard in the CSC system to process payments for initial prepaid toll amounts and applicable transponder deposit made by credit/debit card

6. Completing the screens in the wizard automatically sends a Communication Event to the transponder fulfillment area where transponders will be added to the account. Once transponders are added, the account status becomes active.

7. Review new account information with the customer. Advise the customer that the transponders and a welcome package, will be mailed to the address on the account with expected delivery in 7-14 days.

3.4.3.   Account Maintenance

The CSC staff is responsible for providing accurate and timely account maintenance for every E-ZPass Virginia account that requires updating or maintenance. The request can come from the customer, CSC management, or as a result of existing business rules.

- **To maintain customer accounts:**

1. Ask the customer for his account number and enter the number provided. If the number matches an account, the account appears on the application screen.

    a. If the account is not found, verify the account number with the customer.

    b. If the information still cannot be found, look up the account by any of the following:

    - Name

    - PIN

    - License plate

    - Transponder number

    - Credit card

    - Phone number

2. Request customer identification verification. Request the driver's license for identification verification in a retail location. Call Center staff request three (3) pieces of matching account information.
   Only the account holder may access account information. Ask the customer for his or her four-digit PIN. If the customer has forgotten the PIN, ask for the address, phone number, and vehicle information to verify the person with the account. If the person cannot validate that he is the legitimate account holder, the CSR politely informs the customer that CSC policy does not allow him to make changes to the account information.

3. Update the account.
   Enter the new information and update the account through the following actions:

   - Go to the area where the customer is requesting updated information.

   - Delete the old or incorrect information and type the correct information.

   - Confirm the changes with the customer.

   - Click **Apply**.

4. Verify the vehicle information on the account with the customer to make sure it is current.

5. Communicate with the customer—if the account maintenance requested by the customer included a payment for replenishment, run a payment through the CSC system and post it to the customer's account. (See section 3.4.4 to process a payment).

3.4.4.   Account Replenishment

The low balance threshold amount is the amount that triggers an E-ZPass Virginia account replenishment transaction. Replenishment occurs automatically with a credit/debit card or ACH direct debit, or when paid by check/money order is processed into the account. The low balance threshold amount is a minimum of $10 per E-ZPass Virginia transponder on the account.

When the low balance threshold amount is reached, the driver may see a yellow low-balance message at the light or on the sign as the vehicle passes through a toll lane. If the account has reached zero-balance condition, the driver receives a "Toll Not Paid" message. A customer who has selected automatic replenishment as his/her option should only see this message if the credit/debit card on file or ACH fails to replenish due to decline, insufficient funds, expiration or similar situation.

The replenishment amount is set at $35.00 per E-ZPass Virginia transponder on the account or the average monthly toll usage, whichever is greater.

- **To set up automatic replenishment:**

1. Ask the customer for the payment method—ACH direct debit with secondary credit card, or credit/debit card—he prefers to use to replenish the account

2. Enter the payment method and payment amount (if applicable) in the appropriate field of the Replenishment tab

3. Check the boxes to turn on Auto Replenish and Allow replenishment amount recalculation.

- **To set up manual replenishment:**

1. Ask the customer for the payment method—cash, check, money order, ACH direct debit, or credit/debit card—he prefers to use to replenish the account.

2. Process the payment through the CSC system and enter the amount in the proper field of the Payment Wizard.

3. Explain to the customer that he will continue to receive a yellow low-balance light or a "Toll Not Paid" message until the customer's replenishment has been transmitted to the toll lanes. Replenishment transactions take 24 hours to update the toll lanes in-state and can take up to 48 hours to update toll lanes out-of-state. A green light at the toll lane will confirm the updated account status. If the customer continues to see a yellow light for two consecutive days after contacting the CSC, the account has not been replenished and the customer should call the CSC at their earliest convenience.

4. Communicate with the customer—explain that the replenishment transaction will be reflected on the customer's next statement.

5. Thank the customer for using E-ZPass Virginia.

3.4.5.   Processing a Payment

3.4.5.1.   CHECKS

- **To process checks:**

1. Ensure the name, street address, driver's license number, and phone number are preprinted on the check. Starter/temporary checks and blank checks are not accepted at walk-in locations, but will be processed if received by mail..

2. Stamp the check on the back with the "Deposit Only" stamp.

3. Stamp the check with the "Approval" stamp and record the account number and the CSR ID.

4. Post the check in the proper account in CSC system noting a check payment and record the check number as required.

   - Click on Options from the main toolbar, select **Payments** from the options that appear.

   - The Transaction Wizard appears and the CSR clicks on **Next**.

   - Select **Check Payment** as the **Transaction Type** and fields will be present to enter the check number and amount.

- By clicking **Next**, the wizard will show a final verification screen of the transaction. When the user clicks **Finish**, the transaction is applied to the account.

At any time prior to clicking the **Finish** button, the user can press the **Back** button to return to the previous screen to view or edit. The **Cancel** button can be used to abort the transaction and close the Transaction Wizard.

3.4.5.2.   CREDIT/DEBIT CARDS

Note: *All credit card transactions are processed in the CSC system. American Express, Visa, MasterCard, Discover, and Diner's Club are all acceptable forms of payment, including debit cards with a Visa, MasterCard, Discover, American Express, or Diner's Club logo*

To process credit card payments using the CSC system:

1. Click on **Options** from the main toolbar and select Payments from the options that appear.

2. The Payment Wizard appears. Click on **Next**.

3. Choose **Credit Card Payment** as the Transaction Type and fields will be available to enter the name on the card, the credit card type, card number, expiration date, verification code, zip code, and the payment amount. These fields auto-populate with the credit card information populated on the Replenishment tab, if applicable.

4. The last screen of the wizard will show a final verification screen of the transaction. When the user clicks **Finish**, the transaction is applied to the account.

    At any time prior to clicking the **Finish** button, the user can press the back button to return to the previous screen to view or edit. The **Cancel** button can be used to abort the transaction and close the Payment Wizard.

3.4.5.3.   CREDITS

Note: *All credits require supervisor or manager approval.*

To process credits:

1. Choose **Adjustments** from the **Options** menu in the CSC system. The Transaction Adjustment Wizard will appear.

2. Choose **Credit Card Refund** as the **Transaction Type**.

3. Populate all of the remaining fields on this screen with the applicable credit card information.

4. Enter the amount of the credit/refund as a positive dollar amount into the **Amount** field. Click **Next** at the bottom of this screen.

5. Verify all information on the final screen. Press **Finish** to complete the transaction.

3.4.5.4. VOIDS AND ADJUSTMENTS

Note: *The CSC system processes credit card transactions in real time, which eliminates the option of voiding credit card payments. To correct a credit card payment, a credit card refund must be completed. This process is outlined in Section 3.4.5.3.*

Cash and check entry voids can be completed; however, a supervisor's approval is needed for all voids and adjustments.

- **To process voids/edits:**

1. Choose **Adjustments** from the **Options** menu in the CSC system. The Transaction Adjustment Wizard displays.

2. Choose **Cash Void** as the **Transaction Type** to void a cash entry. Choose **Check Void** as the **Transaction Type** to void a check entry.

3. Enter the applicable dollar amount into the **Amount** field.

4. For a check void, enter the check number into the **Transaction Comments** field.

5. Click **Next** to see the final verification screen. By pressing **Finish** on this screen, the void transaction is recorded.

3.4.6. Adding a Transponder to an Account: Retail CSR

This process begins when the customer requests to add a new transponder to his account and ends when the customer receives the new transponder.

A $25.00 transponder deposit is required for each additional transponder requested. The tag deposit is waived if the customer has auto replenishment through ACH with credit card backup.

Before the request can be fulfilled, customers must have the funds ($35.00 per E-ZPass Virginia transponder or their average monthly usage) in their accounts to cover their pre-paid toll account balance.

To add a transponder to an account:

1. Ask for the customer's account number and enter it into the CSC system. If the number matches an account, the account appears.

   - If the account is not found, verify the account number with the customer.

   - If the information still cannot be found, look up the customer's account by transponder number, license plate number, name, credit card number, PIN, or phone number.

2. Request customer identification verification. Request the driver's license for identification verification. For the customer's security, verify three (3) pieces of account information. This does not include the name on the account. Only the account holder, or authorized contacts, may access account information.

3. Verify information on the account and update the account. There must be a minimum of one vehicle per E-ZPass Virginia transponder on the account.

Note: *There is no limit to the number of transponders that a customer can have on his account. Customers can add a new transponder (s) at any time to their account; however ,the account must be in good standing. Customers with five or more transponders on their account must use automatic replenishment.*

4. If the customer is adding a vehicle, enter the new vehicle information.

5. Ask what payment method—account balance debit, cash, check, money order, ACH direct debit or credit/debit card—the customer prefers for the transponder deposit and the replenishment payment.

   - If the customer has a balance in his account and would like to pay the $25.00 tag deposit for the new transponder out of those available funds, debit his account for the amount of the deposit using the **Adjustment** menu/**Deposit from Balance** selection.

   - If the customer pays with credit/debit card, cash, check or money order, accept the payment and process the payment through the CSC application..

   - If the customer pays with a credit card or ACH direct debit, accept the customer's credit card or ACH information and process the payment through the CSC system. Enter into the account the dollar amount of the charge.

6. Assign the transponder to the account

7. Communicate with the customer—explain the activation process for the new transponder. Explain the changes to the replenishment amount and low balance levels. Explain that the payment transaction will be reflected on the customer's next statement.

8. Thank the customer for using E-ZPass Virginia.

3.4.7.   Adding a Transponder to an Account: Phone CSR

This process begins when the customer calls to add a new transponder to his account and ends when the transponder request is forwarded to the Fulfillment area, where customer requests for transponders are processed.

A $25.00 transponder deposit is required for each additional transponder requested. The tag deposit is waived only if the customer has automatic replenishment via ACH direct debit with a backup credit card on file.

Before the request can be fulfilled, customers must have the necessary funds ($35.00 per E-ZPass Virginia transponder or their average monthly usage) in their accounts to cover their pre-paid toll account balance.

To add a transponder to an account:

1. Follow the procedure in section 3.4.6 above, steps 1-3.

2. If a customer has a manually replenished account, verify that the customer has enough money in his Available Balance to cover the $25.00 tag deposit for each new transponder requested. The account must have enough money in it so that the security deposit can be deducted from the account's available balance without the Available Balance going below the new low-balance level. If there is not sufficient money in the available balance, then the customer must make a payment.

3. Use the Tag Request Wizard in the CSC system to process a payment for prepaid toll amounts or transponder deposit for the new transponder(s). Completing the wizard screens automatically sends a Communication Event to the transponder fulfillment area where transponder(s) will be added to the account.

4. Tell the customer that he will receive his new transponder within 7 to 14 business days at the address listed in his account. The 7 to14-day time allotment includes the normal delivery time by the U.S. Postal Service.

5. Follow the procedure in section 3.4.6 above, steps 6-7.

3.4.7.1.   TRANSPONDER PICK UP PROCEDURE

Customers can call the service center to open an account, or request a transponder then pick up the transponder at a retail location. This is not a service that is offered. *The customer must specifically ask for this service.*

- Verify which service center the customer wants to pick up the transponder.

- Complete a Communication request directed to the specified location.

- Communications sent before 1:00 p.m. can be picked up after 1:00 p.m. that day. *Exceptions to this policy must be approved by a supervisor.*

- Communications sent after 1:00 p.m. can be picked up the next business day. *Exceptions to this policy must be approved by a supervisor.*

- If someone other than the account holder is going to pick up the transponder, the name of the person picking it up must be noted in the Communication event and in the comments in the account. This person must provide his driver's license to pick up the transponder.

- The account holder must provide a driver's license for verification to pick up the transponder.

- Transponders will not be released to any other person other than the account holder or the person they designate to pick up the transponder.

- Customers exchanging transponders must bring the transponder being replaced or the new transponder will not be released.

- Transponders will be held in "Will Call" in the front lobby for seven days from the requested pickup date and then contact will be made with the customer for alternate arrangements.

### 3.4.8. Handling Customer Inquiries for Failed Transponders

Customers call if the transponder in their vehicle does not read in a toll lane. Use the following procedure to determine if the read error was a lane, account, or transponder problem. The problem can be narrowed to a few options:

- Transponder-related: Includes mounting, age of transponder, damaged transponder.

- Financial-related: Includes insufficient funds at time of transaction failure.

- Information-related: Includes inaccurate vehicle information on account, or wrong transponder.

- Account-related: Includes closed accounts for inactivity.

Note: *If the transponder's serial number on the front bar coded sticker does not begin with* ***G3-010xxxxxxx****, which indicates it is a **G3** technology transponder, it could be intermittently working or failing. A G3 transponder <u>always</u> works or <u>always</u> does not work, but is not intermittent. If a G3 transponder fails once, it will not start working again. Therefore, look for transactions after the reported failure date and time to determine if something other than the transponder caused the read error.*

Note: *If the transponder serial number starts with 010 as the starting numbers, it is a Virginia transponder. Any other number starting the serial number indicates the issuing agency (i.e. 015 indicates an Illinois agency). Refer to Figure 3.3.*

Figure 3.3 Determining Issuing Agency
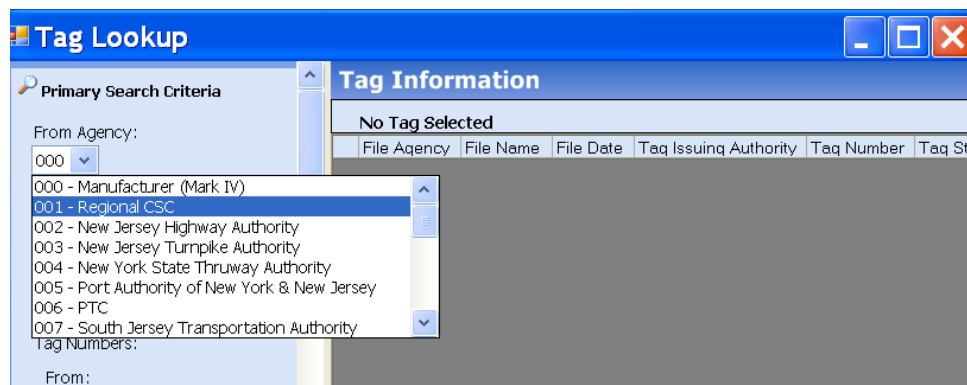
- **To process questions regarding problematic transponders:**

1. Request the number of the problematic transponder.

2. Validate the account. Verify the transponder in question is in fact on the customer's account.

3. Verify there were funds available for the transaction. If not, advise there were no funds for the toll, and update account accordingly.

4. Ask where and when the problem occurred or was noticed.

5. Look to see if the transaction was posted. If the transaction was posted, the problem may be relative to another car in the lane at the time.

- **Determine Possible Causes**

1. Ask the customer the following question, "Where do you have the transponder mounted?"

   - If the customer has the transponder mounted, it eliminates this possibility.

   - If the customer holds it up, the transponder may have been read and transacted the toll, but on an adjacent lane in error, as the transponder has a directional antenna.

2. Ask the customer what make and model of car they had the problem in. If the vehicle is not on the account, ask him to update all the vehicles in which they use E-ZPass Virginia transponders. Determine if the vehicle requires an external mount transponder.

3. Update the account.

4. Determine the transponder's age. A transponder nearing its 8 to10 year life expectancy may be subject to failure. Check the transponder serial number against the serial numbers provided by Inventory identifying transponders that have been in the system eight years and are therefore past their warranty period. An out-of-warranty transponder should be replaced by following the Transponder Replacement Program (TRP) process.

5. Look at the account and answer the following questions:

   - Does the account currently have adequate funds? If not, attempt to post a payment to the account.

   - Did the account have funds at the time of the problem? If the problem was on a Virginia toll road, check the at the time of the transaction. If the problem was on an away-agency toll road, check the funds on the account based on the status of the account when the transponder file was sent to the away agency, generally between midnight and 5:00 a.m of the previous day. A posted payment on the day of the transaction will not be reflected in the lane of an away agency.

   If the answers to the financial questions are all positive, ask probing questions to further investigate the issue.

6. Ask the customer about the last time he saw a red light.

   - Information possibilities: Did that transaction post to the customer account?

   - If yes, do they have another transponder in the car either from another agency or another E-ZPass Virginia transponder? The other transponder

may provide the red light after the good read on the mounted transponder. Only one (1) transponder should be in the car at a time. Wrap any other transponder in aluminum foil or place it in a mylar bag.

- Information possibilities: Has the customer purchased a new car? If yes, the following questions should be asked.

  - What is the make and model of the vehicle? CSR's should refer to training handouts that lists vehicles known to have certain features that interfere with a transponder's signal. These features include:

    o GPS, OnStar, or another navigational system

    o Polarized windshields

    o Radio antenna built into the windshield

    o Rain sensors built into the windshield

  - Other things that can interfere with the performance of a transponder include Lo-Jack for bumper tags and military stickers that allow access to restricted military areas.

- Transponder or Information possibilities: Did it stop working sporadically? Check to see if the transponder number is above or below the current number for the Transponder Replacement Program (TRP).

- Transponder or Information possibilities: Is the transponder mounted properly or is the customer holding it up to the windshield? (Transponder is required to be mounted for driver safety and to assure positive transmission of toll data).

3.4.9. Lost/Stolen/Damaged Transponder

Until the CSC is notified, the customer is responsible for charges resulting from usage. Therefore no refunds are issued for any unauthorized activity on a customer's account that occurred before the customer contacted a service center to report their missing transponder.

A $25 fee is charged for each transponder reported Lost, Stolen, or Damaged. The fee may be waived in certain instances such as:

- The transponder was lost in the mail enroute to the customer or returned via certified mail where proof can be produced.

- The customer provides the Service Center with a copy of an official police report indicating the *E-ZPass* was stolen.

- The transponder number is in TRP range.

3.4.9.1. PROCESSING LOST/STOLEN/DAMAGED TRANSPONDER REQUESTS

1. Ask the customer for his/her account number.

2. Enter the number provided. If the number matches an account, the account appears.

   - If the account is not found, verify the account number with the customer.

   - If the information still cannot be found, look up the customer's account by transponder number, license plate number, name, credit card number, PIN, or phone number.

3. Only the account holder or authorized user may access account information—ask for the customer's four-digit PIN. If the customer has forgotten the PIN, ask for account-specific information to match the person with the account on-screen

4. Complete the Lost/Stolen/Damaged form in ImageWorks. If a customer is reporting more than one missing transponder, then a separate Lost/Stolen Form must be completed for each transponder. If a customer informs the CSR that the transponder has been damaged, the CSR is to complete a Lost/Stolen Form.

5. Report the transponder as Lost/Stolen in the account. The transponder status in the Transponder Maintenance screen of the customer account is changed to **Lost/Stolen**.

6. Comment the account. Note the transponder number and any additional relevant information.

7. CSR applies payment for the Lost/Stolen/Damaged fee to the account and applies the Lost/Stolen Fee Adjustment. *If a Lost/Stolen transponder is returned, the transponder's condition will be evaluated. If damaged, the Lost/Stolen fee will be refunded back to the customer's Available Balance. A $25 Damaged fee will then be taken from the customer's Available Balance.*

8. Lobby CSR issues a replacement transponder at the customer's request. Telephone CSR creates a Communication Event in the CSC application requesting the replacement transponder be mailed to the customer.

3.4.9.2. LOST/STOLEN TRANSPONDER RECONCILIATION

Each Service Center maintains a spreadsheet of Lost/Stole/Damaged transponders with found data entry is applicable. The CSR in charge of handling Lost/Stolen/Damaged transponders completes the following processes after the CSR submits the proper information:

- Each time a CSR reports a transponder lost or stolen on an account a communication is created in the CSC system. A Lost/Stolen/Damaged form should be completed and saved within the ImageWorks application for each Communication event that is in the CSC system.

- The CSR responsible for Lost/Stolen/Damaged transponders searches the CSC system for all lost/stolen communications. Once these have been pulled up, the CSR opens the E-ZPass VA Reports Menu (Lost/ Stolen report), selects the date she needs to pull a report for, and selects the location for her service center.

- The CSR responsible for Lost/Stolen/Damaged transponders prints the report in landscape from Excel and compares the report with what has been entered in the CSC system. Once the transponder number is located that has a Lost/Stolen form, the CSR closes the communication in CSC.

- When all Lost/Stolen transponder communications for the dates selected that the CSR has forms for are closed, the CSR pulls up each account to see if the Phone CSR processed a Lost/Stolen adjustment ($25 per transponder). If the adjustment was not processed, the CSR responsible for Lost/Stolen/Damaged transponders will process the lost/stolen adjustment. (Exceptions listed in Section 3.4.9). The account should be notated that no fee was processed for that transponder number and the reason for the waiver.

- After all fees have been verified, the CSR responsible for Lost/Stolen/Damaged transponders opens the ImageWorks system and completes all lost/stolen forms. All information is then exported to the Excel spreadsheet.

- "After the reconciliation is complete and prior to end of month balance, transponders are revoked from the customer's account and placed in Lost/Stolen inventory location in the system."

- The **Lost/Stolen/Damaged** spreadsheets are forwarded to the Quality Department monthly for system audit. Reports generated from the CSC system identify the transponders that have been placed into the **Lost/Stolen/Damaged** status within the prior month. This report is reconciled to the spreadsheets that have been forwarded by the individual customer service centers. Once the reconciliation is completed, the Quality department ensures the paperwork is on file for every Lost/Stolen/Damaged transponder identified.

- Lost/Stolen/Damaged paperwork is saved in ImageWorks for data retention.

3.4.10. Found Transponders

For all found transponders returned to CSC undamaged, or reactivated in an account, a refund is processed for the entire Lost/Stolen fee collected if returned within one year of being reported lost/stolen. Returned transponders are reported to the CSC and sent to inventory for proper channeling.

Found transponders still under their warranty period may be reactivated at the customer's request.

3.4.10.1. TO PROCESS FOUND TRANSPONDERS

1. Ask the customer for his account number and enter the number provided. If the number matches an account, the account appears.

- If the account is not found, verify the account number with the customer.

- If the information still cannot be found, look up the customer's account by transponder number, license plate number, name, credit card number, PIN, or phone number.

2. Only the account holder or authorized user may access account information—appropriate verification is required before any maintenance is performed.

3. The CSR needs to verify the current account status and also determine from the customer what he/she wants to do.
   - If the account is still open and the transponder has not been revoked from the account,, the transponder can be reactivated to the account provided the Found transponder is still in warranty. A Found Tag form must be completed
   - If the account is still open but the transponder has been revoked from the account, a Found Tag form must be completed so that authorized personnel can reassign the transponder to the account if that is the customer's request. In this scenario as well, the transponder must be in warranty.
   - If the customer wants the transponder activated and the account is closed, reopen the account. The transponder can be reactivated to the account provided it is still in warranty. A Found Tag form must be completed.
   - If the customer does not want the transponder activated and the account is closed, the CSR advises the patron how to return the transponder to one of the service centers. A refund for the Found transponder is processed only when the transponder is returned to one of the service centers, within one year of being reported Lost/Stolen. A Found Tag form is processed by personnel at the time the transponder is physically within any of the service centers.

4. Complete a separate Found Form for each transponder (if applicable)

5. If the transponder number is still in the account , the transponder status in the Transponder Maintenance screen of the customer account is changed to **Found**.

6. Comment the account, notating the transponder number and any additional relevant information.

3.4.10.2. FOUND TAG RECONCILIATION

The CSR in charge of handling **Found** transponders completes the following processes after the CSR submits the proper information.

1. Each time a CSR reports a transponder found on an account a communication is created in the CSC system. The CSR responsible for found transponders should have a Found form for each communication that is in the system. If they do not have a form for each transponder reported found they are to E-Mail the information to that CSR's Supervisor so they can fill out the form.

2. The CSR responsible for found transponders searches the CSC system for all found communications. Once these have been pulled up, the CSR opens the **E-ZPass VA Reports Menu** (**Found** report), selects the date she needs to pull a report for, and selects the location for her service center.

3. The CSR responsible for found transponders prints the report in landscape from Excel and checks the report with what has been entered in the CSC system. Once the transponder number is located that has a Found form, the CSR closes the communication in CSC.

4. When all found transponder communications for the dates selected that the CSR has forms for are closed, the CSR checks the date that the transponder was reported Lost/Stolen in the CSC system.

5. Each account that has a found transponder is reviewed to see if there was a Lost/Stolen fee processed for that transponder. If a fee was charged, the CSR should do a Lost/Stolen fee refund making sure to enter the transponder number and when it was reported Lost/Stolen.

6. If the system did not create a communication but there is a Found Tag Form, the transponder is probably not on the account; it is in Lost/Stolen location.

7. A Lost/Stolen fee refund adjustment is made to the account to credit the transponder fee and includes the CSC location, transponder number, date the transponder was marked lost/stolen, and CSR number and initials. Account is commented also. The Account History is printed for verification and attached to the completed Found Tag form.

8. After all fees have been verified go into ImageWorks and complete all found forms.

9. When all forms are completed, the Excel spreadsheet is updated. The transponders are removed from the Lost/Stolen section and entered in the found section. If a transponder is not in the spreadsheet as lost/stolen it may belong to another service center. In this case, locate the service center where the transponder was reported Lost/Stolen and send the found form to that location to update their spreadsheet.

10. Found Tag paperwork is saved in ImageWorks for data retention

Note: *If there are variances that correspond with a lost/stolen transponder that belongs to another service center, the appropriate Supervisor is contacted by E-Mail with the transponder number and why it is listed as a variance.*

3.4.10.3.   REFUNDS

- Refunds are processed on a weekly basis.

- A customer receives a refund for a found transponder if the transponder is returned within one-year of being reported Lost/Stolen and:

  − A Lost/Stolen fee was paid and the transponder is being reactivated to the account.

− A Lost/Stolen fee was paid and the transponder is returned CSC office and it is not damaged.

- If only a partial Lost/Stolen fee was originally collected, only the amount that was collected is refunded.

- If the customer's account is still active, any applicable refund is credited to his existing account's available balance. If the customer's account has been closed, the customer is contacted to resolve how any applicable refund is issued. If the refund is $3 or less, it is refunded by credit card or transfer to another active account.

- CSR comments the customer account.

- CSR prints a Customer Account record to attach to the form. The form is placed in the designated area for fulfillment.

3.4.11.   Financial Inquiries

CSRs can provide information for balance and statement requests, as described in this section.

3.4.11.1.   BALANCE REQUEST

To process a balance request:

1. Ask the customer for his account number and enter the number provided. If the number matches an account, the account appears.

   - If the account is not found, verify the account number with the customer.

   - If the information still is not found, look up the customer's account by transponder number, license plate number, name, credit card number, PIN, or phone number.

2. Ask for the customer's four-digit PIN—only the account holder may access account information. If the customer has forgotten the PIN, ask for account-specific information to match the person with the account on-screen.

3. Give the customer his or her account balance.

3.4.11.2.   STATEMENT REQUEST

Quarterly statements will be generated automatically for each customer at no cost. The customer can choose to have quarterly statements sent by mail or made available online via the E-ZPass Virginia website. Customers can also contact the CSC to request a copy of the most recent quarterly statements.

As an alternative, a customer can request to have a detailed monthly statement mailed or can view a statement online automatically. A detailed monthly statement provides itemized toll transactions for all transponders assigned to the

account. If the customer elects to have a detailed monthly statement mailed, a $2.00 fee per every 3 transponders on the account is charged per statement and the customer is notified at the time of the request. However, a $1.00 fee will apply if the customer elects to have access to detailed monthly statements online.

Customers can view and print a transaction history for free from the E-ZPass Virginia website once they have set up a username and password for the website.

If a patron requests to have a statement mailed or faxed, they are advised that the request will be fulfilled within two (2) business days. The CSR then places a Communication event in the CSC application using "Statement" as the Communication "Category" and "Type". Applicable notes are placed in the Communication event, i.e. fax number or different mailing address. A designated associate will query the application for Communications regarding statement requests and fulfill the requests.

3.4.12. Account Transfer of Ownership

An E-ZPass Virginia account may be transferred from one account name to another. Change of ownership of an account must be made through a written request (either faxed or mailed); both parties' signatures are required. Legal documentation is required in lieu of signature.

- The account number remains the same and all transponders in the account are transferred to the new owner.

- Only the persons listed in the account are authorized to make ownership changes to the account.

- The Transponder Transfer form is not needed to update a name change as a result of marriage or divorce. Appropriate documentation is required for name changes.

- The Transponder Transfer form is not needed to delete a name from a multiple name account.

- **To transfer account ownership:**

1. Ask the customer for his or her account number, and enter the number provided. If the number matches an account, the account displays.

   - If the account is not found, verify the account number with the caller.

   - If the information still cannot be found, look up the customer's account by transponder number, license plate number, name, credit card number, PIN, or phone number.

2. Only the account holder may access account information. Ask for the customer's 4-digit PIN. If the customer has forgotten the PIN, ask for account-specific information to match the person with the account displayed in the CSC system.

3.4.12.1. Account Name Change Resulting from Marriage or Divorce

- **To process a name change on an account:**

- Verify account information and update as needed.

- Advise customer to fax, mail verification of legal name change (Driver's license, marriage license, etc.)

- Write account number on documentation when received.

- Forward all information to authorized staff for processing. All paperwork is scanned for retention.

3.4.12.2. Account Name Change Resulting from Marriage or Divorce

One personal account cannot be transferred to another personal account. One account holder would need to complete a Closed Account Form.

- If transponders are to be transferred to another personal account, both personal account holders would need to complete and sign the Transponder Transfer Form.

- The completed paperwork must be mailed, faxed, or hand-delivered one of the Customer Service Centers.

- Forward all information to authorized staff for processing. All paperwork is scanned for retention.

3.4.12.3. Change Ownership from Individual to Company

An individual personal account cannot be transferred to a commercial account. The personal account holder, or authorized contact(s), would need to:

- Complete a Close Account form for the personal account,

- Complete a Commercial Account Application

- The completed paperwork must be mailed, faxed, or hand-delivered one of the Customer Service Centers.

- Forward all information to authorized staff for processing. All paperwork is scanned for retention.

3.4.12.4. Change Ownership from Company to Individual

A commercial account cannot be transferred to a personal account. The commercial account holder, or authorized contact(s), would need to:

- Complete a Close Account form for the commercial account to open the Commercial account.

- Complete a Personal Account Application

- The completed paperwork must be mailed, faxed, or hand-delivered one of the Customer Service Centers.

- Forward all information to authorized staff for processing. All paperwork is scanned for retention.

3.4.12.5. DECEASED CUSTOMER

Accounts in which the primary account holder is deceased cannot be transferred to another individual, unless the requesting individual is the surviving spouse of the primary account holder and is listed as an authorized contact on the account.

If the requesting individual wants to keep the account open, the following process is followed:

- **Request a copy of the death certificate.**

- **If new account holder is not listed on the death certificate as an Informant; request court documentation that new account holder is Executor/Executrix of the deceased customer's estate.**

- **Advise the primary account holder's account will be closed.**

- **The new account holder would need to complete a Personal Account Application.**

- **Transponder Transfer Form needs to be completed and mailed/faxed to service center to transfer transponders to the new account. Forward all information to authorized staff for processing. All paperwork is scanned for retention.**

Note: *If the new account holder's name is not on the death certificate and/or not the Executor/Executrix of the Estate, the Transponder Transfer Form has to have the new account holder's signature and the signature of the Informant on the death certificate or the signature of Executor/Executrix of the Estate.*

Note: *Funds from the deceased customer's account will not be transferred to the new account. Any funds in the Available Balance will be refunded by check to the deceased customer's estate.*

If the *requesting individual wants to close the account*, follow this process:

1. Request a copy of the death certificate.

2. CSR completes a Closed Account Form in Imageworks.

3. If caller is not listed on the death certificate as an Informant; request court documentation identifying the Executor/Executrix of the Estate of the primary account holder.

4. Advise that the transponders need to be returned to the service center or retail center within 7-14 days. If not returned, a lost/stolen fee of $25 per transponder will be assessed.

5. If deceased customer's account is in Insufficient Funds status, CSR is to attempt to take a payment to bring account to $0.00.

6. Advise that any funds remaining in the Available Balance at the end of the 65 days (time period to completely close account) will be refunded by check to the deceased customer's estate.

7. Forward all information to authorized staff for processing. All paperwork is scanned for retention.

If a *surviving spouse wants to keep the E-ZPass account open* and now have he/she listed as the primary account holder, the following process applies:

1. The surviving spouse must be listed as an authorized user on the account.

2. A copy of the death certificate must be obtained. The surviving spouse's name must be listed on the death certificate as the "Next of Kin" or "Informant".

3. Upon receiving the necessary paperwork, authorized personnel will change the name of the primary account holder for the account to the surviving spouse's name and notate the account.

4. All paperwork is scanned for retention.

Note: *If the surviving spouse is not able to provide the above information, a new account should be opened and tag transfer form completed.*

3.4.13. Account Closure

This process begins when the customer contacts the CSC to close his account. The process ends when the transponder is received from the customer and a refund is issued.

Individual accounts adhere to the following policies:

- Check/money order refunds: Refund checks are sent out to cash/check/money order customers, if a credit card is not given. Checks will not be issued for less than $3.00 refundable balance.

- Credit card refunds: Refunds for credit card users appear as credits to the credit card accounts.

- Transponders received: Refunds are not issued until the CSC receives all transponders associated with the account.

- Refund processing: Refunds are processed after a delay of up to 65 days to allow for all tolls to post to the account.

- PIN: Customers must know their PINs or provide three specific pieces of account information (address, phone, credit card or vehicle information) to make changes to their accounts. The account holder, or authorized account contact, is the only one who can make changes.

3.4.13.1.   Processing Account Close Requests for Phone CSRs

1. Ask for the customer's account number and enter it into the CSC application. If the number matches an account, the account appears.

    - If the account is not found, verify the account number with the caller.

    - If the information still cannot be found, look up the account by transponder, license plate number, last name, or device number.

2. Only the account holder, or authorized account contact, may access account information—ask for the customer's four-digit PIN. If the customer has forgotten the PIN, ask for three pieces of account-specific information to match the person on the phone with the account on-screen.

3. Verify all account information for accuracy, including the credit card number, if applicable.

3. Advise the patron to return all transponders within 10-14 days to avoid lost/stolen fees being assessed to the account. Tell the customer to mail, via certified mail, his/her transponder to the CSC (ensure the customer has the address) or bring it to the closest Retail Center.

4. CSR is to explain that funds remain on the account for up to 65 days before a refund is processed. This is to allow for possible IAG transactions to post to the account. The patron is also advised that a refund check will be mailed unless a valid credit card is given. For patrons with automatic replenishment via credit card, the credit card information can simply be clarified for validity. Also advise the customer that no refund will be given via check for amounts less than three (3) dollars.

5. CSR must place notes in the customer(s) account, notating the request to close the account.

6. CSR is to complete a Close Account Request form in ImageWorks.

3.4.13.2.   Processing Account Close Requests for Retail CSRs

1. Ask the customer for his or her account number, and enter the number provided. If the number matches an account, the account displays.

    - If the account is not found, verify the account number with the customer.

    - If the information still cannot be found, look up the customer's account by transponder number, license plate number, name, credit card number, PIN, or phone number.

2. Only the account holder or authorized user may access account information—ask for the customer's four-digit PIN. If the customer has forgotten the PIN, ask for account-specific information to match the person with the account appearing on-screen.

3. Confirm that all transponders on the account have been returned. All unreturned transponders are subject to $25 Lost/Stolen fee.

4. Complete a **Lost/Stolen** form if necessary. If funds in the account are not sufficient to cover the fee, charge credit card or collect funds from customer.

5. Complete a **Found Transponder** form if customer returns a transponder on his account that had been previously marked Lost/Stolen so a Lost/Stolen Fee Refund may be processed.

6. Print a customer account report showing transponders and available money on the account. The account is placed in a **Closed Pending** status until all transponders are returned, even if the account balance is zero ($0.00).

7. Revoke the transponder(s) in the CSC system as they are returned. The system location of the revoked transponder(s) becomes that Retail Center. The transponders returned to the CSC at the counter are retrieved by the Inventory Department once each day, or as needed.

8. Comment the customer's account, specifically noting the transponder number of each returned transponder.

9. When all transponders have been removed from the account, complete a **Close Account Request** form in ImageWorks and inform the customer that any refund amounts will be processed in approximately 65 days, ensuring that all transactions can post. Document the reason for closing the account.

10. If the account has a positive or negative balance, place the account status in Close Balance Pending. If the account balance is zero, leave the account in Close Pending status.

3.4.13.3.   Completing Close Account Requests

Note: *Only authorized personnel complete this process.*

- The CSR responsible for closed accounts runs the **Closed Account Report** in the CSC system and prints the report.
- This CSR checks for duplicates and pulls the corresponding account numbers from the ImageWorks system. If there are two forms for the same account, the CSR deletes one of the duplicate forms, making sure that all information in correct on the **Close Account** form.
- The same CSR reviews the closed account, making sure that website access is disabled, vehicles are deleted, and the replenishment feature is turned off. The CSR then makes a comment in the CSC system that states when we received the **Close Account** form and when the account is supposed to be closed. (Ex: Recv'd close acct form on x/x/xx schedule to be closed on x/x/xx).
- The account is closed 2 months from the date we received the **Close Account** form. (Ex: Recv'd close acct form on 1/1/08 schedule to be closed on 3/1/08)
- If an account is pulled up that is already in **Closed** status, the account is marked on the sheet. A comment does not need to be made about closing the account.
- Once the report is completed, it is filed in the **Close Account** filing cabinet. The report is filed in the appropriate month and day folder/file it is schedule to be closed. (Ex: Report ran on 1/2/08 will be filled in folder March, file 2).

3.4.13.3.1.　　After 65 Days

- In the Close Account filing cabinet, the date is pulled that needs to be closed. (Current date or before, depending on how the days fall in the week).

- The CSR responsible for handling the closed accounts pulls up each account and reviews the recent communications to see if the patron has called in and hasn't changed anything that the CSR would need to know. The CSR makes sure that the web access is disabled, vehicles are deleted, and the auto replenishment is turned off.

- Any transponders with status Lost/Stolen on the account are revoked to the lost/stolen transponder location. The CSR checks to see if there are transponders listed on the account. If there are transponders on the account and they are marked Lost/Stolen, they only need to be revoked from the account. If the transponders aren't marked Lost/Stolen then a Lost/Stolen form needs to be filled out. If the transponders are marked Lost/Stolen, then a lost/stolen fee should be charged, if applicable. If there are not enough funds on the account to make the fee adjustment and there is a valid cc on file, then charge the card for the funds need and charge the fee. If there is not enough funds on the account, and there is not a valid cc on file, then try to collect the funds from the customer. If unsuccessful, then charge the available amount as the lost/stolen fee and close the account.

- The CSR responsible for closed accounts refunds the remaining balance through the payment method that was last used on the account (Ex: credit card or check). If there is not a credit card on the account or the credit card is expired, then a check refund will be issued.

- The CSR then changes the status of the account to Closed and completes the Close Account form in ImageWorks.

- Finance sends a report to the corporate office every Friday for checks to be generated and mailed.

2**. Negative Balances**

- If after the transponders are revoked off the account, and it is noted that the account balance is a negative, a payment is attempted for the exact amount.

- If the payment processes, the account can be closed.

- Be sure when processing a payment that a comment is such as the following: "cc pmt to cover negative balance to close acct."

- The **Close Account** form is then completed in ImageWorks with the date closed and the amount of the refund.

3.5.　　Commercial Accounts

3.5.1. Setting Up a Commercial Account

Commercial account setup occurs in the main CSC.

Each CSC location has CSRs specifically trained to meet the different needs of the commercial customers that visit or contact that location.

When the commercial application is processed, verify that:

- All required information is entered and validated, to include the following:

    – Business name/DBA

    – Physical mailing address

    – Federal tax ID or tax exempt number

    – Two points of contact

    – Phone/fax numbers

    – E-Mail address

    – Valid credit card (commercial accounts with at least five vehicles must use auto-replenish)

    – Accurate vehicle class codes

    – The customer understands and agrees to the E-ZPass Virginia rules and policies as outlined in the terms and conditions portion of the agreement.

- Transponders are programmed with the E-ZPass vehicle classification code applicable to the vehicles on the account prior to being issued to the commercial customer.

3.5.2. Commercial Account Replenishment Policy

Commercial accounts with at least five E-ZPass Virginia transponders must use automatic replenishment; there are no exceptions to this rule.

Commercial account customers are encouraged to use auto replenishment to minimize the risk of low balance or insufficient funds, causing potential gate crash damage to their vehicles.

3.6. Non-Revenue Accounts

3.6.1. Managing Non-Revenue Accounts

The following rules apply to Non-Revenue account management:

- Only walk-in center CSRs may handle certain Non-Revenue account issues. If a call center CSR receives a call regarding a Non-Revenue account, they must assess the situation to determine if it is something they are able to handle. (Outlined guidelines below)

Call Center CSRs are able to:

- Update account (address changes, {Request must be sent in writing on business letterhead and document must be given to Quality Manager}, credit card information, E-Mail address, phone number.)
- Take a payment if applicable and requested by the customer.
- Add/Delete vehicles.

Walk in Service Center CSRs perform the following:

- Open all call-in and/or walk-in Non-Revenue accounts.
- Handle all call-in and/or walk-in add-on transponder requests for Non-Revenue accounts
- Replace or accept turned-in old E-ZPass Virginia Non-Revenue transponders.
- Handle reporting lost/stolen E-ZPass Virginia Non-Revenue transponders.

CSRs will use the appropriate Non-Revenue forms for transactions and the customer, CSR, and supervisor on duty must sign all paperwork and then give the forms to the CSC Supervisor following the transaction.

When processing a walk-in or call-in Non-Revenue account holder, the following paperwork must be processed to accompany any action taken on the account.

- Non-Revenue New Issue Transponder form
- Non-Revenue Returned Transponder form
- Non-Revenue Lost/Stolen form

Employees must ensure that the written authorization from the proper authorities within VDOT   accompanies all new Non-Revenue accounts. They must also ensure that, despite the number of E-ZPass Virginia transponders requested, the requestor receives exactly the number of E-ZPass Virginia transponders that VDOT authorizes.

All non-revenue applications (originals), all account forms, approvals, email confirmations, etc. must be faxed to Clifton Forge service center for monthly audit.

3.6.2.   Processing Non-Revenue Add-On Transponder

When a new E-ZPass Virginia transponder is issued to a Non-Revenue account, the Non-Revenue Add-On Transponder form must be filled out completely, including the following fields:

- Account Number—customer's account #

- Business Name—name of organization

- Authorized by—the name of the VDOT personnel authorizing this account

- Issuing Center—CSC where issued

- Number of Transponders Added

- Transponders Issued—the transponder serial number

The New Issue form, accompanied by the written authorization form from corresponding VDOT personnel, must be faxed to Clifton Forge for monthly audit.

3.6.3.   Processing Non-Revenue Returned Transponder

When a non-revenue account holder turns in an E-ZPass Virginia transponder, the Non-Revenue Returned Transponder form must be filled out completely.

The following rules apply to returned non-revenue transponders:

- If the returned E-ZPass Virginia transponder has a dead battery, this transponder may be replaced as normal.

- If the returned transponder has been listed as either lost or stolen, verify the approved number of transponders authorized for the account. If a replacement has been issued, the returned transponder *cannot be reactivated*, it must be returned. Complete a Found Tag form. A Lost/Stolen fee processed on the account may be refunded if the transponder is found and returned within one year of being reported Lost/Stolen.

- If the E-ZPass Virginia transponder is returned to the CSC damaged, the customer must make a payment then via cash, check, or credit card. See the supervisor on duty to process payment.

3.6.4.   Processing Non-Revenue Lost/Stolen Transponder

- **To process a non-revenue lost/stolen transponder:**

1. Fill out the Lost/Stolen Form accordingly.

2. Ensure that the customer has made a payment for processing. The $25 Lost/Stolen fee applies.

3. Deliver the Lost/Stolen Form to the designated employee for processing.

3.6.5.   VDOT Handicapped Account

VDOT has a special handicap account for qualifying individuals with permanent upper limb mobility in accordance with Section § 33.1-252 B1 of the Code of Virginia.

Applicants must complete the Non-Revenue Transponder Application – Permanent Upper Limb Mobility Impairment form, provide physician's certification and have the documents notarized.

Interested applicants are directed to the E-ZPass Virginia retail center nearest to them. The retail center supervisor will provide the aforementioned form, instructions, and process the request through VDOT.

3.6.6. Non-Revenue Slip Ramp Access Procedures

Each transponder that is to be activated for the slip ramp must be individually marked under the Assign Current Transponder to Discount Plan option. This is done in the CSC software application by right-clicking on the transponder and assigning it to the Discount Plan for DTR Slip Ramp Access.

IMPORTANT: Enrolling a transponder in the CSC application does not actually activate the transponder for the slip ramp. Each individual transponder number that is to be activated for the slip ramp must be communicated to the Dulles Toll Road by E-Mailing the designated toll road administrator.

3.6.6.1. Processing New Non-Revenue Accounts Requiring Slip Ramp Access

- **To process new Non-Revenue accounts requiring slip ramp access:**

1. The applicant fills out the Non-Revenue application, ensuring the slip access box is checked.

2. The Northern Virginia CSC submits the application to VDOT for approval. Once approved, the Northern Virginia CSC will open the account.

3. The new Non-Revenue account is created in the CSC by authorized personnel. Transponder deposits may be required for each new transponder according to the terms of the E-ZPass Customer Agreement. Once transponders are added to the account, the transponder numbers must be communicated via E-Mail to the Dulles Toll Road so they can be activated for the slip ramp.

4. In addition to the regular information provided to Non-Revenue accounts, customers are notified that slip ramp access could take up to 5 business days for processing and to proceed with caution

3.6.6.2. Replace/Return Transponders for Non-Revenue Accounts Requiring Slip Ramp Access

1. The customer begins the process by filling out the Non-Revenue Exchange Form and stating the reason for exchange.

2. Authorized personnel in the CSC add the new transponder to the account, and select the box indicating they are replacing a current transponder on the account. Comments are left in the account indicating the transponder serial numbers involved in the exchange. The completed Non-Revenue Return/Replacement form is given to the Supervisor.

3. The Supervisor must inform the Dulles Toll Road via E-Mail of the transponder numbers of both the replaced transponders (for de-activation) and the new transponder numbers (for activation).

4. In addition to the regular information sent with Non-Revenue accounts, customers are notified that slip ramp access could take up to 5 business days for processing and to proceed with caution.

3.7. Hybrid Accounts

Hybrid accounts are Non-Revenue accounts within the state of Virginia; however, they allow the customer to pre-pay toll fees for outside-of-state tolls. Please refer to Table 3-2.

The following procedures apply to hybrid account management:

- The applicant must designate on the Non-Revenue/Hybrid account application form whether the account to be activated is a Hybrid account or a Non-Revenue account.

- Written authorization from VDOT is required and should be submitted with the application form. The account is not to be activated without VDOT approval on file. The customer is to receive only the number of transponders that VDOT has approved. Any future requests to add new transponders to Hybrid account must have written authorization from VDOT.

- Hybrid accounts will be set up as either commercial or personal accounts to facilitate account balances. A separate check-box designation will be activated to make it a Hybrid account.

- A CSC Supervisor or Manager's system password is needed to designate any new account as a Hybrid account. The Supervisor or Manager must account for written VDOT approvals before completing this step.

- Existing accounts of any type cannot be converted into Hybrid accounts. Hybrid accounts cannot be converted into other types of accounts either. New accounts need to be created in this instance and the old account would be deactivated.

- CSRs will use the appropriate forms for transactions. The customer, CSR, and Supervisor on duty must sign all paperwork. Currently, a copy of all paperwork is forwarded to the Quality department for review and filing.

- Hybrid accounts are managed as described in Section 3.6.1 Managing Non-Revenue Accounts.

- The CSC supervisor maintains a clear and concise filing system for all Hybrid accounts and ensures that all folders are clearly labeled and filed accordingly.

- Employees must interact with the other CSCs to ensure that all Hybrid account records remain current.

When processing a walk-in or call-in Hybrid account holder, the following paperwork must be processed to accompany any action taken on the account:

- New Issue Transponder form

- Add-on Transponder form

- Returned Transponder form

- Lost/Stolen form

The paperwork should be marked in an appropriate manner to designate the action as a Hybrid account.

The procedures for processing a new issue transponder, a returned transponder, or a Lost/Stolen transponder are the same for Hybrid accounts as Non-Revenue accounts. Sections 3.6.1.1 through 3.6.1.3 outline the steps to be taken.

3.8. Gift Certificates

3.8.1. Issuing Gift Certificates

To issue a gift certificate:

1. The CSR or customer completes the Gift Certificate Form in the ImageWorks system.

2. Complete the necessary fields on the Gift Certificate Form including purchaser's name, address, phone number, and payment information.

3. The supervisor responsible for handling gift certificates will run a report on the ImageWorks system daily to locate any new Gift Certificate forms. The supervisor will process the payment into the appropriate service center's gift certificate account.

4. The supervisor will edit the gift certificate form in ImageWorks to delete all but the last four numbers of the credit card and expiration date.

5. The appropriate supervisor adds the gift certificate information to the Gift Certificate spreadsheet located on the shared drive. The following information is required on the spreadsheet:

    - Date

    - Gift certificate number

    - Amount

    - Purchased by

    - Telephone number

6. The gift certificate is either mailed or issued if the customer is in the lobby of a walk-in service center. The issuing CSR or Supervisor will write a date in the Expiration Date field, exactly one (1) year in advance of the date the gift certificate is issued. Recipients of a gift certificate have one (1) year to redeem it, otherwise the funds are forfeited.

7. The form is filed in numerical order for future redemption (in Gift Certificate binder).

3.8.2. Redeeming Gift Certificates

To redeem a gift certificate:

1. The CSC <u>must</u> receive the physical gift certificate to redeem it.

2. The appropriate supervisor redeems the gift certificate by processing "gift certificate debit" and "gift certificate credit" adjustments to the issuing CSC account and customer account, respectively.

3. Add comments to each adjustment to indicate the redeemed gift certificate number, amount, and future fund destination (customer account). Similar comments are also added to each account's comment field.

4. After funds have been transferred, the appropriate supervisor collects the gift certificate and marks its redeemed status by writing the date redeemed, the account number, and "VOID" across the front side.

5. The appropriate supervisor locates the issue form from the Gift Certificate binder and completes redemption fields. Form, gift certificate, and a customer account snapshot are stapled and filed accordingly in the Gift Certificate binder.

6. The appropriate supervisor updates gift certificate status in the Gift Certificate spreadsheet by completing **Amount Redeemed**, **Amount Redeemed Into**, **Verified**, and **Date Redeemed** fields. The redeemed gift certificate is removed from regular spreadsheet view by selecting the row and using the **Hide** function.

3.8.2.1. Redeeming Gift Certificates from Other Service Centers

To redeem a gift certificate from other service centers:

1. The appropriate supervisor follows previously described procedures (see 3.8.2).

2. The appropriate supervisor notifies the issuing center that the gift certificate has been redeemed and sends the original gift certificate to the issuing walk-in service center.

3. Upon receipt, the issuing service center updates their Gift Certificate spreadsheet accordingly.

3.8.3. End-of-Month Gift Certificate Procedures

Gift Certificate accounts are reconciled each month by each service center. The designated service center supervisor runs a detailed monthly statement and verifies all credits and debits to the Gift Certificate account, against the account issue and redemption information on the Gift Certificate spreadsheet.

After reconciliation, the next month's spreadsheet is created by opening the current month's spreadsheet and using the Save As function to rename it for current month. The redeemed gift certificates are removed from regular spreadsheet view by selecting the row and using the Hide function.

3.8.4. Retention of Gift Certificate Request Forms

Gift Certificate Request forms can contain full credit card numbers. If a form is submitted with a full credit card number, the request is fulfilled, payment posted, and the gift certificate is mailed to the desired recipient. The credit card number on the request form is then masked with a black marker, except for the last four digits. The request form is subsequently photocopied; the original is placed in the shred bin, the photocopy is retained until the gift certificate is redeemed. After the gift certificate is redeemed and the monthly reconciliation is completed, the gift certificate and the request form are both shredded.

3.9. Escalated Inquiries

A customer may contact the CSC for an inquiry, complaint, or discrepancy regarding his account. Customer exchanges not satisfied at the CSR level are escalated to the Lead CSR and then to a supervisor or manager. The following scenarios describe typical procedures for escalating an issue received at the walk-in counter of the CSC, through the mail, or on the telephone.

To process escalated inquiries, complaints, and discrepancies

1. The customer describes the issue to the CSR.
2. The CSR attempts to resolve the issue without escalation.

    - If successful, the CSR thanks the customer and moves on to the next task.

    - The normal escalation procedure for a CSR is to locate a Lead CSR for mail-in or call-in cases. For more extreme customer service issues, the CSR can bypass the Lead CSR and locate a supervisor or manager for assistance.

3. If a customer reports a roadway issue to the CSC, the CSR immediately contacts his supervisor. The supervisor immediately contacts the nearest toll plaza to report the incident.

4. Escalations go up to the appropriate department manager and then to the operations manager.

5. CSRs are the first line for resolving walk-in and call-in customer complaints. The CSR (or mail clerk for issues coming in through the mail) is trained to understand where to send the complaint if he cannot resolve the issue.

6. Customer issues and inquiries often involve questions of refunds and charge reversals. While the Lead CSR or supervisor on duty is responsible for making the adjustment, he only makes these adjustments per the CSC policies.

The Finance Manager periodically reviews the adjustments to ensure that they are made appropriately.

3.9.1. Gate Strikes

A gate strike happens when an E-ZPass Virginia customer's vehicle either hits or is hit by the gate at a toll facility lane.

If the customer calls and advises that a gate has hit his car or he has hit a gate, follow the next procedure.

To process a customer contact about a gate strike incident:

1. The CSR locates the customer's account in the CSC application.

2. The CSR verifies the customer as either the account holder or an authorized user then ensures there is money in the account.

3. The CSR verifies account information, including all vehicles and assigned transponders, to troubleshoot any issues.

4. The CSR provides the customer the contact information for the applicable toll facility. From this point, any resolution will have to occur between the applicable toll facility administration and the customer.

Note: *If the customer is not an E-ZPass patron, Step 4 only applies.*

3.10. Miscellaneous Inquiries

3.10.1. Toll Disputes

When a customer disputes a toll charge on his/her E-ZPass account, the CSR fills out the Disputed Charge Form from the ImageWorks application. Detailed information must be provided on this form, such as:

- State (If other than Virginia)
- Toll Road
- Plaza Name
- Lane Number
- Date and Time of the transaction
- Any additional comments

The CSR gives this form to their Supervisor. The Supervisor contacts the applicable toll facility and provides then with all of the information provided on the Disputed Charge Form. A statement of why the toll charge is being disputed is also required.

If the toll road approves an adjustment to the original toll charge, the Supervisor locates the toll charge in the CSCWinClient application and adjusts the toll amount to the corrected total. Appropriate notes are placed in the Adjustment Wizard explaining what prompted the adjustment and who authorized the adjustment. After the adjustment is complete, the Supervisor then contacts the customer to tell them the disposition.

3.10.2.   Credit Card Disputes

When a customer wants to inquire about or dispute a credit card payment, the CSR requests the customer's full credit card number and a telephone number where he/she can be reached. This information, along with the customer's name, is entered on a Credit Card Dispute Form. Other pertinent information, such as the date and time of the charge, should also be obtained from the customer. The customer is advised that a response should be expected within two (2) business days. The CSR gives the Credit Card Dispute Form to their Supervisor on the same day the dispute or inquiry was made. (The form is not to be left in the Supervisor's area)

3.10.2.1.   CLIFTON FORGE CENTER

The Finance department is located within this facility. The Supervisor delivers the Credit Card Dispute Form to the Finance Manager or Finance Supervisor on the same day the dispute or inquiry was made. Once the Finance department has researched the dispute or inquiry, they provide that documentation to the Supervisor. The Supervisor will contact the customer with the results of the research. The Credit Card Dispute Form is then placed in the shred bin to be destroyed later.

3.10.2.2.   RETAIL LOCATIONS

The Retail Supervisor will call the Finance Supervisor or Finance Manager, giving him/her the necessary information on the Credit Card Dispute Form. The form is never e-mailed or faxed. Once the Finance department has researched the dispute or inquiry, they provide that documentation to the Retail Supervisor. The Retail Supervisor will contact the customer with the results of the research. The Credit Card Dispute Form is then placed in the shred bin to be destroyed later.

3.10.3. Customers From Other E-ZPass Agencies

When a customer enters a walk-in center and provides an account number or transponder serial number that does not match the CSC database, the CSR listens to the customer's issue, and if the CSR can explain or resolve the issue, the CSR does so.

If there is nothing that the CSR can do because the issue belongs to the customer's home E-ZPass agency, the CSR gives the customer the home agency's phone number (if the CSR can determine the home-agency from the customer's information), E-Mail address, that agency's walk-in center locations, and the hours of operation and then requests that the customer contact his home-agency directly.

3.11. Daily CSR Cash Out

3.11.1. Cashing Out

Telephone CSRs may begin the cash out procedure at the end of their shift. For CSR's who work until the close of the business day, they begin the cash out process after all calls are cleared from the ACD queue. Lobby CSRs remain on duty as needed until the close of walk-in business and all customers have left the lobby.

Note: *For cashing out during end-of-day cash-out procedures, the call-in CSR follows the same procedures and uses the same screens that the walk-in CSRs use. Additionally, the call-in CSRs do not assign transponders to accounts. The CSRs forward form requests to the appropriate department for fulfillment processing.*

3.11.1.1. Customer Service Representative Responsibilities

To cash out for the day:

1. In the CSC application, select **Financial** from the main toolbar. Go to **Deposits**, then **New**. The **Staff Deposit Wizard** will appear. The CSR is to proceed through each screen within the wizard.

2. The first screen of the wizard has pre-populated fields for the **CSR's name** and the Deposit **Date**. The **Deposit Date** field populates with the current date. Click the **Next** button to proceed.

3. A pop-up screen appears, asking if the CSR took both VPS and CSC payments on the current date. If the question is answered "No," the wizard proceeds in the cash out process of the CSC. If the question is answered "Yes," the CSC system automatically populates the cash, credit card, and check amounts for the CSC and proceeds to the cash out process of the VPS.

4. Assuming the CSR did not take VPS payments, the next screen of the Staff Deposit Wizard allows users to enter the cash counts by the denomination of money, from pennies to hundred dollar bills. This screen calculates the

cumulative total of money as amounts are entered. Click on the **Next** button when finished.

5. Credit card amounts are reconciled on the screen that follows the cash totals. The totals by credit card type (Visa, MasterCard, Discover, American Express, and Diner's Club) will automatically be populated on this screen based on the activity since the last deposit. This screen also displays the cumulative total of credit card payments for the current deposit. Press the Next button to continue.

6. Check amounts are reconciled on the screen that follows the credit card totals. This screen populates all of the check payments since the last deposit automatically. The first column is designated for check numbers and the second column is designated for the corresponding check amounts. This screen also displays the cumulative total of check payments for the current deposit. Press the Next button to continue.

7. The final screen is used by a CSR to verify all of the information entered on previous screens. After the totals and calculator tape (if cash and/or check payments were made) are verified by a Lead CSR or Supervisor, the CSR will press the Finish button to complete the deposit. Prior to pressing the Finish button, at any point in the wizard, a CSR can press the Back button to return to a previous screen and make necessary edits.

3.11.1.2. Close Out Lead CSR or Supervisor Responsibilities

After all CSRs have cashed out, all deposit bags are put in the safe and the deposit reconciliation begins. Lead CSRs or Supervisors will verify the deposits made by the CSRs. The verification process for a Lead CSR or Supervisor is two-fold:

1. A Lead CSR or Supervisor will run the **Clerk Financial Activity Report** from the CSC system. The current date is used for the date parameter and the report is filtered by Staff Location (Clifton Forge, Northern Virginia, Coleman, or Richmond). This report lists the total cash, check, and credit card amounts taken for the day by CSR in the chosen location. The CSR deposits are reconciled to this report. Any variances are reconciled before leaving for the day.

2. A Lead CSR or Supervisor then can search deposits by clicking on the **Financial** option from the main toolbar in the CSC system, selecting **Deposits**, then **Search**. The search function allows the supervisor to see deposits made by one CSR at a time or all deposits made within a time period. The time specification is configurable based on user needs; however, the normal date parameter will be the current date.

3. By clicking on the Search button, the user will see all deposits based on the specifications entered. The Lead CSR or Supervisor can then right-click on any listed deposit and select **Verify Deposit**.

4. The Add/Verify Staff Deposit Wizard activates and the supervisor can navigate through the same screens the CSR edited during the cash out process.

5. All receipts will be reconciled to the totals listed in the Add/Verify Staff Deposit.

6. When the supervisor has completed the verification process, the Lead CSR or Supervisor clicks on the Finish button to show the deposit as being verified. All of the day's deposits must be verified.

7. The Lead CSR/Supervisor and the CSR both sign the CSR's deposit receipt.

8. The CSR places the deposit receipt in the bag with the cash deposit.

9. The Supervisor in the Richmond retail center makes nightly bank deposits of all cash, check and money order payments received that day after the conclusion of the work day. All check, cash, and money order payments collected in the Clifton Forge, Northern Virginia and Coleman centers are placed in a locked safe overnight and deposited into the bank the following business day.

3.12. The E-Z Pass Virginia Website

The E-ZPass Virginia Customer Website application provides users information about the E-ZPass of Virginia program and other participating toll roads. This site is interactive, allowing the customer to open a personal or commercial prepaid account, to make updates to accounts, to view statements, make payments, review contact information, and to obtain answers to frequently asked questions (FAQ).

The functionality on the Web server links to the databases that retain account and violation data. The system updates in real-time any changed information on the Website and sends select confirmation E-Mails to the E-Mail address associated with the account.

Authorized E-ZPass Virginia staff will update content on the website up to four times per year as requested by VDOT.

3.12.1.   Website Functionality

- **Customers are able to perform the following functions from the Website:**
- Create a personal or commercial account
- Create or change their logon and password
- View or update personal, vehicle,, or transponder information
- View or update replenishment information
- Make a payment
- Make a request to close an account
- Order more transponders
- View, appeal, or pay violations
- Send an E-Mail request to Customer Service

A confirmation page will display for the customer after a successful change or transaction has occurred via the website. This page will summarize the event that has been entered and provide a confirmation number, when applicable. This page can be printed for recordkeeping.

3.12.2. Forms

The E-ZPass Virginia website will provide a page that allows users to view, download, or print frequently used E-ZPass Virginia forms. Customers can then fax or mail these forms to a CSC for fulfillment.

3.12.3. Transactions

The E-ZPass Virginia Customer website contains a Transactions link that allows the user to select a date range within the last 30 days. The feature will return all transactions posted to the account within the specified time parameters. This screen will display the transaction, the transponder number, the date and time of the transaction, the toll facility, and the amount of the toll. This screen can be printed using the Print icon within the Web browser.

For transactions older than 30 days, the **Statement** link can be accessed. Customers who have selected online monthly or online quarterly statements can select a statement from a list displaying statements up to 6 previous months. The link displays the statement from the Questmark Website where the statements are stored. From this Website, the user can view and print their statement.

3.13. Mail Processing

The CSC mail department processes E-ZPass Virginia customer mail. This process includes the following tasks:

- Opening and transferring incoming mail

- Delivering requested items to the customer through the outgoing mail

- Monitoring the outsource mail files

The CSC provides post office boxes as available addresses for customers to send mail to the operation. Currently, the post office box address given for receiving applications is in Clifton Forge, Virginia.

3.13.1. Incoming Mail

All mail received is sorted, counted by type and logged on the Daily Inbound Mail Log. The following list includes the different types of incoming mail:

- Account-Related Mail Processing

- General management mail

- USPS overnight shipments/large packages

- Express overnight shipments (UPS, FedEx)

3.13.2. Account-Related Mail Processing

Account-related mail includes account applications, account maintenance, payments, and general mail. All mail goes through the E-ZPass Virginia CSC postal address, which is P.O. Box 1234, Clifton Forge, VA 24422. Mailroom personnel go to the post office twice a day, once in the morning to pick up the incoming mail and then again in the afternoon to deliver any outgoing mail.

- **To retrieve and prepare general mail:**

1. When the mail arrives from the post office, it is sorted into several categories. This is done to verify that no misdirected mail was added by the post office. If so, this mail is removed and returned to the post office.

2. Sort the CSC mail into the following categories:

    - Misdirected mail

    - Return mail

    - New account applications and add-transponder requests

    - Account maintenance correspondence

    - Account payments

    - Returned transponders

    - Miscellaneous incoming mail

    - Certified mail

    - Check payments

    - Cash payments

    - Credit card payments

    - Credit card updates

3.13.3. Misdirected Mail Processing

The CSC staff returns misdirected mail pieces to the post office on the next available trip so that the mail can be re-routed to the correct recipient.

3.13.4. Return Mail Processing

A sequence of attempts is made to send the correspondence that has been returned to the CSC to the customer's correct address.

3.13.4.1. To Process the Returned Mail with Forwarding Address

To process correspondence, excluding statements:

1. Access the customer's E-ZPass Virginia account to see if there is a record of an address change for this customer.

2. If the address is current in the system, repackage the correspondence using the new address and set it aside to be processed with the outgoing mail.

3. If the address is not current in the customer's account, update the address and repackage the correspondence using the new address and set it aside to be processed with the outgoing mail.

- **To process the returned statements:**

1. Process the mail that has a forwarding address provided by the post office.

2. Access the customer's E-ZPass Virginia account to see if there is a record of an address change for this customer. The statement is not E-Mailed.

3. If the address is not current in the customer's account, update the address in the customer's account. The statement is not E-Mailed.

3.13.4.2. Return Mail with No Forwarding Address

To process the returned mail, excluding statements:

1. Access the customer's E-ZPass Virginia account to see if there is a record of an address change for this customer.

2. If the address is current in the system, repackage the correspondence using the new address and set it aside to be processed with the outgoing mail.

3. If the address is not current in the customer's account, an attempt is made to contact the customer by telephone or E-Mail. If successful contact is made, the address is updated during that contact. If contact is unsuccessful, the E-ZPass account is noted and the mail is shredded.

- **To process the returned statements**

1. Access the customer's E-ZPass Virginia account to see if there is a record of an address change for this customer. The statement is not E-Mailed.

2. If the address is not current in the customer's account, an attempt is made to contact the customer by telephone or E-Mail. If successful contact is made, the address is updated during that contact. If contact is unsuccessful, the E-ZPass account is noted and the statement is shredded. The statement is not E-Mailed.

3.13.5. Account Maintenance Correspondence Processing

Processing CSC account correspondence falls into the following groups:

- Letters requesting account information change

- Transponder returns

3.13.5.1. Application for Account Enrollment and Requests for Additional Transponders

The mail clerk delivers the individual applications to the CSR for processing. If a check payment accompanies the new application, the mailroom clerk attaches the check to the application. The CSR posts the payment on the new account during the application processing and assigns the correct transponders to the account. The transponder request can also be filled through the fulfillment queue process after the application information has been entered.

When commercial applications are received, the mail clerk delivers the mailing to a commercial CSR to open the account. Once the account is open, the commercial CSR completes the process, including fulfilling the transponder requirements.

If an application is received and it is incomplete, the CSR follows up with the applicant to get the missing information.

3.13.5.2. Account Information Changes

The mailroom staff forwards correspondence relating to account information changes to a CSR for processing. The CSR accesses the appropriate account, processes the customer's requested information change.

When an account holder sends a request in writing to close his account, the mail department checks to see if any transponders were sent with the letter. If any were sent, the mail department forwards the transponder to the inventory department for processing. If no transponders were sent, the close account request is forwarded to a CSR for processing the request.

The mail clerk records delivery of all returned transponders via the mail on the Daily Mail Log.

3.13.5.3. Account Payments

The mail clerk counts the payments and records the number of checks received on the Daily Mail Log.

The actual check payments, envelope, and all account information received are forwarded to the designated CSR to enter into the system.

3.13.5.4. Credit Card Updates

Each month, the E-ZPass service center sends notification to all patrons who have a credit card on file that is about to expire. If only the expiration date on the credit card has changed, one of the options a patron has once receiving this notification is to write the new expiration date on the notification/mailer and mail it back to the service center.

After credit card updates are sorted, counted, and logged, they are grouped into batches of 50 and given to a CSC Supervisor. The Supervisor does an independent count of the credit card updates received and disperses them to authorized CSRs for processing.

When the updates are returned to the Supervisor, a second count occurs as is compared to the first count for reconciliation. The Supervisor also verifies that all credit card numbers have been appropriately marked through, except for the last four (4) digits and the expiration date. After the quality check is complete, the Supervisor places the credit card updates in the appropriate tray/box to be scanned later. All credit card updates are completed within the same month received. Supervisors keep a spreadsheet of daily activity, showing the date and the number of credit cards updated.

3.13.5.5. Miscellaneous Administrative Correspondence

As it arrives, administrative mail is distributed to the recipient or to his immediate supervisor if the individual is temporarily unavailable for delivery.

3.13.5.6. Returned Transponders

The mail clerk records delivery of all returned transponders via the mail on the Daily Mail Log; these are then forwarded for processing. Returned transponders may be from different sources when they arrive in the mailroom:

- A returned transponder that should have been sent to a different E-ZPass agency. The mail clerk mails the transponder to the correct agency.

- An undeliverable transponder. Research the account to determine the proper address. If the mail clerk finds the correct address, he changes the address and resends the transponder. If the clerk cannot determine the correct address, he gives the returned package to the inventory department for further processing.

- A returned transponder that comes with an account maintenance request, including close account requests. Forward the transponder to the inventory department. These are counted and recorded on the Mail Room Activity Chart.

3.13.6. Outgoing Mail

Mail sent out from the CSC either goes through the post office as described in paragraph **Error! Reference source not found.** or is sent through Questmark, a third party vendor. The use of a third party vendor allows the operation to realize discounts for sending large quantities of mail.

The CSC sends out several types of mail. These are to communicate specific information to the customer, or advise them of an issue with their account; these include:

- Account Statements
- Inactive Account Notices
- ACH Rejection Notices
- Credit Card Rejection Notices
- Notices of Failed Replenishments
- Request for Customer Account Updates
- Credit Card Expiration Notices
- Transponder Replacement Program (TRP) Notices.
- Replenishment amount change notice

The CSC also responds to incoming mail and inquiries from other sources that are included in the outgoing mail, including orders for replacement transponder fasteners and commercial account updates. Also, on occasion, VDOT may instruct the operation to send a mailing to a specific number or population of the customer base.

Outgoing mail is posted with a digital mailing system meter. The operation maintains the pre-paid account for the digital mailing system funds.

To prepare general outbound mail:

1. Collect, weigh, meter, and place outbound mail in postal bins.
2. Collect outbound transponder mail from the fulfillment department and then weigh, meter, and place it in postal bins.
3. Outbound mail is delivered to the post office twice daily.
4. Prepare Federal Express mail for pickup once each day.

    The amount of outgoing mail supplies is tracked by the inventory personnel to ensure that there is an adequate volume on hand for day-to-day activity.

3.14. E-Mail Processing

E-Mail correspondence is received from customer requests made on the E-ZPass Virginia Website, mailings, and/or brochures. Customer inquiries received on a regular basis include changes to their credit card information, address corrections, requests for additional transponders, requests to close accounts, and statement explanations for toll charges, discounts, and transponder usage. CSC staff process incoming E-Mails daily. All E-Mail must be responded to within 3-5 business days of receipt but typically are answered within 24 hours after they have been received.

3.14.1.   To Process E-Mail

Outlook is the application used currently to read and respond to all emails sent by customters to the following email address: customerservice@ezpassva.com. E-Mail is answered in the order in which it is received.

Standard verification procedures apply to E-Mail. The return E-Mail address is compared to the E-Mail address in the customer account. The name and account number referenced in the E-Mail are also compared to those pieces of information in the customer account. If the information does not match, respond to the customer with a request for additional information. Three pieces of information must be verified before maintenance to the account is performed.

Account information is updated based on content within the email, if applicable. Also, if the account is in a low-balance or insufficient funds status, the patron is notified in the response E-Mail.

If any compliment or complaint is received via E-Mail, it is forwarded to the appropriate Supervisor for review.

There are prepared responses to commonly asked questions that can be copied and pasted into the response of E-Mail.

3.14.2.   E-Mail Etiquette

Response to all E-Mail begins with thanking the customer for contacting E-Z Pass VA. The response is concluded with an appropriate salutation, i.e. "Kind Regards" and the name of the organization, E-Z Pass VA Customer Service Center. The CSR's name and CSR number is also added.

All content contained in E-Mail responses is a reflection upon the sender. Because of this, all E-Mail is checked for spelling and/or grammatical errors prior to being sent. The information provided to the patron is verified for accuracy and the E-Mail is reviewed for appropriate wording and absence of possible negative tone.

3.14.3.   PCI Compliance

Credit card information is not to be sent or received via E-Mail. The only exception is for certain instances from patrons who are outside the United States and unable to call the toll-free number or send a fax. The credit card number and expiration date are to be divided among three

separate E-Mails: the first six digits of the credit card number in the first E-Mail, the second six digits in the second E-Mail, the remaining digits and the expiration date in the third E-Mail. As soon as the information has been processed for the toll violation payment, the first two E-Mails must be permanently deleted. The third E-Mail, containing the last digits and the expiration date, will be retained.

3.14.4. Archive

After responses have been sent, E-Mails are retained and sorted into the following folders:

- Inactive Accounts
- Tag Replacement Notification responses
- Violations
- Account Inquiries, general questions, compliments or complaints
- Sent Items

3.14.5. Returned E-Mail

If an E-Mail is received stating the wrong person has been contacted with the E-Mail address, the CSR will search for the account on which the E-Mail is listed. The E-Mail address is deleted from the account information. Also, the account is noted stating the present user of the E-Mail address is not an E-Z Pass VA account holder.

3.14.6. Tracking

E-Mail spreadsheets are submitted on a monthly basis to a manager for performance reporting. All E-Mails, received and sent,, are totaled and tracked on a spreadsheet daily. The cumulative daily totals result in monthly statistics that are reported to VDOT (see section 3.19 below)

The spreadsheet tracks the following:

- Number of E-Mails Received
- Number of E-Mails Carryover (Previous Day)
- Number of E-Mails Completed
- Number of E-Mails Carryover (Present Day)

3.15. Scanning Procedures

The following rules pertain to scanning procedures:

- Operational documents are to be scanned weekly or as needed.

- Accounting/Finance documents take priority and are to be scanned monthly or when received.

- All Operational, Finance, and Accounting documents are scanned into the computer by document type, account number, and date, and the image is placed into the appropriate electronic file cabinet.

- All certificates must be researched and validated before scanning and follow the same scanning procedures as Operational, Finance and Accounting documents.

- Checks are to be scanned only if authorized by the Finance department, a supervisor, or a manager and follow the same scanning procedures for operational, finance and accounting documents.

- All scanned images are reviewed and checked for accuracy by using a system check or self-checking after each scanned batch.

- All scanned paper documents are placed in the appropriate shred bin until the authorized shredding company arrives on-site to shred documents monthly, unless the supervisor or manager instructs otherwise.

CSC personnel utilize online forms, which are accessed and stored in the scanning system.

Currently, document scanning occurs in a system independent of CSC system. In this independent system, the scanned documents can be retrieved for review as needed.

3.16. Scheduled Operational Tasks and Procedures

3.16.1. Automatic Replenishment Recalculation Procedure (Auto Recalc)

On a quarterly basis, CSC Operations identifies accounts that automatically replenish more than three (3) times during a three (3) month period due to extensive toll usage. The account holder receives notification via mail of a change to the amount that is taken from their method of payment. Operations monitors this activity and consults with VDOT as necessary.

3.16.1.1. Procedure

A backend process named "BP_ReplenishmentRecalculation" is run at a designated time after the end of a quarter to identify accounts that have been automatically replenished nine or more times within the prior three month period and have not opted out of the recalculation process . Accounts with the **Allow replenishment amount recalculation** box unchecked in the **Account Management** screen's **Replenishment** tab are exempt and will be skipped.

Note: *Note: The number of months to consider and the number or replenishments desired per month are both configurable in the database. The current values are 3 and 3.*

Calculating the Proposed New Replenishment Amount

The proposed new replenishment amount is calculated in the following way:

1. Add the charges for the three (3) most recent full months.

2. Multiply the desired number of monthly replenishment transactions (3) by three (3).

3. Divide the number from Step 1 by the number from Step 2.

4. Round up to the nearest five dollars.

Operational Review

Authorized personnel generate the Replenishment Amount Adjustment Candidate Report to view the accounts that are candidates for the replenishment amount adjustment process

- Accounts that have exceeded the target number of replenishments and have not opted out of the recalculation process will be listed in the report.

- Outbound telephone calls will be made to the selected account holders to notify them in advance of the change. Accounts that replenish using ACH and accounts with replenishment adjustment amounts above a selected threshold will be considered for the call out program.

- CSRs explain the benefits of monthly auto replenishment to the customer.

- The decision to exclude selected accounts from the replenishment amount adjustment process can only be made by a supervisor.

- Auto replenishment amount can only be adjusted by a Supervisor, Lead, or designated CSR.

- If it is decided after reviewing this report that selected accounts are to be excluded from the replenishment amount adjustment process, the checkmark can be removed from the checkbox titled, "Allow replenishment amount recalculation" in the **Account Management** screen's **Replenishment** tab and the *'BP_ReplenishmentRecalculation'* job can be re-run.

- After running the BP_ReplenishmentRecalculationCommit (see below) the checkmark can be replaced in the checkbox titled, "Allow replenishment amount recalculation" in the **Account Management** screen's **Replenishment** tab.

Running the BP_ReplenishmentRecalculationCommit job

1. Run the BP_ReplenishmentRecalculationCommit job to apply the changes to the accounts.

2. The BP_ReplenishmentRecalculationCommit job will find accounts that need to change.

3. The BP_ReplenishmentRecalculationCommit job will update the customer account with the new replenishment amounts and will update the Change Effective Date to the current date for each account adjusted.

4. 'DF_ARRecalculationDF' is the job used to create a data feed to Questmark containing the customer name, address, and account number. An individual

communication event will be created for each account included in the auto replenishment recalculation account file. Questmark will send out the auto replenishment letter notification to each account in the data feed.

5. *The new replenishment amount shows in the **Account Management** screen's **Replenishment** tab. Account History records will reflect the change.*

Operational Follow-up

If the auto replenishment letter is returned due to bad address, CSC will take every means to get a correct address to resend the letter to the customer. If an E-Mail address is on file, CSC will also attempt to contact the customer by E-Mail.

3.16.2.   Inactive Accounts

A monthly report will be generated to identify accounts that have been inactive for a year and will be sent to Questmark. Questmark will create an **Inactive Status** notice for each applicable account and mail it. The notice will advise the patron to contact the CSC within a certain number of days or the account will be closed.

The account holder has 30 days to respond. If the customer does respond to keep the account open, the CSR places a Communication event in the applicable account which will keep the account open for another 12 months, even if a transponder transaction is not recorded within the subsequent 12 month period. If the customer does not respond within the determined time frame or responds by requesting their account be closed, the account will be placed into a Close Pending status. A fee of $25 will be deducted per outstanding transponder if the transponders are not returned. If there is no response from the patron and the funds needed to deduct the applicable Lost/Stolen fee are not available in the account balance, then at least one call must be placed to attempt to collect the fees due; otherwise, any remaining balance should be taken to cover part of the fee due and the account should be closed.

Accounts remain in a **Close Pending** status until all transponders are returned. If there is a positive balance on the account after the transponders are returned, the account will be placed into the **Close Balance Pending** status. For accounts with either a zero balance or a negative balance, the account is moved to a **Closed** status.

Questmark will provide E-Mail reports to the CSC Production Department listing the type and quantity of notice mailed. The frequency of that correspondence will be determined by the CSC.

3.16.3.   Remittance of Unclaimed Property

Per the E-ZPass Virginia Customer Agreement, any account which remains inactive for twelve (12) months is subject to account closure. If that scenario happens and a positive account balance exists, the funds are treated as unclaimed property and forfeited to the Unclaimed Property within the Treasury Department of the Commonwealth of Virginia.

1. A report, similar to the one generated to identify Inactive Accounts (Section 3.16.2), will be generated on a quarterly basis to identify Inactive Accounts that are in a Closed Balance Pending status and with a positive account balance.

2. A script will then be initiated to adjust the available balance of each identified account to $0.00 with the adjustment reason, "Funds Remitted to the Commonwealth of VA for unclaimed property". Subsequent to this step, the account is then closed per the Closed Account procedure (section 3.4.13).

3. The Finance Department will reconcile the total of the adjustments in Step 2 with the report in Step 1 to identify any possible discrepancies. Once the reconciliation is complete, the funds and patron information is submitted to the Commonwealth of Virginia, Treasury Department, Unclaimed Property Division via ACH Electronic Transfer.

3.16.3.1.   Customer Service Response

Any patron inquiries concerning the account balance after the forfeiture are responded to promptly. Customers affected by this scenario are advised of forfeiture section within the Customer Agreement and the Unclaimed Property procedure. They are also advised of the applicable website and/or telephone number that can be used to claim the forfeited account balance.

If the customer's inquiry is regarding the returning of a transponder, the CSR will research the account to identify if a Lost/Stolen fee as taken. If the Lost/Stolen fee was taken in the past twelve (12) months, the fee can be refunded.

3.16.4.   Equipment/Furniture Inventory Verification

On an annual basis or as requested by VDOT, the Production manager and/or I.T. Manager sends the latest Furniture/Equipment Inventory list to each service center. Items on the list are $2500 or more in assessed value.

Each item on the list is visually verified and checked off in the "Verified By" column of the worksheet. The authorized Manager place his/her name next to each item verified in this column. The item, inventory number, serial number, and location of each item must be verified and any discrepancies are to be noted legibly on the worksheet.

If an item on the list has been disposed of, it is listed as "Disposed" in the "Verified By" column along with the date.

3.17. Operational Reporting

3.17.1. Productivity Reports: Phone Stats

The following sections outline general CSC operational and CSR productivity reporting. Most of these statistics are tracked daily and reviewed to identify broad trends and/or to monitor employee activity. This information, which is tracked daily, is then totaled for monthly statistical reporting that is prepared and sent to VDOT. See section 3.19 for information regarding the monthly reporting.

3.17.1.1. E-ZPass Virginia Phone Report

The Echopass system generates the E-ZPass Virginia Phone Report nightly. The report provides an array of information including the following:

- Total calls received
- Total calls received by CSR
- Average speed of answer
- Total calls abandoned
- Average abandoned time
- Average hold time
- Average talk time
- Service level %
- Longest call waiting

These statistics allow the CSC manager to monitor the call center performance against the performance standards VDOT has set. This information also allows the CSC manager to identify patterns of heavy call volume and staff accordingly. The stats also identify individual CSR productivity for performance evaluations.

3.17.1.2. IVR Report

Staff defines IVR system date parameters and report type to generate this report. The following reports contribute to collected data:

- Summary of Calls by Day
- Call Statistics by Half Hour
- Menus Accessed by Day (Report by Type)

Each report provides essential information regarding calls received by IVR, actions completed by IVR, and menu selections.

This report can be run manually as a monthly report as well.

3.17.2.   Productivity Reports: Retail Center Stats

3.17.2.1.   Productivity Report

This current report requires the user to change date parameters for requested data. The report provides information for all employees that have performed database transactions on a specific date. The information on the report includes the following:

- Accounts opened

- Closed Accounts

- Payments

- Account updates

- Transponders issued

- Adjustments

3.17.2.2.   CSR Daily Activity Report

The CSRs complete this manual report nightly to help accurately gauge lobby activities. Relevant data may include the following:

- Transponders issued (by type)

- Accounts opened

- Transponders issued (by activity)

- Payments posted (by type)

- Customers serviced (by type—walk-in/drive-thru)

Activities performed are balanced against a CSR self-managed customer count (obtained by using manual counter) and journal transactions (reviewed by supervisor on duty) to obtain an accurate lobby customer count.

3.17.3.   Productivity Reports: Inventory Stats

3.17.3.1.   Daily Transponder Report

Staff personnel complete and submit this report. The report provides a breakdown of transponders received by the CSC. Transponder categories include the following:

- Processed from walk-ins

- Processed from mail

- Moved to Mark IV location

- Moved to Out of Warranty location

- Marked as Return To Inventory (RTI)

- Damaged

3.17.3.1.1. Transponder Replacement Program

The staff personnel track the transponder replacement program (TRP) orders and fulfillments daily and submit them at month end for report entry. Tracking differentiates between personal and commercial orders as well as online or phone submittals.

3.17.3.2. Transponder Tracking Sheets

Each tracking sheet containing applicable monthly transponder issues is separated and is not immediately filed by inventory staff. At month-end, all tracking sheets (pearl, blue, bumper, RTI) are submitted for count and verification. These totals are matched against previously obtained totals, which accurately track all transponder issues. Discrepancies are attributed to transponder transfers, which are tracked by the system as a transponder issue, but are not included in transponder tracking sheets.

3.17.3.3. Inventory Summary

Each service center provides a monthly summary of transponder movements following month-end reconciliation. Summary reports categorize transponder movements and specify incoming transponder statuses/locations, which include lost/stolen, returned to Mark IV, out of warranty, warehouse inventory, and service center inventory.

3.17.4. Productivity Reports: Other Stats

3.17.4.1. Incoming Mail

Mailroom or Lead CSR employees track and record daily the incoming mail on a mailroom tracking sheet. Incoming mail is tracked by the carrier that delivers it; i.e., Postal Service and express delivery carriers. Also, all information is separated by type. Categories include the following:

- Account update cards

- Returned Inventory (Transponders)

- Violation Appeals

- Payments (Cash, Checks, Credit Cards)

- Returned Mail

3.17.4.2. OUTGOING MAIL

Most outgoing mail is sent from the Clifton Forge service center. Mailroom personnel use a tracking sheet to record the number of items mailed each day, by carrier. Carriers include Postal Service (USPS), United Parcel Service (UPS), and Federal Express (FedEx). The number of transponders mailed each day is tracked separately by the Production Manager.

With much less quantity, the Retail service centers also have outgoing mail that is tracked daily. Outgoing mail for the Retail centers generally included account statements and payment receipts.

3.17.4.3. Drop Box

Drop boxes are located at each of the three (3) retail locations where customers can securely drop off transponders, payments, and/or any other correspondence. Items deposited in the drop boxes are collected and recorded daily.

3.17.4.4. E-Mail

Authorized personnel responsible for customer E-Mail record incoming and outgoing E-Mails daily on an E-Mail tracking sheet. The tracking sheet is submitted at month-end for verification and report entry.

3.18. Quality Control

This section describes Quality Control procedures.

3.18.1. Phone Quality

The quality manager and authorized Quality Department personnel monitor the daily phone calls answered by CSRs. The quantity of calls monitored is set to 1% of the total calls taken per month. The call center and retail service centers have a quality service level requirement of 95% each month. The calls are scored based on the following criteria and entered into a database for review and reporting.

- Identify the caller

- Identify reason/purpose of customer contact

- Friendliness/empathy

- Clear communication

- Ask questions

- Identify and explain solutions

- Policy/procedure/product knowledge

- Hold/wait time etiquette

- Fulfill the customer contact

- Customer service delivery

- Professionalism

The CSRs are critiqued individually to reinforce quality expectations and to identify instances where the expectations are met or exceeded, as well as point out areas of needed improvement.

3.18.2. Transponder Auditing

The Quality Department performs three monthly transponder audits to certify inventory integrity and ensure that all documentation required by VDOT is on file.

3.18.2.1. Non-Revenue and Hybrid Transponders

A monthly audit of the Non-Revenue and Hybrid Accounts is conducted, separate from each other, to find any new or closed accounts and locate any accounts with a dissimilar number of active transponders from the previous month. Written VDOT authorization is required for the creation of any new accounts or the addition of transponders to any account and kept on file in the Clifton Forge location. A monthly summary of current active non-revenue and hybrid accounts, active transponders, transponder variances from the previous month, and any outstanding required paperwork not yet on file is also maintained. The offices in Northern Virginia, Coleman, and Richmond send any received non-revenue or hybrid documentation to the Clifton Forge office.

3.18.2.2. Lost/Stolen/Damaged Transponders

A monthly audit of lost or stolen transponders is performed to discover any transponders that have been placed in the lost/stolen status since the previous month's audit. A Lost/Stolen Form must be completed at the time any transponder is placed into a lost/stolen status. A review of the scanned documents is conducted to confirm that a Lost/Stolen Form is on file for every new transponder placed in that status.

3.18.3. VPS Image Review

The Quality Department audits 600 final image reviews and 600 plate identification reviews each month based on key performance requirements. The VPS department has a quality service requirement of 99.75% for both the Final Image Review and Plate Identification audit. The audit provides an independent assessment of the images that are either certified or rejected. All image judgments that differ from the original review are reported to the VPS supervisor.

3.18.3.1. Quarterly V-Toll Audit

A spreadsheet report is produced from VPS database via Crystal Reports that (for a defined date range) shows:

- Patron Account #
- Patron Account Type
- Customer Name
- V-Toll Amount
- V-Toll Posting Date/Time
- License Plate #

A heading example is shown in Figure 3.4.

Figure 3.4 Quarterly V-Toll Audit Report Heading Example

PATRON_ACCT _NUMBER	PATRON_ACCT _TYPE	CUSTOMER_NAME	VTOLL_AMOUNT	VTOLL_POSTING_DTIME	LICENSE PLATE
#####	Private	JOE PATRON	0.50	8/1/2007 8:24:00 AM	ABC123

- Audit clerk uses this report and accesses the CSC application.
- Access a 1% sample of accounts from this report, selecting **Account Activity** under **Options**.

- Select "Tag Transactions" as **Search Type**, use the Posting Date/Time entry on the crystal report to select the applicable **Posting Date**. Click **OK**

- View the results, searching for the v-toll transaction that occurred on the same day as on the report.

- Create new column on the crystal report, titled "Verification in CSC". Make an entry in this new column for every entry audited, noting whether the v-toll transaction posted to the CSC account.

- Notify the VPS manager of any instances where the crystal report shows a v-toll transaction occurring but the transaction cannot be seen/verified in the CSC application.

- Once complete, save the spreadsheet to the following shared folder, giving it the name V-toll audit_(*date completed)*: \\172.16.201.9\qa\VPS\V-toll Audit

3.19. Liaison with VDOT

The CSC provides VDOT with a monthly report that includes statistics in the following operational areas. The data in this report assists in indicating any changes and trends that occur on a monthly basis.

Table 3.3 Operational Statistics

OPERATIONAL AREA	INFORMATION PROVIDED
Central System	Total number of calls taken for the month, including IVR statistics Average walk-in volume by day for each location with monthly total CSC hours of operation
Mail and Applications	Total incoming Mail by location Total outgoing Mail by location Total dropoff/FedEx mail by location Total checks received for the month
E-Mail and Web	Total customer E-Mail responded to Total web activity from CSC system Total payments received from CSC and Forte system Total VPS web payments and appeals
Transponder Information	Number of active transponders by type Number of active transponders by style Number of new transponders issued for the month Number of transponders returned to inventory Number of outstanding returned transponders ready to be reissued Number of out of warranty transponders for the month

OPERATIONAL AREA	INFORMATION PROVIDED
	Number of transponders returned to Mark IV for the month
Account Information	Total of active accounts by type Total number of inactive accounts Total number of closed accounts Total number of closed pending accounts Total number of closed balance pending accounts Active account balance Closed account balance Open account by method (phone, retail, or web) Number of accounts auto replenished by credit card, ACH, or manual Number of statements mailed for the month and quarter Number of complaints received Monthly customer compliment summary Number of toll disputes received
Operations	Number of active employees by location Number of active employees by department Number of Faneuil and temporary employees Employee Retention Rate
Toll Road Transactions	Total number of Virginia and away toll transactions by toll facility Total number of Virginia and away toll revenue by toll facility Total number of v-toll transaction by toll facility Total number of v-toll revenue by toll facility Total v-toll transaction fee by toll facility Total transponder transaction fee by toll facility
Quality	Number of CSC phone calls monitored Quality service level % for CSC and VPS Number of CSC customer impacts Number of business impacts Number of professionalism impacts Number of perfect calls CSC CSR summary report Number of VPS plate identification audits performed Number of final image review audit performed Percentage of valid reasons VPS clerk summary report Statistics for Customer's reason to call
Violations	Total number of violation notices by toll facility Total summons issued by location Total number of images loaded by toll facility Total number of plate identification by toll facility Total number of DMV lookup by toll facility Total number of final image review by toll facility Total v-toll payments and transaction by toll facility Toll payments transaction by toll facility

OPERATIONAL AREA	INFORMATION PROVIDED
	Total of fees/fine payments by toll facility Unpaid toll matches by toll facility Total toll reversals by toll facility Total toll transfers by toll facility Total disputes processed per month Total disputes by toll facility Total disputes by category
CSC Phones	CSC and VPS phone service level Number of calls received Number of calls requesting and answered by CSR Number of calls answered by IVR Type of calls answered by CSR and IVR Average speed of answer Number of calls abandoned Average abandoned time Average talk time Average hold time Wait time by minutes
System Outages	Number of system outages by category Date of the system outages Time of the system outages Reason for the system outages The effect of the system outages on customers

4. FINANCE

The Finance Department is responsible for overseeing the financial activity of the CSC and ensuring that the operational funds are properly recorded and reconciled. This process includes reconciliation and audit for funds transferred to each toll facility; funds transferred to and from IAG agencies; funds collected from patrons and deposited; funds collected from violations and deposited; and funds reimbursed to customers. The department also works to resolve any variances that are found in the reconciliation process, validates and/or authorizes invoices regarding expenses and operating costs, and performs budget analysis and advisement when necessary.

These procedures are designed to ensure reliable financial reporting, to be in compliance with the business rules defined by VDOT, and to follow Generally Accepted Accounting Principles (GAAP). They also safeguard the financial integrity of CSC operations and systems.

4.1. General Flow of Virginia AVI Funds

To establish the proper flow of funds collected at the E-ZPass Virginia Customer Service Center (CSC) for prepaid tolls, the following accounts are used:

- VDOT Prepaid Account

- CSC Customer Refund Account

- RMA Revenue Account

- MWAA Revenue Account

- Greenway Revenue Account

- Coleman Revenue Account

- Powhite Revenue Account

- Chesapeake Revenue Fund

- Pocahontas Revenue Fund

- CBBT Revenue Fund

E-ZPass Virginia has the following policies for customer funds, fees, and E-ZPass Virginia revenue:

- For the Clifton Forge location, tolls that are prepaid using cash are picked up and deposited every Thursday by a Brinks Courier representative. Checks are deposited through Wachovia's remote deposit capture program. Cash and check payments received at the retail locations are deposited into the VDOT prepaid account daily no later than 2:00pm.

- Credit card charges and debit card payments are processed and sent to Bank of America Merchant Services (BAMS) through the CSC and VPS systems. BAMS deposits the corresponding daily amounts into the VDOT prepaid account.

- AVI revenue is transferred from the VDOT prepaid account into the appropriate revenue account.

- Customer refunds are disbursed from the Faneuil CSC Customer Refund account weekly by a Faneuil corporate finance employee. The total amount of refunds is submitted to VDOT for payment to Faneuil.

- Fees—such as those for statements, lost/stolen tags, violations, returned checks and other fees—are reported to VDOT fiscal department each month.

- Adjustments to credit customers' accounts for disputed charges are deducted from the amounts transferred into the appropriate revenue accounts/funds.

- Returned checks are deducted from the customer's prepaid account on the CSC system. E-ZPass Virginia forwards to the VDOT accountant all relevant information; the accountant reconciles the VDOT Prepaid Account and adds the corresponding journal entries.

- Total transactions fees charged to each toll facility are deducted from their respective earned AVI revenue. These fees pay for the monthly expenditure invoice prepared by the CSC and other capital costs related to the E-ZPass Virginia operation. VDOT transfers money from the prepaid account into the Faneuil account to cover the invoice from the CSC.

- The CSC calculates daily the total amount of MWAA revenue that the Greenway collects. This amount is deducted from the Greenway net transfer and is added to the MWAA net transfer.

- Some roads require approval for any toll adjustments, the Finance department works with each roadway to properly reflect any needed adjustments.

4.2. Transfer of AVI Revenue

4.2.1.   Transfer of AVI Revenue

The financial staff at the CSC performs transfers of AVI revenue daily. Each toll facility's AVI revenue earned for E-ZPass Virginia traffic, as well as away-agency tags on their roads, are transferred into their account daily from a VDOT bank account.

- Everyday, the financial staff generates a disbursement report that lists actual AVI revenue for transactions posted to the service center for each toll facility. It also includes Away-AVI revenue that has been posted within the same time frame.

- In addition to the disbursement report, most facilities fax their AVI Traffic Summary Report. Greenway sends theirs via e-mail and Powhite does not send a Traffic Summary Report.

- The Greenway sends an AVI Traffic Summary Report for the plaza lanes that collect revenue for the MWAA.

- Using the Excel spreadsheet, **Daily Transfers and Statistical Reports**, the financial staff enters the AVI transactions onto the tab labeled **Tolls Collected by GW for VDOT,** according to the date it was posted. The spreadsheet automatically calculates the total amount Greenway owes MWAA for AVI transactions. This tab of the spreadsheet is included in the package faxed to both the Greenway and MWAA as backup for the adjustment on the transfer.

- The **Daily Transfer Information 'YY** tab on the **Daily Transfers and Statistical Reports** spreadsheet calculates the total amount of AVI revenue transferred to each toll facility by subtracting the transaction fee from the gross AVI revenue listed on the Disbursement Report, plus or minus any toll adjustments. For example,

    Gross AVI revenue listed on the Disbursement Report

    − Transaction fee
    ± Any toll adjustments_____
    = Total amount of AVI revenue transferred to each toll facility

- The total revenue transfer to MWAA is the total AVI revenue earned, plus V-toll revenue, minus transaction fees, plus the MWAA revenue collected by Greenway, plus or minus any toll adjustments. For example,
    Total amount of AVI revenue earned

    − Transaction fees
    + DTR revenue collected by Greenway
    ± Any toll adjustments _____

= Total amount of revenue transferred to MWAA

- The total revenue transfer to Greenway is the total AVI revenue earned, minus transaction fees, minus revenue collected by the Greenway for the DTR, plus or minus any toll adjustments. For example,

  Total amount of AVI revenue earned

  − Transaction fees
  − MWAA revenue collected by Greenway
  ± Any toll adjustments _____
  = Total amount of revenue transferred to Greenway

- The total revenue transfer to Coleman Bridge will be total AVI revenue earned, less transaction fees, plus or minus any toll adjustments.

- The total revenue transfer to RMA is the total AVI revenue earned, plus or minus any toll adjustments. *Currently transaction fees are not deducted, they are calculated and reported to VDOT*. VDOT has a separate business arrangement with this location and collects the applicable fees directly based on the figures we provide. For example,

  Total amount of AVI revenue earned

  ± Any toll adjustments   _____
  = Total amount of revenue transferred to RMA

- The total revenue transfer to Powhite is the total AVI revenue earned, minus transaction fees, plus or minus any toll adjustments. For example,
  Total amount of AVI revenue earned

  − Transaction fees
  ± Any toll adjustments   _____
  = Total amount of revenue transferred to Powhite

- The total revenue transfer to Chesapeake is the total AVI revenue earned, minus transaction fees, plus or minus any toll adjustments. For example,
  Total amount of AVI revenue earned

  − Transaction fees
  ± Any toll adjustments   _____
  = Total amount of revenue transferred to Chesapeake

- The total revenue transfer to Pocahontas is the total AVI revenue earned, minus transaction fees, plus or minus any toll adjustments. For example,
  Total amount of AVI revenue earned

  − Transaction fees
  ± Any toll adjustments   _____
  = Total amount of revenue transferred to Pocahontas

- The total revenue transfer to CBBT is the total AVI revenue earned, plus or minus any toll adjustments. *Currently transaction fees are not deducted, they are calculated and reported to VDOT*. VDOT has a separate business arrangement with

this location and collects the applicable fees directly based on the figures we provide. For example,

Total amount of AVI revenue earned

± Any toll adjustments

= Total amount of revenue transferred to RMA

- Adjustments made to customer accounts are deducted from the revenue transfer of the appropriate toll facilities monthly.

- Rejected away-agency transactions are deducted from the revenue transfer of the corresponding toll facilities monthly.

- Correction files for Virginia and away-agency transactions are deducted from the revenue transfer of the corresponding toll facility daily, if applicable.

- CSC V-toll fees are deducted from the revenue transfer of the corresponding toll facilities monthly.

- Wire transfer confirmations and supporting paperwork are emailed to each facility daily.

- Disbursement Reports and daily transfer information are filed by toll facility and by month.

- With the exception of Powhite, traffic summaries are received daily via fax or e-mail and are entered into the **Daily Transfers and Statistical Reports** spreadsheet. Each toll road has a separate tab within the spreadsheet. The Excel sheet calculates AVI percentages, violations percentages, and non-revenue percentages for each toll facility. It also offers daily and weekly averages, including weekends.

- In the **Daily Transfers and Statistical Reports** spreadsheet, the financial staff also compares the AVI transactions from the Disbursement Reports to the AVI transactions on the Traffic Summary Reports sent by each Virginia toll facility. Adding the disbursement transaction and all valid and manually posed exceptions and then subtracting them from the traffic summary calculates the variance. For example,

Disbursement transaction amounts

+ All valid and manually posed exceptions

− Traffic summary amount

= Variance

4.2.2.   Transfer of Violation Revenue

The financial staff at the CSC performs transfers of Violation revenue monthly. Each toll facility's violations revenue collected by the CSC is transferred into their respective account monthly from a VDOT bank account.

Every day, the financial staff generates a disbursement report that lists the actual violation revenue collected by toll facility. Similar to the procedure for AVI revenue transfer, using **Monthly ReportingFolder; Fiscal & Burt 20XX Folder: VPS Transfer Information 20XX.XLS**, the total amount of violation revenue transferred to each toll facility is calculated by subtracting the transaction fee from the gross violation revenue listed on the Disbursement Report, plus or minus any toll adjustments. For example,

> Gross violation revenue listed on the Disbursement Report

> − Transaction fee
>   ± Any adjustments   _____
> = Total amount of violation revenue transferred to
>   each toll facility

Note: *MWAA and RMA are exceptions to the calculation above. Transaction fees for these facilities are not subtracted from the gross violation revenue. VDOT bills these facilities separately on a monthly basis.*

A monthly transaction report for unpaid/prepaid tolls is generated and funds are included with the disbursement of the violation revenue, according to toll facility specified in the comments.

4.3. Invoicing for Monthly Expenses

Faneuil bills VDOT for the actual cost plus a fixed fee for running the customer service centers. Faneuil has the following policies for invoicing monthly expenses:

- Faneuil prepares an invoice once a month for a base fee cost plus a variable cost invoice for CSC and VPS in accordance with RFP#WLP-100.
- The VDOT invoices include items reimbursable to Faneuil in accordance with the contract
- Faneuil prepares a Refund invoice monthly which includes funds that are refunded through CSC & VPC. Faneuil also supplies all supporting documentation for the refund bank account to VDOT.

4.4. Reconciling Away-AVI Revenue

The financial staff at the CSC performs daily reconciliation and monthly transfers of away AVI revenue. The table below outlines the different reports used in this effort and in communication between the state agencies for reconciling electronic tolls that occur outside customers' home states.

Table 4.1 Daily Reconciliation and Monthly Transfer Reports

REPORT ID	FUNCTION
ICTX – Transaction File	Daily file created to give away agencies all of the electronic toll transactions captured in the toll lanes of the home agency since the last Transaction File
ICRX – Transactions Reconciliation File	This file is created by the away agency in response to the Transaction File sent by the home agency. It contains the posting status of each transaction in the ICTX file, either acknowledging payment or rejecting payment.
IAG-2 Transaction Reconciliation Report	Weekly report generated to compile all ICTX files within a specific time period and the aggregate posting status of the transactions. Given to away agencies for reconciliation. Includes the posting status of each transaction.
IAG-2R Reverse Transaction Reconciliation Report	Weekly report generated by the away agency that compiles all ICRX files within a specific time period. Given to the home agency to reconcile. Includes the posting status of each transaction.
IAG-3 Toll Correction Reconciliation Report	Monthly report generated to give away agencies notification of a correction to a previously sent IAG-2 Transaction Reconciliation Report.
IAG-3R Reverse Toll Correction Reconciliation Report	Monthly report sent from away agencies to give the home agency a posting status of any received IAG-3 Toll Correction Reconciliation Report from the home agency
IAG-6 Disputed Toll & Adjustments Report	This file is created and sent to an away agency to dispute whether a toll previously reported on an ICRX Transactions Reconciliation File is legitimate/warranted.
IAG-9 Reconciliation Aging Report	This report indicates any Transaction Files and Transaction Correction Files that have not been reconciled. Generated as needed.
IAG-12 NPST Report	Monthly report that provides all transactions that were not posted to any account. The home agency is responsible for reimbursing the away agency for the toll amount. This report also is used to reconcile the NPST information on the IAG-2.

- E-ZPass Virginia and other IAG agencies exchange transaction files and reconciliation files daily. These are the ICTX and ICRX.

- The financial staff uses the IAG-2 and IAG–2R reports to reconcile the daily ICTX and ICRX files every week. This information is tied to the specific road Traffic Summary Report.

- The transaction totals from the daily ICTX and ICRX files are entered into the spreadsheets called ~~Due From Reconciliation ICTX~~ and ~~Due To Reconciliation ICRX~~ along with the IAG-2 and IAG-2R reconciliation totals. Tabs are used within these spreadsheets to separate and denote the individual away toll agencies involved.

- Each away-agency responds with transaction and reconciliation files that list posted transactions, rejected transactions, and non-posted transactions to their accounts. The results of their reconciliation should match the home agency's total for what is owed and what is disbursed.

- Monthly, the financial staff compiles all acknowledged reconciliation files from the month from both sides and any disputes from the month. This information is exchanged with each away-agency. Any discrepancies are researched and the wire amount is agreed upon. The other IAG reports listed in Table 4.1 are used to research any discrepancies.

- One wire transfer is sent among agencies based on ~~the difference between~~ what is due to the agency and what is due from the agency.

- Once the disbursements are sent via wire transfer, all wire transfer confirmations and supporting paperwork are transmitted to and from each agency.

4.5. Reconciling Daily Revenue

4.5.1. Reports

The Journal Report summarizes by CSR ID non-toll transactions posted to customer accounts the previous day.

The CSC Revenue Report summarizes by CSR ID non-toll transactions posted to customer accounts the previous day.

The following reports are also used to reconcile daily revenue:

- Batch Settlement Reports from the CSC system

- Interim Account Statement Report, generated from Wachovia

- Service Center Available Account Balance Report

- Service Center Snapshot Report

- Journal Summary Report

- Clerk Financial Activity Report

- Each clerk's CSC Deposit Receipt

4.5.2. VPS Reports

Cash Out Status Report is used to assist the accounting staff in tracking the progress of cash-out at the end of the day.

General Ledger Activity Report provides a detailed listing of the financial activity of the specified general ledger accounts for the selected date or date range. The report provides the listing of every general ledger transaction meeting the selection criteria specified by

the CSR. It may be used to audit overall financial activity as well as verifying individual CSR activity as reflected on the Journal Report.

Revenue Report provides a summary listing of financial activity of all CSRs. The report lists the amounts by each CSR and totals for the specified period.

Transaction Type Report lists all the transactions occurring within the selected period for each transaction type.

The following reports are also used to reconcile daily VPC revenue:

- Journal Report (Summary and Detail)
- Facility Disbursement Summary Report

4.5.3. Daily Deposit

To process the daily deposit:

1. Finance or management staff removes from the safe each CSR moneybag deposited from the previous day.
2. Finance or management personnel remove, count, and verify the moneybag contents individually.
3. Information is entered onto reconciliation spreadsheets. Richmond, Northern Virginia, and Coleman email spreadsheets for their CSC to Clifton Forge and are compiled for bank reconciliation.
4. Information is verified against CSC and VPS Journal, CSC and VPS Revenue, and Pay Auth Reports.
5. The daily deposit is divided into cash and checks.
6. In the retail locations, cash and checks are compiled and taken to the bank.
7. The deposit is made daily and the Finance department confirms the amounts.

Note: *Due to the small amount of cash and check payments received in the Clifton Forge location, cash deposits are picked up and deposited every Thursday by a Brinks Courier representative. Checks are deposited thru the Remote Capture Deposit program.*

4.6. Daily Reconciliation

4.6.1. To Perform Daily Reconciliation

1. The following reports need to be generated and printed from CSC and VPC:

- Journal Summary Report from CSC.

- From the CSC Journal Report – Print total pages for clerk 41 (Web) & clerk 104 (IVR).

- Clerk Financial Activity Report from CSC. Auto Replenishment Summary Report from CSC. Journal Summary Report from VPC. Facility Disbursement Report from VPC, General Ledger Activity Summary Report from CSC.

- Disbursement IAG Authority Report from CSC; parameters should be set for Agency 010, facility-ALL.

- Cash Out Status Report from VPC

2. Verify totals against the CSR's Staff Deposit Receipt.

3. Fill out deposit slip. (Retail locations only)

4. Enter deposit information from CSR's **Staff Deposit Receipt** from CSC and CSR's printed batch screen from VPC into **MMYYDailyRec** worksheet, on the **DD** tab. Using the email received from the other service centers, copy and paste their deposit information into the worksheet.

5. Sort information in order from lowest CSR number to highest.

6. From the **Clerk Financial Activity Report** from CSC and the journal pages from VPC, input all CSR totals into the worksheet. The result should be all zeros.

7. Save and print worksheet.

8. On the **CC Recap** worksheet, the credit card totals are reconciled to the information on the **DD** tab within the same workbook.

9. On the **ACH** tab worksheet, manually enter the ACH replenishment amount and the ACH decline amount. These numbers are located on the **DD** tab within the same workbook; clerk #12.

10. On the **BAMS** and **AMEX** tabs**,** the credit card totals will reconcile to the information on the DD tab within the same workbook.

11. On the **CSC Cash Flow** and **VPC Cash Flow** worksheets cash, checks, ACH, and credit card totals will reconcile to the information on the DD tab of the same spreadsheet.

12. On the **Deposits** worksheet, the deposit amount for each location will auto-populate from the DD tab within the same workbook. Enter deposit amounts and deposit date from the Wachovia statement to the appropriate date.

13. Open the **ABS** and **Snapshoot Worksheet** folder. Get the **CSC Totals** page from the journal. Enter in all debits and credits in the appropriate columns. Enter in all payments, refunds, and void into the appropriate columns as well as the Disbursement and Away Agency Posting.

14. From the Account Balance Summary and **Snapshot** reports, enter the totals in the appropriate tabs.

15. Open the **Daily Credit Card Recap** tab on the **MMYYDailyRec** spreadsheet. Verify that all credit card transfers reconcile to E-ZPass Virginia.

16. Verify check totals with the Clerk Financial Activity Report.

17. Deposits from the Retail locations are taken to the bank before 2:00 p.m. For the Clifton Forge location, cash deposits are picked up every Thursday by a Brinks representative

18. Check payments are made daily through the Remote Deposit Capture program.

4.6.2. Bank Reconciliation

Daily bank statements are generated from Wachovia Web access.

All debits and credits are tied to the following entries in reconciliation spreadsheets:

- Daily deposits
- Daily VA toll revenue transfers
- Sweep investments
- Expected credit card payments
- Credit card fees
- NSF checks
- Credit card chargeback and credit-backs
- IAG credit card equity payments and deposits
- IAG toll revenue payments and deposits
- VDOT refund invoice and monthly invoice

Any variances are researched, corrected if necessary, accounted for, and reported to VDOT. In the case of an NSF check, the customer is notified and the account is assessed any NSF-related fees.

4.6.3. System Balance Verification

Individual transactions affecting the customer prepaid balance and deposit balance from the journal are compiled and compared against the Service Center Snapshot and Service Center Available Account Balance Reports.

Any variances are researched and corrected.

4.7. Credit Card Disputes

The Finance department addresses charge-back issues that occur.

To process credit card disputes

Note: *Once dispute is received and worked, black out all the numbers of the credit card other than the last four digits before scanning into the appropriate folder for future reference*

1. Identify the account by searching customer's name or credit card transaction on the 'customer service' tab in the CSC for the transaction date of the dispute. For VPC run the 'credit card reconciliation detail' report for the transaction date of the dispute..

2. Enter the information onto the **Retrieval Request/Chargeback** spreadsheet, located in the Retrievals/Chargeback folder. **Only enter the last 4 digits of the card number onto the spreadsheet.** The case will need to be checked through Merchant Explorer periodically for updates. Retrievals need to be worked with 3 business days of receipt.

3. MasterCard, Discover, and Visa disputes are worked through the Merchant Explorer software, along with chargebacks. AMEX chargebacks and retrievals are worked through the AMEX website. If a chargeback is reversed, the case is closed and the patron's account may need to be adjusted, depending on the scenario. If Merchant Explorer denies our dispute, the chargeback will need to be adjusted through the appropriate system once the funds have been deducted from the VDOT account.

4. Scan documentation to the **MC/VC Chargeback** folder in the finance drive.

For VPC/CSC credit card disputes, enter the following information in the comment on the Daily Reconciliation spreadsheet; Wachovia Adjustments tab for the corresponding chargeback:

- CSC Account Number (if pertaining to a CSC account)

- Date chargeback was posted on account

- VN/VF Number

- If unpaid toll, enter "unpaid toll payment" in comment

    1. For a CSC dispute, print the following:

        - Contacts and Account Status screens

        - Account Statement Report

        - **Automatic Replenishment screen** or CSR Journal (whichever is appropriate).

    2. For a VPS dispute, print the following screens:

        - Violation document

        - Payment Screen

    3. Explain the transaction with letters provided.

    4. Include a copy of the Customer Agreement, if CSC dispute, and mark all sections that apply to the dispute.

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5. For AMEX and DISCOVER, go through the website to create a fax cover sheet. Fax the cover sheet along with all supporting documentation to the number provided.

6. Arrange the paperwork in the following order:

   - Retrieval Request coversheet

   - Fax sheet and the reply

   - Dispute pages

   - Explanation

   - Customer Agreement

   - Account print screens

   - Any other applicable documentation

7. Scan documentation into the appropriate folders on the finance drive, MC/VS chargebacks, Discover chargebacks, Amex chargebacks, and wait for response.

4.7.1. Rejected Disputes

4.7.1.1. Processing Rejected Charges for CSC

1. Identify the account.

2. Go to **Options** on the customer's main screen

3. Go to **Adjustment**.

4. Select **Credit Card Charge Back** as the **Transaction Type**

5. Enter the amount of the chargeback.

6. Place applicable notes in the **Transaction Comments** field. Click **Next** to proceed to the final verification screen. Pressing **Finish** on the verification screen completes the transaction.

7. Print a **History** screen, showing the adjustment.

8. Update the **Retrieval Request** worksheet.

9. Re-scan case into the appropriate folder on the finance drive.

10. If a customer's account balance is negative, contact the customer to inform him and advise him that he needs to make a payment on the account.

4.7.1.2. Processing Rejected Charges for VPS

1. Click on the **Financial Tab** and select ledger search.

2. Run query by plate number, jurisdiction, plate type, check number, ledger category, payment method, ledger source, entered user and date ranges. Select the payment that needs to be reversed.

3. Select **Reverse – no reapply**.

4. Identify the reversal reason.

5. In the **Notes** section, enter the road name first, enter the dispute case number, VN/VF number, or enter "unpaid toll payment.

6. Select the Reversal Type and save.

4.7.2.   Rejected CC Refunds

4.7.2.1.   Processing a Rejected Refund for CSC

1. Identify the account.

2. Go to **Options** on customer's main screen.

3. Go to **Adjustment**.

4. Select **Credit Card Charge Back Reversal** as the **Transaction Type**.

5. Enter the chargeback amount.

6. Go to **Adjustment** again.

7. Select **Refund from Balance**. This transaction will appear on the **Refund from Balance Report** and a check will be issued and mailed to the address that appears on the account.

8. Place applicable notes in the **Transaction Comments** field. Click **Next** to proceed to the final verification screen. Pressing **Finish** on the verification screen completes the transaction.

9. Print a **History** screen, showing the adjustment.

10. Update the **Retrieval Request** worksheet and re-scan the case to the appropriate folder in the finance drive.

4.8. Return Checks

4.8.1.   Processing Returned Checks for VPS

1. Click on the **Financial** tab and select **Ledger Search.**

2. Run a query by plate number, jurisdiction, plate type, check number, ledger category, payment method, ledger source, or date to select the payment that needs to be reversed.

3. Select **Reverse.**

4. Identify the reversal reason.

5. In the **Notes** section, enter the road name first, enter VN/VF number, or "unpaid toll payment."

6. Select the **Reversal Type** and click **Save.**

4.8.2. Processing Returned Checks for CSC

1. Identify the account.

2. Go to **Options** on customer's main screen.

3. Go to **Adjustments**.

4. Select **Check Return** for the adjustment type.

5. Place applicable notes in the **Transaction Comments** field. Click **Next** to proceed to the final verification screen. Pressing **Finish** on the verification screen completes the transaction.

6. Go back into **Options** on customer's screen.

7. Go to **Adjustments**.

8. Select **Check Return Fee** for the adjustment type. This fee can only be applied if funds are available on the account. If funds are not available, leave the case open on the spreadsheet and apply fees once funds are available.

9. Enter **$35.00** for the fee amount.

10. Place applicable notes in the **Transaction Comments** field. Click **Next** to proceed to the final verification screen. Pressing **Finish** on the verification screen completes the transaction.

In the reconciliation folder, access the **Return Check** folder. Enter the check information onto the appropriate tab in the workbook.

For VPC/CSC returned checks, enter the following information in the comment on the Daily Reconciliation spreadsheet; Wachovia Adjustments tab for the corresponding returned check:

- CSC Account Number (if pertaining to a CSC account)

- Date check return fee was posted on account

- VN/VF Number

- If unpaid toll, enter "unpaid toll payment" in comment. If the unpaid toll met its match and the reversal was unable to be done through VPC, notate this in the comment.

4.9. Check Refunds

Faneuil closes E-ZPass Virginia accounts at customer requests. The clerk in charge of refunds closes the account based on the information provided by the customer.

If the available balance in the account indicates that a refund is due to the customer, the clerk processes a credit card refund or **Refund From Balance** transaction to clear the remaining balance from the account. CSRs will provide the Finance department the following documentation to expedite a refund check (refund checks are created and mailed from the Faneuil Corporate office): **Closed Account Request Form, Custom Account Report** from the CSC system, and a screenshot of the **Account History Screen** from the CSC system. The refund is always generated via the method of the last payment shown in the account's history. An alternate credit card can be used for this if requested by the patron.

If a tag is reported or marked lost/stolen, the customer is charged a lost/stolen fee. In the event that a customer calls to reactivate the tag or report it found, the fee is reversed. If the account is already closed, the patron will be refunded via the method of the last payment shown in the account's history.

A designated CSC or VPS clerk runs the **Refund from Balance** for CSC and a **Ready for Refund Report** for VPS to process the refund checks to the payees for the refund amounts and matches this information to the backup paperwork. A designated associate runs a crystal report for both CSC and VPC. A designated associate for VPC reviews the VPC report and forwards the spreadsheet to the Accounting department. The CSC crystal report is forwarded to the accounting department and matched to the report received from the designated associate for accuracy. The spreadsheets are forwarded by a Finance designated employee to the Fanueil Corporate office for a refund check to be generated and mailed.

An accounting clerk, who is not involved in the refund process, will reconcile the checking account monthly to the monthly bank statement. The accounting department will reconcile this check register monthly to ensure that no customer has received more than one refund.

4.10. ACH Returns

When E-ZPass account holders have selected ACH as their primary automatic replenishment method and an attempt to replenish the account returns unsuccessful, the Finance Department uses the following process.

Note: *After one (1) unsuccessful attempt to replenish an account via ACH, the checkbox labeled "Auto Replenishment in ON" on the Replenishment tab in the CSC application is automatically unchecked. Also, a letter is generated and mailed to the patron sending notice that the attempt to replenish the account failed.*

- Finance department personnel run the report from the CSC application called, ACH Bank Response Report daily. It indicates the accounts where an

ACH transaction attempt failed. This report is verified against the email totals that are sent from BOA daily. The report from the bank and the CSC reports should match. If they do not, the descrepency is identified and a ticket is entered into SpiceWorks for resolution.
- Each account on the ACH Bank Response Report is reviewed to see if a backup credit card is listed on the account.
- If the customer does have a backup credit card on file, a credit card payment is attempted to replenish the account balance. The amount of the payment must equal the dollar amount listed in the Replenishment Amount" field.
  - If the credit card payment is successful, a note is placed in the Communications section that states, "ACH rejected – Securing funds through backup CC". The checkbox labeled "Auto Replenishment is ON" is then checked again.
  - If the credit card payment declines, a note is placed in the Communications section which states, "ACH Rejected – Tried to secure funds through backup CC – CC declined". The checkbox labeled "Auto Replenishment is ON" will remain unchecked.
- If the customer does not have a backup credit card listed on the account, notes are placed in the Communications section which states, "ACH Rejected – Couldn't make pmt. – No backup CC". The checkbox labeled "Auto Replenishment is ON" will remain unchecked. An email is sent to the CSC Manager/Supervisor to have a CSR contact the patron and request the credit card information.

4.11. Remittance of Unclaimed Property

In accordance with the procedure outlined in Section 3.16.3, the Finance Department will reconcile all adjustments to patron accounts where remaining account balances on Inactive Account are forfeited and deemed unclaimed property. The adjustments to the patron accounts will be identified by the adjustment reason, "Funds Remitted to the Commonwealth of VA for unclaimed property" and will be reconciled to a report created to identify accounts who meet the forfeiture criteria along with the corresponding positive account balance. Once the reconciliation is complete, the funds and applicable patron information is submitted to the Commonwealth of Virginia, Treasury Department, Unclaimed Property Division via ACH Electronic Transfer.

5.   INVENTORY OPERATIONS

5.1. Transponder Distribution and Return by a Customer Service Representative

Customer service representatives (CSRs) must check out their allotment of transponders before the start of the transaction day. They must make this request to the Fulfillment

Supervisor. The CSR must check and agree with the number of transponders on the assignment sheet and then sign the sheet. CSRs can only issue transponders that are assigned to them.

CSRs must check in their allotment of transponders after the end of the transaction day. They must make this request to the inventory staff. The CSR must check and agree with the number of transponders on the assignment sheet and then sign the sheet. The Fulfillment Supervisor initials the sheet before locking up the transponders.

5.1.1. Daily Tag Inventory Procedure

5.1.1.1. To Inventory Tags used by CSRs

1. The Tag Fulfillment Supervisor opens the secure tag room and issues the daily tags to authorized CSRs. The Supervisor keeps track of all tags issued and reconciles the tag count at the end of the day.

2. CSRs must return the tags to the Fulfillment Supervisor with the completed tracking sheet if they are leaving for the day. Each CSR takes his/her box of remaining transponders back to the secured tag room and signs the log sheet.

3. The CSR provides a tag count tracking sheet to the Fulfillment Supervisor prior to finishing a shift.

4. At the end of the day, the tag Fulfillment Supervisor runs the Tag Inventory report for each CSR that had tags issued to them for the day. The Tag Inventory report is compared to the Tag Tracking sheet for each fulfillment CSR to ensure that these two reports match. Both reports show the customer accounts to which each transponder had been issued throughout the day. The two reports must reconcile. The Fulfillment Supervisor then runs a Tag Search report to verify that all remaining transponders assigned to a CSR are accounted for.

5.1.1.2. Tag Fulfillment Communications (Clifton Forge Service Center)

The fulfillment personnel in the Clifton Forge location maintain tag requests taken by phone CSRs. CSRs use the Communication functionality within the CSC WinClient applicationTo complete this function, the fulfillment CSR will check the Individual Communication assigned to them in the CSC system several times a day. The supervisor or lead will also consistently review these communications throughout the work day.

To check the Individual Communications assigned to a role, the fulfillment CSR

1. Selects **Individual** from the **Communications** option on the main menu. This opens the **Individual Communication Search** screen.

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2. Communications are sorted by date. Transponder requests have top priority followed by requests for mounting strips and other miscellaneous requests. Also, work is completed with the older requests being fulfilled first.

3. Assigns tags from fulfillment communications that appear on the screen. Comments placed within the request by the phone CSR will be viewed by the fulfillment CSR by highlighting the applicable communication, right-clicking the mouse, and selecting **View Comments** from list that appears. Each communication will be checked for comments.

4. Right-clicks the mouse and selects **Close Communication** to close the communication.

5.1.1.3. Other Procedures on the Daily Procedure List

1. The Fulfillment Supervisor gathers all open communications assigned by the User Web and records the count on the daily work chart. The fulfillment staff fulfills open communications.

2. Inventory staff downloads all e-mail and processes the requests.

3. Mailroom staff opens and clears all tags returned in the mail. The mailroom returns inventory mail to the tag storeroom daily.

4. Process tags received from customers that walk in to the service center or use the drop box. The tag status is moved to the CSC location from the customer's account by CSR. The tag is then moved to the appropriate location (Out of Warranty, Mark IV, RTI). See Step 6 for more detail.

5. Tags returned to CSC via any method—mail, drop-box, and walk-in—are moved from the account and assigned to the appropriate Service Center location.

6. Each day, the tag inventory specialist processes the returned tags by moving them from the location "Service Center" into the appropriate location based on tag age or other conditions. The locations include the following:

   - Service Center (Northern Virginia, Richmond, Coleman, or Clifton Forge): Tags that are still working, within warranty period, and are new technology G3. These are re-issued to CSRs to assign to customer accounts at some point. These tags are referred to as returned to inventory (RTI).

   - Out of Warranty: Tags with serial numbers aged to a point that warranty shall not be valid. This number is defined by the date shipped and further defined by Mark IV.

   - Return to Mark IV: Tags with dead batteries, or are inoperable, and are still under warranty defined by Mark IV. These consist of tags with a technology level of at least G3 and tags older than G3. Tags with technology older than G3 are separated from the tags that have at least G3 technology and shipped to Mark IV with the out-of-warranty tags.

- Customer Recycle: These are tags that are returned to the Service Center that are still in warranty as defined by Mark IV. Returned tags, which are still in warranty, are moved to the Service Center (Northern Virginia, Richmond, Coleman, or Clifton Forge) location. If the returned tag(s) are operable, they can be reissued to another patron. Later, the tags are moved to either the Service Center, Return to Mark IV, Disposal, or Out of Warranty locations.
- Although not a daily procedure, the inventory staff can move tags from ordered to warehouse when an order has been received. They are then moved from the warehouse location to a CSR to be used. When the transponders are added to the system and programmed, the inventory staff will ensure that the system reflects the current programming.

7. Transponders received in daily mail are separated into respective locations, counted, and logged.

8. Mail transponders to customers from new accounts, or additional tag requests. These are sent first class mail and are packed with an RF shield bag.

5.1.1.4.   Daily Tag Inventory Report

The operation maintains all inventory types. This includes interior, exterior, and commercial transponders. The inventory staff tracks the use of inventory to ensure that the operation has enough transponders of each kind to meet the customer demand. The management staff has access to this information to ensure that the proper orders are placed. The Daily Tag Inventory Report is a report that assists in this process.

- **To Generate Report**

1. Select **Report Selection** from the **Reports** menu.

2. Select **Tag Reports** from the **Report Category** drop-down menu.

3. Select **Daily Tag Inventory Report** from the **Report** menu.

4. Under **Report Parameters**, select:

   - The applicable CSR.

   - All tags for the range.

5. Click **Search** to view the report.
The user can print the report or export it to a folder by selecting from icons above the report. The tag inventory manager will compare the CSC system to the CSR Tracking sheet.

5.2. Customer Recycle Tag Report

Authorized inventory personnel are responsible for the transponder inventory and movement of transponders. Only specified tag inventory personnel have access to run the following report for tags in the Customer Recycle location within the CSC system

To process the Customer Recycle report

1. Go to **Reports** in the CSC system and choose **Report Selection.**

2. Select **Tag Reports** under **Report Category**.

3. Select **Tag Inventory Detail Report** from the **Report** menu.

4. Filter the report by tag number (sequence) or tag status, if applicable.

5. Select **Customer Recycle** as the status. The report displays all tags with that status.

Tags still in the Customer Recycle status after 14 days of issuing a replacement tag should be charged and processed as lost/stolen.

This process should be performed bimonthly.

5.2.1. Monthly Tag Management Responsibilities

5.2.1.1. Ordering Tags

The Production Supervisor in Clifton Forge initiates the ordering of transponders for all Virginia service centers. Based on the previous month's inventory report of tags on hand, an order is placed with Mark IV at the beginning of each month when the inventory of transponders go below established thresholds. Transponders are ordered via fax. Receipt of the fax is sent via email to the Inventory Supervisor.

A reserve of the following types of tags in the Warehouse location in Clifton Forge is maintained.

- 10,000 Pearl tags

- 5,000 Blue tags

- 150 External (bumper) tags

- 150 Roof Mount tags

Inventory thresholds for the retail locations are proportionate to approximately 2 months worth of tag distribution for each center.

Tags, with the exception of roof-mount tags, are shipped from Mark IV to each location based on the specifications in the order. Roof-mount tags are shipped to Clifton Forge and disseminated to the other locations as needed.

To process Return to Mark IV tags

- Inventory all tags in the CSC immediately on the first day of the month. If a transponder is unaccounted for, research it to determine if the transponder was ever brought back to the service center.
- Verify Return to Mark IV by checking the tag numbers in the boxes against the spreadsheet.
- Put the boxes into cases for delivery to Mark IV.
- Label the case with pre-printed address labels.
- Copy the data for the month from the tag tester and convert it to Excel.
- Copy the Mark IV spreadsheet to the Tester Comparison folder.
- Balance the tag tester.
- E-mail the tag tester data and the Return to Mark IV monthly comparison to Mark IV; Mark IV e-mails two RMA numbers for shipment (interior and bumper).
- Calculate credits for the Return to Mark IV tags as specified by Mark IV:
- Multiply the original price of the tag times the number of weeks left on the warranty.
- Divide that number by the total number of weeks the tag is on warranty.

- After completing the month-end reports, save the reports on the Swap drive indexed by year.

To perform tag disposal

1. Verify Out-of-Warranty tags by checking the tag numbers in the boxes against the spreadsheet.

2. Put the boxes into cases for pick-up. Pick-up for tag disposal vendor is done every quarter.

5.3. Service Center Inventory Procedure

5.3.1.   Month End Responsibilities

At the end of each month, reconciliation of all transponders in the following locations occurs:

- Return to Mark IV
- Warehouse
- Service Center
- CSR
- Out of Warranty

Inventory personnel run Tag Inventory searches in the CSC for each aforementioned location and reconcile the search results to Tag Inventory spreadsheets, which get updated daily. Any variances are identified and resolved by this process.

5.4. Tag Replacements

5.4.1. General Tag Replacements Reasons

Customers return transponders to the service center for transponder replacement or malfunction.

Transponders are replaced in the following instances:

- Lost/stolen: The customer is charged a $25 lost/stolen fee for the original transponder and a new transponder is issued as a replacement. (Refer to Lost/Stolen/Damage Policy.) See Section 3 for more information on this procedure.

- Damaged: The customer is charged a $25 damage fee for a visibly damaged transponder. A new transponder is issued as a replacement (Refer to Lost/Stolen/Damage Policy.)

- Malfunctioning/defective: A malfunctioning/defective transponder is replaced at no charge to the customer. The Inventory Department returns in-warranty transponders that are non-functional, defective, and cannot be returned to the manufacturer. These are returned to Mark IV.

In-warranty transponders are those interior transponders less than five years old and exterior bumper mount transponders less than three years old.

5.4.1.1. Processing New Transponder Requests for a Malfunctioning Transponder

CSR process for replacement requests of a malfunctioning transponder

1. Ask the customer for his account number and enter the number provided. If the number matches an account, the account appears.

2. If the account is not found, verify the account number with the caller.

3. If the information still is not found, look up the customer's account by transponder number, license plate number, name, credit card number, PIN, or phone number.

4. Ask for the customer's four-digit PIN. If the customer has forgotten the PIN, ask for account-specific information to match the person with the account on-screen in the CSC system. Only the account holder may access account information.

5. Troubleshoot the tag problems to verify that the transponder malfunctions.

6. Review the account and transaction history.

7. Test the transponder and/or vehicle windshield.

Note: *Windshield testing applies only to walk-in center CSRs.*

8. Process a payment to cover any applicable fees.

5.4.1.2. Replacing the Transponder for Walk-in Center CSRs

To replace transponders from a walk-in center

1. Open the **Tag Maintenance** screen and select the correct transponder number.

2. Use the **Replace** function to issue the new tag into the account. The original tag's status is pending**.** If the account is on manual replenishment, all associated tag deposits are moved to the new transponder.

3. Use the **Revoke** function to move the transponder to the CSC location.

4. Attach the Tag Replacement form to the transponder and forward the transponder to the Inventory department.

5. Add a comment to the account stating that tag #xxxxxx is replaced by tag #yyyyyy.

5.4.1.3. Returning a Malfunctioning Transponder to the CSC for Call-in Center CSRs

To process tag returns on malfunctioning transponders from the call-in center

1. Alert the customer that if the CSC does not receive a transponder, the customer's account is subject to the $25 lost/stolen fee.

2. Add a comment to the account noting a replacement request and notification of the $25 lost/stolen fee.

3. Forward tag replacement paperwork to the Inventory Department.

4. Communicate with the customer—explain the following points:

   - The activation process for the new transponder

   - Transponders will only be mailed to the address on file

   - Transponders mailed to the customer should be received within 7 - 14 business days

5.4.2. Active Tag Replacement Program

The CSC actively replaces transponders that are out of warranty through the Tag Replacement Program. The transponders that qualify for this are aged and out-of-warranty. Out-of-warranty transponders are those interior transponders at least eight years old and exterior bumper-mount transponders at least eight years old. These tags are replaced at no charge to the customer.

To replace a customer's out-of-warranty tag, the CSC sends a letter to the customer to advise the customer of the tag replacement program.

Using the Tag Search function in the CSC system, the user can identify all tags within a

configurable number range. This search discovers all tags that have a receive date

indicating that they are near the end of their expected lifecycle for their particular type.

The Production Supervisor initiates correspondence to the customers who have these tags by:

1. Highlighting the applicable tags from the search results and right-clicking the mouse.

2. Select **Create Targeted Communication** from the list that appears. This initializes the Targeted Communication Wizard.

A feature of this wizard will send the letters to Questmark in the form of a data feed where they are printed and mailed.

Additional criteria used to locate tags near the end of their lifecycle is based the Date of Receipt, which is the date the tags were first entered into a warehouse location, and Date of First Issue, or the date a tag was first assigned to an active customer account

5.4.3.   Tag Replacement Program Procedures

When the customer responds to the tag replacement letter through the Website, email, or the phone, the fulfillment staff uses the following steps to conclude the process.

- **To conclude the tag replacement process**

1. The Production Supervisor gathers all open communications via the CSRs or the Web. The communications are then assigned to Fulfillment clerks to process.

2. The Fulfillment staff opens the account and verifies class code changes and then re-classifies the replacement tag..

3. The Fulfillment staff enters all information from the request into the customer account.

4. The Fulfillment staff highlights the TRP tag, issues the new tag in the account and moves the TRP tag to Customer Replacement location. A check mark is placed at the top of request after completing replacement. The communication is then closed after the request has been fulfilled.

5. If the staff cannot process the request, he/she calls the customer to update information on the account. If the staff cannot reach the customer, he sends the appropriate correspondence to the customer.

6. The Production Supervisor verifies that all requests are complete after all requests are processed.

Reminder to Return a Replaced Tag

A Tag Replacement notice is sent along with the replacement tag to the customer. The notice states which tag number(s) have been replaced and informs of the correct tag number(s) to send back to the service center. The form also states instructions to send the replaced tag(s) back and that the replaced tag(s) will be deactivated after 35 days.

If any replaced tag is not returned to any of the E-ZPass Virginia Service Centers within a month, a second letter is generated and mailed to the patron. The second letter is a reminder to return the replaced tag(s) or there will be a $25 lost/stolen fee assessed for each transponder.

If the tag(s) have not been returned for a period of a month after the second letter is generated, a $25 lost/stolen fee is assessed per transponder still outstanding.

Process to Create Second Notification

1. Service Center personnel run and export a query from the Tag Search functionality in the CSC application with the following parameters:

2. Under **Inventory Information**, choose "Customer-Recycled" in the **Location** drop-down menu.

3. Under **Customer Tag** Information, choose "Customer" in the **Moved From Location** drop-down menu, choose "Customer-Replacement" in the **Moved To Location** drop-down menu.

4. Under **Date of Movement**, the desired date range of the report is selected. Since this task is performed twice monthly, the date rage consists of the either the first half of a month or the second half, depending on which is applicable.

5. Click **Search**

6. The query results are sorted by the Activity Date/Time column and printed

7. Each E-ZPass Virginia account holder that appears on the report is sent a copy of their Customer Summary Report with the replaced tag highlighted and a reminder that the tag still needs to be returned.

8. Applicable notes are placed within the Recent Communications section of each account to document the mailing of their Customer Summary Report.

9. The system-generated report is then filed in a folder labeled by month.

Marking Unreturned Tags Lost/Stolen

1. On a monthly basis, the reports from the previous month, filed in Step 9 above, are reviewed again.

2. Each account is reviewed again to see if any Customer-Replacements tags are still on the account and make sure the patron has not contacted a Service Center to inquire about the tag(s).

3. If a tag(s) is still on the account and there are no comments documenting the patron inquiring about the tag(s), the tag(s) is marked lost/stolen and a $25 fee is assessed to the account.

4. After the tag(s) is marked lost/stolen and a $25 fee has been processed, the tag(s) is revoked from the account to the Lost/Stolen location in the CSC application.

5. Comments are placed in the account, documenting which tag was marked lost/stolen and why the tag(s) was marked lost/stolen

Tag Replacement Tags Returned (Tags that have been received back to the Service Center)

1. All incoming tags are opened in our mailroom. Any paperwork is kept together with the tag(s).

2. The Mailroom clerk then verifies the customer returned the correct tag that was replaced.

3. The Mailroom clerk then revokes the tag from the account.

4. The Mailroom clerk then processes a Replacement/Return form in Images Works. The account number, date, customer name, and tag number are logged into this form.

5. The Mailroom staff sends all completed requests mail to the Scanning departments to scan into the database. All paperwork is initialed by mailroom clerk, dated and account is not already on there.

5.5. Return to Mark IV and Out of Warranty Inventory

Authorized Inventory Personnel track the number of transponders to return to Mark IV each month. The Tag Inventory Report from the CSC system is used to reconcile this information. This report is manipulated to sort the tags by location. After sorting the report, the Inventory department can identify the tags with a Return to Mark IV or Out of Warranty location. The staff exports the report to an Excel spreadsheet, separating the Return to Mark IV tags from the Out of Warranty tags.

The staff then uses a series of Excel spreadsheets to reconcile the number of returned transponders. The staff compares the current month of returned tags to previous months' number of returned tags. This information is compared to the CSC system reporting to ensure that it reflects the accurate amount of returned transponders. This process also accounts for transponders returned at each CSC location.

5.6. Other Inventory Procedures

5.6.1. Disposing of Tags

The following policies are in effect for tag disposal:

Disposal of out-of-warranty and Mark IV tags happens quarterly.

At the end of every month, tags for disposal are marked and stored.

Coleman, Northern Virginia, and Richmond CSCs send the monthly report of the total number of tags for disposal to the inventory specialist. The report is then sent to the Quality Manager.

Note: Contact Intercon Solutions for pick-up. (Gloria Fahim) 708-756-9838. All pick-ups require lift gate and are inside.

5.7. Fulfilling Transponder Transfer Requests

To fulfill transponder transfer requests

1. From the original account holders account, right click on the tag and revoke the tag from the account. Move any tag deposits back to the balance associated with the tag(s) that will be transferred**.**

2. Under the Customer Service tab select tag search. Enter the tag number and then edit the tag to the proper location. Then assign the tag to yourself.

3. Make a Debit Other Adjustment to the original account to transfer the funds (if applicable) with a comment "Transferred $xx.xx from account # _____ to account # _____"

4. Make a Credit Other Adjustment to the receiving account for the corresponding funds with the same comment.

5. Under the Options Tab select Adjustments. Move a tag deposit from available balance for each tag that will be transferred.

6. On the tag screen on the account, right click and add the tag. If the acct is set up with ACH and a credit card as a backup then the tag(s) will not have a deposit. If so then right click on the tag that was added and change the tag deposit amount to $0.00. Next go to Options, then Adjustments and move the deposit back to the available balance.

7. If the account is not set up under ACH and a credit card as a backup then the deposit will stay on the account for the new tag(s).

8. Print a Customer Account record with the updated information for both accounts.

9. Forward Tag Transfer form and printed Customer Account records before and after the change to scanning for data retention.

5.8. Warehouse Inventory Report

The Tag Inventory Report can be configured to show all tags assigned to a location. When the user selects one of the following warehouses from the **Location** field, the report shows all tags assigned to that warehouse:

- Warehouse Clifton Forge

- Warehouse Coleman

- Warehouse Richmond

- Warehouse Northern Virginia

6. INTRODUCTION TO VIOLATION PROCESSING

As a primary tool, the operations staff uses the Faneuil Forté® Violation Processing System (VPS). The VPS monitors and enforces the correct use of electronic toll collection (ETC) and manual toll collection lanes by helping pursue and collect unpaid revenue and fees from individuals who either misuse the system or otherwise do not pay the appropriate tolls. This and subsequent chapters explain the processes that the staff uses both system-wide in the VPS and those performed manually outside of the system.

The primary objective of the CSC violations staff is to manage all violation processing in an accurate and timely manner according to the business rules defined by VDOT and its affiliated roadways. While business rules for processing violations are being developed, Faneuil will provide recommendations for maximizing the collections from violation events. The operation will disburse funds received from violation processing according to the defined business rules at least monthly.

To achieve this, the violations staff monitors the VPS through each of its workflow phases. The steps in the VPS workflow are a combination of automated, manual, and external processes. This includes receiving image data from the lanes, reviewing and identifying images, posting V-tolls to customers' accounts for violation events, creating V-toll records for IAG license plate V-tolls, exchanging and identifying registered vehicle owners with the Department of Motor Vehicles (DMV), creating and printing notices, and resolving payments or disputes.

The procedures covered in the VPS-related chapters are outlined below:

- **Image Review**: Chapter 7 summarizes how the VPS receives images. The image review process is described in detail. Information about the V-toll process is also included.

- **DMV Processing**: Chapter 8 explains the process of exchanging information with a DMV. When the registered owner information is returned, the violation staff is responsible for the next processes. This section outlines these procedures and also covers the process by which violations print.

- **Mail Processing**: Although this is primarily a manual process, Chapter 9 defines the workflow for handling the violation-related incoming mail and explains the use of the VPS. The VPS provides a scanning function that is covered in the next section.

- **Dispute Processing**: After violations are mailed to violators, some choose to dispute their responsibility for the event. Chapter 10 covers the dispute process. It includes flexible procedure options based on current business rules. This chapter also covers the functionality available to the CSC customer for disputing a violation on the Website. This section also covers creating evidence packages.

- **Payment Processing**: For violators that choose to pay their violation, Chapter 11 covers the procedures for posting and reconciling VPS funds. This section also includes information about the payment options for violators to make a payment on the Website and through the IVR.

- **Violation Research**: Given that CSC supports both customer service and violations functions, the VPS has several components for researching violations-related questions. Chapter 12 covers these tools.

6.1. Customer Service Integration

To maximize efficiencies, staff uses the CSC customer service and violations systems to provide timely and accurate responses to customer issues and inquires. Operations management staff is interested in effectively and efficiently managing all staffing resources, so the operation carries on both customer service and violation processing duties in several areas. Some exceptions to this are made primarily for security reasons, which will be explained in detail later in this section.

6.1.1. Violations Processing Responsibilities

To a certain extent, violation processing is the responsibility of all staff members. Table 6.1 illustrates the basic functional roles and their designated priorities. The operations manager and other department managers are responsible for balancing the tasks of each group to meet the operational needs and performance measurements.

Table 6.1 Violation Search Criteria Screen Buttons

ROLE	DESCRIPTION	PRIMARY	SECONDARY
Call Center CSR	The customer service representative who answers incoming phone calls.	Answer both CSC and VPC related questions.	Same as Primary.
Image Review CSR	The customer service representative trained to perform image review and also answer incoming phone calls.	Review images.	Answer both CSC and VPC related questions.
Quality Review Representative	The second and final review of violation and DMV information prior to being queued for printing.	Final Review of violations returned from the DMV.	N/A
Payment Processing	Customer service staff and accounting staff are responsible for posting payments received at the CSC	Post both account and violation payments.	Same as Primary.
Adjustments and Refunds	The accounting staff responsible for performing adjustments or refunds.	Adjust/ Refund violations or account transactions.	Same as Primary.

ROLE	DESCRIPTION	PRIMARY	SECONDARY
Mail Processing	Process the incoming and outgoing correspondence for the CSC.	Process both violations and account mail.	Same as Primary.
Dispute Processing	The production staff responsible for processing violation disputes.	Process violation disputes.	N/A
Document Scanning	The production staff are responsible to scan CSC correspondence	Scan account and violation related documents.	Assist with Mail Processing.

6.2. The VPS Application

The CSC uses the VPS software application to process violations. The VPS application requires users to log on and off and uses a unique user name and password.

6.3. Acronyms
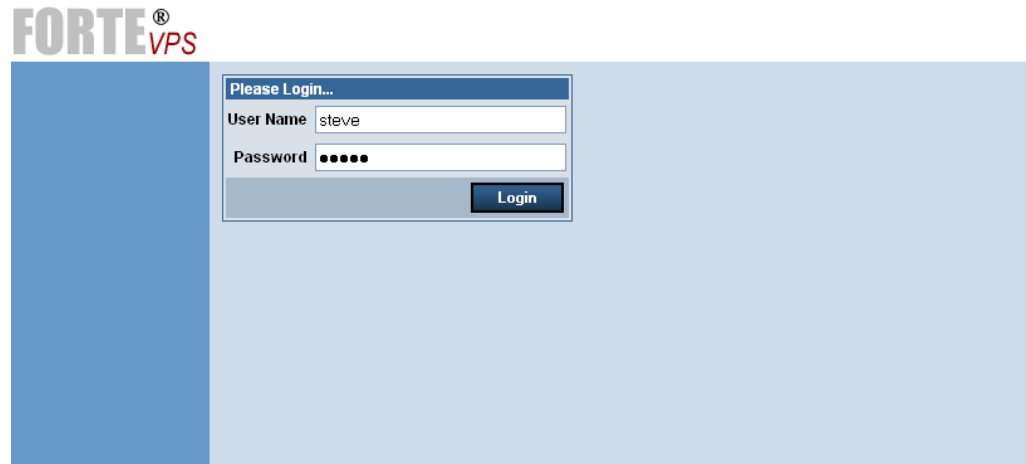
The acronyms in the following list are used in describing violations related operations.

- DMV   Department of Motor Vehicles
- OCR   Optical Character Recognition
- ROI   Region of Interest
- ROV   Registered Owner's Vehicle
- VES   Violation Enforcement System
- VESC   Violation Enforcement System Controller
- V-Toll   Video Toll
- VPS   Violation Processing System

6.4. Logging On

1. To log on to the VPS application, first start the application. The Login screen appears, as shown in Figure 6.1:

Figure 6.1 Login Screen

2. Enter your user name as provided by the system administrator, and your password.

Note: *Your password has to be at least eight (8) characters long. Special characters such as: $; @; #; %; &; and * may be used. However, you may not use spaces.*

Note: *The system also requires you to change your password every 45 days. You cannot use any of your past five passwords for login.*

3. When you successfully log on, the Main Menu appears (Figure 6.2).

Figure 6.2 VPS Main Menu

The VPS has configurable levels to ensure the proper security is set for each operational role.

Permission levels set by the system administrator determine your access level, so only the function tabs which you can access will appear on the main menu.

6.4.1.   Logging Off

When you finish using the VPS application, click on the **Logout** tab of the main menu (see Figure 6.3).

Figure 6.3 Main Menu Logout Tab
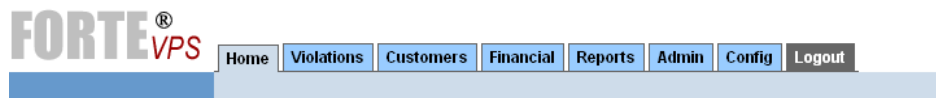
7.   IMAGE REVIEW

Image review is the E-ZPass Virginia Customer Service Center (CSC) staff's first step in violation processing. This chapter briefly describes the process by which the images are sent from the lanes. This chapter also explains the process for reviewing images in the VPS for quality and content. The *V-toll* process is described after the image review process.

7.1. Overview of Lane Function

When a vehicle passes through a toll lane equipped with a violation enforcement system (VES) and the toll is not paid or not paid in full, in-lane devices trigger the violation. This information triggers cameras to capture pictures of the vehicle. The number of pictures taken is based on the camera equipment present.

After the image is captured, it is stored in the VES controller (VESC) and then sent to the VES host. Here, the image and transaction data is held until the scheduled upload to the VPS image server. When this upload occurs, the image and transaction information is sent. The image is then processed through the OCR server (optical character recognition). OCR is the process by which the system analyzes the image from each violation and pre-populates the license plate alphanumeric sequence in the license plate field. After the OCR process, images are available through the VPS application for image review processing. The OCR also assigns confidence levels to each violation record.

If there is a VDOT transponder read in the record, the transponder is checked again against the CSC database. If there is a valid match, the event becomes a V-toll and posts

to the customer's account. If there is not a valid match, the violation event is queued for image review.

7.2. Image Identification Process

The operation staff reviews all of the images regardless of OCR confidence rating. To process images and identify the plates associated with violating vehicles, the user logs on to the VPS application. For the log on process, see Chapter 6.

- **To perform image review**

1. Log on to the VPS and select the **Violations** tab. See Figure 7.1.

Figure 7.1 Violations Tab

2. Select the **Plate Identification** option on the left margin of the screen. See Figure 7.2.

Figure 7.2 Violations Tab Plate Identification Option
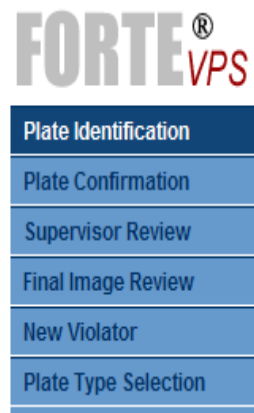
By selecting the **Plate Identification,** the user can see the images ready for review. While in this screen, the user can identify images for further processing or reject them using the appropriate rejection code. When the user begins reviewing the image, the system shows the best image in the center in the **Selected Image** viewer. See Figure 7.3.

Figure 7.3 Plate Identification Screen
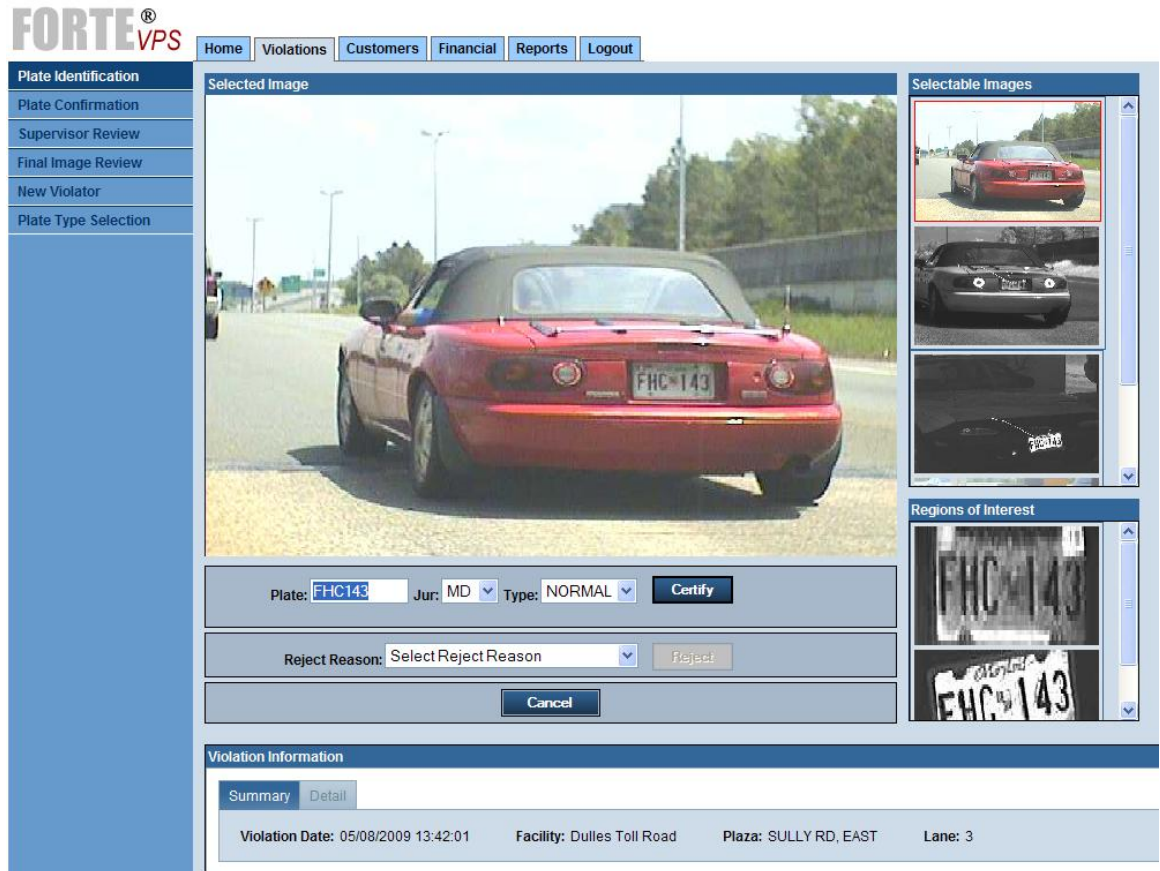
3. Review the quality and content of the image in the **Selected Image** viewer. To view the other images captured with this event, click on each picture and select the best image. To see additional images, use the scroll bars to the right of the image windows.

4. After selecting the best image, review the information in the **Plate** field. The OCR pre-populates its best estimate of the license plate characters.

5. To make corrections in the **Plate** field, highlight the information and type over it with the correct numbers and letters. Keep numbers and letters uniform; the application automatically capitalizes alpha characters. You can also use the cursor along with the delete button to delete one or all of the characters or select and overwrite them.

6. Then verify that the **Jur** (jurisdiction) field is correct. This field reflects the US state or Canadian province of the license plate's origin. To change the jurisdiction, enter the two-letter abbreviation of the correct state or province.

7. For the **Type** field, it is important to enter the correct plate type from the drop-down menu. Image review staff will receive a license plate desk reference guide for an example of plates and plate types. The Forte VPS application defaults the plate type to PAS for Virginia license plates. Clerks only change the plate type for Virginia license plates if the plate characters are all-numeric.

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8.   After reviewing the image and ensuring that the license plate identification is correct, review the other data in the **Violation Information** window. (See Figure 7.4 for a detailed view.) This box provides the following additional information about the violation event:

- Violation date and time

- UO code or unusual occurrence—this code is associated with the reason for the violation.

- Toll due

- Toll paid

- Location

- Authority—this is the IAG authority code if a transponder was read at the time of the violation.

- Tag—this is the transponder number if one was read.

- Status

- Agency

- Confidence factors plate—this is the OCR confidence score when processing the license plate.

- Lane status—these are indicators that can be associated with information received in the violation record about the devices in the lane. They are programmed to change color if a part of the lane was not working at full capacity at the time of the violation. These include **Electronic Collection Device**, **Automatic Vehicle Classification** and **Vehicle Tracking**. Lane status indicators are as follows:

  - Green—Passed violation filtering checks from the lanes and violation may be certified.

  - Yellow—Possible questionable transaction and unless instructed otherwise, this transaction should be rejected.

  - Red—Failed during violation filtering check; this violation should be rejected.

Figure 7.4 Violation Information Detail

VDOT may define specific business rules that instruct the operation to reject images if there is a factor in the **Violation Information** window that indicates the violation may not be valid. For example, if a **Lane Status** factor is red, it may require

violation rejection. If this is the case, the user rejects the image. For more on rejecting images see **Error! Reference source not found.**.
If there are no issues noted with the violations information, then the image can be certified. Certifying an image means saving it.

9. Click on the **Certify** button in the lower right hand corner of the **Selected Image** window. See Figure 7.5 for details.

Figure 7.5 Violation Image Detail

After clicking **Certify**, the image is saved and queued to the next automated process. The screen then advances to the next image ready for plate identification.

7.2.1. Rejected Images

A user may choose to reject an image for various reasons. These include image quality, image content, or a business rule.

When an image is rejected because of the quality, typically something is wrong with the image that makes the license plate unidentifiable. Examples of this are an image that is too dark or is out of focus.

When an image is rejected for content, the image quality is fine but the user cannot identify the license plate because of the content or lack of content. Examples of this include an obstructed plate or no vehicle in the image.

When an image is rejected for a business rule, VDOT or its affiliated roadway has decided that certain types of vehicles, like state police vehicles or vehicles traveling at a

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certain time of day, such as those defined by Va. Code 33.1-252 (Free use of toll facilities by certain state officers and employees; penalties.), have been granted a waiver for tolls.

7.2.2. Rejection Reasons

The VPS has rejection reasons that are available on the drop-down list on the **Plate Identification** screen. Table 7.1 lists the image reject reasons.

Table 7.1 Image Reject Reasons

REASON	DESCRIPTION
Plate Unreadable / Obstructed	Plate is dirty or is in poor condition, or a trailer hitch or other object obstructs the image.
No Plate / Temporary Plate	No plate is visible or there is a temporary plate displayed on vehicle.
Corrupt Image	Image is corrupted in some manner or merged with another image.
Bad Camera Aim	Camera aim prevents recognition of plate.
Too Bright / Glare	The image is washed out, preventing recognition of the plate.
Too Dark	The image is too dark or shadowed, preventing recognition of the plate.
No Vehicle	There is no vehicle displayed.
Truck Trailer	There is a truck using the lane where only back camera is located.
Unenforceable Plate Jurisdiction	US federal plate, non US, Canadian Plate, VDOT vehicle
Emergency Vehicles	Any vehicle with a light bar, i.e. Police, Fire, Ambulance
Bad Lane Health	Lane status indicators are yellow or red.
Bad Camera Focus	The image is not legible, unable to review.

The list of available image reject reasons is configurable by the VPS administrator. It is possible to add additional rejection reasons as needed. Faneuil will work with VDOT to determine the proper image rejection categories to best suit their needs.

In addition, image rejection reasons can be removed if they are no longer valid for image processing.

7.2.3. **Rejecting an Image**

Rejection of images happens during Image Review and Plate Identification. To reject an image the user needs to be in the **Plate Identification** screen.

Figure 7.6 Plate Identification
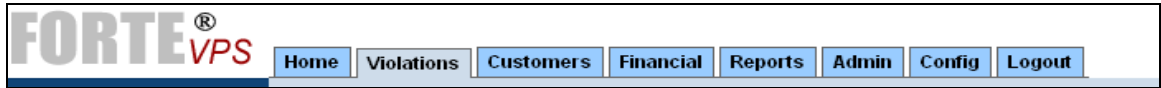
1. When the user has reviewed all of the available images for a violation event and has determined that the license plate cannot be identified. The user must select an appropriate reject reason.

2. Below the **Selected Image** window, the user clicks the **Reject Reason** drop-down box and selects the appropriate rejection reason. See Figure 7.7. The **Reject** button is enabled.

Figure 7.7 Reject Reason Selection
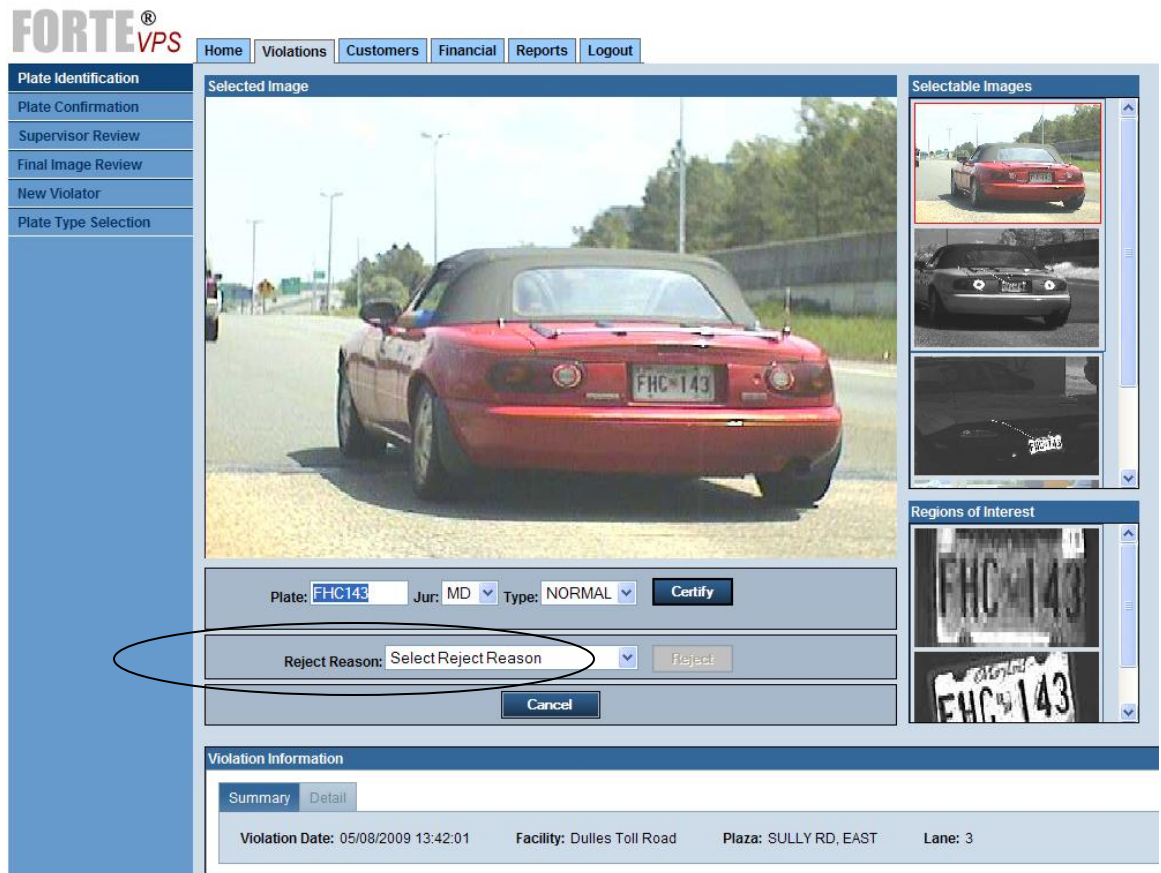
3. The user clicks on the **Reject** button.

When the **Reject** button is clicked, the image is rejected and the system advances to the next image. Once the violation event is rejected, the non-selected images (non-selected front or rear shots and ROIs) are marked for deletion. The selected image displayed on the screen and the associated violation event information is retained in the system for audit and reporting purposes.

Operations and Quality Assurance monitor images processed each day to determine if images are being certified and/or rejected accurately.

7.2.4. Exiting Image Review

Any time during the image review process, a user can exit the screen by clicking on the **Cancel** button. This releases the image record that the user has on the screen and makes the violation available to another user if queried.

7.3. V-Toll Processing

After an image is certified in the **Plate Identification** screen the associated violation event is checked for a possible customer V-toll by license plate. A V-toll is a video toll, or a toll transaction posted with the aid of video or camera captured images.

Each violation saved during image review is checked against the CSC customer license plate list and the IAG license plate list. If the license plate matches an account in good standing then the transaction is converted into a V-toll. The V-tolls are then posted to a customer's account or included in the IAG transaction files with the corresponding authority's toll transactions for posting on other E-ZPass agency accounts. These toll transactions are subsequently reconciled according to the IAG schedule and process.

7.4. Monitoring Image Processing

Part of the process for ensuring timely and accurate image processing involve review reports on a daily basis. Two reports that provide important image related information are the VESC Report and the Violation Transaction Type Report. The operations management and supervisory staff have access to these reports to track daily activity and make decisions accordingly.

Reject reports will be queried to determine violation records rejected for lane/camera related issues. If lane/camera related rejects are prevalent, the violations supervisor will promptly report these findings to the lane maintenance team so that they can proactively address the issues.

Desk reference materials will include samples of violation images to be rejected and the corresponding appropriate reject codes.

The QA Team and violations supervisor monitor rejected and certified violation records to ensure that:

- Clerks are using correct reject reasons when rejecting violation records

- Clerks are not rejecting valid violation records

- Clerks are not certifying invalid violation records

7.4.1. Accessing Reports

To access reports, log on to the VPS. For log on instructions see Chapter 6. Select the **Reports** tab from the main menu. See Figure 7.8 below.

Figure 7.8 Main Menu Reports Tab
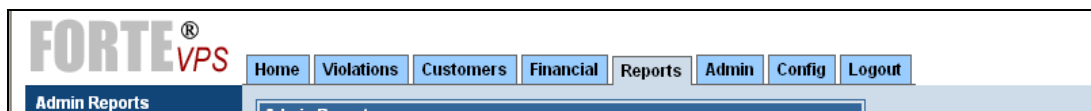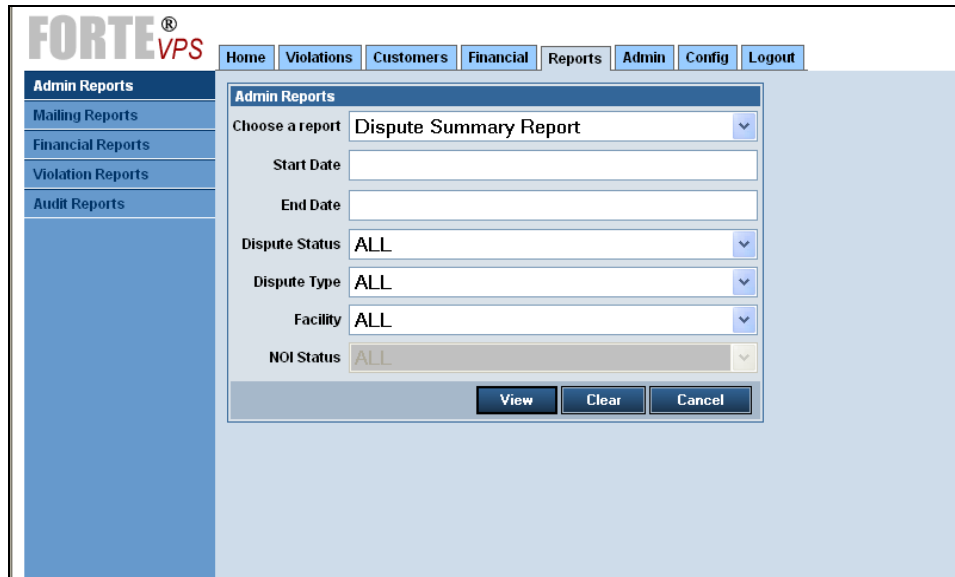
After selecting the **Reports** tab, select the report type category from the list on the left margin. See Figure 7.9.

Figure 7.9 Reports Tab Admin Report Option

After selecting the report type, you can then select the specific report to generate. The screen also shows the search criteria available for the corresponding report. See Figure 7.10.

Figure 7.10 Admin Report Screen

Select the search criteria and then click the **View** button. The report is generated and is shown on the screen. The report can then be printed or be converted into a different format if desired.

7.4.2. The VESC Report

The **VESC Status Report** provides information regarding the last reported date and time for each transaction transfer from the VESC to the VPS. Only VES-equipped lanes appear. The staff uses this report to monitor the upload status of the VESC and identify possible lane-level maintenance issues. See Figure 7.11.

Figure 7.11 VESC Report

The operations staff can see for each VES-equipped lane the last time the lane reported images. If a lane has not reported for a designated period of time the operations staff can issue a notification for a technician to check the lane. This process helps ensure that images are being processed in a timely manner and lane issues are identified and fixed as needed.

7.4.3. The VESC Report

Staff use this report to view specific information involving the total number of violation transactions that have been loaded and processed through each VPS workflow/queues in a given date range. A processed violation increases the count for each queue that it passes through. The activity shown on this report is based upon processing date, meaning the date in which the queuing operation occurred. See Figure 7.12 and Figure 7.13

Figure 7.12 Violation Transaction Report-View A

Figure 7.13 Violation Transaction Report- View B

Smart Tag Violation Processing Center
Violation Transaction Processing Report

Report Parameters and Sort Order: REPORT IS BASED ON 'PROCESSING DATE'.

Start Date: 09/01/2005   Default Group By: QUEUE PROCESSING ORDER   Facility: ALL
End Date: 12/31/2005   Default Sort By: RELEASE CODE

Queue Name	Release Code	Transactions	Percent
Filter 2	Accepted	106	100.0
	Subtotal: Filter 2	106	
Final Image Review	Accepted	94	89.5
Final Image Review	Bad Camera Aim	1	1.0
Final Image Review	Bad Camera Focus	2	1.9
Final Image Review	Supervisor Review	6	5.7
Final Image Review	Tollway Vehicle	2	1.9
	Subtotal: Final Image Review	105	
Supervisor Review	Accepted	4	80.0
Supervisor Review	Edited plate number	1	20.0
	Subtotal: Supervisor Review	5	
Total:		3,292	

*** End of Report ***

Page 4 of 4   Run Date/Time: 01/05/2006 12:4-

This report is important in the review and tracking of image related violation queues. The operations staff can use this report for the following functions:

- To see how violations are moving through each of the system queues

- To view the percentage of images that end in each status

- To see a total number of transactions for a given search period

- To compare to month to date or year to date historical information

7.5. Sampler Queue

The sampler queue is a tool in the system designed to allow supervisors to set up and view plate identification work done by plate identification staff. The supervisor first sets up the user with a sample percentage and then can view results as violation records are processed in Plate Identification. The sampler queue will send (the percentage selected by user) violation records back thru Plate Identification for a second blind review. It will then report the results showing records that were updated by the second user. It will calculate a percentage based upon those records which were updated by the second user of the sampled records.

7.5.1. Setting up a User for Sampler Queue

In order for a supervisor to be able to set up users in sampler queue or view results it will be necessary to first set up their user role for Sampler queue. From the Admin Tab in the main menu the system administrator or manager will set up a user role by checking the Sampler Summary, Sampler Detail and Sampler User check boxes (see below).
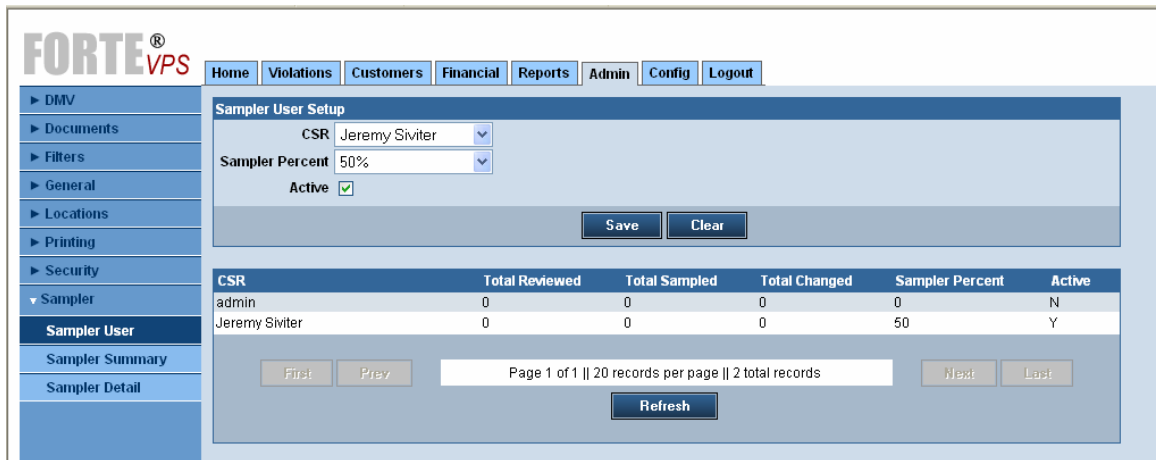
Figure 7.14 Sampler Queue Setup
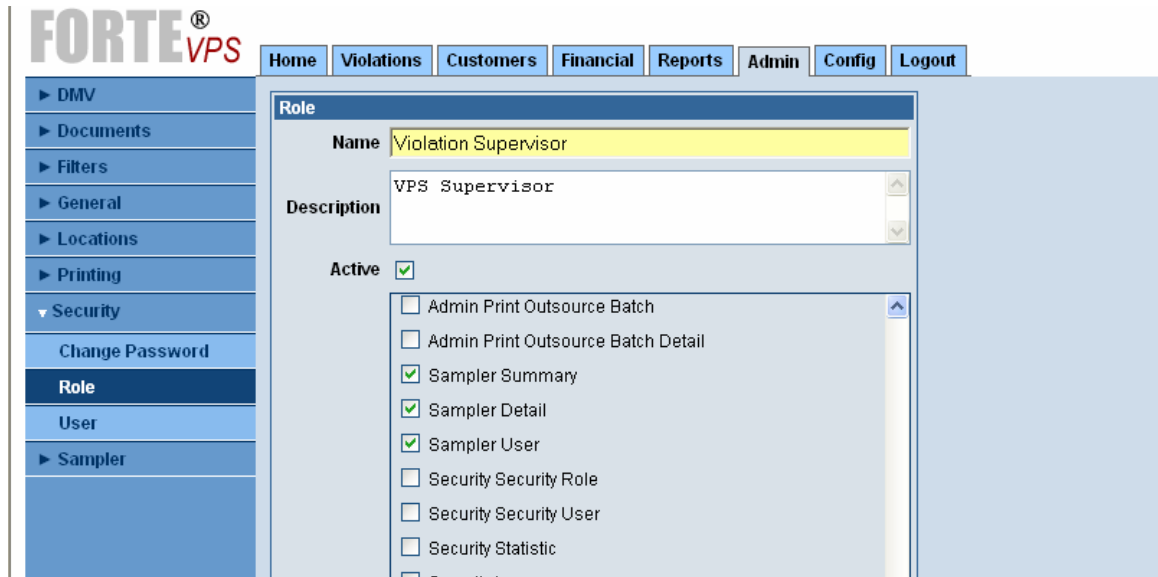
7.5.2. Setting up a CSR for Sampling

From the Admin tab in the main menu select Sampler User. Select the CSR from the pick list presented. The list will contain user names of all active users in the VPS. Then select a sample rate from the pick list. Select Save. Un-checking the "Active" box will stop sampling for that user. The screen will display all users and will show active on non active status (N=non active, Y=active). Please refer to the following figure.

Figure 7.15 CSR Sampling Setup

Now the user is set up to be sampled. As violation records are processed in the Plate ID Queue by the user. The sampler percentage will be passed back to the beginning of the queue. The records will be processed by the next person processing the queue. When the second user processes the sampled records the system will save the fist and second users' data entry information including:

- License Plate Characters Entered

- Jurisdiction Selected

- Plate Type Selected

- Accept or Reject
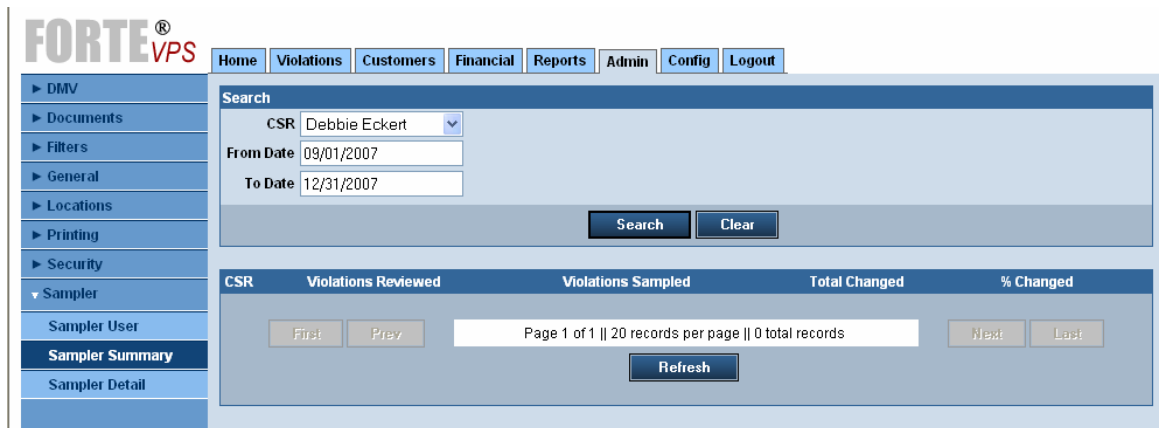
7.5.3.   Sampled Results

7.5.3.1.   Sampler Summary

By selecting the "Sampler Summary" link, a supervisor can retrieve and view sampler summary results for a particular user over a specified time period (see below). The supervisor first selects the user's name and then the date range. Results will be returned showing:

- Total Violations Reviewed

- Total Violations Sampled

- Total Changed

- Percent of records changed by the second reviewer

Figure 7.16 Sampler Summary

7.5.4. Sampler Detail

By selecting the "Sampler Detail" Link, a supervisor can retrieve and view sampler detailed results for a particular user and by a date range, as shown in the following figure.

Figure 7.17 Sampler Detail

The supervisor enters the user's name and date range then selects Search. The system will return detailed information for both the first and second reviews of each violation record sampled. The information returned includes:

- Changed ? Y or N

- Violation ID

- Plate characters entered by first and second user

- Jurisdiction entered by first and second user

- Plate type entered by first and second user

- Reject reason entered by first and second user

- User ID of first and second user

- Image # selected by first and second user

- Date record was sampled

8. DMV PROCESSING

Following the V-toll check by license plate, the VPS system prepares the violation records to send to the respective Department of Motor Vehicles (DMV). The file is sent to each DMV in accordance with that particular DMV's process requirements. The sending and receiving schedule of each DMV file runs overnight to let the operations staff work on returned records the next business day. Violation records are also sent to Law Enforcement Systems, Inc. (LES) to obtain Registered Owner of Vehicle information (ROV) for use in toll violations processing.

8.1. DMV Response Overview

After each DMV has processed the records sent from the CSC, they return the records to the VPS. The majority of returned records has license plate information matches and provides the corresponding registered owner's vehicle (ROV) information. The DMV returns several types of information related to the registered owner. Examples of this appear in Table 8.1. In the table, the "Field" column contains the description of the information type received; the "Length" column contains the maximum number of characters accepted, based on the information type; and the "Description" column contains the type of characters within the file.

Table 8.1 DMV Information

FIELD	LENGTH	DESCRIPTION
License Plate	10	Alphanumeric license plate number
License Plate State	2	State/province abbreviation, alphanumeric
License Plate Type	10	Alphanumeric (Note: some states don't support plate type, so this could be blank)
Last Name	100	Alphanumeric
First Name	100	Alphanumeric (note: blank if ROV is a corporation)
Middle Name	100	Alphanumeric
Address 1	100	Alphanumeric
Address 2	100	Alphanumeric
Address City	100	Alphanumeric

FIELD	LENGTH	DESCRIPTION
Address State	2	State/province abbreviation, alphanumeric
Address Zip	10	Alphanumeric zip code
Address Country	30	Alphanumeric
Owner Type	100	Alphanumeric (individual or corporate)
Lease / Rental Flag	10	Alphanumeric
Vehicle Make	30	Alphanumeric
Vehicle Model	30	Alphanumeric
Vehicle Year	4	4-digit year
Vehicle Color	30	Alphanumeric
Vehicle Registration Number	30	Alphanumeric
Registration Expiration Date	10	Alphanumeric
VIN*	30	Alphanumeric vehicle identification number
Drivers License Number*	30	Alphanumeric

Not all DMVs return all the information shown above.

When returned, this information appears in the appropriate fields in the VPS as shown in the following sections in this chapter.

8.1.1. Types of DMV Responses

When the DMV reviews the license plate information sent by the VPS, there is a possibility of several types of results returned. These include the following:

- Match the license plate information with a registered owner
- Provide multiple matches for the license plate type
- Have no match for the license plate owner

Table 8.2 shows the response type and the VPS process to address each response.

Table 8.2 DMV Responses and VPS Processes

RESPONSE	VPS PROCESS
ROV Match-New	New Violator
ROV Match	Final Image Review
Multiple ROV Matches	Plate Type Selection
No ROV Match	Plate Confirmation

The ROV Match-New and the regular ROV Match from

Table 8.2 sent from the DMV are the same. When the VPS system receives this information it makes a differentiation; Section **Error! Reference source not found.** explains this.

To understand when each action occurs, a flow chart of the activity appears in Figure 8.1. This illustrates the image process starting from receiving the violation from the lane through the process of printing of the notice. The details in green boxes refer to manual procedures that are the responsibility of the operations staff. These include plate identification in Section 7.2, plate type selection in Section **Error! Reference source not found.**, plate confirmation in Section **Error! Reference source not found.**; new violators in Section **Error! Reference source not found.**, supervisor review in Section **Error! Reference source not found.**, and final image review in Section **Error! Reference source not found.**.

Figure 8.1 Violation Activity Work Flow
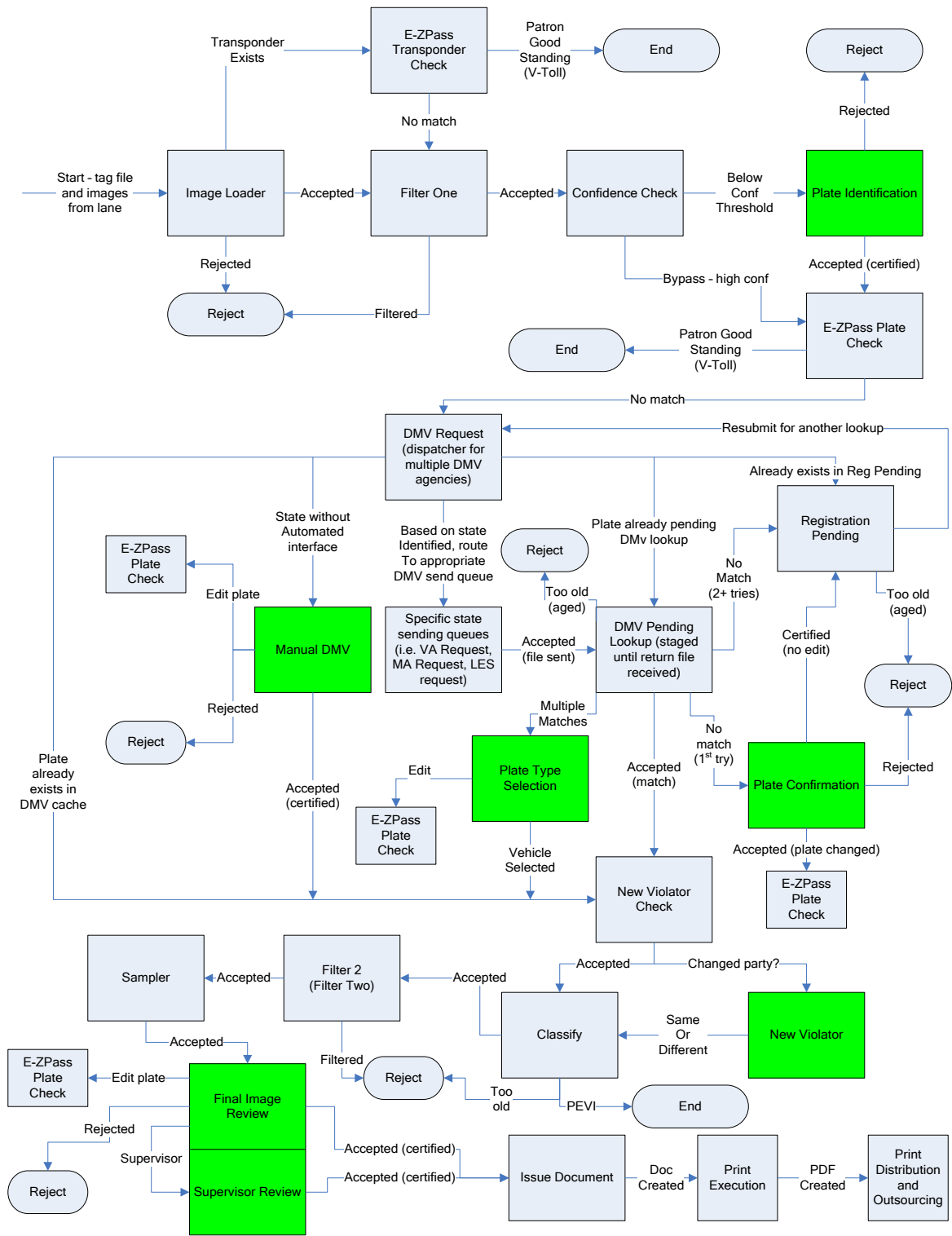
8.2. New vs. Previous Violators

When the DMV has returned the ROV information to the VPS, the ROV information and the violating license plate are checked against the exiting information in the DMV cache. The DMV cache lists all previous violators in the system.

If the VPS determines that the license plate is in the DMV cache but the ROV information does not match it exactly, it puts the violation event into the new violator queue for manual review. The new violator review determines if the violation should be associated with an existing party within the VPS, or whether a new party should be created using the new DMV information.

If the VPS evaluated the record and sees that it is a previous violator by finding it in the DMV cache, then the record advances to the next step and is ready for final image review. For more on final image review, refer to Section **Error! Reference source not found.**.

The same process occurs if the VPS recognizes a completely new violator; the information is added to the DMV cache and the violation goes to the final image review queue.

When a violator is identified as a new violator and placed in the new violator queue, these violation events appear in the **New Violator** screen. The **New Violator** screen (Figure 8.2) provides the user with the ROV information obtained from the DMV lookup, as well as a list of the existing VPS parties with the same plate information. The user reviews this information to determine if there are differences in the spelling of the names, or if the new name is a different person.

Figure 8.2 New Violator Screen
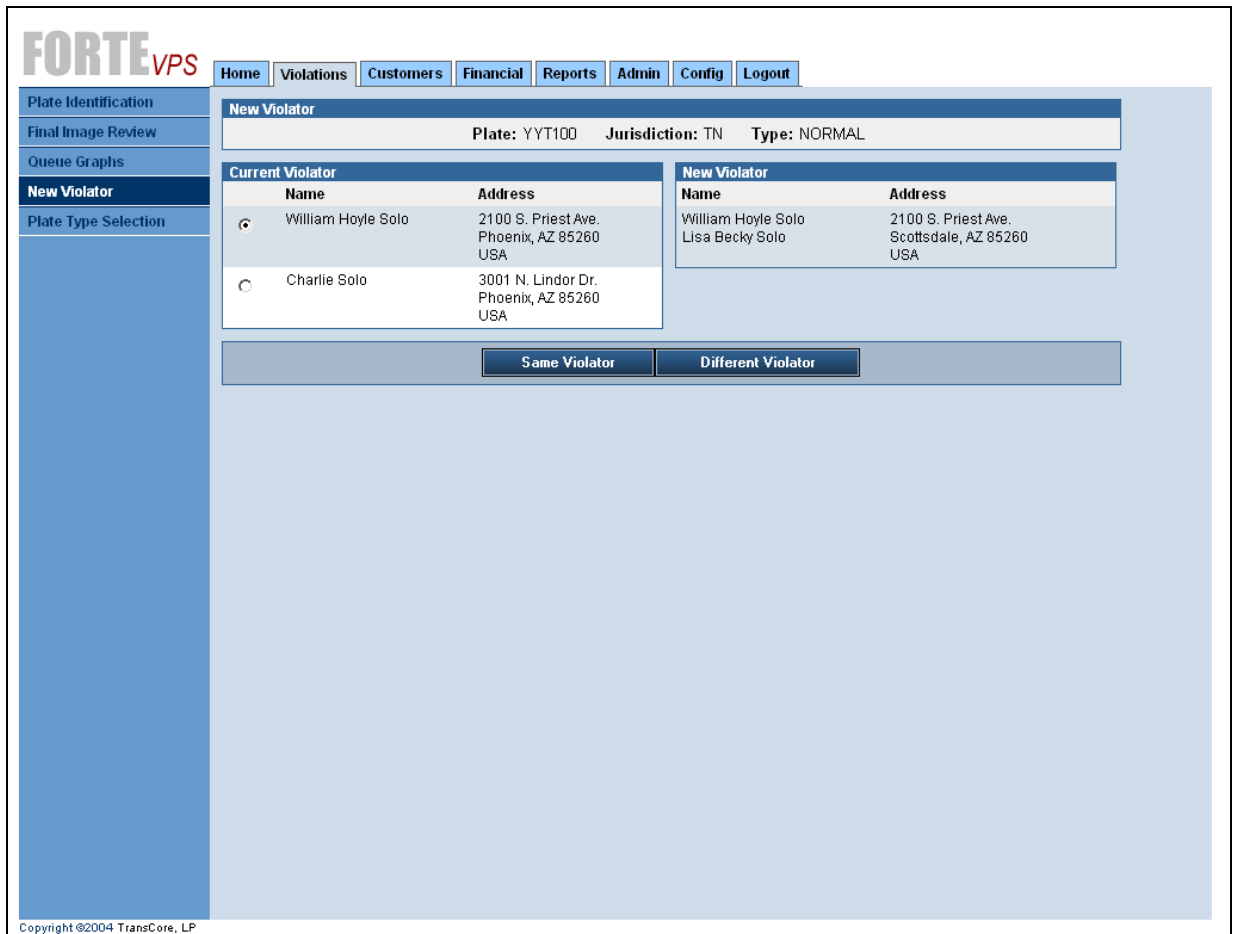
8.2.1. Processing Violators

1. Log on to the VPS (see Chapter 6).

2. Select the **Violations** tab from the main menu. See Figure 8.3.

Figure 8.3 Violations Tab
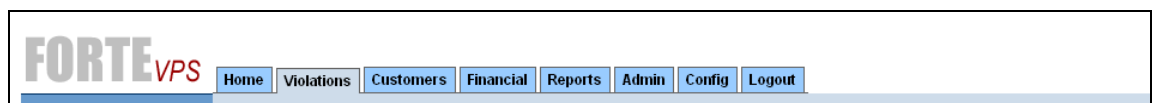
3. Select **New Violator** from the list on the left margin. See Figure 8.4. The screen populates the first record for review. The system provides the license plate, jurisdiction, and type. It shows the list of current violators on the left and the new violator on the right. See Figure 8.5.

Figure 8.4 Violations Tab- New Violator Option
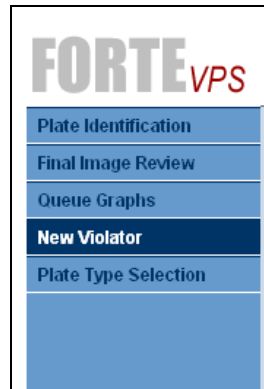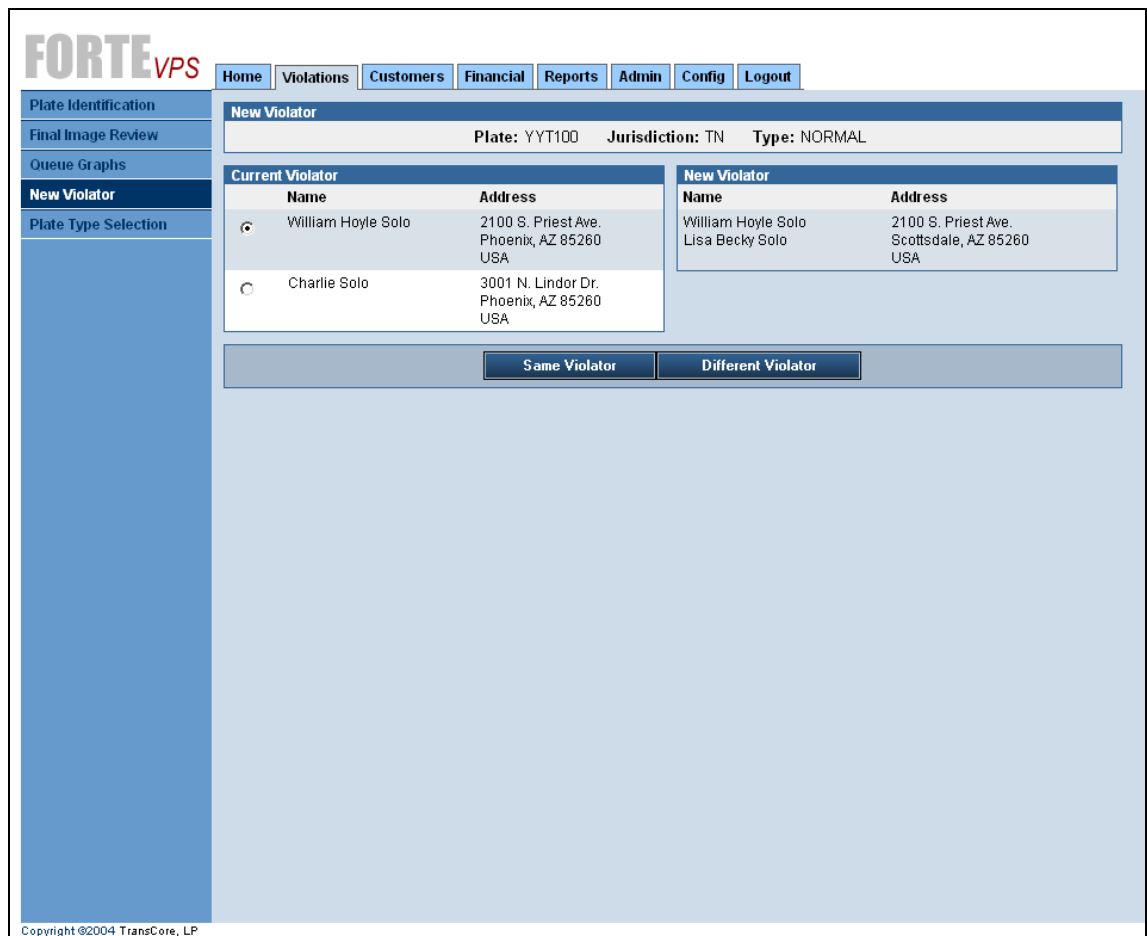
Figure 8.5 New Violator and Current Violator Screen

4. Click on the **Same Violator** button if the name listed under the current violator name and address is similar to the name that appears in new violator name and address.
5. The name and address information are updated in the DMV cache.
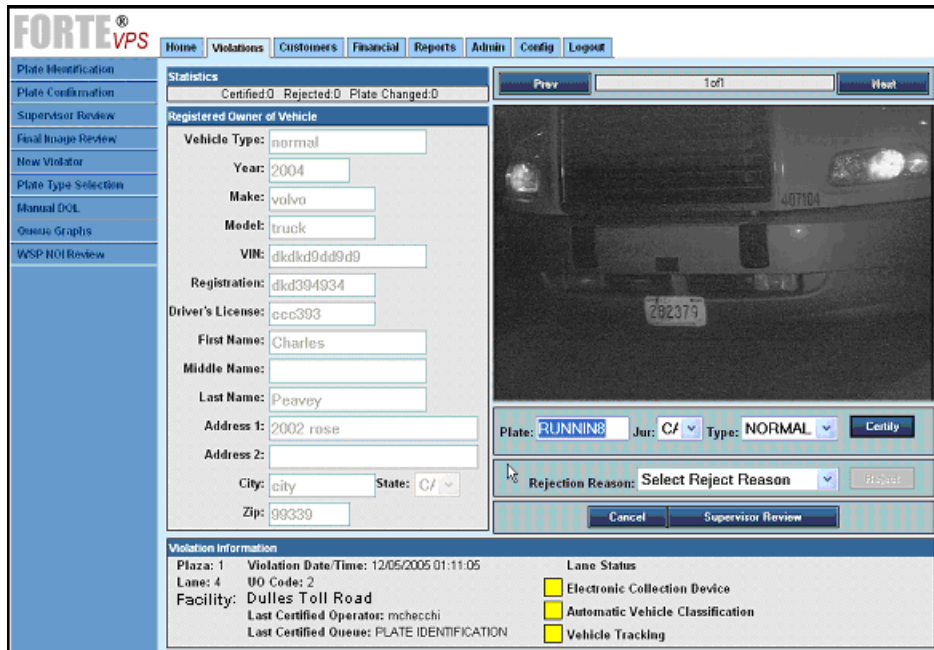
6. Click on the **Different Violator** button to create a new VPS party if the information is completely different; it usually indicates the sale of a vehicle. The DMV cache stores the new violator information for subsequent lookups on that plate.

7. After selecting either the **Same Violator** or **Different Violator** button, the record advances and the next new violator to review appears. Processed violations go through the next automated steps to go through final image review.

8. If the name or address is changed when processing Same Violator, it is updated in all existing violation records in the system with the same address. Examples include the following:

- **Same Violator**

  – First name, middle initial, last name match originally but the middle name is updated by spelling it out.

  – First name, middle name and address match originally, but last name may be different due to marriage or other name change.

- **Different Violator**

  – If in doubt, use different violator

  – One is a company and another is a personal name, select different party

8.3. Final Image Review

The majority of the violation records from the DMV flow directly to the final image review queue. Statistically, there are more license plates that match the initial query to their respective DMV. The exceptions to this include multiple responses to a single violation record and those returned as unknown. For this reason these scenarios are covered later in this document.

The final image review conducts a quality review of violation images and information before a Violation Notice is issued. The **Final Image Review** screen (Figure 8.6) allows the plate number, jurisdiction and plate type information to be edited; ROV information is read only. The lower section of the page contains violation information. The image(s) displayed at final image review were previously certified during the initial plate identification or plate confirmation review processes.

Figure 8.6 Final Image Review Screen

8.3.1. Final Review Processing

To process images for final review:

1. Log on to the VPS. (See Chapter 6).

2. Select the **Violations** tab from the main menu. See Figure 8.7.

Figure 8.7 Main Menu Violations Tab
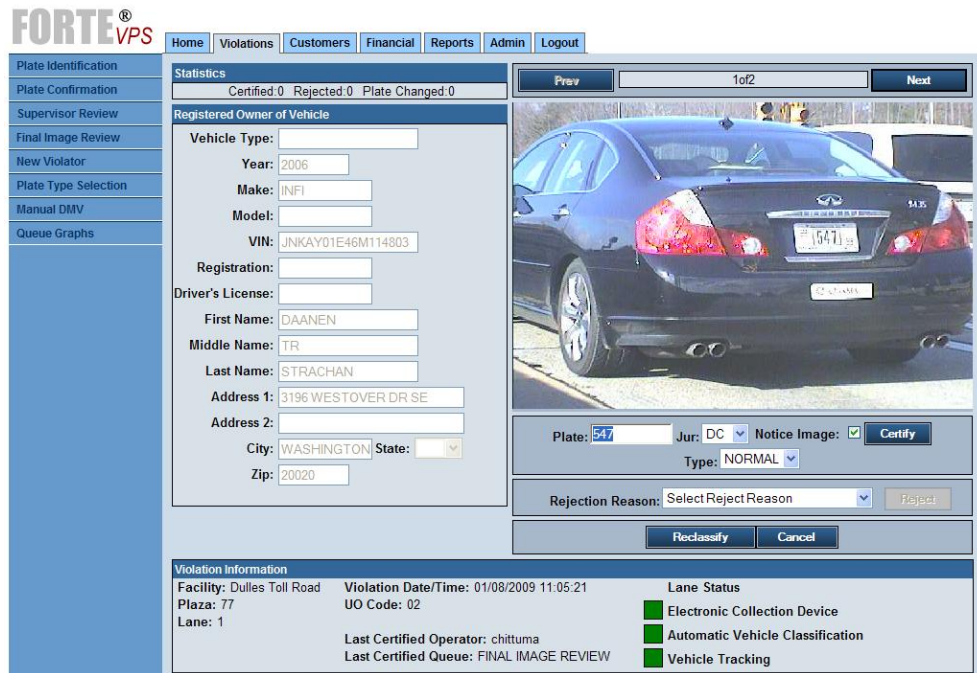
3. Select Final Image Review from the list on the left margin. See Figure 8.8.

Figure 8.8 Final Image Review Option
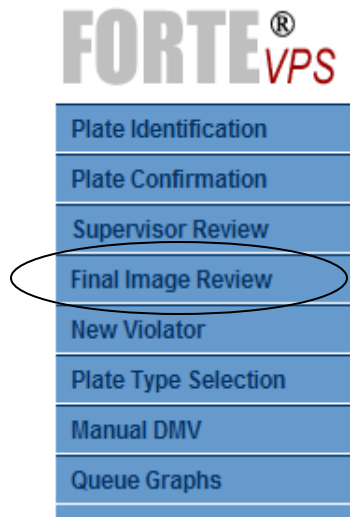
Note: *All violations associated with the toll violation notice to be certified, are grouped for Final Review.*

4. The screen populates the first record for review. The system provides the ROV information in read only fields on the left side. On the right, the first picture of the initial saved pictures is shown.

5. Scroll through the other pictures by using the scroll bar on top or use the **Prev** and **Next** buttons. See Figure 8.9.

6. You review several areas of the screen to ensure that the information is correct before making a decision. You must:

- Check the vehicle make and model (if possible) against the picture

- Check that the license plate information is entered correctly

- Check that the jurisdiction is correct

- Check the quality of the image

- Check the content of the image

- Check the Lane Status information

Figure 8.9 Final Image Review Screen

7. You must edit, certify, or reject each violation record in the group to move on to the next record. When the last record in the group is certified, the **Final Summary- Certified** window appears to confirm your choice. See Figure 8.10.

Figure 8.10 Final Summary Certified Screen

8. In the **Final Summary – Certified** window, you can view the number of violations certified, rejected or edited.
   - If you click **View Notice,** then a print preview version of the notice appears in PDF format. The notice shows all certified violations for this party in final image review for this notice. The notice does not have a document number at this time.
   - If you click the **Cancel** button, the screen returns to the same violation event in the **Final Image Review** screen.

- If you click the **Supervisor Review** button, the violation record goes to the supervisor review queue. See Section **Error! Reference source not found.** for more information on supervisor review.

9. Click the **Certify Notice** button on the **Final Summary- Certified** window to complete the final image review and create a notice. The violation notice goes to the printing queue and the screen advances to the next violation record.
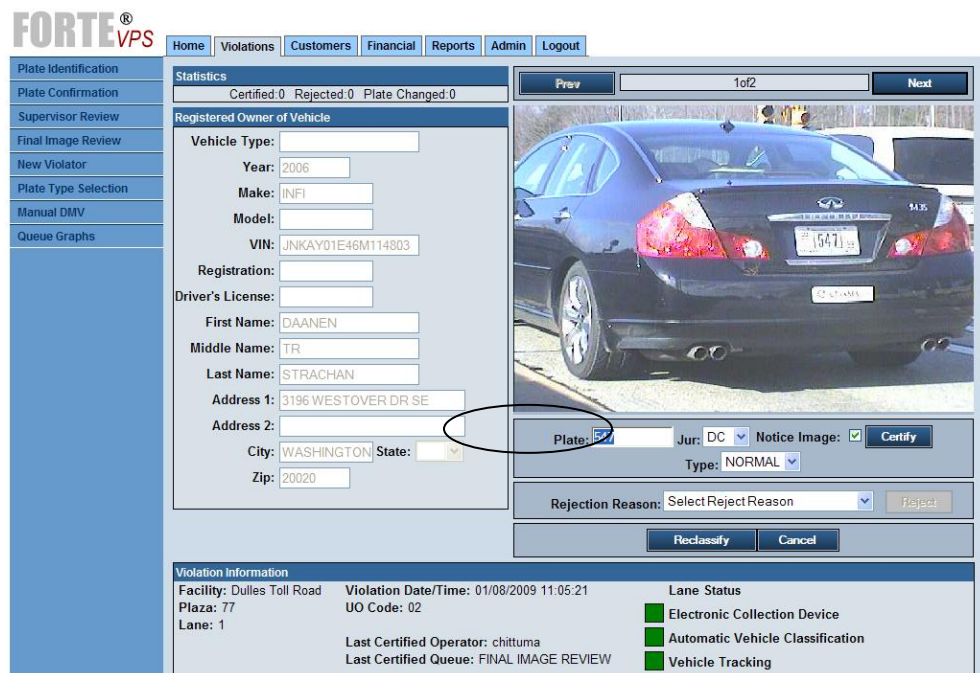
8.3.2. Editing the Plate Information

While processing the final image review queue, sometimes it is necessary to edit the license plate because it was identified incorrectly during an earlier part of the process either from the OCR or from another user during the first image review stage.

To edit the plate information:

1. Open the **Final Image Review** screen (see Section **Error! Reference source not found.**).

2. Click on the appropriate field for editing, such as the license plate field, if the license plate or jurisdiction needs to be changed. See Figure 8.11.

Figure 8.11 Final Image Review Edit Option

3. Highlight and type over the characters in the field and enter the correct license plate information.

4. After making the corrections, click the **Certify** button. The **Final Summary- Plate Edited** window appears. See Figure 8.12.

Figure 8.12 Final Summary Plate Edited Screen
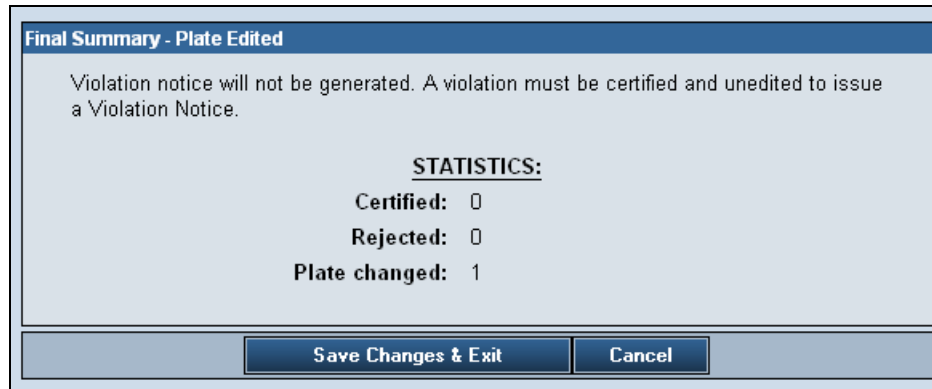
5. To save the corrections made, click on the **Save Changes & Exit** button. Clicking the **Save Changes & Exit** button disassociates the violation record with the violation notice and routes the violation record to the license plate V-toll check to try to match it to either a CSC customer or other E-ZPass customer.

6. To return to the **Final Image Review** screen, click the **Cancel** button.

8.3.3. Rejecting the Image

While processing the final image review queue, sometimes it is necessary to reject the image because it is of poor quality or because of a particular business rule.

Business Rules for Violation Notices

- Reject all violation records with Canadian or government license plates using the **Unenforceable Plate Jurisdiction** reject reason.

- Reject emergency vehicle records using the **Emergency Vehicle** reject reason

- Reject VDOT vehicle records using the **Unenforced Plate Jurisdiction** reject reason
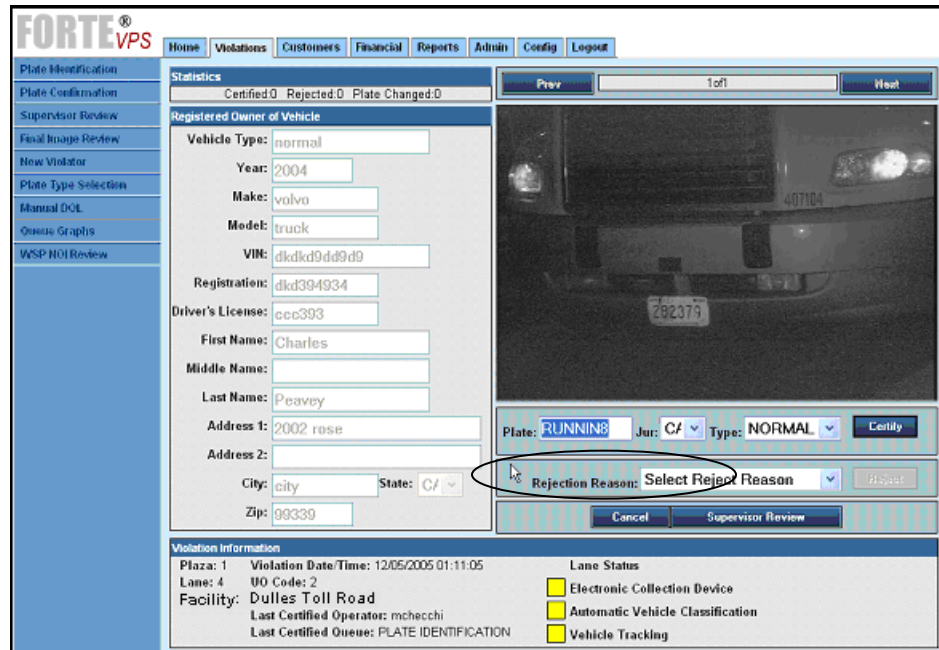
Table 8.3 Image Reject Reasons

REASON	DESCRIPTION
Plate Unreadable/Obstructed	Plate is dirty or is in poor condition, or a trailer hitch or other object obstructs the image.
No Plate/Temporary Plate	No plate is visible or there is a temporary plate on the vehicle.
Corrupt Image	Image is corrupted in some manner or merged with another image.
Bad Camera Aim	Camera aim prevents plate recognition.
Too Bright/Glare	The image is washed out, preventing plate recognition.
Too Dark	The image is too dark or shadowed, preventing plate recognition.
No Vehicle	There is no vehicle displayed.
Truck Trailer	There is a truck using the lane where only back camera is located
Unenforceable Plate Jurisdiction	US federal plate, non US or Canadian plate, VDOT vehicles
Emergency Vehicles	Any vehicle with a light bar, i.e. Police, Fire, Ambulance
Bad Lane Health	Lane status indicators are yellow or red
Bad Camera Focus	The image is not legible, unable to review.

To reject the image:

1. Open the **Final Image Review** screen (see Section **Error! Reference source not found.**).

2. Click on the drop-down list for the reject reasons if the image needs to be rejected. See Figure 8.13.

Figure 8.13 Final Image Review Reject Option

After selecting the appropriate reason, the **Reject** button is enabled.

3. Click on the **Reject** button; the **Final Summary- Rejected** window appears. See Figure 8.14.

Figure 8.14 Final Summary- Rejected Screen

4. To finalize the rejection, click on the **Reject** button in the **Final Summary- Rejected** window.

5. To return to the **Final Image Review** screen, click the **Cancel** button.
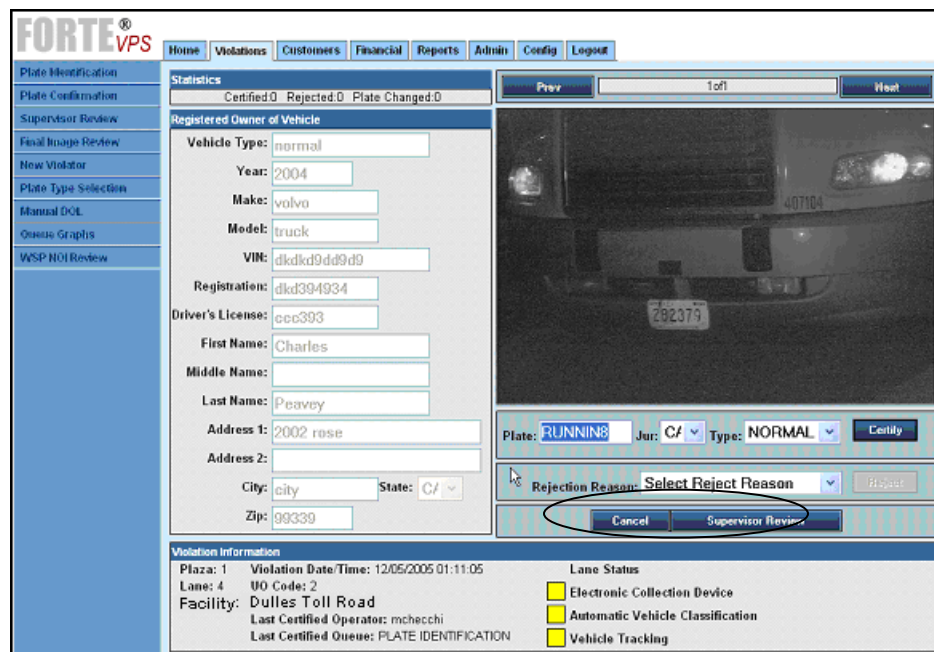
Clicking the **Reject** button rejects the violation event. The violation event information and the selected image are retained for audit and reporting purposes. The screen then advances to the next record.

8.3.4. Sending the image for Supervisor Review

While processing the final image review queue, sometimes it is necessary to forward images to a supervisor for review. This may occur because a staff member is unsure of certain license plate characteristics or the DMV information provided shows a discrepancy with the associated violation image. Prior to sending a record to supervisor review, the clerk must make a note of the plate number, plate type, jurisdiction, and the issue related to the violation record. This note must be given to the violation supervisor so that feedback to the clerk can be provided as to the disposition of the record sent. This is a manual process.

- **To send an image to the supervisor**

1. Open the **Final Image Review** screen (see Section **Error! Reference source not found.**).

2. Click on the **Supervisor Review** button if the image needs to be sent to the Supervisor. See Figure 8.15.

Figure 8.15 Supervisor Review Option

Clicking the **Supervisor Review** button routes the record to the supervisor review queue. If the license plate or jurisdiction had been changed prior to clicking the **Supervisor Review** button, the record is sent with the original information.

8.3.5. Sending Violation Records for Supervisor Sampling

The VPS has a configurable parameter that allows a set percentage of final review records to be automatically forwarded to the supervisor review queue. The percentage will be adjusted by the violations supervisor to monitor VPS staff data entry. The information obtained through this sampling exercise will be used as a training and performance monitoring tool.

8.4. Supervisor Review

The supervisor review queue enables a quality check of the violation data, images, and ROV information pertaining to a violation event. The **Supervisor Review** screen (Figure 8.16) allows the plate number, jurisdiction and plate type information to be edited; ROV information is read-only. The lower section of the page contains violation information. If there is more than one violation per document, this page only shows related violations for the facility associated with the triggering violation.

Figure 8.16 Supervisor Review Screen

8.4.1.   Processing Supervisor Review Images

- **To process Supervisor Review images**

1. Log on to the VPS. (For the Log on process see Chapter 6).

2. Select the **Violations** tab from the main menu. See Figure 8.17.

Figure 8.17 Main Menu- Violation Tab
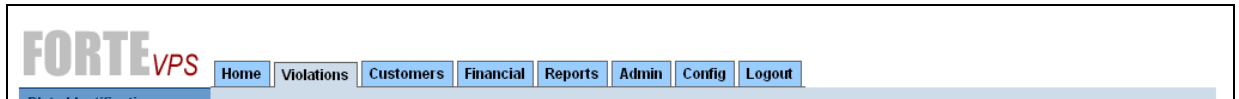
3. Select **Supervisor Review** from the list on the left margin.

Figure 8.18 Supervisor Review Option
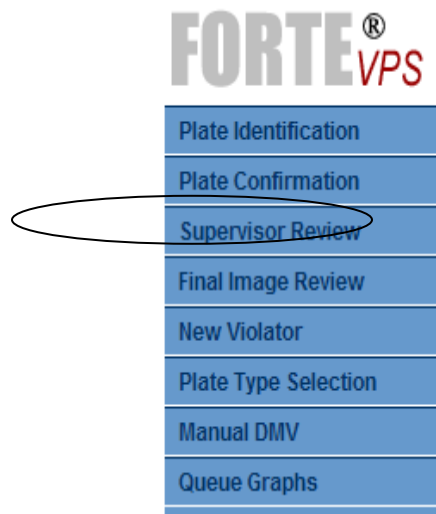
The screen populates the first record for review. The system provides the ROV information in read-only fields on the left side. On the right, the first image of the initial saved pictures appears.
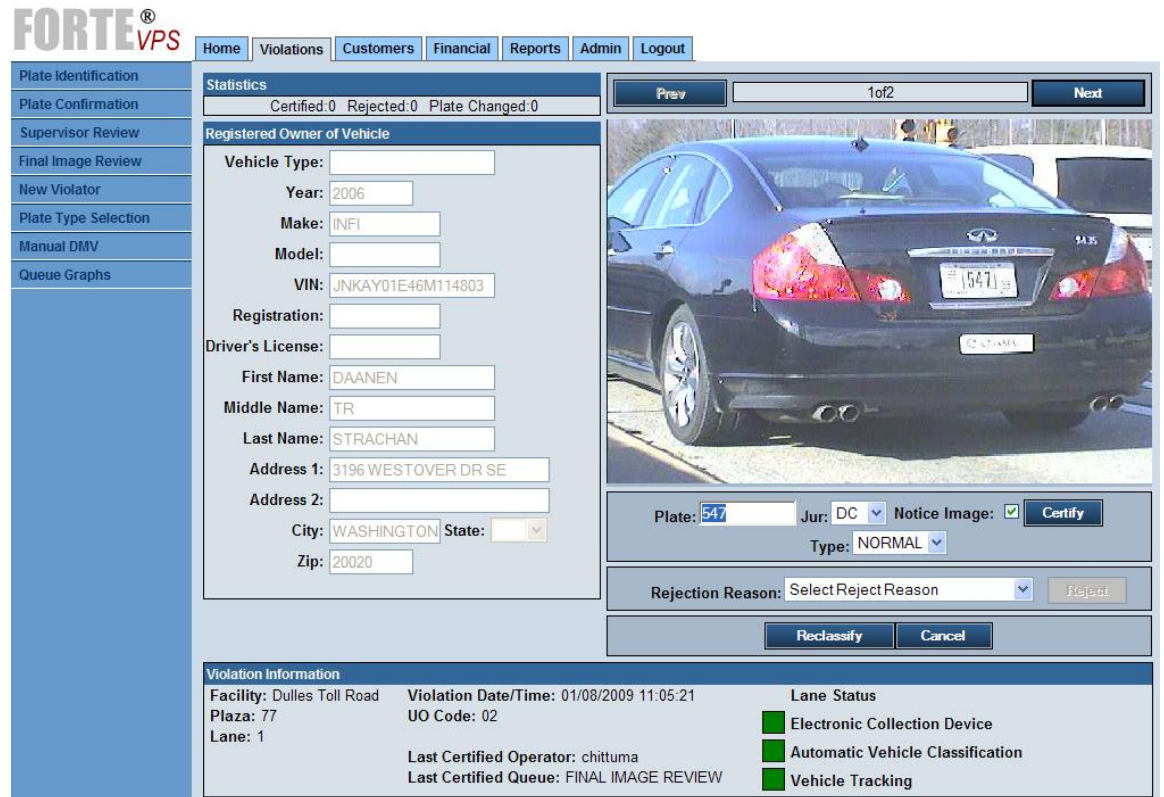
4. Scroll through the other pictures by using the scroll bar on top or use the **Prev** and **Next** buttons. See Figure 8.19.

It is assumed that because a supervisor primarily reviews this screen, he is well versed in the image review process. The user reviews several areas of the screen to ensure that the information is correct before making a decision. The user may:

- Check the vehicle make and model (if possible) against the picture

- Check that the license plate information is entered correctly

- Check that the jurisdiction is correct

- Check the quality of the image

- Check the content of the image

- Check the Lane Status information

Figure 8.19 Supervisor Review Screen

5. If all the criteria in Step 6 above are met, click the **Certify** button; the **Final Summary- Certified** window appears to confirm the user's choice. See Figure 8.20.

Figure 8.20 Final Summary Certified Screen

6. If the review criteria are not met, edit the image or reject the image. The process for editing or rejecting an image from the **Supervisor Review** screen is the same as that from the **Final Image Review** screen. These options are explained in **Error!**

Reference source not found., and **Error! Reference source not found.** respectively. The only exception is that in the **Final Summary** screens, there is not an option to route violations to the supervisor review queue.

The **Final Summary- Certified** window appears as in Figure 8.20.

    a. If the user clicks **View Notice,** a print preview version of the notice appears in PDF format. The notice does not have a number at this time.

    b. If the user clicks the **Cancel** button, the screen returns to the same violation event in the **Supervisor Review** screen.

7. To complete the supervisor review and create a notice, click the **Certify Notice** button on the **Final Summary- Certified** window. The violation goes to the printing queue and the screen advances to the next violation event for supervisor review.

8.5. Multiple Matches Returned

There are two scenarios that occur where the DMV may return multiple records for a violation event. These are

- If multiple ROV records are identified with the same license plate and type information

- Or, if multiple ROV records are identified with the same license plate but a different type

In these cases the violation event is passed to the **Plate Type Selection** queue. The purpose of the **Plate Type Selection** review is to determine which of the ROV information returned from the DMV corresponds to the violating vehicle.

The **Plate Type Selection Review** screen (Figure 8.21) contains the violation images, as well as a list of the ROV information obtained by the DMV lookup.

Figure 8.21 Plate Type Selection Screen
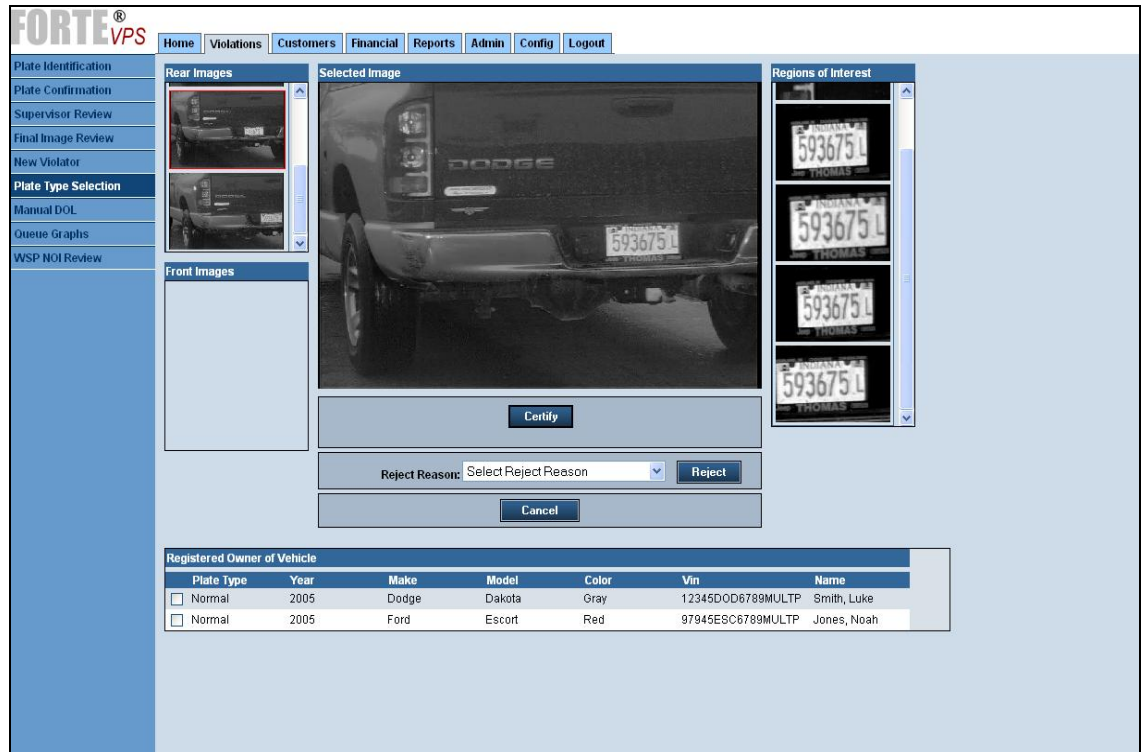
8.5.1. Multiple Matches Returned

To process multiple ROV returns:

1. Log on to the VPS. (For the Log on process see Chapter 6).

2. Select the **Violations** tab from the main menu. See Figure 8.22.

Figure 8.22 Main Menu Violations Tab
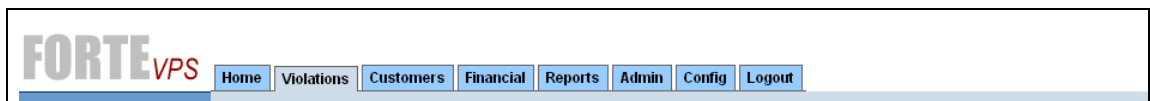
3. Select **Plate Type Selection** from the list on the left margin. See Figure 8.23.

Figure 8.23 Plate Type Selection Option
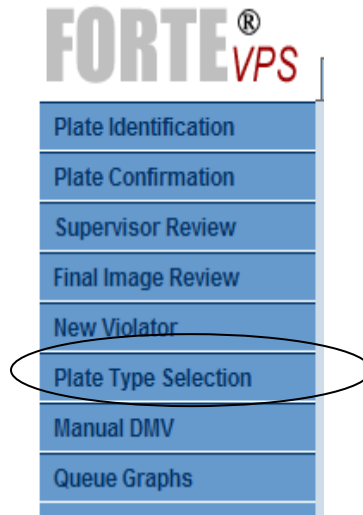
The screen populates the first record in queue for review. The user can review the images associated with the violations that were certified during the image review stage (by staff or from the OCR). The system provides the multiple ROV information returned window below the **Selected Image** pane. See Figure 8.24.

Figure 8.24 Multiple DMV Returns Screen

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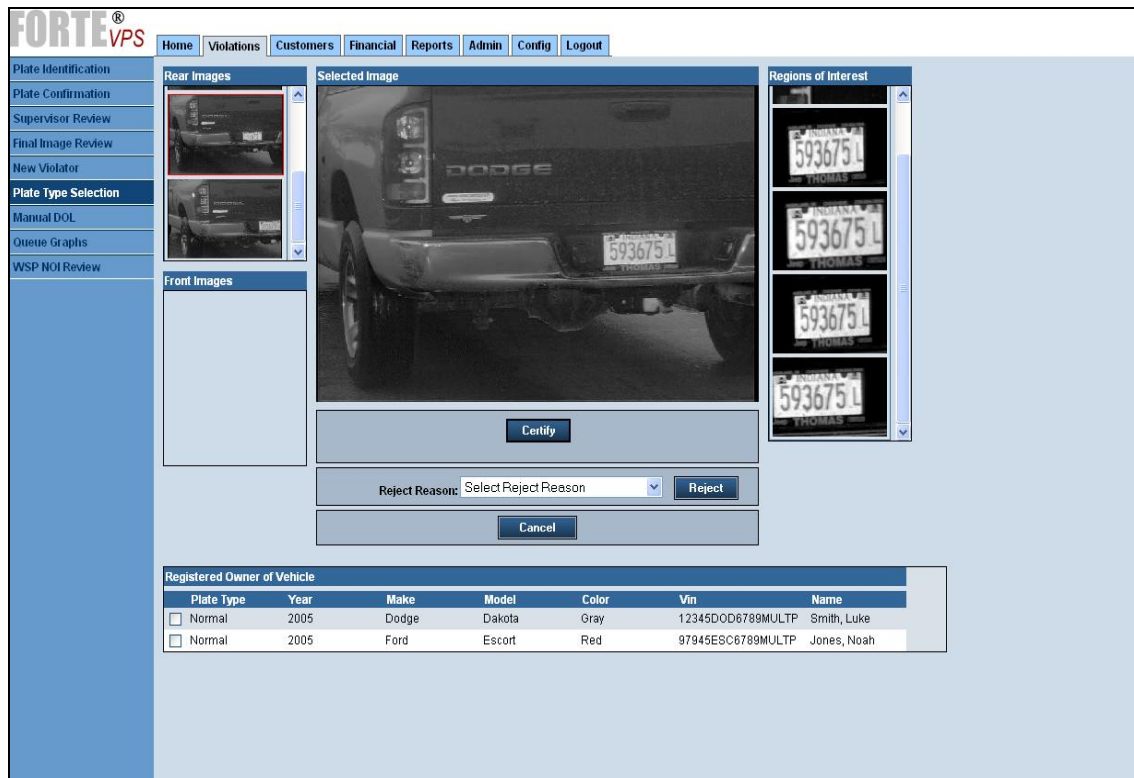
4. The user reviews the selected image with regard to the type of vehicle, make, model and year of the vehicle.

5. The user selects the corresponding ROV data from the **Registered Owner of Vehicle** list at the bottom of the screen and clicks **Certify**.

6. If none of the ROV information corresponds to the image, the user rejects the violation by selecting appropriate reject reason from the drop-down list and then clicking on the **Reject** button.

By selecting the **Certify** button in step 5, the violation record advances to the **New Violator Evaluation**. For more information on this, see **Error! Reference source not found.**.

By selecting to reject the violation in step 6, the violation is then rejected. The selected image is retained on the VPS image server and the violation event information is retained for audit and reporting purposes.

8.6. Unknown License Plates

If the initial DMV look up does not return any ROV information for a violation record, these events are routed to the plate confirmation queue. The purpose of the plate confirmation review is to confirm that the plate number, jurisdiction, and plate type were correctly identified during the OCR or plate identification phases of the VPS workflow.

The **Plate Confirmation** screen (Figure 8.25) provides the user an opportunity to review and/or correct the plate information, as well as to view the last certified operator who processed the violation event and
last certified queue if the event bypassed the license plate identification step due to the OCR confidence level settings.

Figure 8.25 Plate Confirmation Screen

8.6.1. Processing Plate Confirmation Records

To process plate confirmation records:

1. Log on to the VPS. (For the Log on process see Section 6).

2. Select the **Violations** tab from the main menu. See Figure 8.26.

Figure 8.26 Main Menu Violations Tab

3. Select **Plate Confirmation** from the list on the left margin. See Figure 8.27

Figure 8.27 Plate Confirmation Option

The screen populates the first record for review.

4. Check the quality of the vehicle image; if desired, choose another image from the **Front Images** or **Rear Images** as the **Selected Image**. See Figure 8.28.

Figure 8.28 Plate Confirmation Screen

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5. Verify that the data, including plate number, jurisdiction, and plate type, are correct. If needed, highlight the **Plate** field and type the correcting characters into it to edit the license plate information.

6. To save the changes to the record, click the **Certify** button.
   If the plate, jurisdiction, or plate type information is edited and you click the **Certify** button, the violation event is sent to the E-ZPass Virginia and E-ZPass database as a plate lookup where each violation is evaluated and processed according to the V-toll process. If no match is found, the violation is routed to the DMV lookup to obtain ROV information.

7. If the image appears correct, click **Certify** without making any edits. If no edits are applied, the violation is rerouted to the registration pending queue for another potential DMV lookup.

8. If the image is unacceptable, select a rejection reason from the drop-down list and click the **Reject** button.

8.6.2. Registration Pending Queue

The registration pending queue is a status for violation records waiting on ROV information. The difference between this and the DMV pending status is that those records in the registration pending have already been sent once and no ROV match was made.

If no match is found on the first attempt, the violation is routed to the plate confirmation queue, as discussed in Section 8.6.1. If no match is found on subsequent lookup attempts, the violation is routed to the registration pending queue where it is automatically retried a specified number of times, the number of which is configurable through system parameters. Once the maximum number of lookups has been made on the plate and no match obtained, the violation is routed to the reject queue and the reason is indicated as "No DMV Match" or equivalent.

8.7. Violation Notices

Every day, the operations staff in the Production department is responsible for monitoring the creation and distribution of the violation notices. This is done through oversight of the VPS Print Distribution system.

The VPS Print Distribution system (Figure 8.29) facilitates creating documents (violation notices, summons, dispute acceptance/rejection letters, or general correspondence), associating one or more violations to a document, adding fines/fees to a document, batching, PDF generation, distributing for in-house printing, or electronically transmitting to a print outsource vendor.

Figure 8.29 Print Distribution Work Flow
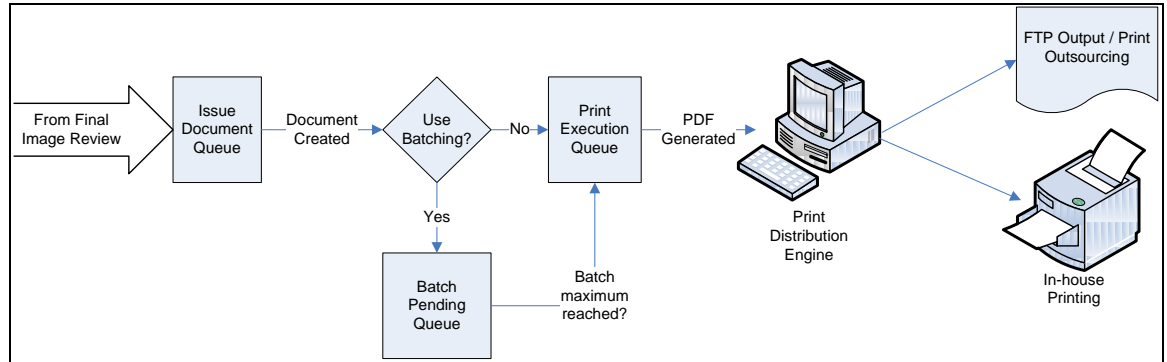
All violation notices will be printed and mailed by the third party vendor, Questmark. This company receives the violation notice information on a daily basis in PDF format. They print and mail each notice. While processing these, they scan the barcode of each to ensure that all are mailed. After scanning these documents, the information is sent back to the VPS in an acknowledgement file and the status of the violation events is changed to mailed. In cooperation with the Production department staff, the system administrator ensures that this process is completed and any unusual occurrences are addressed.

Figure 8.30   illustrates the types of violation notices and the actions that precipitate the notices being generated. The first processed toll violation is forgiven but the license plate number is kept on file for the next year. A second toll violation within 365 days of the first violation generates a toll violation notice. Failure to pay the violation within a configurable number of days causes a second notice to generate and, if left unresolved, can ultimately result in a court summons for the violator. Figure 8.30   also describes business rules related to various notice levels.

Figure 8.30 Violation Notice Generation Flow

Document	Potentially Enforceable Violation (NO ACTION)	Toll Violation Notice Toll Violation Notice Customer	Second Final Notice Second Final Notice Customer	Qualifies for Summons	Summons
Violation Status	PEVI	CHARGED	CHARGED	CHARGED	CHARGED/Flagged
Progressive Enforcement Rule	Only one violation per facility per party exists Sent to reject queue after 365 days	Second and subsequent violations on same day for the first TVN	30 days after issue date of TVN or TVNC violations violations are unresolved	14 days after issue date of SFN or SFNC violations unresolved	Court has determined that a summons will be sent
Action	No action taken	TVN or TVNC sent. $25 document admin fee and all tolls due. First mailing may be for more than on day if the triggering event was for another day.	SFN or SFNC sent for all open violations. All tolls and $25 per violation admin fee due.	Party has qualified for a summons. Evidence package is generated	Summons is sent, Hearing is schedule and Evidence package is printed
Payment Accepted	Violation Payment put in filter and violation record dismissed if posted prior to being loaded	Yes	Yes	Yes	No
Appeal Accepted	No	Yes	Yes	Yes	No

9.   MAIL PROCESSING

Mail processing includes receiving and sorting incoming correspondence and distributing violations to be printed.

9.1. Incoming Correspondence

Mailroom staff picks up violation mail daily. When necessary, production staff signs for any certified or express mail deliveries.

In addition to dealing with the mail delivery, the production staff receives faxes. A fax number is provided on the violation notice for violators to use. The fax machine is located in the E-ZPass Virginia Customer Service Center (CSC) close to the Mail Department to let the production staff retrieve faxed correspondence easily and in a timely manner.

9.1.1.   Sorting Incoming Mail

The production staff sorts and logs all correspondence that arrives at the CSC from the United States Postal Service (USPS). The production staff logs information for the violation-related correspondence on the Daily Incoming Mail Log that is also used for

customer service-related mail. This procedure captures the total volume of mail processed on a daily basis. Mailroom staff will date-stamp all correspondence with the date it was delivered to the CSC or picked up at the Post Office by mail room staff. The production manager monitors the volume by reviewing the forms and uses the data for tracking and reporting purposes to the operations manager.

To sort and log violations-related correspondence:

1. Sort violation correspondence by type.

   A person who was issued a violation may return various types of correspondence. These include the following:

   - Single or multiple violation disputes
   - Dispute and a payment of the same violation
   - Violation payment for one or more violations
   - Complaint letters

2. Sort all violation disputes received in the mail into two categories. These categories include the following:
   - Category A: Appeals
   - Category B: Returned mail
   -
   These are then counted and logged. This process is explained in detail in Section **Error! Reference source not found.**.

3. All received payments are sorted, counted, and forwarded to the Accounting Department. This process is   further explained in Section **Error! Reference source not found.**.

9.1.2.   Processing Returned Mail

The VPC staff processes violation mail returned to the CSC usually after all other mail has been accounted for and forwarded to the appropriate department. There are typically two kinds of returned mail—those with a forwarding address and those without one.

Processing mail returned without a forwarding address is covered in Section **Error! Reference source not found.**.

Per VDOT's defined business rules, the production staff can change the addressee information on a violation and re-send the violation to the new address.

The violation processing center (VPC) staff will scan and link to the violation record, all return mail envelopes with forwarding addresses. For a full description of the scanning process, refer to section 10.3.

To change the address information:

1. Log on to the VPS. See Chapter 6.

2. Select the **Customers** tab from the main menu. See Figure 9.1.

Figure 9.1 Customers Tab
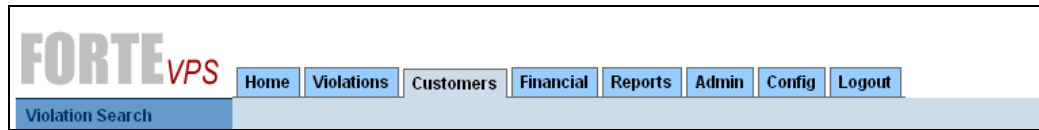
3. Then the user selects **Document Returns** from the list on the left margin. See Figure 9.2.

Figure 9.2 Document Returns Window
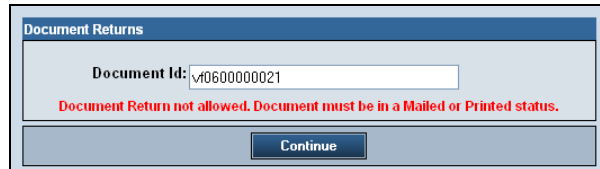
4. The **Document ID** window opens. See Figure 9.3. Enter the document ID into the field. The document ID can be found on the violation notice.

Figure 9.3 Document ID
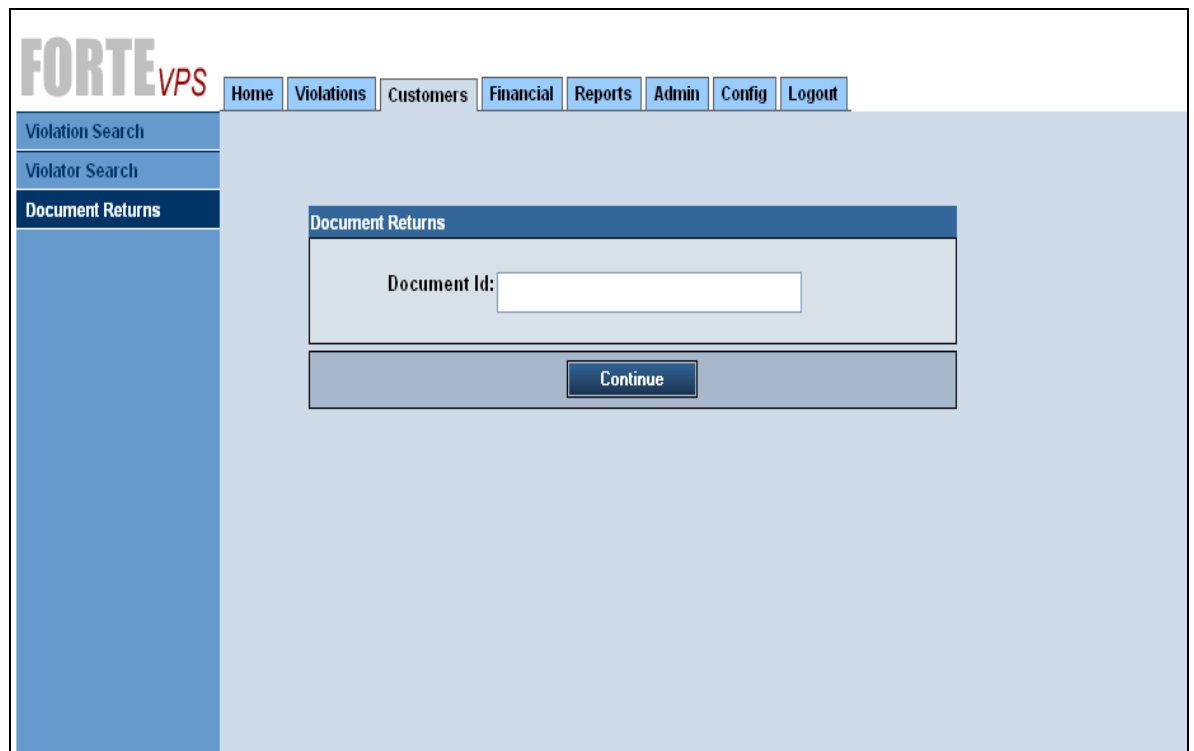
If the document has been paid in full, partially paid, or dismissed, the document return feature is disabled and an appropriate message appears. If the message in Figure 9.4 occurs, forward this record to the violation supervisor for further processing.

Figure 9.4 Document Return Not Allowed

5. Click the **Continue** button. The system searches for that document record and the results appear. See Figure 9.5.

Figure 9.5 Document ID Record, Part 1

The document mailing address is the address to which the notice was initially mailed. The current violator address is the current address associated with the violator. These are typically the same, but may be different if the violator's address was updated at the DMV after a notice was sent. The last update date of each address is recorded in the system.

6. Click the **New Address** checkbox to change the address; the system advances to the **Document ID Record, Part 2** screen. See Figure 9.6.

Figure 9.6 Document ID Record, Part 2

7. Enter the new address information into the appropriate fields.
   a. If you click on **Save Address with no Reissue**, the new address information is stored and no new document is created.
   b. If you click the **Cancel** button, no updates are saved and the system returns to the previous screen.

8. Click on the **Reissue to New Address** button to create a new notice with the changed address information. This closes the current document. The system also starts a new escalation calendar based on the issue date of the new document.

9.1.3.   Entering a Violation Note

To create a violation note for document returns

1. Log in to the VPS (see Chapter 6).

2. Select the **Customers** tab from the main menu as in Figure 9.7.

Figure 9.7 Customers Tab
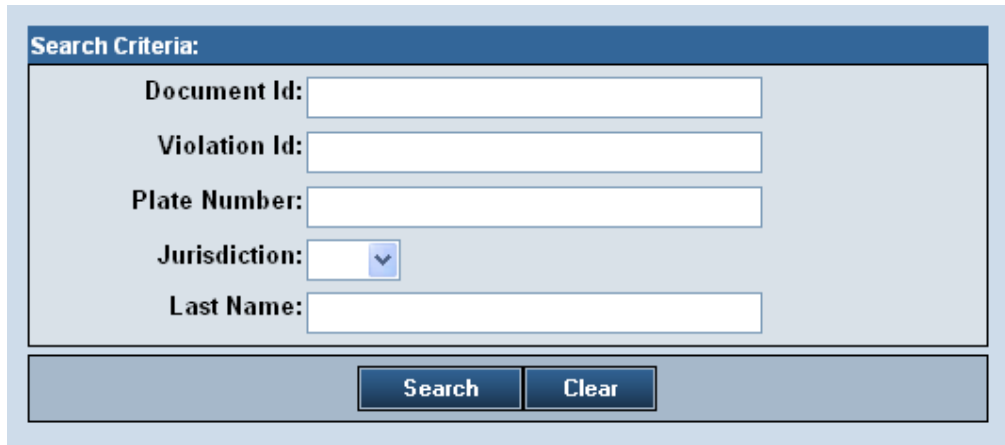
3. Select **Violator Search** from the list on the left. See Figure 9.8. The **Violator Criteria** screen (Figure 9.9) appears.

Figure 9.8 VPS Violator Search

Figure 9.9 Violator Search Criteria

4. Enter the document information and click the **Search** button. The system returns the violation record based upon the search criteria. See Figure 9.10.

Figure 9.10 Violation Record

5. Click on the name of the violator and the violation record appears Figure 9.11.

Figure 9.11 Violator Search Screen

6. Click the **Notes** button.

7. Click the **Add** button on the **Notes** screen (Figure 9.12).

Figure 9.12 VPS Notes Screen
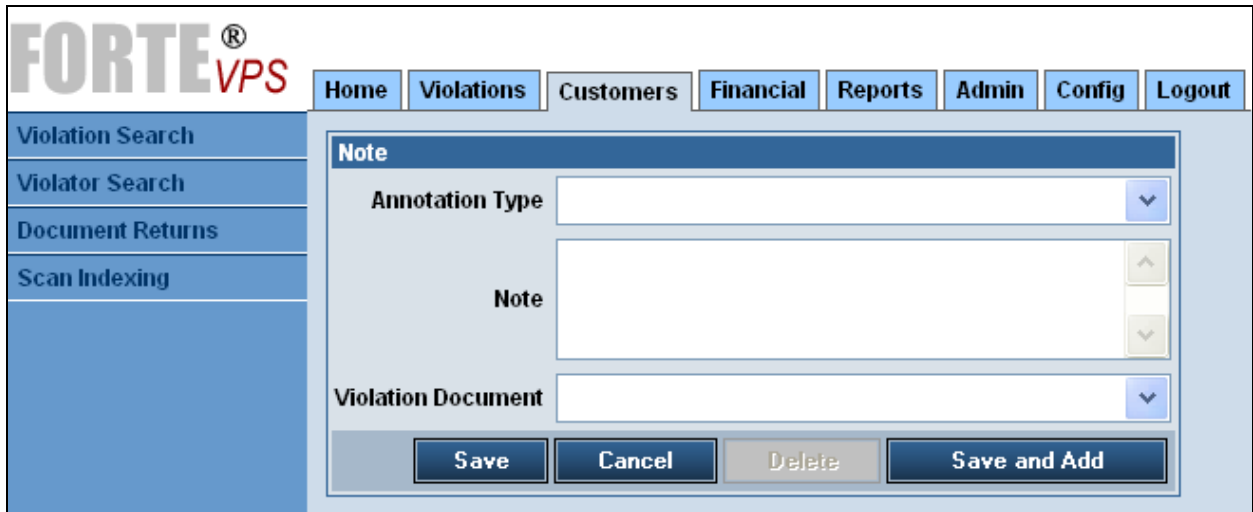
8. Select the **Annotation Type** from the drop-down list.

9. Enter a comment about the violation being returned in the mail with no forwarding address. See Figure 9.13.

Figure 9.13 Violation Search Drop-Down List

Note: The **Violation Search** screens contain many levels of functionality covered in Chapter 12.

9.1.3.1. Voiding the Violation with No Forwarding Address

To process the violation notice that is not being pursued because a valid forwarding address is not available:

1. Log on to the VPS (see Chapter 6).

2. Select the **Customers** tab from the main menu. See Figure 9.14.

Figure 9.14 Customers Tab

3. Select **Document Returns** from the list on the left margin. See Figure 9.15.

Figure 9.15 Document Returns

4. The **Document ID** window opens. See Figure 9.16. Enter the document ID into the field. The document ID can be found on the violation notice.

Figure 9.16 Document ID Screen
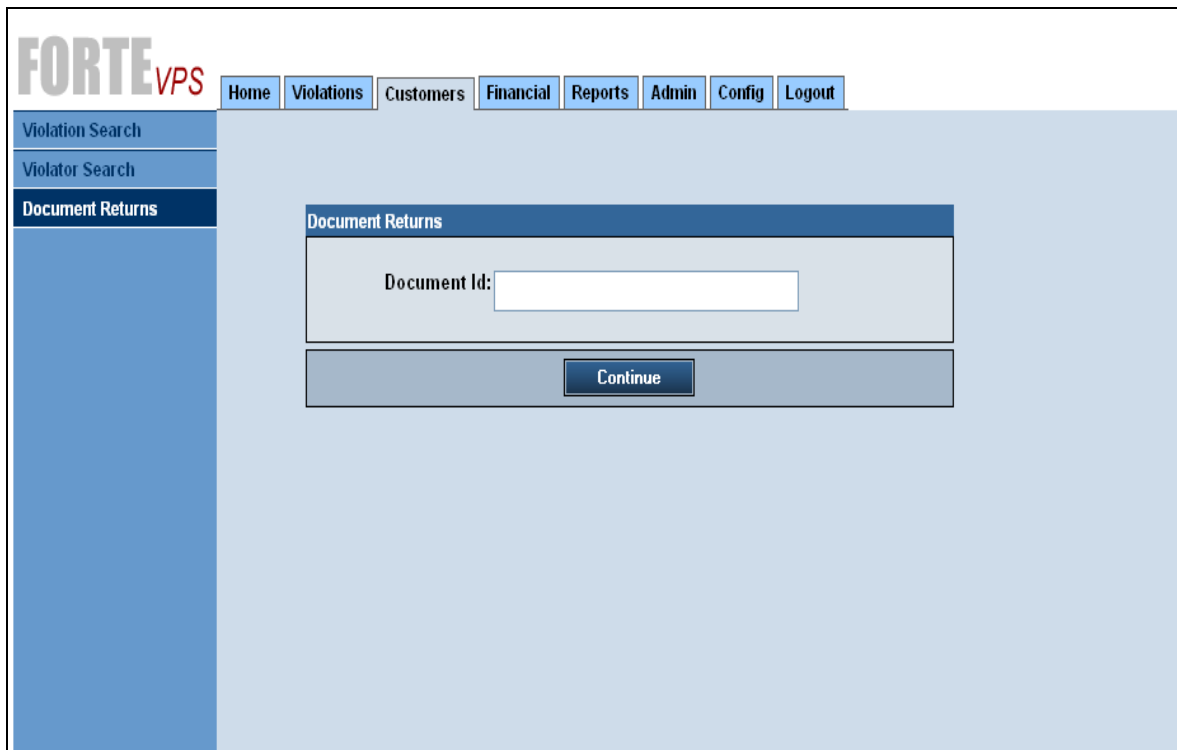
5. Click the **Continue** button. The system searches for that document record and the results appear. See Figure 9.17.

Figure 9.17 Document Returns Screen

6. Click on the **Returned-No Forwarding Address** button. The document status changes to Closed/Unenforced. The initial document return screen then appears to the user.

9.1.4. Entering a Violation Note

This section describes the types and procedures for processing violation dispute mail. With the exception of disputes made by E-ZPass Virginia customers via phone or Web, all dispute mail must be scanned and linked to the appropriate violation record.

9.1.4.1. Single Violation Disputes

The production staff reviews incoming disputes to determine if the violator is contesting one or more violations, as indicated on the violation dispute form. If the violator is only disputing a single violation notice, the staff places it into one of the following major categories based on the type of the dispute. The list below helps the production staff select the correct category.

Category A—E-ZPass customer in good standing:

- CSC account holder

- Other E-ZPass agency account holder

Category B—identified driver:

- Rental or leased vehicle

- Sold vehicle

- Stolen vehicle

- Claim of incorrect plate/vehicle type

Category C—Ad hoc disputes (must be accompanied with a toll authority directive)

- Medical emergency

- Collision avoidance

- Death, divorce, bankruptcy

- Claim of inadvertent violation

- VDOT directive

9.1.4.2.   SINGLE VIOLATION NOTICE, MULTIPLE DISPUTES

Occasionally, a violator may have multiple violations for the same vehicle. The violator may also want to dispute all the violations associated with his license plate at the same time. In this case, the production staff receives correspondence with more than one violation number written on the dispute form.

To process single violation notice with multiple disputes:

1. Review the dispute form to determine how many violations the violator is attempting to dispute. Write the number on the top right corner of the dispute form and circle the number. This helps ensure that the proper number of copies is made.

2. If the violator has enclosed a copy of his account statement or other documentation along with the dispute form, this is also copied for each dispute number documented.

a. After the corresponding statements have been copied, the disputes are listed for the single violation disputes in Section **Error! Reference source not found.**.

9.1.4.3.   PAYMENT AND DISPUTE OF THE SAME VIOLATION

The production staff may also receive a violation response that includes a dispute request and payment.

Although a payment has been submitted, the dispute is also processed.

To process a dispute with an accompanying payment:

1. Check the payment carefully and ensure that it is for the violation notice and not for customer account replenishment.

2. If the payment is for the violation, copy the violation dispute and the payment. If the payment is for an account, skip to Step 5.

3. The copy of the violation dispute and the payment will be sorted and counted with the other disputes. Black out any credit card information, if applicable. This copy is then sorted as a single violation dispute as in Section **Error! Reference source not found.**.

4. Attach the payment to the dispute form and secure all of the documents together. The payment is then recorded on the Daily Incoming Control Log and forwarded with the other payments to the Finance Department.

5. If the payment is for the replenishment of a CSC account, record the payment on the Payment Control Log with the customer service-related correspondence and forwarded to the Accounting Department for processing.

9.1.5. Violation Payment Mail

This section describes recording violation payments received through the mail.

To process each type of incoming mail payments:

1. If there is one payment in an envelope received without additional documents, then date stamp the payment and place the payment back in the envelope in which it arrived. For the appropriate payment type see below:

   - Check payments: Paperclip the check and contents from the envelope and date stamp. (The envelope is discarded.)

   - Credit card payments: Paperclip the contents in envelope and date stamp. (The envelope is discarded.)

   - Cash payments: All cash payments are entered on the Daily Incoming Mail Log, including the name of the sender and the dollar amount..

   - Money orders: When money orders are received, they are treated the same as checks; paperclip the money order and the contents and date stamp. (The envelope is discarded.).

2. If there are multiple payments without additional documentation, date-stamp each payment, place them back in the envelope, and forward to the Finance Department.

3. If payments arrive with additional documents, and if the documentation is not related to a violation dispute, no additional action is necessary. Place the documents back in the envelope and record the payment information on the front. Send the documents to the Finance Department where they will determine the necessity of retaining these documents.

4. If payments arrive with violation appeals, follow the instructions in Section **Error! Reference source not found.**.

5. After opening, date stamping, and sorting the payments by type, the production staff then counts and logs all of the payment information on the Daily Incoming Mail Log.

6. Record the payment quantities by type on the Daily Incoming Mail Log.

7. The production staff retains the log for research and audit purposes.

9.1.6. Complaint Mail

Occasionally, the public sends a complaint letter to the CSC to comment on an experience with getting a violation. When this occurs, forward the letters to the appropriate supervisor who will evaluate the level of the complaint and then determine the necessary action based on the information provided in the complaint. The CSC manager is made aware of any complaint letters with which the supervisor needs assistance in finding a resolution.

9.1.7. Processing Incoming Faxes

Faxes can be received at the CSC 24 hours a day. Therefore, the production staff pays special attention to the date and time stamp provided by the fax machine when the document arrives.

To process faxes:

1. Retrieve the faxed documents from the fax machine at the beginning of the workday. Faxes are also retrieved throughout the day.

2. Record the faxed information on the Incoming Fax Log immediately upon receipt.

3. Sort the papers into the following categories:

   - Disputes

   - Payments

   - Administration

Note: *Administration is considered a fax addressed to a specific staff member.*

4. Date stamp the disputes with the current date, *unless* it is apparent that the fax was received overnight, in which case write the appropriate date and initial it.

5. For faxed disputes, follow the procedure used for single and multiple mailed disputes as described in Sections **Error! Reference source not found.** and **Error! Reference source not found.**, respectively.

6. Date stamp the payments (only credit card) with the current date, *unless* it is apparent that the fax was received overnight in which case write the appropriate date and initial it.

7. For faxed payments, follow the same procedure used for mailed payments in Section **Error! Reference source not found.**. These payments are also counted on the Payment Control Log and signed off on when received by the Accounting Department.

8. When all of the faxed correspondence is stamped and sorted, the quantities of each category are recorded on the Daily Incoming Mail Log.

9.1.8. Processing Incoming Faxes

After all of the incoming mail and faxes have been sorted into the dispute categories (A, B, and C), payments, and returned mail, the production staff counts the correspondence

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for each group by the quantity in each category. This information is then entered into the Daily Incoming Mail Log.

9.2. Processing Outgoing Mail

There are several types of outgoing mail that the operation handles. These include:

- Violation notices

- Dispute resolution letters

- Violation payment correspondence

- Administrative mail

- Transponders and their contents

The operation plans to use a third party vendor to print, post, and mail the violation notices and the dispute resolution letters. It is the production staff member's responsibility to monitor the sending of the daily file and receipt of the daily confirmation. The VPS print distribution process is described in Section 8.8. If the vendor has a problem and cannot print the documents, the operation is prepared to support this function for a limited time until the problem is resolved.

For the other two groups of mailings—violation payment correspondence and administrative mail—these are accounted for and mailed with the use of the postage machine.

9.2.1. Processing Outgoing Mail

When using the postage machine, select the correct category to identify the type of mailing. If the operation currently has a postage machine, additional categories will be added to accommodate mailing violation related correspondence.

At the start of each month, a report is run to show the amount of the funds by category used for that month. After the report is run, the machine is cleared. The production department monitors the balance on the machine and makes a formal request for replenishment with the Accounting Department in advance of when it is needed so that the deposit it not fully depleted.

9.2.2. Logging Outgoing Mail

Each type of correspondence sent by the production staff in the outgoing mail is logged in the Daily Outgoing Mail Log. This tracking sheet helps identify, in more detail, the information that is available through the postage machine report.

10. DISPUTE PROCESSING

When responses are received from violators, many are disputing their violation. The VPS application supports the processing of disputes for both acceptance and rejection reasons. The proper selection of these reasons is based upon any supporting documentation provided and the definition of the business rules. This chapter covers the procedures for processing disputes.

In addition, this chapter explains how the operations staff ensures that any documentation that accompanies a dispute is handled properly and scanned into the system for reference during the decision process and available for research purposes or evidence packages later if needed.

10.1. Dispute Methods

To provide accessibility for the resolution of a violation, the CSC gives the violator several ways to submit a dispute. Table 10.1 shows the methods of contact.

Table 10.1 Dispute Methods

METHOD	CONTACT INFORMATION
By mail	P.O. Box 1234, Clifton Forge, VA 24422
By Website	www.ezpassva.com
By phone	877-762-7824
In-person	Northern Virginia, Richmond, and Coleman service centers

10.1.1. Mailed and Faxed Disputes

The process for handling mailed or faxed violation disputes is described in detail in Section 9.1.3. After the disputes have been sorted into the A, B, and C categories, the dispute processing production staff (DP production staff) sorts the groups into specific dispute reason groups. This process is further described in Section **Error! Reference source not found.**.

10.1.2. Disputes via the Web and by Phone

The Website will allow an E-ZPass Virginia customer in good standing to enter a dispute. If the account is in good standing at the time of the dispute, the dispute will be processed and a V-toll will be posted to the account. Only E-ZPass Virginia customers can dispute by Web or phone. All other disputes must be submitted by mail or fax with appropriate documentation. E-ZPass Virginia customers may also call the CSC and a customer service representative (CSR) will enter a dispute for the customer, creating a V-toll and dismissing the violation record.

10.1.3. Disputes Made in Person

A violator can go to a CSC location to drop off a violation dispute. Dispute submission in-person is not advertised as an option on the violation notices or other CSC violation correspondence. Because in-person submissions are expected to occur anyway, the procedures for the walk in CSC locations are included here.

When a CSC employee at a walk-in location receives a violation dispute, the staff member briefly reviews the form to ensure that it is complete. If it is not, such as a missing copy of a police report for a stolen vehicle dispute, the staff member advises the violator of the missing documentation. If the dispute is complete, the staff member takes the form and places it with the other incoming mail disputes. The staff person does not provide any indication about the possible outcome of the dispute.

To process disputes prior to sending the disputes from the walk in locations:

1. The walk in locations send violation disputes to the Clifton Forge location for processing via one of two methods:

   - Documents are scanned to email and forwarded to the Violations Supervisor

   - Documents are faxed to the Violations Department.
     Note:
     Note: *Note: If a violation dispute is faxed, an email is sent to the Violations Supervisor to confirm receipt of the fax.*

2. The violation disputes are scanned as outlined in Chapter 13 and placed in the appropriate folder to be processed.

3. Any disputes remaining to be processed at the end of the business day are resolved first on the subsequent business day. All disputes must be processed within three (3) business days of receipt.

10.2. Processing Disputes

The violation production staff goes through several phases to resolve violation disputes. This includes preparing, resolving the dispute by accepting or rejecting it, and producing and mailing a resolution letter.

Scanning the dispute to store a copy of it electronically follows this process.

10.2.1. Preparation

The first preparation step is to divide the disputes into groups by the reasons for submission. When the disputes come from the mailroom, they are in three groups—A, B, and C.

   - Group A is customer disputes

   - Group B is identified drivers

   - Group C is other violators or those for administrative review

10.2.1.1. CUSTOMER DISPUTES – GROUP A

The staff takes the customer disputes and further divides them into two groups:

- E-ZPass Virginia customer disputes
- IAG (E-ZPass) customer disputes

10.2.1.2. IDENTIFIED DRIVER DISPUTES – GROUP B

Identified driver disputes occur when the original violation party claims that there is another party responsible for the violation event. An example of this is a violation from the use of a rental car where the rental company sends proof of the rental agreement at the time of the violation.

The staff divides this group into the following subcategories:

- Rental vehicle disputes
- Leased vehicle disputes
- Sold vehicle disputes
- Stolen vehicle disputes
- Claim of incorrect vehicle plate/type

The disputes are sorted by dispute type and placed into separate folders. A note is placed on the front of each folder designating the number of disputes in each folder.

10.2.1.3. AD HOC DISPUTES – GROUP C

This group is a catchall for all other types of violation disputes. This group should not contain any customer or identified driver disputes. An example of this type of dispute is a non-customer claim that the violation was inadvertent because of the traffic at the time of the event. This group also contains violations that need toll facility review and direction. This can also happen when there is a directive from VDOT for violations during a certain time or location with tolls waived. An example of this may be a funeral procession or an emergency situation.

Examples of this type of dispute are:

- Medical emergency
- Collision avoidance
- Death or bankruptcy
- Claim of inadvertent violation
- VDOT directive

These disputes are placed in the Miscellaneous folder with a note placed on the front designating the number of disputes within the folder.

10.2.2. Processing an E-ZPass Virginia Customer Dispute

Note: *Violation department personnel follow the process below to process manual v-tolls (Customer V-Tolls) for E-ZPass Virginia patrons. Telephone and Retail CSRs use the process outlined in Section 12.3.*

10.2.2.1. PRELIMINARY WORK

Before completing any Customer V-Toll for an E-ZPass Virginia patron, the CSR needs to check the following three things:

- Check the account to make certain there are enough funds to cover the sum of all events that will be v-tolled. If there are not enough funds available, a payment must be processed prior to v-tolling.

- Check to see if the vehicle listed on the violation notice is listed on the patron's account. If the vehicle is not on the account, investigate with the customer as to the reason the vehicle is not on the account and resolve.

- Check the **Account Activity** in the CSC application to see if transactions occurred that match the violation events on the violation notice (duplicate transactions).

10.2.2.2. PROCEDURE

1. Search the VPS application by either Document ID or Plate Number. The following screen will appear:

Figure 10.18 VPS Search Results

2. Click the Disputes button at the bottom to process a Customer V-Toll for the patron (see above). The following screen will appear:

Figure 10.19 Dispute Reason Selection
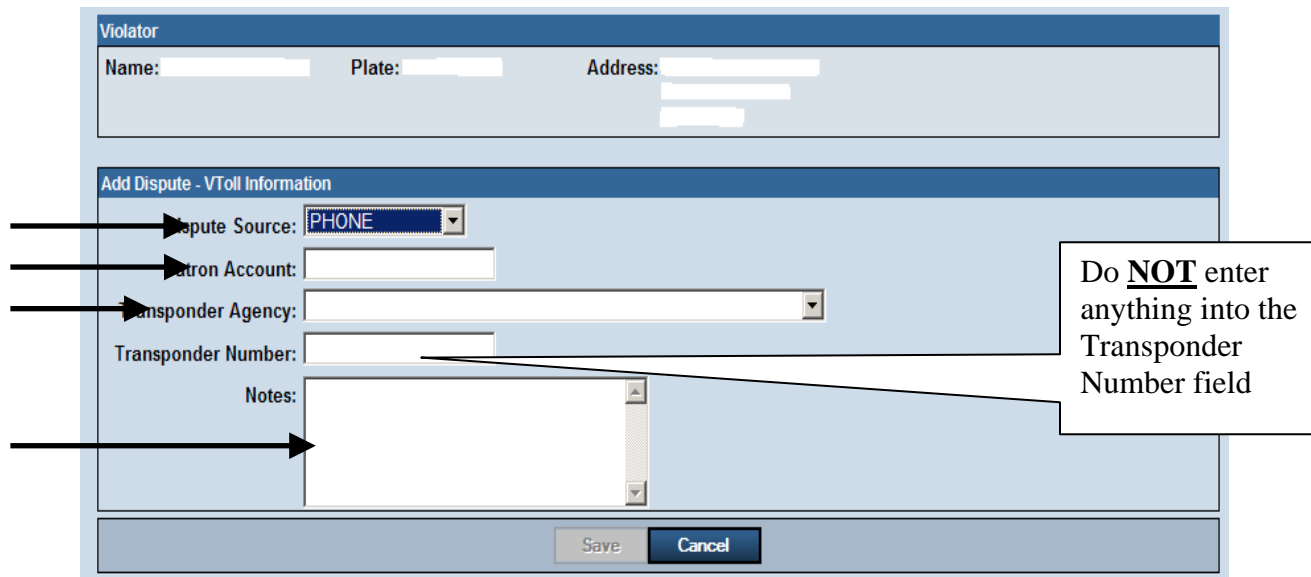
3. Select **Customer V-Toll** from the "Select Dispute Reason" drop-down-menu. The **Add** button will now become active; press the **Add** button (see above). The following screen will appear:
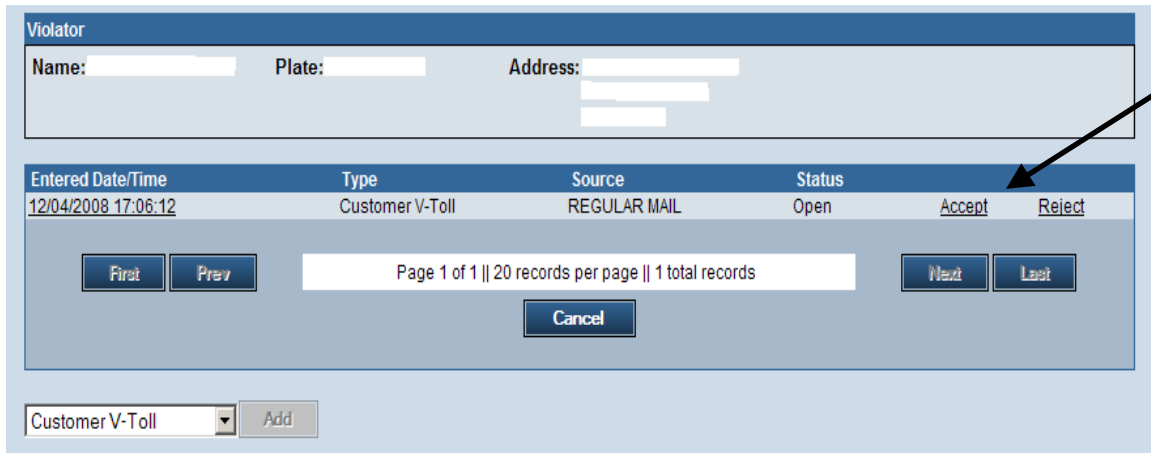
Figure 10.20 Add Dispute

- Enter the applicable selection for **Dispute Source**.
- Enter the patron's E-ZPass Virginia account number in the **Patron Account** field.
- Choose "010 – Smart Tag Virginia" from the **Transponder Agency** drop-down menu
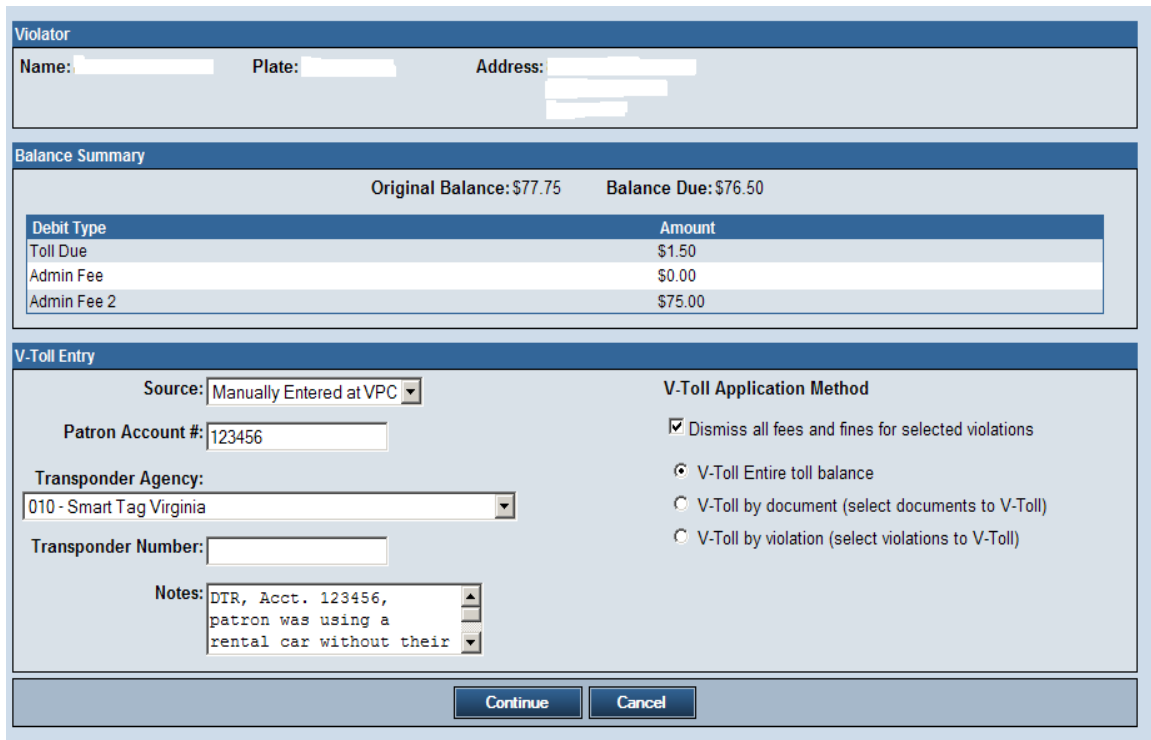
****CRITICAL*** Do NOT enter any information into the **Transponder Number** field, even if it the patron offers it.*

4. Enter the applicable toll facility abbreviation (DTR, PW, CB, RMA), patron's E-ZPass account number, any applicable note about the account status that may have led to the violation notice, the date, and the CSR's initials in the **Notes** field

5. Click the **Save** button at the bottom of the screen. The following screen will appear:

Figure 10.21 Accept Added Dispute

6. Click on the **Accept** hyperlink on the right side of the screen (see above). The following screen will appear:

Figure 10.22 Added Dispute Verification

The information on the left is verification of the data entered previously.

7.   The V-Toll Application Method section on the right must also be verified prior to selecting the **Continue** button at the bottom (see above).

- V-Toll Entire toll balance – select this option if the desired result is to v-toll all violation events associated to this party.

- V-Toll by document – **do not use this option**

- V-Toll by violation – select this option for the flexibility to specifically select the violation events to v-toll.

8.   Click the **Continue** button at the bottom.

- If "V-Toll Entire toll balance" was selected on the previous screen, the screen below will appear. Click **Save** at the bottom to process the v-toll.

Figure 10.23 Click Save to Process V-Toll

- If "V-Toll by violation" was selected on the previous screen, the screen below will appear.

Figure 10.24 V-Toll by Violation Option
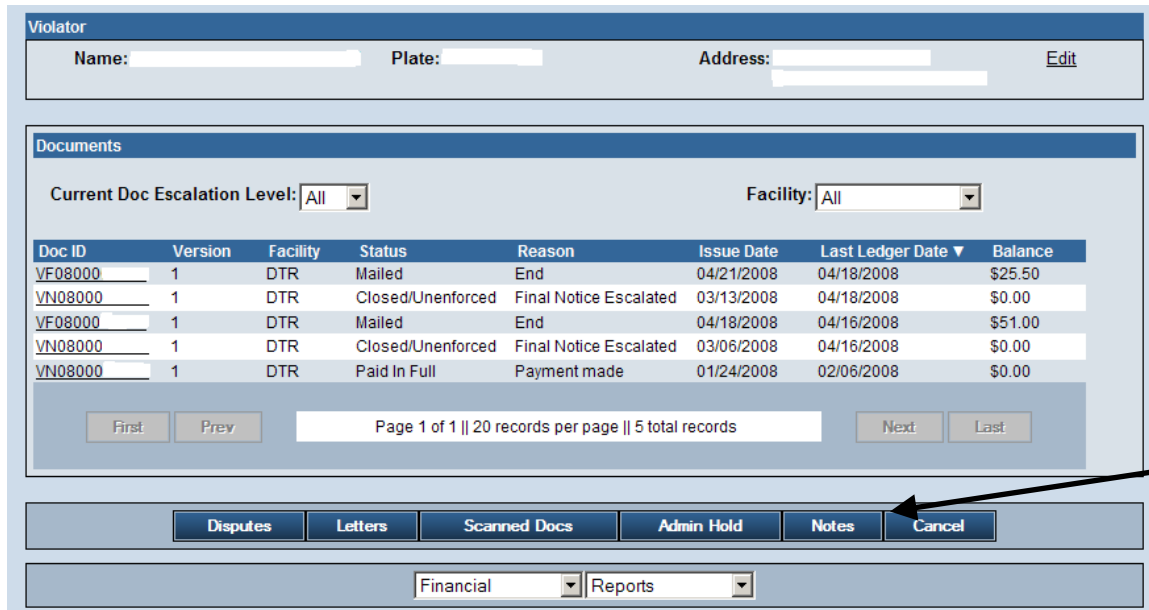
9.   Place a check mark in the applicable boxes under the "V-Toll" column to designate which violations are to be v-tolled. Once the selections are made, press the **Continue** button at the bottom to process the v-toll.

10.   After the v-toll has been processed, go back into the **Notes** section and add the same notes placed in the dispute (this can be copied and pasted)

Figure 10.25 Notes Section
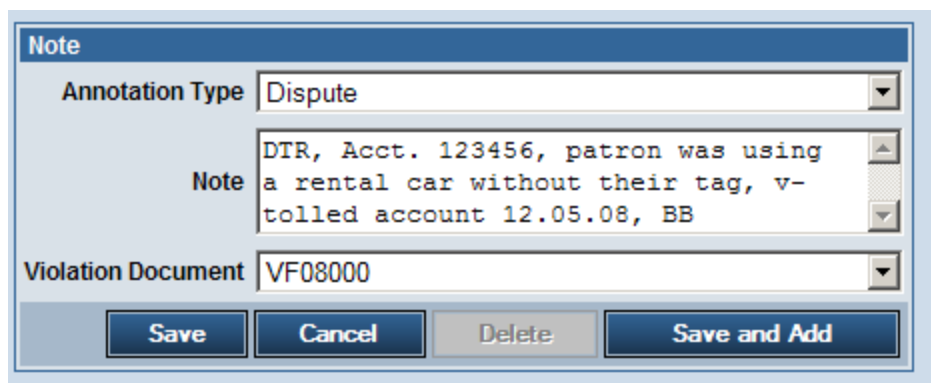
11.   Click the **Add** button.

12.   Then complete the next screen by selecting "Dispute" as the **Annotation Type**, typing (or pasting) the notes into the **Note** field, and choosing the applicable Document ID from the **Violation Document** drop-down menu (see below).

Figure 10.26 Annotation Type

13.   Click **Save.**

10.2.3.   Resolving IAG Customer Disputes
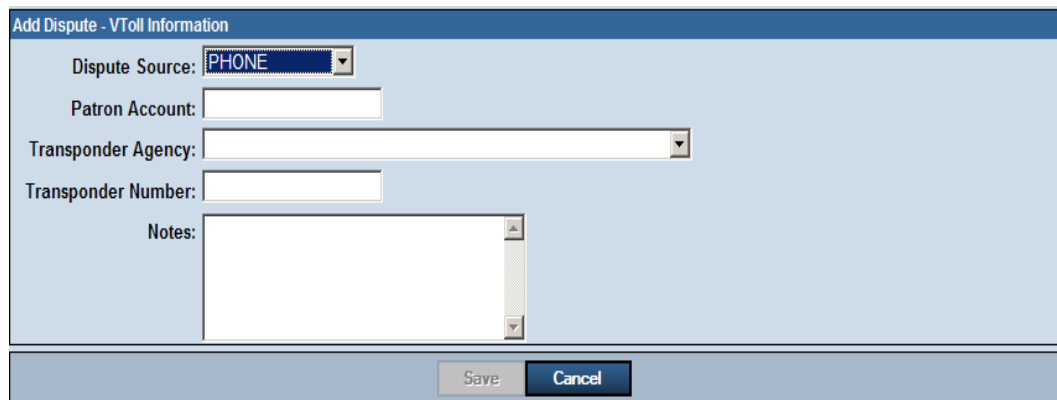
IAG customer disputes must be submitted by mail or fax. The customer must provide a copy of his account statement to be considered for an IAG customer dispute. The submitted document must be current, showing him/her as a valid customer with a good account balance.

To enter an IAG Customer Dispute:

To process an IAG customer dispute, the user must use the **Disputes** screen. Section **Error! Reference source not found.** describes how to get to this screen. The steps described in the following sections assume that the user is starting from this point.
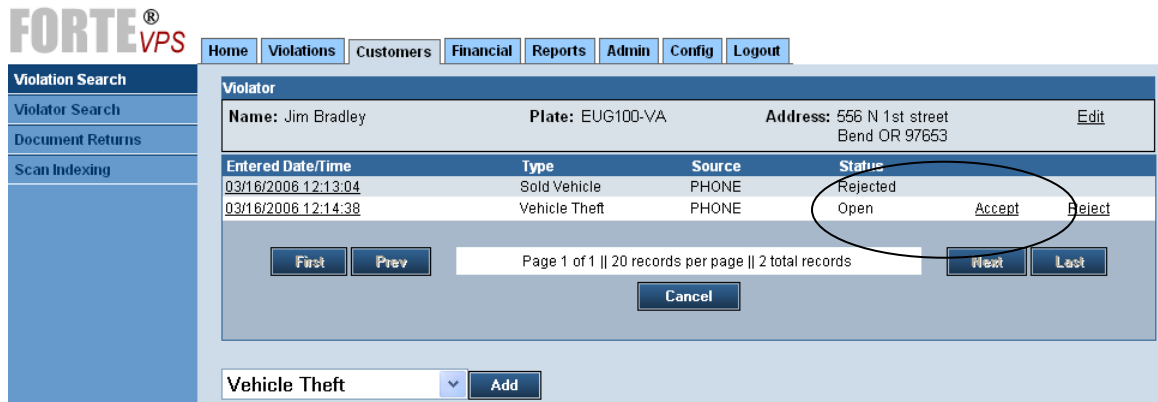
1. Select **Customer V-toll** from the dispute reason drop-down list in the **Disputes** screen. The **Add Dispute-Vtoll Information** window opens.

2. Select the dispute source from the drop-down list and enter the customer's account number. The user can also add comments associated with the violation in the **Notes** box. Select the applicable E-ZPass agency from the Transponder Agency drop-down menu – the selections will contain a leading zero (0) before the two-digit Agency ID number. Do <u>NOT</u> enter any information into the Transponder Number field. See Figure 10.27.

Figure 10.27 Add Dispute—VToll Information Window

3. Click the **Save** button to return to the **Disputes** screen. The **Accept** and **Reject** links are available as shown in Figure 10.28. If the **Cancel** button is selected, the system returns to the previous screen without saving any changes.

Figure 10.28 Disputes Screen—Accept and Reject Links

10.2.3.1.   ACCEPTING AN E-ZPASS IAG CUSTOMER VIOLATION DISPUTE (AND CREATING A V-TOLL)

1. Click on the **Accept** link in the **Disputes** screen. The **Accept** link on the **V-Toll Dispute** screen opens the V-Toll Wizard to help throughout the V-Toll process. Figure 10.29 illustrates the wizard's workflow.

Figure 10.29 V-Toll Dispute Screen Wizard Process
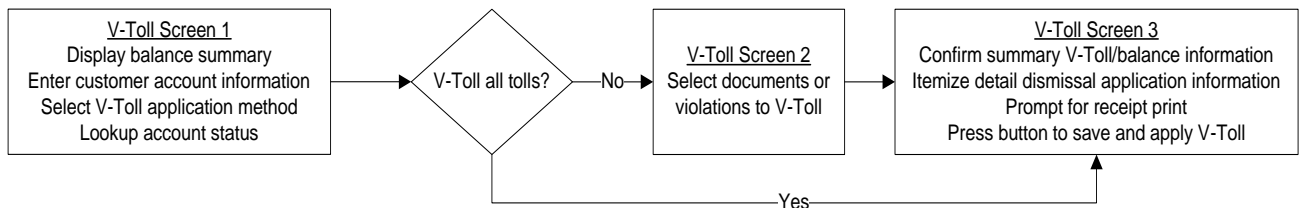
The V-Toll wizard choice selected on the first V-Toll Entry screen determines subsequent screen(s) that appear. The choices are:

- Allow system to apply v-tolls automatically

- Allow the operator to apply v-tolls by document

- Allow operator to apply v-tolls by violation

All options result in the user viewing the details on a final verification screen. The user sees the v-toll screen and is prompted to fill in the fields. This screen is shown in Figure 10.30.

Figure 10.30 V-Toll Entry Screen

2. User can make changes to the information entered when originally creating the dispute—it has been pre-populated into the **Source**, **Patron Account**, and **Notes** fields.

3. The user also must review the selections on the **V-toll Application Method** list. The **Dismiss all fees and fines for selected violations** checkbox is checked by default. All violations selected for v-toll have any additional fines dismissed. By completing the V-Toll Wizard process, fees and fines dismissal occurs automatically. Deselecting the **Dismiss all fees and fines for selected violations** checkbox results in dismissing the tolls only and leaving the violation balance open for any administrative fees. In this case, open administrative fees cause the document to remain open and subject it to escalation and additional fees.

4. Select from the following options:

    *   **V-toll all Tolls**: This selection, when saved, opens the last screen in the wizard (Step 7) where the user has the option of v-tolling all tolls that the violator has incurred with violations.

    *   **V-toll by Document**: This selection, when saved, opens the wizard screen 2—**Document** (Step 5).

    *   **V-toll by Violations**: This selection, when saved, opens the wizard screen 2—**Violation** (Step 5).

5. Click on the **Continue** button. The screen advances based on the choice in Step 4.

    a.   When **V-toll by Document** is selected, the next screen is Figure 10.14.

Figure 10.14 V-toll by Document

A list of all the documents in dispute appears and the user can select one or more by clicking in the **V-toll** checkbox to the right of the document information. When these selections are made, the dismissal amount is calculated. The dismissal amount is the amount of tolls, fines, and fees dismissed if the selected violations are v-tolled to an account.

The user makes the selection and clicks the **Continue** button. The **Dismissal Summary** screen (Step 7) opens.

b.   When **V-toll by Violation** is selected, the next screen the user sees is shown in Figure 10.15.

Figure 10.15 V-toll by Violation Screen

A list of all the violations in dispute appears and the user can select one or more by clicking in the **V-toll** checkbox to the right of the violation information.

6.   The user makes the selection and clicks the **Continue** button. The **Dismissal Summary** screen (Step 7) opens.

7.   The **Dismissal Summary** screen (Figure 10.33) opens.

Figure 10.33 Dismissal Summary Screen

- The screen shows all the violations or documents selected for processing. The user has two   options at this point. Clicking the **Cancel** button opens the prior screen.

- Clicking **Save** sends the v-tolls to post to a CSC account.

    Follow the same steps for processing V-toll disputes by document and by violation.

When posting a v-toll to a CSC account, the system provides feedback. When **Save** is selected in Step 7, the VPS sends the patron account and violation information to the CSC for verification. If the verification succeeds, the tolls post to the patron account and any associated admin fees are dismissed. If the verification fails, the **VToll Failed** screen appears and shows the patron account number and a description of the failure. See.

Figure 110.17 VToll Failed Screen
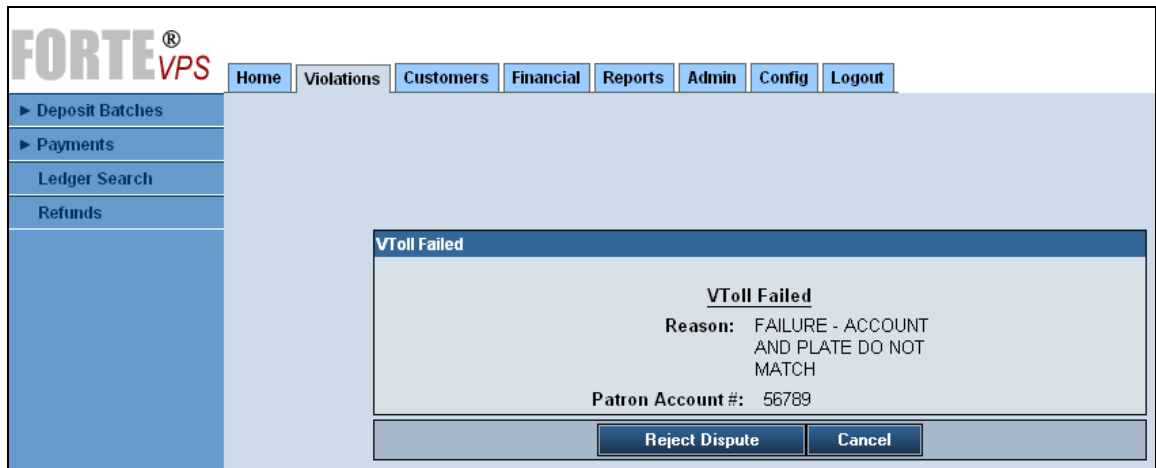
If the verification failed when the CSR attempted a v-toll dispute, the **VToll Failed** screen allows the CSR to either reject the dispute or cancel the transaction and return to the previous screen, leaving the dispute open.

If the Customer V-toll dispute for an IAG patron fails on the first attempt, clerks are instructed to begin the process again, starting with Step #2 under section 10.2.3. This time, however, the IAG E-ZPass transponder number is to be entered in the Transponder Number field. The application will process the V-Toll under this condition.

10.2.3.2.   REJECTING A CUSTOMER VIOLATION DISPUTE

To reject a customer violation dispute:

1. Click on the **Reject** link in the **Dispute** screen. If **Reject** is selected, the user is prompted to confirm the rejection on the **Dispute Reject Reason** screen. See Figure 10.18.

Figure 10.18 Dispute Reject Reason Screen

---
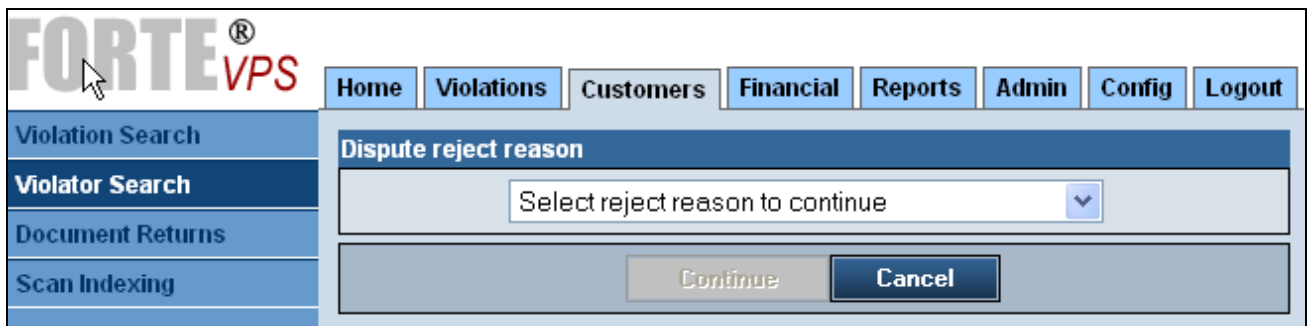
2. Click on the **Continue** button. The dispute is processed and the violator is responsible for the open balances, which may include escalation fees added when the related documents were removed from administrative hold. The dispute status is updated to **Rejected**, and the CSR is returned to the **Disputes** screen. The reject process also generates a dispute rejected letter, viewable from the **Letters** button on the **Violator Details** screen.

10.2.4. Identified Driver Disputes
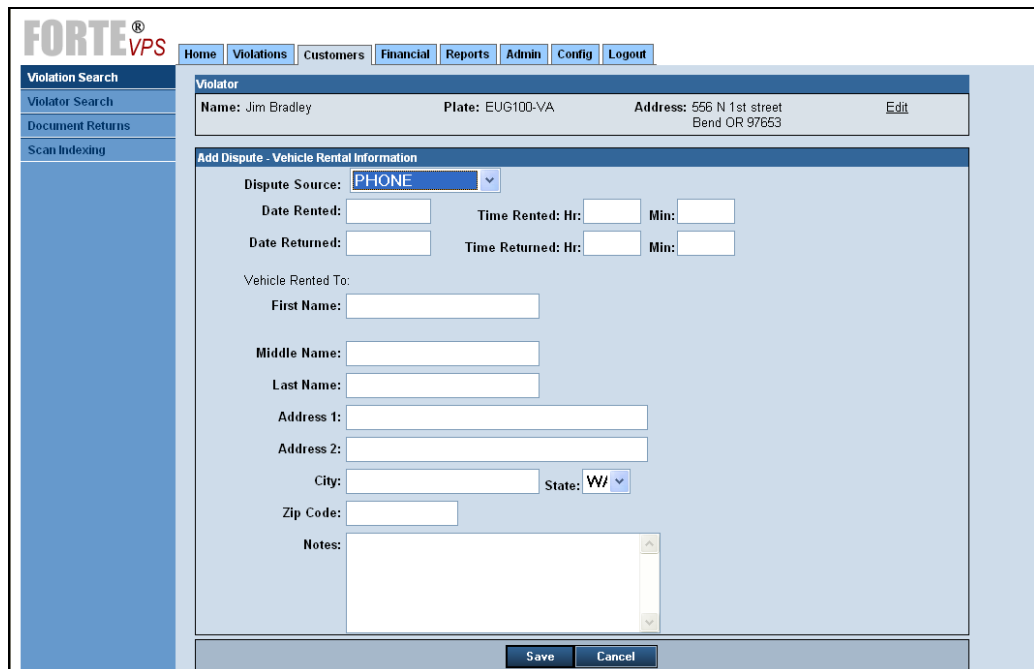
10.2.4.1. Processing a Rental Dispute

When a person renting a vehicle violates, the violation is sent to the rental company. If the rental company disputes the notice and provides written evidence of the renter's name and address from the rental agreement, violations staff can close the initial notice of violation and reissue the notice to the renter.

To process a rental dispute:

1. Select **Rental Vehicle** from the dispute reason drop-down list in the **Disputes** screen. The **Rental Dispute** screen opens.

2. Enter the information into each of the fields based on the rental agreement sent with the dispute form. The user also has the option to enter comments in the **Notes** box. See Figure 110.19.

Figure 110.19 Rental Dispute Screen—Notes Box

3. Click the **Save** button. The dispute is recorded in the system and new violator information is stored to the database. Clicking the **Cancel** button returns to the previous screen without saving changes. The **Disputes** screen opens. The **Accept** and **Reject** links are available as in Figure 110.20.

Figure 110.20 Accept and Reject Links
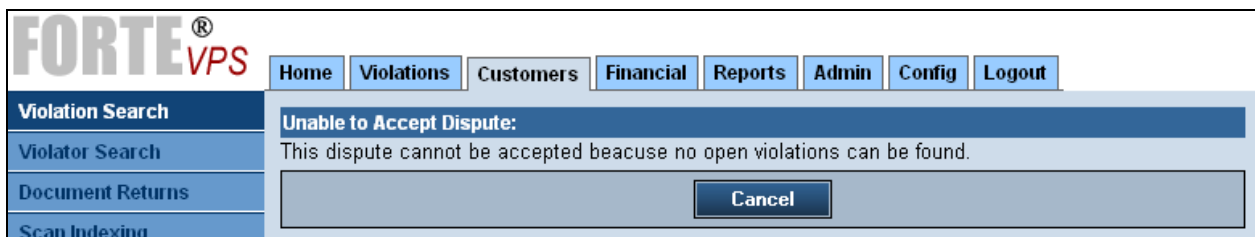
4. Selecting the **Cancel** button opens the previous screen without saving any changes.

10.2.4.1.1.   Accepting a Rental Dispute

To accept a rental dispute:

1. Click on the **Accept** link in the **Disputes** screen. Accepting the dispute results in the following:

   - The system determines if any of the open violations fall within the rental period.

   - If there are no violations within the rental period, the dispute is denied and the **Unable to Accept Dispute** screen (Figure 10.21) appears.

2. Click on the **Cancel** button if this occurs and the previous screen appears. The user can re-verify the rental period, edit the dispute, retry the accept process, or reject the dispute if no violations apply to the rental period.

Figure 10.21 Unable to Accept Dispute Screen

- If the open violation check succeeds, the dispute process dismisses the rental company's open violations and associated documents within the rental period and re-issues new violations to the renter. A dispute acceptance letter for the rental company is also generated.
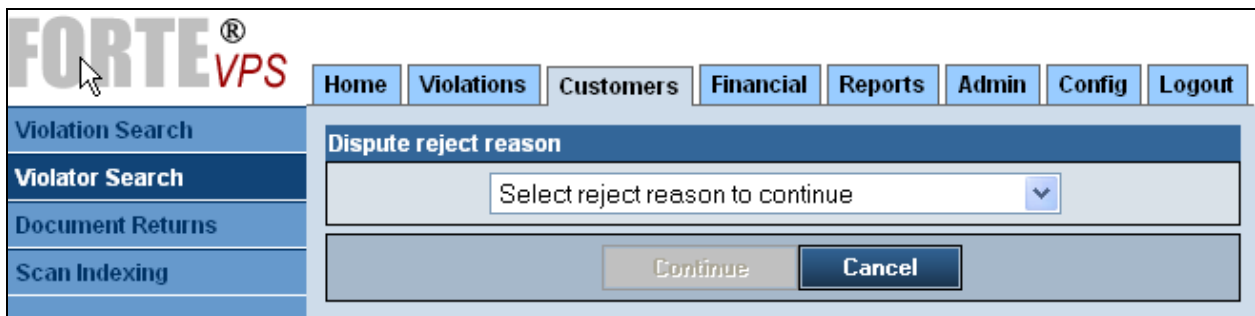
10.2.4.1.2.   Rejecting a Rental Dispute

To reject a rental dispute:

1. Click on the **Reject** link in the **Disputes** screen. Rejecting the dispute results in the following:

   - The documents on administrative hold are returned to their state before the dispute.

   - The original violator is responsible for the open balances, which may include escalation fees added when the related documents were removed from administrative hold.

The reject process also prompts the user to select a dispute reject reason, which determines the type of Dispute Rejected letter generated as in Figure 10.22.

Figure 10.22 Dispute Reject Reason Screen

2. Click on the **Continue** button. The dispute status updates to **Rejected**, and the **Disputes** screen reopens. The reject process also generates a Dispute Rejected letter, viewable from the **Letters** button on the **Violator Details** screen.

10.2.4.2.   PROCESSING A LEASED VEHICLE DISPUTE
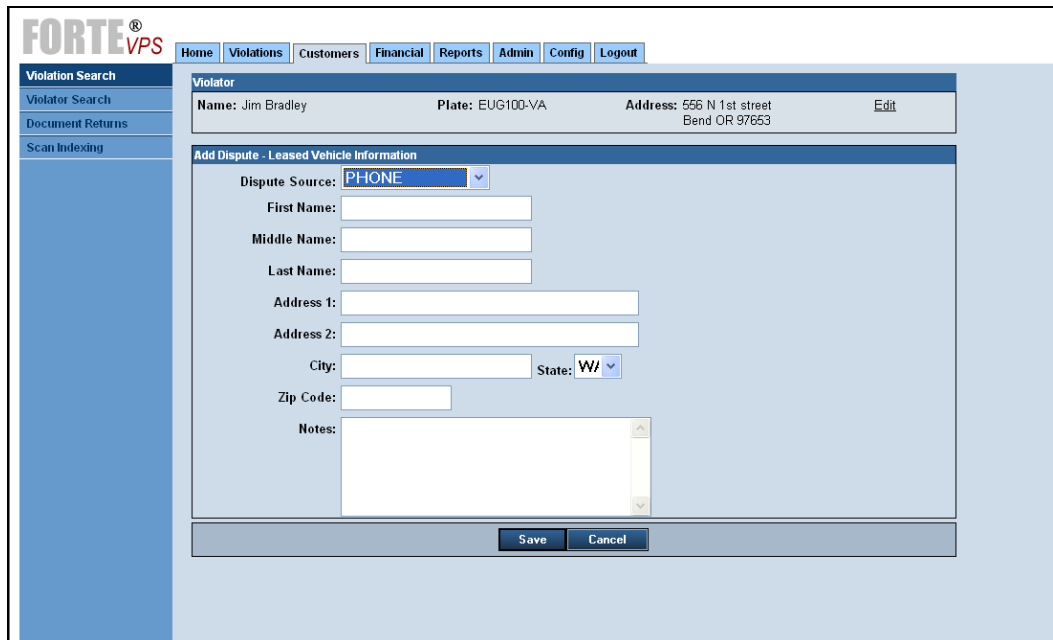
In the case of leased vehicles, the DMV may return information showing the leasing company's information or the lessee's information. If only the leasing company's information is returned from the DMV lookup, the initial violation document is addressed to the leasing company. If the leasing company disputes the notice and provides written evidence of the lessee's name and address from

the lease agreement or other lease document, the staff can close the initial notice of violation and reissue the notice to the lessee.

To process a leased vehicle dispute:
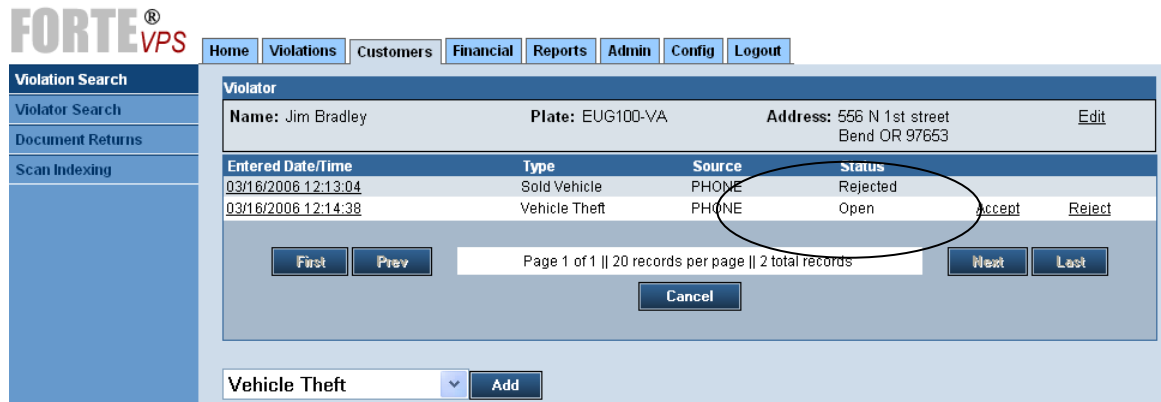
1. Select **Leased Vehicle** from the dispute reason drop-down list in the **Disputes** screen. The **Leased Dispute** screen appears.

2. Enter the information in each of the fields based on the lease agreement or lease information provided by the leasing company. The user also has the option to enter comments in the **Notes** box. See Figure 10.23.

Figure 10.23 Leased Dispute Screen—Notes Box

3. Click the **Save** button. The dispute is recorded in the system and new violator information is stored to the database. If the user clicks the **Cancel** button, the system returns to the previous screen without saving any changes. The **Disputes** screen reappears. The **Accept** and **Reject** links are enabled as shown in Figure 10.24.

4. Selecting the **Cancel** button opens the previous screen without saving any changes.

Figure 10.24 Dispute Screen—Accept and Reject Links Enabled

10.2.4.2.1. Accepting a Leased Vehicle Dispute

To accept a leased vehicle dispute, click on the **Accept** link in the **Disputes** screen. The leasing company's violation is dismissed.

The system creates a Dispute Acceptance Letter for the leasing company and reissues the violation to the lessee.
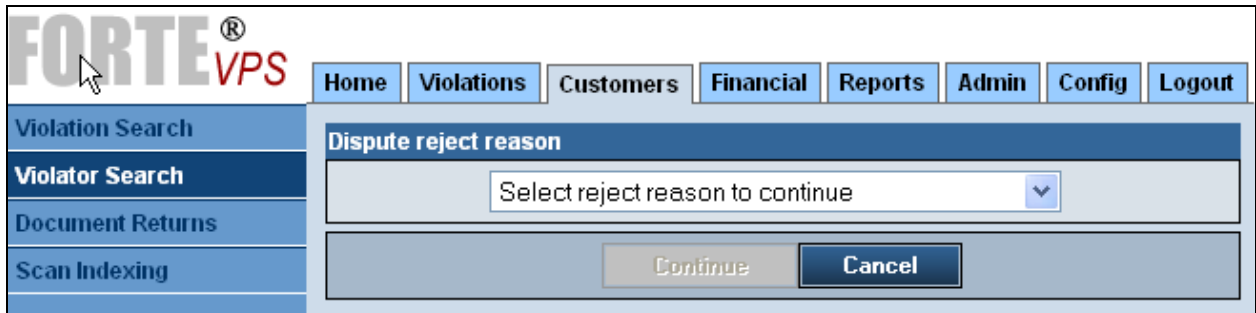
10.2.4.2.2. Rejecting a Leased Vehicle Dispute

To reject a leased vehicle dispute:

1. Click on the **Reject** link in the **Disputes** screen. Rejecting the dispute results in the following:

   - The documents on administrative hold are returned to their state before the dispute.

   - The original violator is responsible for the open balances, which may include escalation fees added when the related document(s) were removed from administrative hold.

The reject process also prompts the user to select a dispute reject reason, which determines the type of Dispute Rejected letter generated as in Figure 10.25.

Figure 10.25 Dispute Reject Reason Drop-Down List
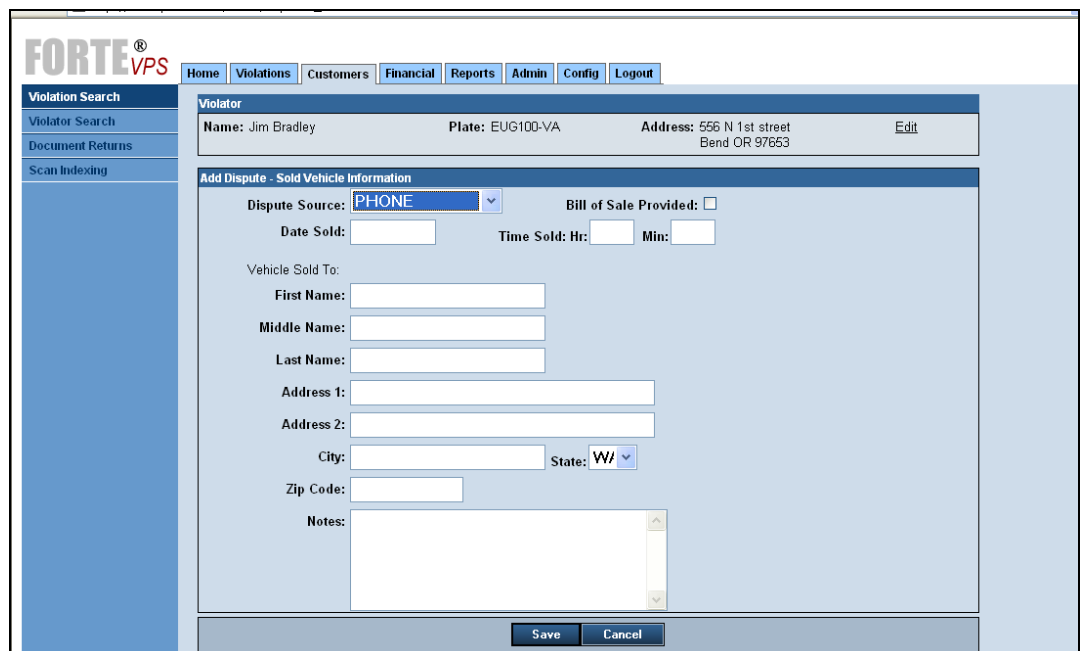
2. Click on **Continue**. The dispute status updates to **Rejected** and the **Disputes** screen appears. The reject process also generates a Dispute Rejected letter, viewable from the **Letters** button on the **Violator Details** screen.

10.2.4.3.   Processing a Sold Vehicle Dispute

To process a sold vehicle dispute:

1. Select **Sold Vehicle** from the dispute reason drop-down list in the **Disputes** screen. The **Sold Dispute** screen appears.

2. Enter the information in each of the fields based on the receipt of sale or signed vehicle title l information provided that was sent in with the dispute form. The user also has the option to enter comments in the **Notes** box. See Figure 10.26.

Figure 10.26 Sold Dispute Screen—Notes Box

3. Click the **Save** button. The dispute is recorded in the system and new violator information is stored to the database.

Clicking the **Cancel** button opens the previous screen without saving any changes.

The **Disputes** screen reopens. The **Accept** and **Reject** links are enabled as in Figure 10.27.

4. Select the **Cancel** button to return to the previous screen without saving any changes.

Figure 10.27 Disputes Screen—Accept and Reject Links

10.2.4.3.1.   Processing a Sold Vehicle Dispute

Click on the **Accept** link in the **Disputes** screen. If the dispute is accepted, all violations after the sale date and time are reissued to the new owner and dismissed for the original owner. The original owner remains responsible for violations before the date and time of the sale.

By accepting the dispute, the system creates a Dispute Acceptance Letter for the seller for the violation after the sale date. The system also creates a new violation for the buyer.
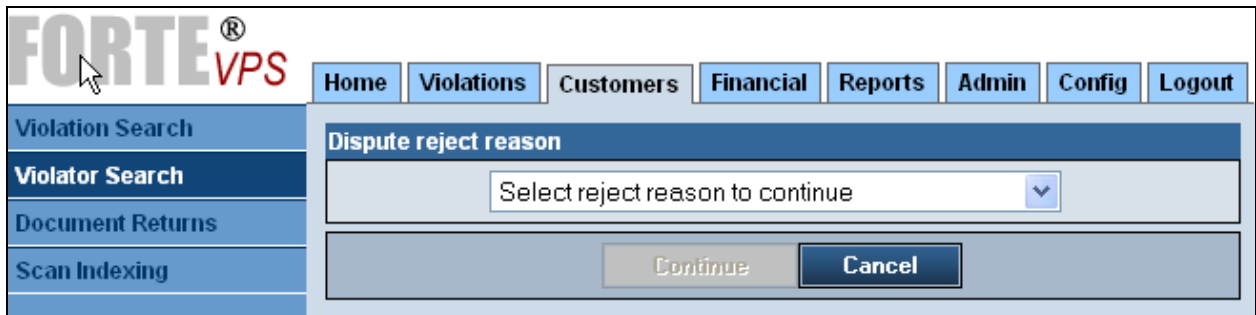
10.2.4.3.2.   Processing a Sold Vehicle Dispute

To reject a sold vehicle dispute:

1. Click on the **Reject** link in the **Disputes** screen. The documents on administrative hold return to their state before the dispute. The original violator is responsible for the open balances, which may include escalation fees added when the related documents were removed from administrative hold.

The reject process also prompts you to select a dispute reject reason as in Figure 10.28, which determines the type of Dispute Rejected letter generated.

Figure 10.28 Dispute Reject Reason Drop-Down List

2. Click **Continue**. The dispute status updates to **Rejected** and the **Disputes** screen opens. The reject process also generates a Dispute Rejected letter, viewable from the **Letters** button on the **Violator Details** screen.

- **To reject a sold vehicle dispute**

1. Click on the **Reject** link in the **Disputes** screen. The documents on administrative hold will be removed from administrative hold. The original violator remains responsible for the open balances, which may include escalation fees added when the related documents were removed from administrative hold. The reject process also prompts the user to select a dispute reject reason as in Figure 10.29, which determines the type of Dispute Rejected letter generated.

Figure 10.29 Disputes Reject Reason Drop-Down List

2. Click **Continue**. The dispute status updates to **Rejected**, and the **Disputes** screen opens. The reject process also generates a Dispute Rejected letter, viewable from the **Letters** button on the **Violator Details** screen.

10.2.4.4. Processing a Stolen Vehicle Dispute

To process a stolen vehicle dispute:
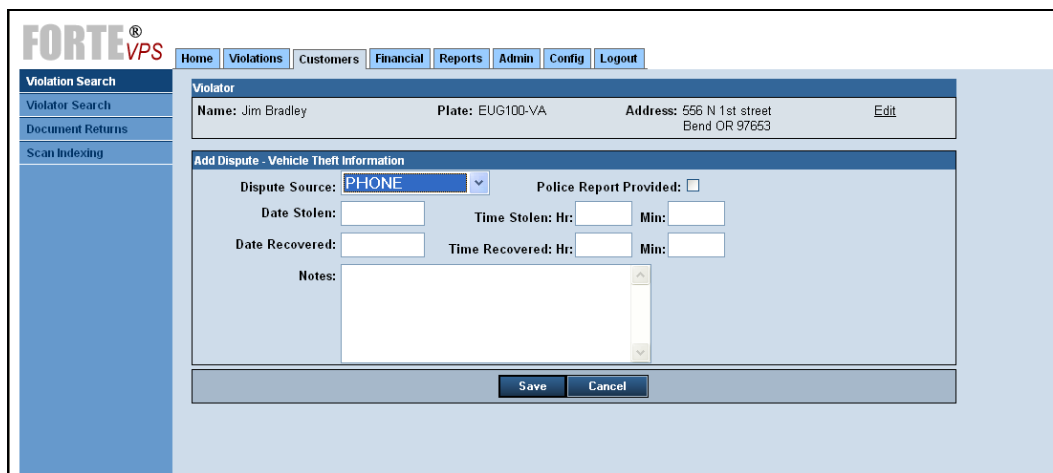
1. Select **Vehicle Theft** from the dispute reason drop-down list in the **Disputes** screen. See Figure 10.30. The **Vehicle Theft Reason** screen appears.

Figure 10.30 Vehicle Theft Reason Screen
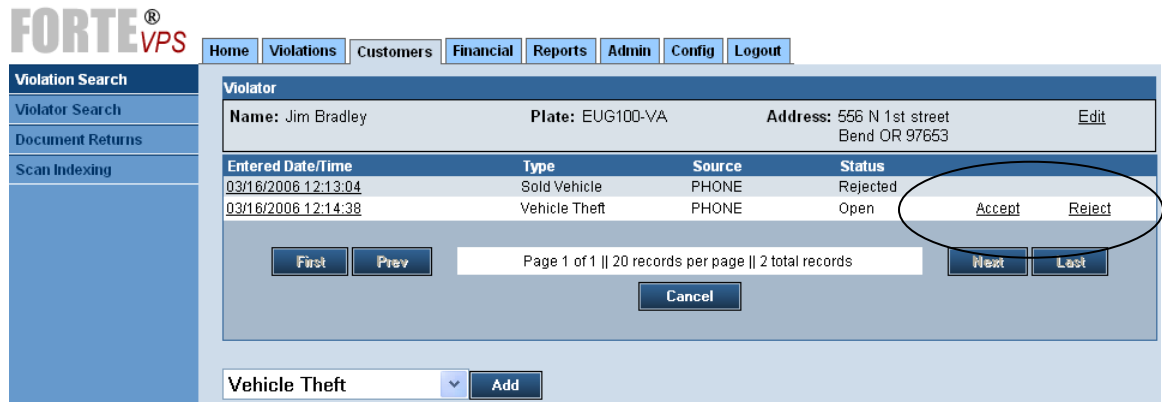
2. Enter the information in each of the fields based on the police report or other official information provided that was sent in with the dispute form. The user also has the option to enter comments in the **Notes** box. See Figure 10.31.

Figure 10.31 Vehicle Theft Information Screen

3. Click the **Save** button. The dispute is recorded in the system and the **Disputes** screen opens where they may process the dispute using the **Accept** or **Reject** links as shown in Figure 10.32.

4. Select the **Cancel** button; the previous screen opens without saving any changes.

Figure 10.32 Disputes Screen—Accept and Reject Links
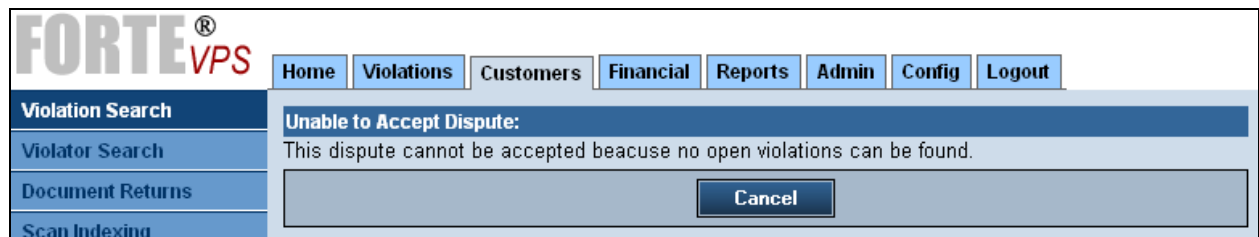
10.2.4.4.1. Accepting a Stolen Vehicle Dispute

To accept a stolen vehicle dispute, click on the **Accept** link in the **Disputes** screen. Accepting the dispute results in the following:

- The system determines if any of the open violations occurred after the theft period.

- If there are no violations after the theft period, the dispute is denied and the **Unable to Accept Dispute** screen (Figure 10.33) appears.

If this occurs, click on the **Cancel** button and the previous screen appears. The user can re-verify the theft date, edit the dispute, retry the accept process, or reject the dispute if no violations apply.

Figure 10.33 Unable to Accept Dispute Screen
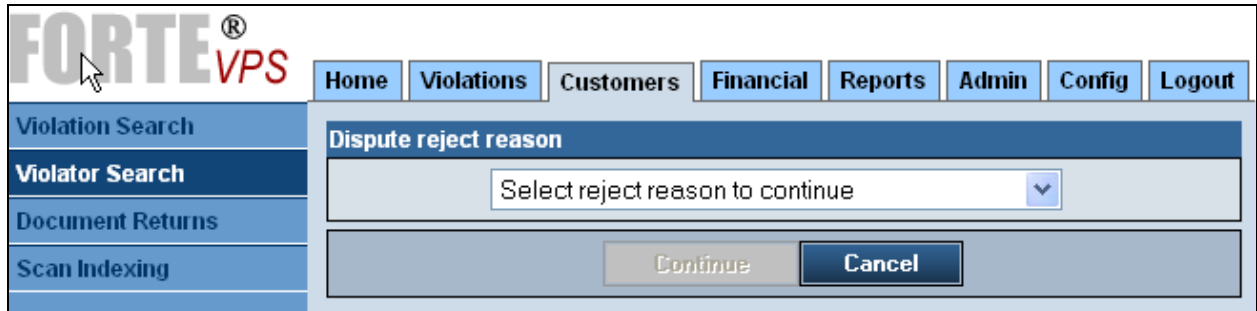
If the check succeeds, the dispute process dismisses the open violations. A Dispute Acceptance letter is then generated.

10.2.4.4.2. Rejecting a Stolen Vehicle Dispute

To reject a stolen vehicle dispute:

1. Click on the **Reject** link in the **Disputes** screen. The documents on administrative hold are removed to admin hold. The original violator is responsible for the open balances, which may include escalation fees added when the related documents were removed from administrative hold.
The reject process also prompts the user to select a dispute reject reason, which determines the type of Dispute Rejected letter generated as in Figure 10.34.

Figure 10.34 Dispute Reject Reason Drop-Down List

2. Click on the **Continue** button. The dispute status updates to **Rejected**, and the **Disputes** screen appears. The reject process also generates a Dispute Rejected letter, viewable from the **Letters** button on the **Violator Details** screen.

10.2.4.5.   Processing a Wrong Vehicle Dispute (Plate Correction)

A violator may claim that the violation that he was sent is wrong because either the license plate number is incorrect or the plate type is incorrect. This can occur with OCR passing a violation event automatically through the process.

To process a wrong vehicle dispute:
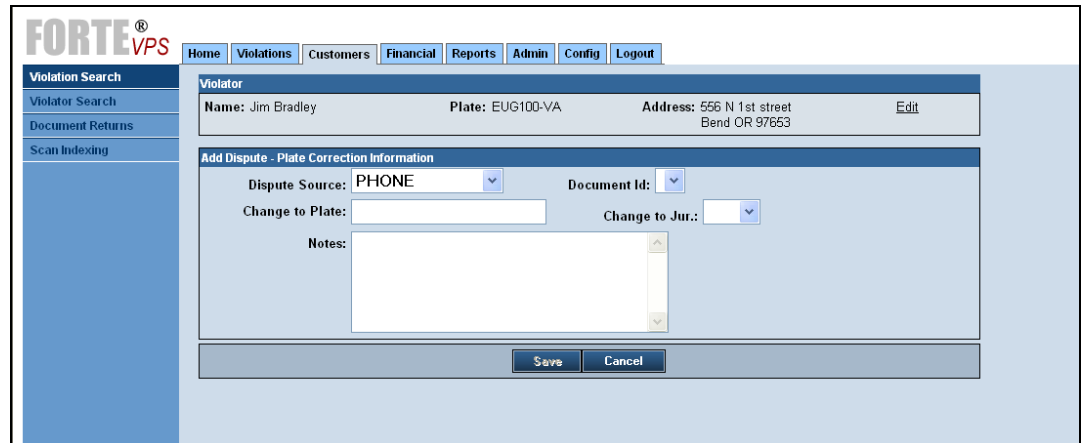
1. Select **Plate Correction** from the dispute reason drop-down list in the **Dispute** screen. See Figure 10.35. The **Plate Correction** screen appears.

Figure 10.35 Dispute Reason Drop-Down List
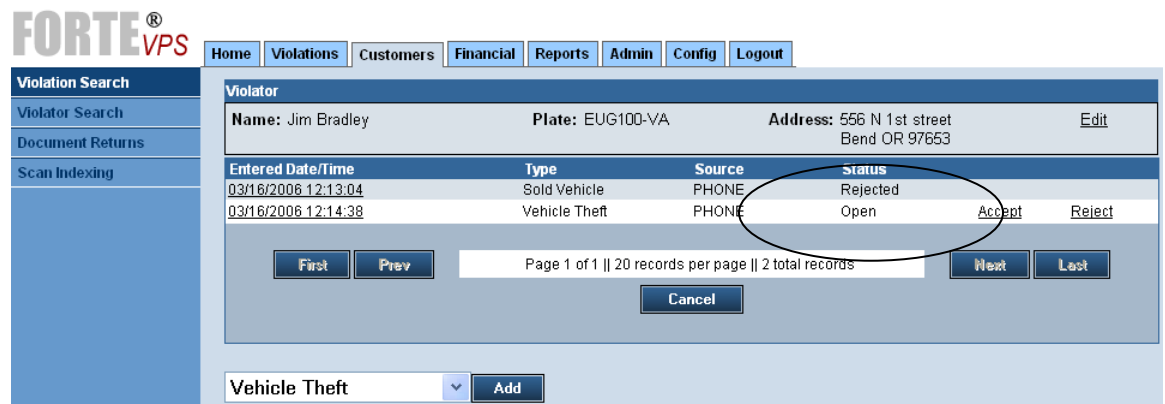
2. Select a dispute source, document ID, plate number, and jurisdiction. The user also has the option to enter comments in the **Notes** box. See Figure 10.36.

Figure 10.36 Plate Correction Screen

3. Click on the **Save** button. The dispute is recorded in the system. If the user clicks the **Cancel** button, the previous screen opens without saving any changes. The **Disputes** screen opens. The **Accept** and **Reject** links are enabled as in Figure 10.37.

Figure 10.37 Disputes Screen—Accept and Reject Links

4. Select the **Cancel** button; the previous screen opens without saving any changes.

10.2.4.5.1.   Accepting a Plate Correction Dispute

To accept a plate correction dispute, click on the **Accept** link in the **Disputes** screen. If the dispute is accepted, the selected document is dismissed for all open balances and a new queue entry is added to the CSC/E-ZPass plate check for a possible v- toll queue for each new violation created.

10.2.4.6. Ad Hoc Disputes

Disputes that do not fit into the customer or identified driver categories are placed in a catchall group. This includes all the violations that were sorted by the violations production staff into Category C. In the VPS, processing these types of dismissals is defined as "Ad hoc" processing.
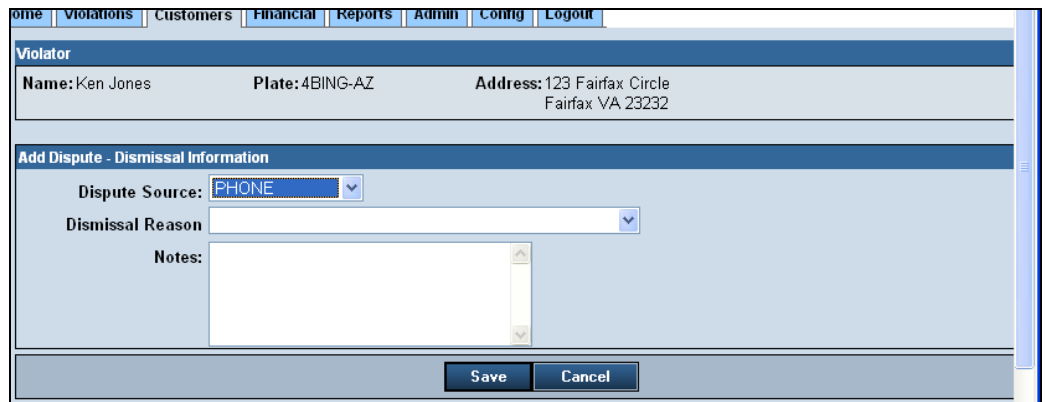
10.2.4.6.1. Processing Ad Hoc Violation Disputes

All ad hoc disputes must be approved by a toll facility operator. Toll facility operators will provide the service center with an ad hoc dismissal form when making a request for processing an ad hoc dismissal. The form will be scanned and linked along with any backup evidence and linked to the violation record.

To process ad hoc violation disputes:

1. Select **Ad Hoc Dispute** from the dispute reason drop-down list in the **Disputes** screen.

2. Click **Add**. The **Add Dispute** box will appear.

3. Enter dispute information.
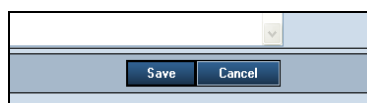
Figure 10.38 Disputes Screen

4. Click **Save**.

Figure 10.39 Save Button

5. The dispute is recorded in the system and the **Disputes** screen opens to process the dispute using the **Accept** or **Reject** hyperlinks.

6. Select the **Cancel** button to return to the previous screen without saving any changes.

Figure 10.40 Accept and Reject Links

10.2.4.6.2. Accepting Ad Hoc Violation Disputes

To accept ad hoc disputes:

1. Click on the **Accept** link in the **Disputes** screen.

2. Select **Ad Hoc Dismissal** from the **Disputes** screen to access the **Ad Hoc Dismissal** screen (Figure 10.41).

Figure 10.41 Ad Hoc Dismissal Screen

3. Select a dispute source and a dispute reason. If the dispute reason of **Other** is selected, then comments are required in the **Notes** box.

4. Click the **Save** button and, depending on the radio button selected, the violation tolls, fines, or fees are dismissed.
A Dispute Acceptance letter is also created for the appellant.

10.2.4.6.3.   Rejecting Ad Hoc Disputes

To reject ad hoc disputes:

1. Click the **Reject** link in the **Disputes** screen. The documents on administrative hold are removed from admin hold status. The violator is responsible for the open balances, which may include escalation fees added when the related documents were removed from administrative hold.
The reject process also prompts the user to select a dispute reject reason, which determines the type of Dispute Rejected letter generated as in Figure 10.42.

Figure 10.42 Dispute Reject Reason Drop-Down List

2. Click **Continue**. The dispute status updates to **Rejected** and the **Disputes** screen returns. The reject process also generates a Dispute Rejected letter, viewable from the **Letters** button on the **Violator Details** screen.

10.2.5. Sinner to Saint

An option made available to all violators who are not E-ZPass Virginia customers at the time they choose to resolve their violation notice is referred to as the "sinner to saint" rule. If a violator contacts the Service Center and chooses to open an E-ZPass account, the associate has the authority to provide amnesty for the violations that have occurred as follows:

- 1st Notice – The violator is advised to open an account with sufficient funds to cover cumulative tolls on the violation notice(s) and the $25.00 administrative fee is waived.

- Final Notice – The violator is advised to open an account with sufficient funds to cover cumulative tolls. A second payment is processed in the VPD application to cover 50% of the administrative fees on the violation notice(s). After the new account is created and the payment for 50% of the administrative fees is processed, the remaining 50% of the administrative fees is waived.

After the account has been opened, a customer dispute is processed causing the notice to be closed. V-tolls and administrative fees, if applicable, post to the newly opened customer account.

10.2.5.1. Resolving Notices Via the Sinner to Saint Rule

Resolving notices via the "Sinner to Saint" rule requires activity in both the CSCWinClient application and the Forte application.

a. An E-ZPass account is opened in the CSCWinClient application using the procedures outlined in section 3.2.1.4 or section 3.2.1.6, depending on

whether the violator is resolving his/her notice(s) by walking in to a retail center or by telephone.

b. To resolve all notices at the first level in alignment with the sinner to saint business rule, a customer v-toll dispute is processed as outlined in section 10.2.3.1.1.

c. To resolve notices at the Final Notice level in alignment with the sinner to saint business rule:

1. Calculate 50% of all applicable administrative fees and process a payment for that amount in the Forte application. Apply the payment amount strictly to administrative fees. This will leave a remaining balance that consists of the tolls due and outstanding administrative fees.

2. Process a customer v-toll dispute for the remaining balance [section 10.2.2 above]. This action will deduct the tolls due from the newly-opened customer account and dismiss the remaining administrative fees.

10.2.6. The Resolution Letters

After a dispute is processed, the related documents are produced and saved within the VPS. Each of these types of letters is available:

- Violation notices
- Dispute acceptance letters
- Dispute rejection letters
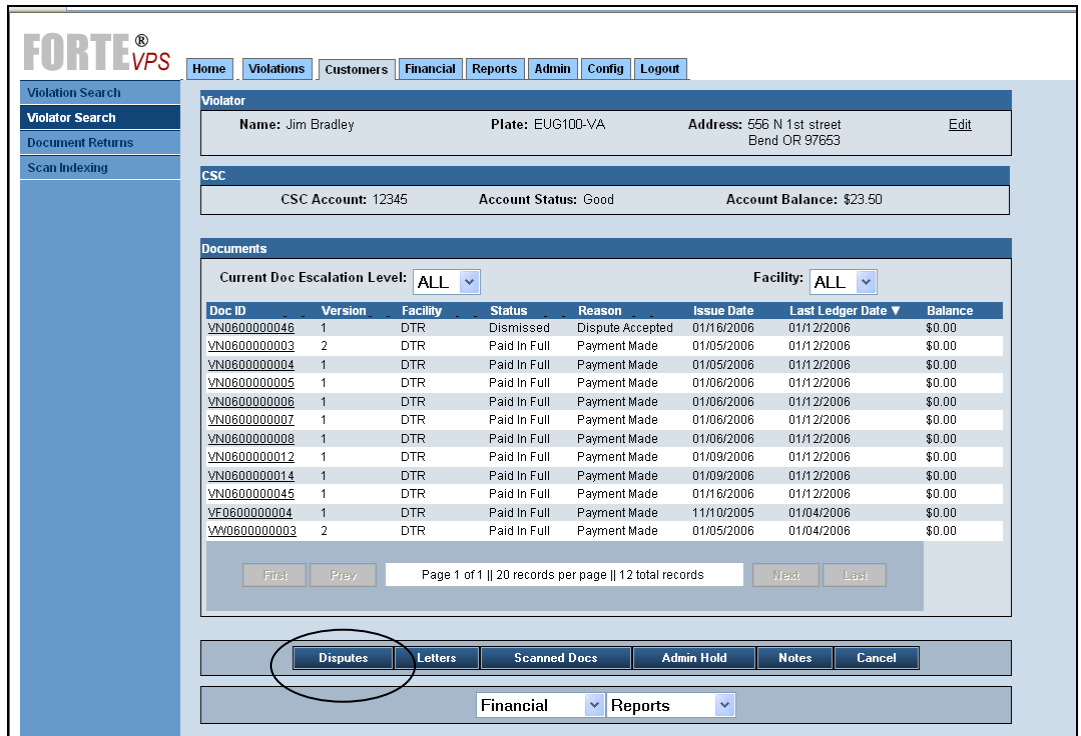
When each letter is created, each type of letter is saved in a daily PDF file sent to Questmark, the third-party print and mail vendor. Questmark tracks each document through the mailing process and sends an acknowledgement back file to the VPS, which automatically updates the status of the letter to "Mailed". Other details of this process are discussed in Section 9.2.

10.2.6.1. Viewing Letters

Access to view these letters begins in the **Violator Detail** screen. For instructions on accessing the **Violator Detail** screen, refer to Section **Error! Reference source not found.**. The following steps describe how to view these documents.

To view letters:

1. Starting from this screen as shown in Figure 10.43, click on the **Letters** button.

Figure 10.43 Violator Detail Screen

The **Letters** screen opens and shows all the related letters associated to the violation selected. See Figure 10.44.

Figure 10.44 Letters Screen

To the right of the screen, there is a **View PDF** link for each document. To view any document, click on the associated link.

10.2.7. Placing the violation on "Hold"

To process violation disputes received at the CSC, the violations production staff uses the VPS application. Each violation document is evaluated according to the defined business rule for that particular type of dispute reason. The staff uses the **Dispute** screen for the majority of the processing.

1. To place a violation notice on hold, the user first must locate the violator party in the VPS application and access the Violator Detail Screen shown in Figure 10.45. The user then clicks on the **Admin Hold** button.

Figure 10.45 Violator Detail Screen—Admin Hold Button
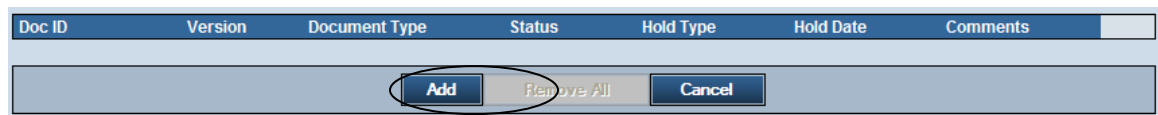
2. On the following screen, press the **Add** button.

3. Select **Dispute Pending** from the "Hold Type" drop-down menu. Enter today's date in the "Hold Date" field. Add applicable comments in the in the "Comments" field. Then, place a check in the checkbox to the left of the **Doc ID** for every document to be placed on hold and press the **Save** button.

Figure 10.46 Admin Hold Information

4. The selected documents will remain on hold for 10 business days.

10.3. Scanning

Scanned documents are an important part of the dispute process and evidence package generation for violators. There are three primary steps associated with accessing scanned documents. These include:

- Scanning the documents
- Indexing the documents
- Viewing the documents

This section describes the processes for scanning documents mailed to the violation processing center (VPC). Violators can choose to dispute their violations by sending various forms of documentation to the VPC. The VPC staff performs the steps to scan and store document images to the VPS and link them to violators and violation documents in the VPS database.

10.3.1. Scanning

The Scan Station is a stand-alone application that interacts with a scanner and the Forte database. It lets a user scan one or more documents and save them to the VPS image server.

10.3.1.1. The Scan Station

To access the scanning program:

1. Click on the Scan Station icon on the workstation with the scanner (Figure 10.47). The **DB Connect (SQL)** (the logon) screen appears as shown in Figure 10.48.

Figure 10.47 Scan Station Icon
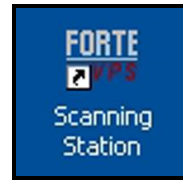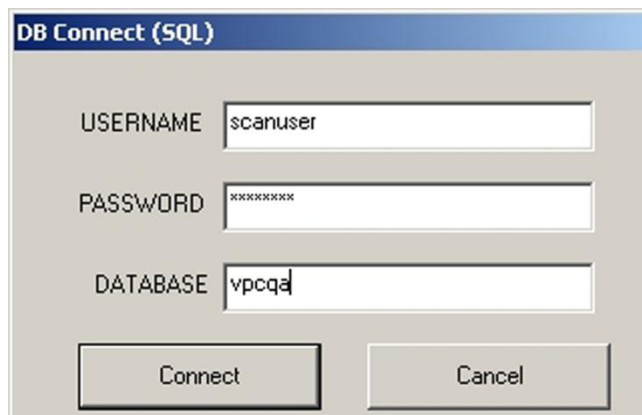
Figure 10.48 DB Connect (Logon Screen)

2. Enter the sign on information into the **USERNAME**, **PASSWORD**, and **DATABASE** fields.

3. Click the **Connect** button.

4. The scanning main page opens. See Figure 10.49. The page includes a field to select the scan type from the drop-down list. These types are configurable. The scanner categorizes documents based on the scan types.

5. Scan a single document (Step 6) or multiple documents (Step 7).

Figure 10.49 Scanning Main Page
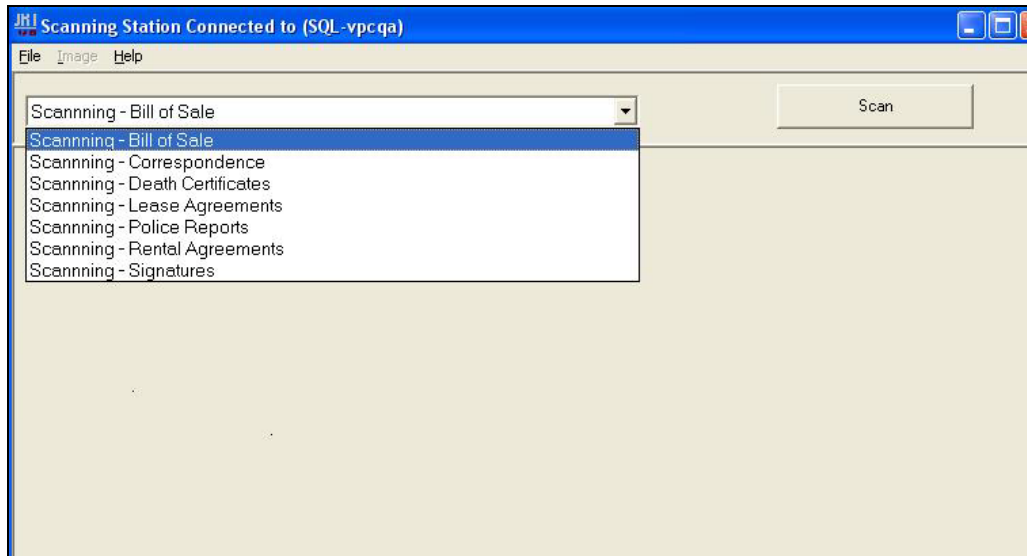
6. When scanning *a single* document, place it in the scanning tray and select the correct scan type from the drop-down list and click the **Scan** button.

- After scanning the document, the system shows an image of the document. See Figure 10.50. The **Store to Database** button is enabled below the image of the document.

Figure 10.50 Image of Scanned Document
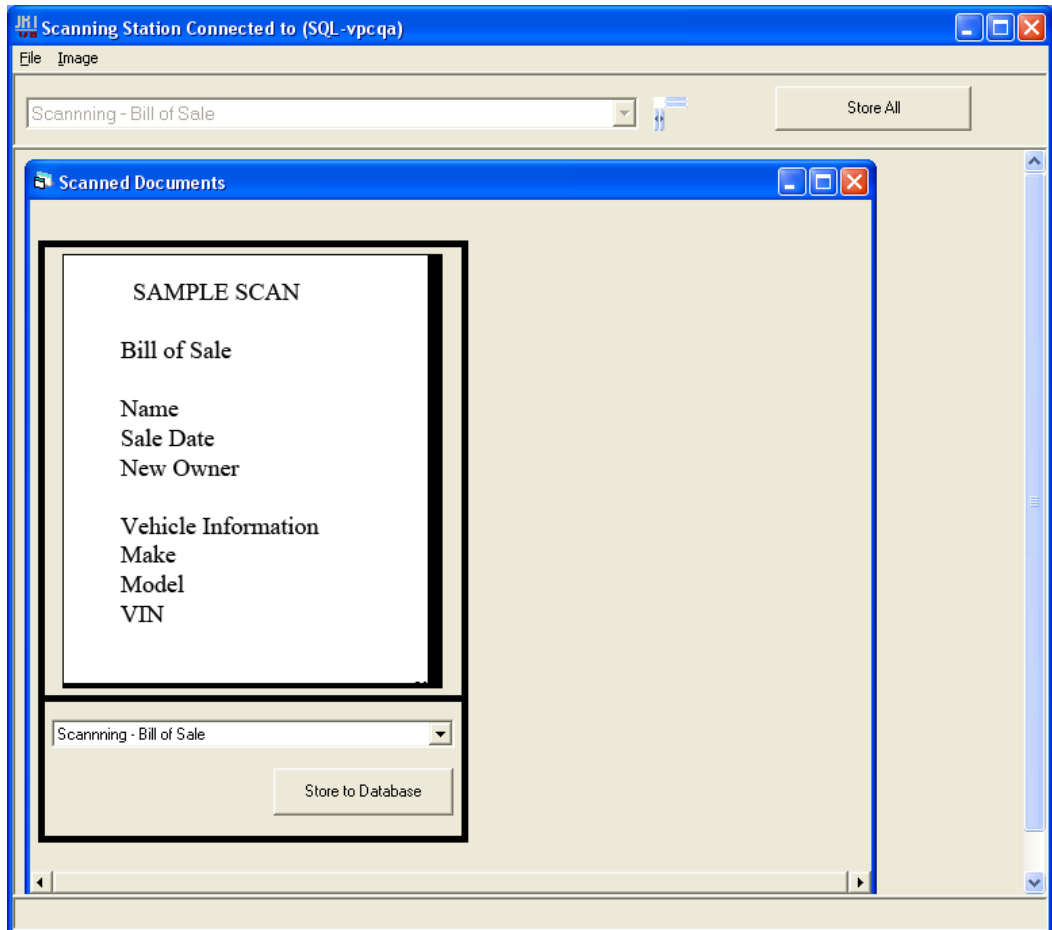
- To save to the database, click on the **Store to the Database** button. This saves the image to the VPS image server in the category selected; the scanning system returns to the main page. After an image is stored, the category cannot be changed unless it is re-scanned.

7. When scanning *multiple* documents, place all of them in the scanning tray and select the correct scan type to associate with *all* of the documents from the drop-down list. Click the **Scan** button.

- When multiple documents are scanned, the system shows several at a time for review. See Figure 10.51. The **Store to Database** button is enabled for each of the scanned documents below the document image.

Figure 10.51 Scanned Image Review
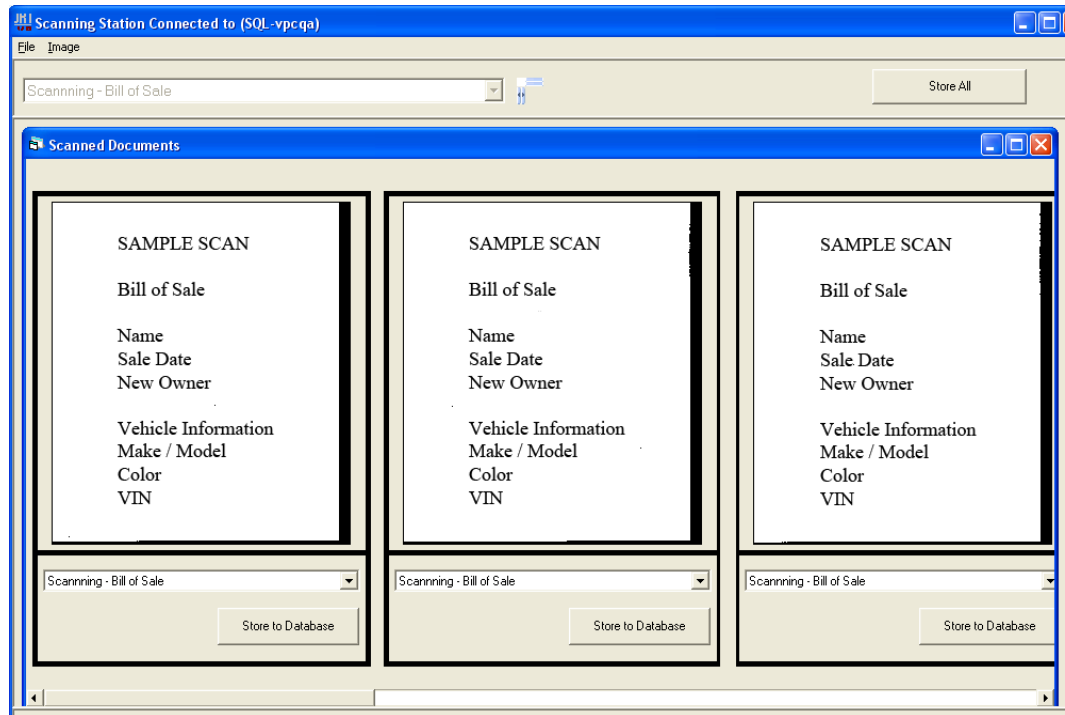
- To save an image to the database, click on the **Store to the Database** button for each document to save.

8. If you want to save all of the documents on-screen, click on the **Store All** button in the top right corner of the screen. This saves the images to the VPS image server in the category selected; the scanning system then goes to the next group of images or returns to the main page. After an image is stored the category cannot be changed unless it is re-scanned.

After scanning documents and storing them to the VPS image server and database, they must be indexed to a violator and document to be viewed within the VPS.

10.3.2. Indexing the Scanned Documents

In the VPS application, scanned images are sent to a scan indexing queue based on the scan type selected during the initial scanning process. Each of the queues are manually reviewed and indexed to violation documents. If an image cannot be properly indexed, it may be rejected. After indexing images to violation documents, they are viewable within the VPS application from the **Violator Search Results** screen.

To index scanned documents:

1. Log on to the VPS. See Section 6.

2. Select **Customers** from the main menu. See Figure 10.52.

Figure 10.52 Customers Tab
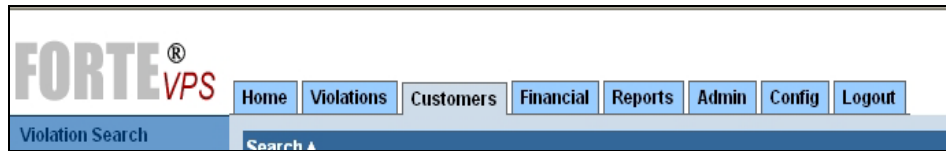
3. Select **Scan Indexing** from the list of options in the left margin. See Figure 10.53.

Figure 10.53 Scan Indexing Option
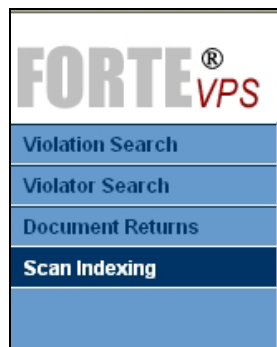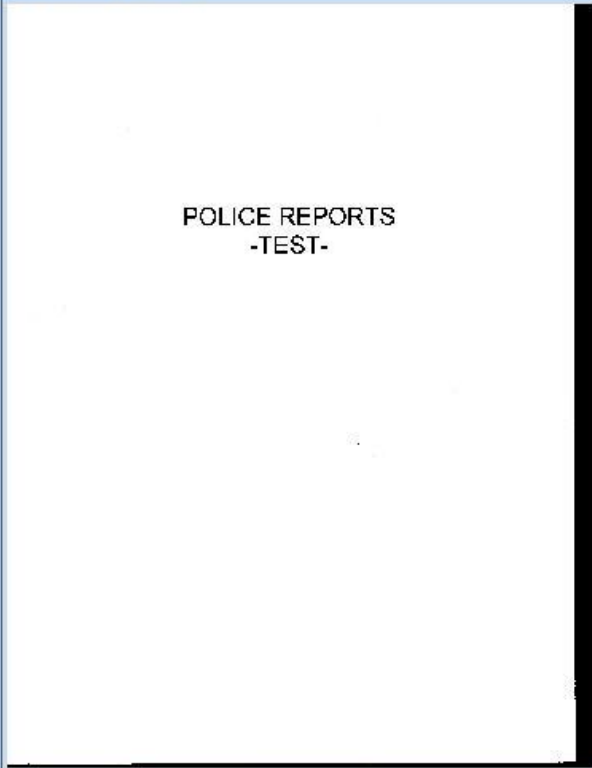
The **Scan Indexing** screen appears as shown in Figure 10.54. Each of the scan type queues is listed with the corresponding quantity of documents.

Figure 10.54 Scan Indexing Screen
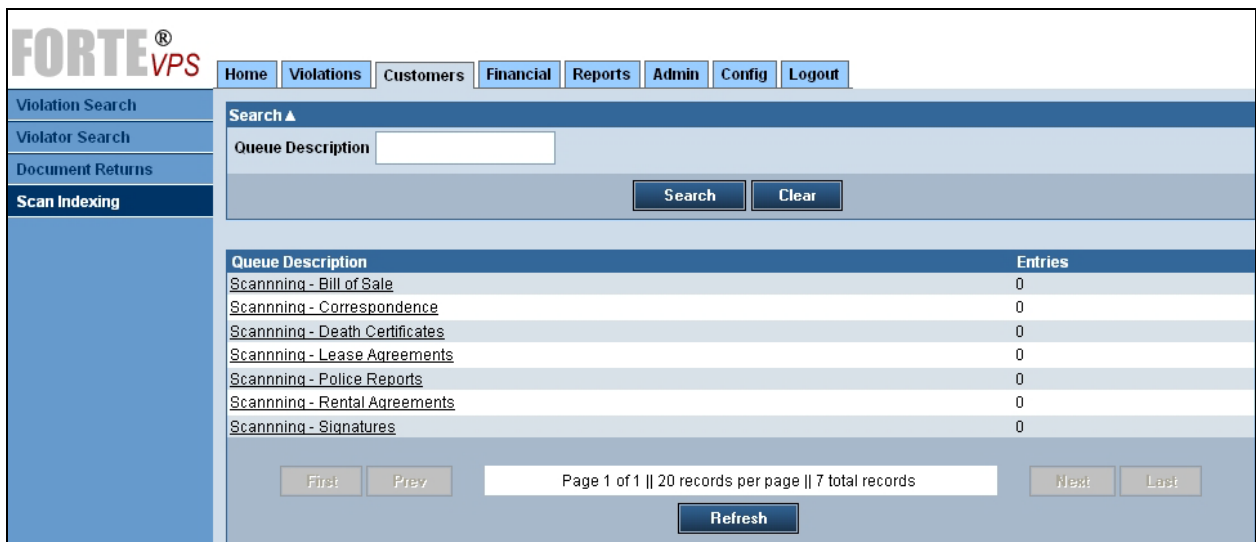
4. Click on one of the scan type queue description links. The **Scan Indexing Review** page opens. The first scanned document in this queue is shown. See Figure 10.55.

Figure 10.55 Scan Indexing Review

5. Review the image and, if needed, click on the **Enlarge Image** button for a better picture.

6. To index the scanned image to a violator, enter a valid document ID and select **Verify Address**. The document ID can be scanned with a bar code reader or entered manually.

7. The violator address stored in the database appears and allows you to verify the scanned document. If the name and address are correct, select **Accept** to link the scanned document to the associated violator.

8. You may also click the **Reject** button; this voids the scan document and advances to the next document.

After completing the scan type queue, the **Scan Indexing** screen returns.
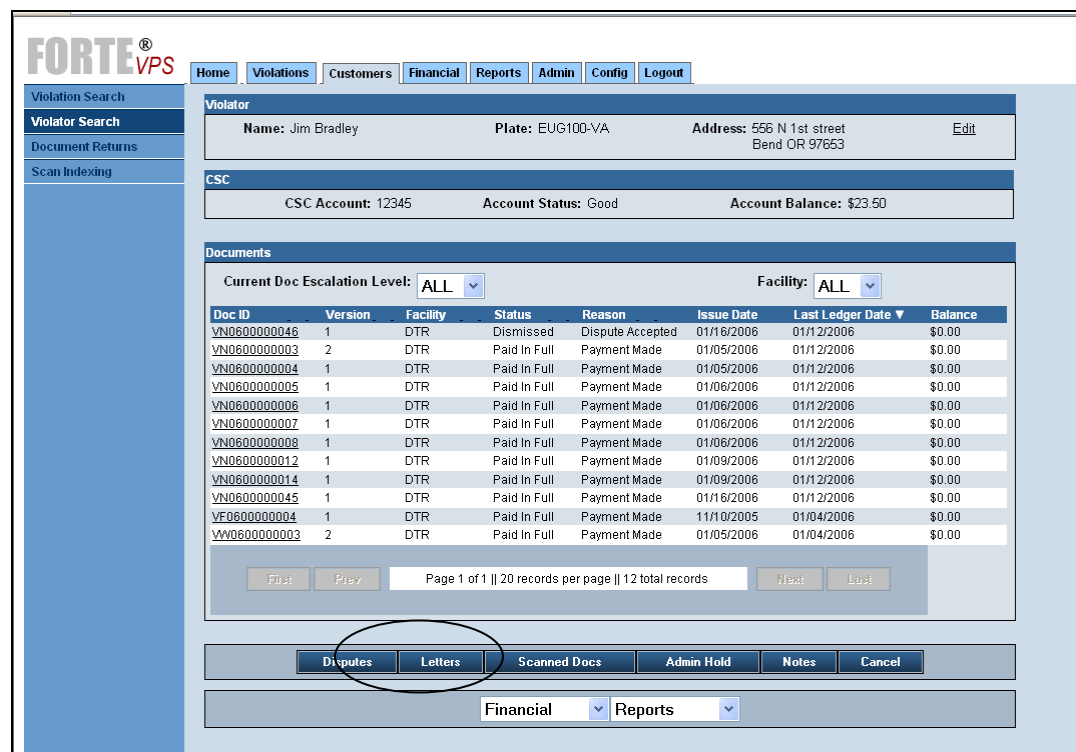
10.3.3.   Viewing Scanned Documents

Access to view scanned documents begins in the **Violator Detail** screen. For instructions on accessing the **Violator Detail** screen, refer to Section **Error! Reference source not found.**.

To view these documents:

1. Starting from the screen shown in Figure 10.56, click on the **Scanned Docs** button.

Figure 10.56 Violator Detail Screen

The **Scanned Documents** screen appears. See Figure 10.57.

Figure 10.57 Scanned Documents Screen
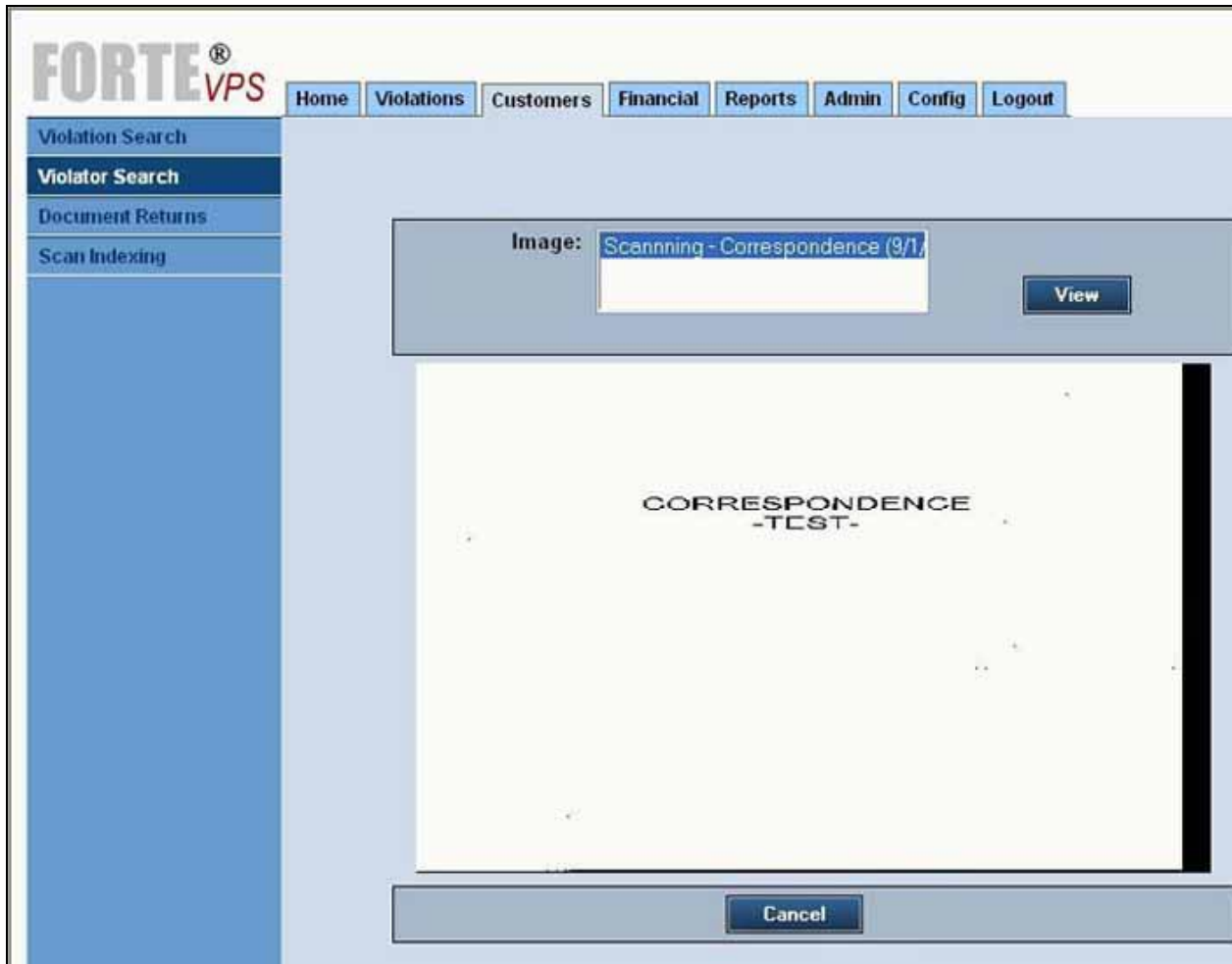
2. In the **Image** window, all scanned document types are listed and followed by the date they were scanned.

3. Click on the line item of the document to view.

4. Click on the **View** button. The specific scanned documents appear. This screen also lets you print a copy of the documents.

5. Click on the **Cancel** button to exit the screen.

10.4. Evidence Packages

The VPS system makes it easy to assemble evidence packages for a violator. The system takes several documents, including documents scanned into the system, and associates them with a violator. These documents are merged in one PDF document and can be printed. Table 10.2 lists the documents included in the evidence package.

Table 10.2 Evidence Package Contents

ITEM	DESCRIPTION
Cover screen	Includes general information about the violator, including name, address, and an itemized list of the contents of the evide3nce package
Notices	All notices that are a part of the violation transaction
Violation History Report	VPS processing and activity history for the violation transaction
Correspondence	All scanned images of correspondence received by the VPC, associated with the violation transaction

A representative identified by the operations manager will act as a violation witness in the event of a hearing or court case. This representative will bring the appropriate documentation and be available to attend the hearing or trial in a district or county where a participating toll road is located.

11. DISPUTE PROCESSING

The violation payments received at the E-ZPass Virginia Customer Service Center (CSC) post in the VPS and are reconciled. This section discusses the payment types, methods, and reconciliation process.

11.1. Violation Payments

The CSC accepts the following types of payments:

- Cash
- Check
- Money order
- Credit cards

11.1.1. Payment Methods

The CSC offers several payment methods to violators. Table 11.1 lists the payment method with the payment type options for each method.

Table 11.1 Payment Methods and Types

METHOD	PAYMENT TYPES ACCEPTED
Walk-in payments	Cash, checks, money order, and credit cards

Telephone payments	Credit cards only
Mailed-in payments	Cash *, checks, money order, and credit cards
Faxed payments	Credit cards only
Web payments	Credit cards only

* Payments of cash through the mail are not recommended by the U.S. Postal Service. The CSC staff discourages patrons from making payments in this fashion.

11.1.1.1.   Walk-In Payments

Violators may pay a violation at a CSC walk in location. The staff in these locations has access to the VPS payment screen and is trained to handle the violations funds in addition to account funds.

Because the staff might need to make change for cash violation payments, they must sign out their cash drawer at the beginning of the shift and return the drawer at the end of the shift. The walk-in staff can take all payment types in-person.

11.1.1.2.   Telephone Payments

A violator can make a telephone payment in the following two ways:

- Speaking with a CSC phone staff member: During business hours, the phone system prompts the caller to select his reason for calling. A violator can select to speak with a representative to make a payment on the violation. To pay a violation over the phone, the caller must use a credit card.

    Note: *Phone representatives that post payments must complete a deposit at the end of their shifts.*

- Accessing the IVR violation payment option: The phone system also offers the caller the option to go through the automated service and pay the violation. This is the only phone payment option available after business hours. This payment selection also requires a credit card.

11.1.1.3.   Mail and Fax Payments

Mailed and faxed payments are first handled and counted by the production staff. When the payment processing staff receives the payments, they must verify the quantity sent from the mailroom. This ensures that payments are not lost in the transfer.

The payment processing staff is responsible for posting these payments in the VPS and completing deposits.

11.1.1.4. Website Payments

Violation payments made over the Website are posted by the violator. The Website prompts the violator to enter the violation number, payment amount, and the credit card number. The credit card processing is automatic and the violator receives a confirmation number when the transaction is complete.

11.1.1.5. COURT PAYMENTS

The VPS enables payments to be received from the court system. The information about this process is available as the configuration and exchange details are designed. It is anticipated that the violator will make payments for violations at a court office and information is sent to the VPS for updating the violation records.

11.1.2. Posting Payments

Prior to posting any payment to the VPS, the user must open a deposit batch. A deposit batch is where all the payments for the user on that business day are recorded.

11.1.2.1. OPENING A DEPOSIT BATCH

To make a new batch entry

1. Log on to the VPS (see Section 6).

2. Select **Financial** from the main menu. See Figure 11.1.

Figure 11.1 Financial Tab

3. Select **Batch Entry** from the list on the left margin as shown in Figure 11.2.

Figure 11.2 Batch Entry Option

The system opens the **Batch Entry** screen. This screen shows all batches that are open or need to be verified.

4. To add a new batch, click the **Add** button. See Figure 11.3.

Figure 11.3 Add Button

The **Batch Entry Add** screen appears. The **Batch #** field automatically populates a system-generated number. The **Batch Type** is a configurable list of batch options.

5. For processing payments, select **Payment Batches** and click the **Save** button.

Figure 11.4 Batch Entry Add Screen

The following are some restrictions on the **Batch Entry Add** screen:

- A user may have only one batch open at a time.

- A user may only create a batch for his use.

- A batch must be open for a payment to be associated with it.

- A batch may only be used for payment processing the day it was created.

- Corrections to a payment within a batch are only allowed the same day of the payment and only if the batch is open.

- Users may close their own batches.

- Only users with the role of Supervisor/Finance Department may verify a batch.

- A user may close and edit batches other than his own when a supervisor needs to process a batch on behalf of other employees.

11.1.2.2.   Payment Entry

To post a payment to a violation, the user must open the **Payment Entry** screen. This screen can be accessed in several ways including from the **Violator Search Results** screen, the **Violator Details** screen and, for those with permission, from the **Ledger Search Results** screen.

To access the Payment Entry screen from the Violator Search Results

1. Select the **Customers** tab from the main menu as shown in Figure 11.5.

Figure 11.5 Financial Tab
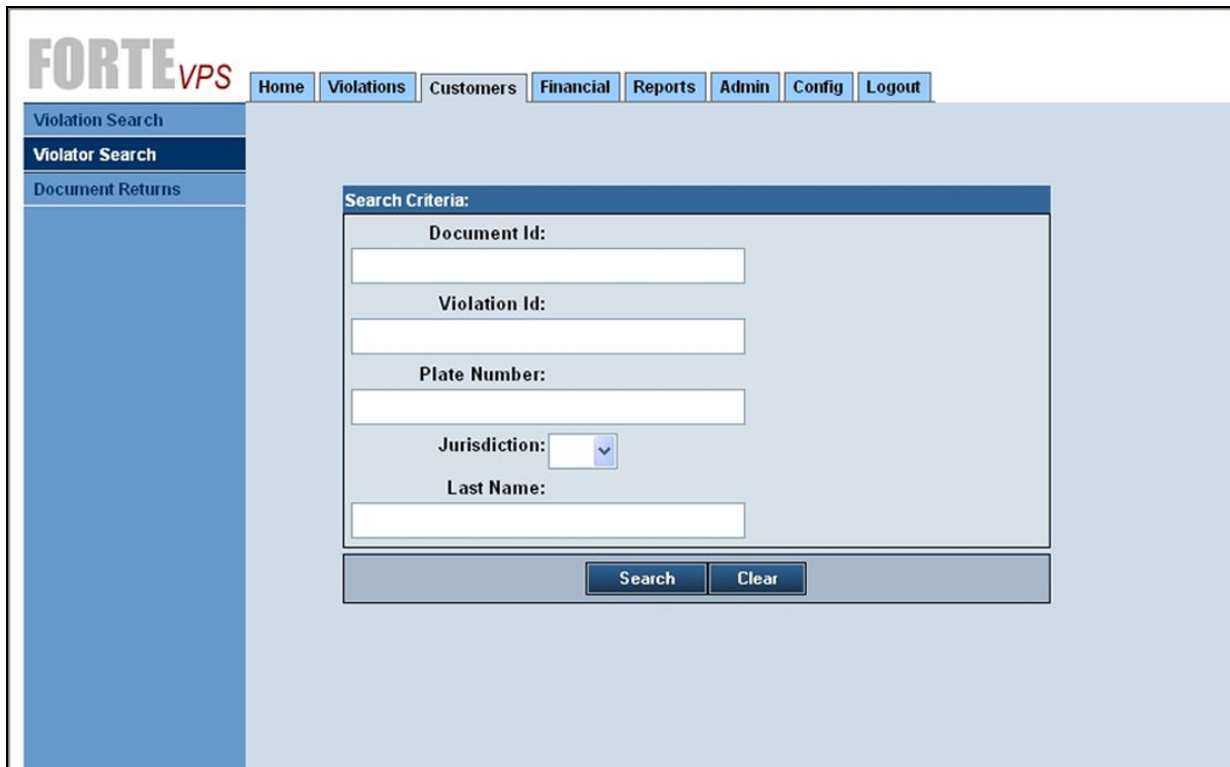
2. Select **Violator Search** from the list in the left margin. See Figure 11.6

Figure 11.6 Violator Search Option

The **Violator Search** screen (Figure 11.7) displays.

Figure 11.7 Violator Search Screen

3. Enter the document information and click the **Search** button.
    The system then returns the violation records based up on the search
    criteria. See Figure 11.8.

Figure 11.8 Violation Records

4. Click on the **Name** of the violator to retrieve the violation. The **Violator Search Results** screen appears.

5. Select the **Payment** link on the line item of the violator that is making a payment. The **Payment Entry** screen opens, as shown in Figure 11.9.

Figure 11.9 Payment Entry Screen

6. Select the **Source** and the **Payment Method** from the respective drop-down lists.

7. Enter the number of the check, money order or credit card number, if applicable.

8. Enter the payment amount in the next field. In the **Batch** field, the user's deposit batch number appears by default.
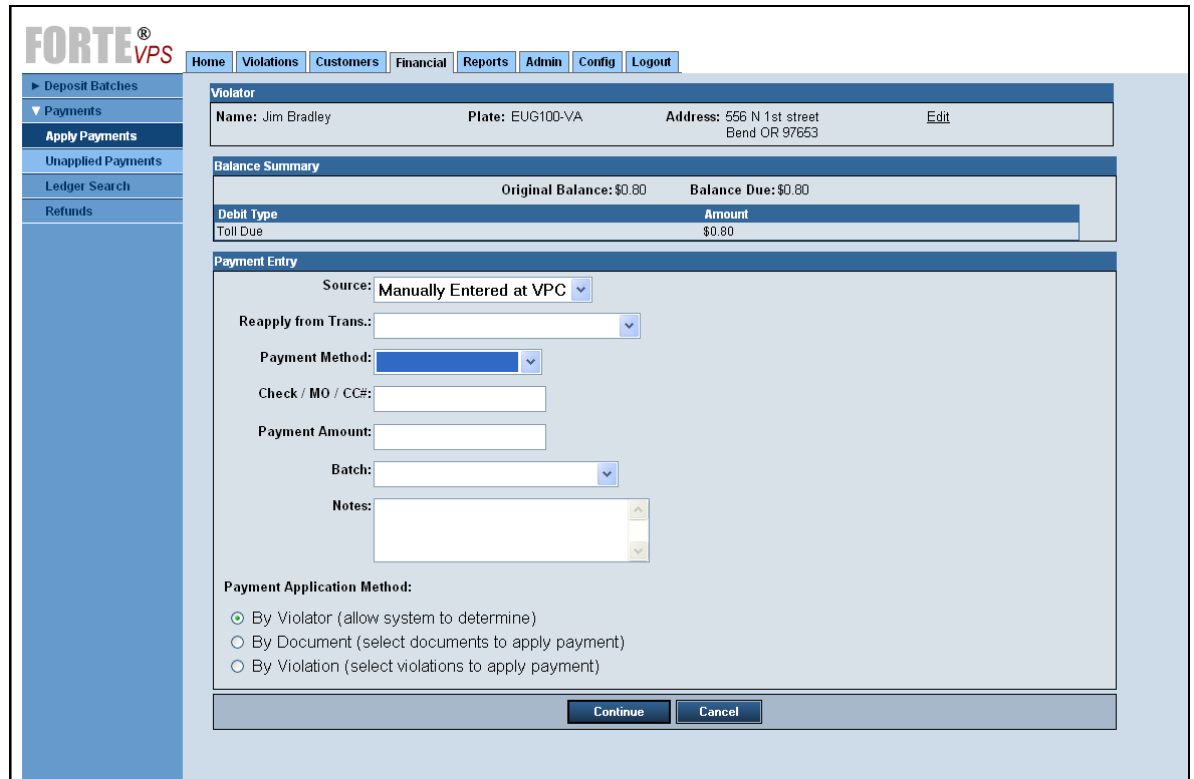
9. While in the **Payment Entry** screen, the user must select the way to post the payments. The user selects his preferred option from the **Payment Application Method** list that includes **By Violator**, **By Document**, or **By Violation**. These options are described in detail in the next sections.

11.1.2.3.   Posting a Payment by Violator

Payment by Violator is the default choice on the **Payment Entry Screen** (see Figure 11.10). If this is the option used, the system determines how to apply the payment to the open violations. The system uses information stored in the Debit Types table to perform this action.
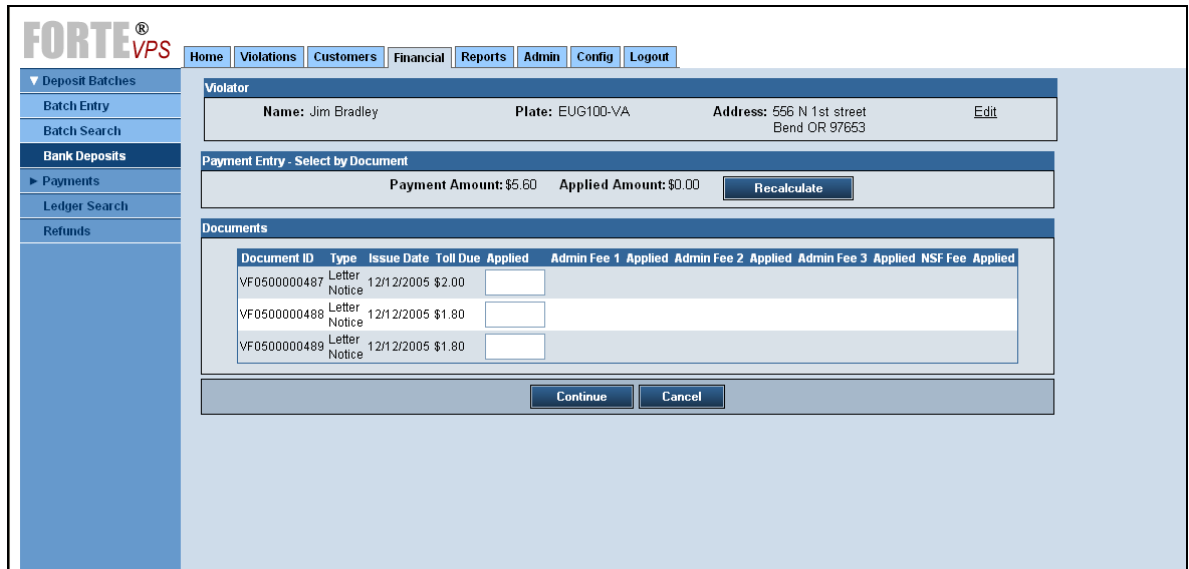
Figure 11.10 Payment Entry Screen

The Debit Types table is a configurable list instructing the system what receivables (open violation amounts) to post payments to and in what order. For example, a violator owes $500.00 in violation tolls, fines, and fees and this violator sends a check for $125.00. When the payment is posted, the system applies all the funds to the toll amount first, then to the fees, and (if the other receivables have been paid in full) the balance of the payment is applied to the fees. When all the payment information is entered, the user clicks on the **Continue** button and the **Payment Summary** screen opens.

Because this is a configurable parameter, the accounting and operations manager works with VDOT to define the business rules and identify the situations in which the Payment by Violator function should be used.

11.1.2.4.   POSTING A PAYMENT BY DOCUMENT

If the option of **Payment by Document** is selected on the **Payment Entry** screen, the **Select by Document** screen appears as shown in Figure 11.11.

Figure 11.11 Payment by Document

In this screen, the system shows the **Payment Amount** and the **Applied Amount** in the middle of the screen. **Document ID** and blank fields under the **Applied** heading to the right of the toll or fee present the user with a list of open violation amounts.

The user enters the amount to apply to each violation and each level. As the amounts are entered, the system calculates and shows the **Applied Amount**. Any amounts over the total amount due are considered an overpayment. When all the funds are applied, the user clicks the **Continue** button and the **Payment Summary** screen opens.

11.1.2.5.   Posting a Payment by Violation

If the option of **Payment by Violation** is selected on the **Payment Entry** screen, the **Select by Document** screen appears as shown in Figure 11.12.

Figure 11.12 Payment by Violation Screen

In this screen, the system shows the **Payment Amount** and the **Applied Amount** in the middle of the screen. The user is presented with a list of open violations (by violation number) and blank fields under the **Applied** heading to the right of the toll or fee.

The user enters the amount to apply to each violation and each level. As the amounts are entered, the system calculates and shows the **Applied Amount**. Any amounts over the total amount due are considered an overpayment. When all the funds are applied, the user clicks on the **Continue** button and the **Payment Summary** screen opens.

11.1.2.6.   Payment Summary

Pay by Violator, **Pay by Document**, and **Pay by Violation** screens open the **Payment Summary** screen as shown in Figure 11.13.

Figure 11.13 Payment Summary Screen

The use of the **Payment Summary** screen depends on whether the violator is a customer. The possibilities of the use of this screen are listed below. Each possibility has different processing steps.

- The violator is a CSC customer

- The violator is not a current CSC customer but wants to become one

- The violator is not a CSC customer and does not want to become one

The violator is not a customer and does not want to be one

If the violator does not want to be a customer (or if this option is not made available), the user clicks the **Save** button on the **Payment Summary** screen as in Figure 11.14.

Figure 11.14 Payment Summary Screen

11.1.2.7. Underpayments

If payment is received via mail or offered during a phone call or walk-in visit and the payment amount is less than the amount due, these payments are applied to the current balance in the following order:

1. Administrative Fees
2. NSF (non sufficient funds) – *if applicable*
3. Unpaid tolls

11.1.2.8. Three Day Rule

This rule addresses processing payments for violation notices during the "transition" period when the due date of First Notice is expiring and Final Notice is being created. There are instances when payment is received for the amount of the First Notice but Final Notice has already been created. Payment can now only be applied to Final Notice which contains a higher amount due to the more-punitive administrative fees.

- If a check is received for payment and the check is dated on or before the issue date of the Final Notice (VF or VFC), the payment will be applied to the Final Notice with the additional administrative fees being dismissed. If the check is dated after the issue date of the Final Notice, the business rule no longer applies and the payment will be applied as an underpayment.

- Violators can provide payment via credit card by mailing their credit card information to the service center. If the credit card payment is received

on or before the issue date of the Final Notice, payment can be processed for the amount due on the First Notice. Once payment has been processed for the original amount due, a supervisor must be notified to dismiss the additional admin fees. If the credit card payment is received after the issue date of the Final Notice, the business rule no longer applies and the payment will be applied as an underpayment.

- When a violator calls in/walks in to make payment on or before the issue date of Final Notice, payment can be processed for the amount due on the First Notice. If the payment is received after the issue date of the Final Notice, the business rule no longer applies and the payment will be applied as an underpayment. Once payment has been processed for the original amount due, a supervisor must be notified to dismiss the additional administrative fees.

11.1.2.9. Overpayment Processing Unapplied Payments

When posting an overpayment, the following criteria must apply:

- Payment received is for a violation that has been dismissed or paid in full

- No other violations events have been created for license plate number associated with payment.

- No other violation events have been created for party submitting payment.

- Party submitting payment does not have a CSC account

Access the **Unapplied Payment** screen through the **Payment** option on the **Financial** menu. Leave the **Unpaid Toll Payment** and the **Pre-paid Toll Payment** box unchecked. See Figure 11.15.

Figure 11.15 Unapplied Payment Screen
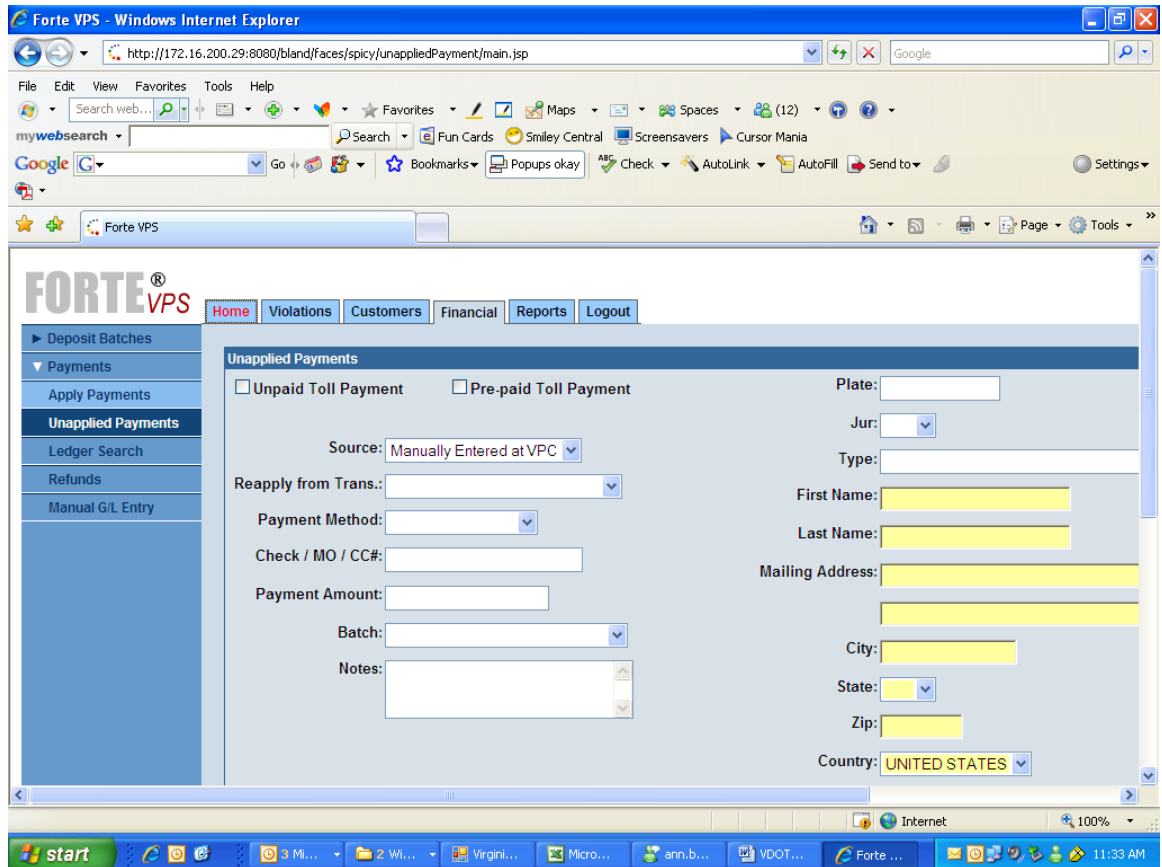
Enter information provided by party into the appropriate fields. In the note section, enter toll road name **FIRST,** enter **"**overpayment," VN/VF number (if available), enter "no other violations due at this time," enter "no CSC account."

If the overpayment is due from an unpaid toll, enter this information in the note section.

Once the overpayment is created, the record will appear on the **Ready for Refund Report**.

11.1.2.10.   Unpaid Toll Payment

The violation processing system can also process toll prepayments. If a patron is traveling on a VDOT roadway and does not have the money to pay the toll, he can stop at a toll facility to obtain an unpaid toll envelope.

Figure 11.16 Unpaid Toll Envelope

The completed unpaid toll envelope will be forwarded to the Violations Department and violation clerks will enter these payments into the violation processing system. As the associated violations are loaded into the VPS, an unpaid tolls filter captures these violations. The unpaid toll amount is posted to the system and the violation is dismissed.

To enter unpaid toll payments

1. Navigate to the **Finance** tab and click on the **Unapplied Payments** link.
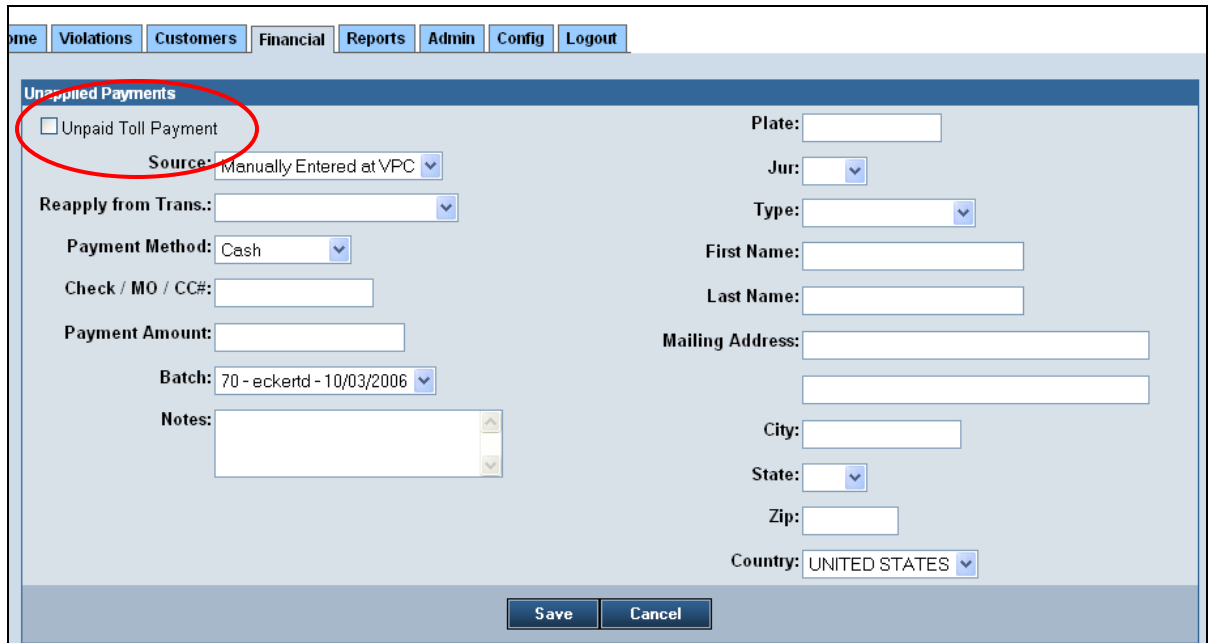
Figure 11.17 Unapplied Payments
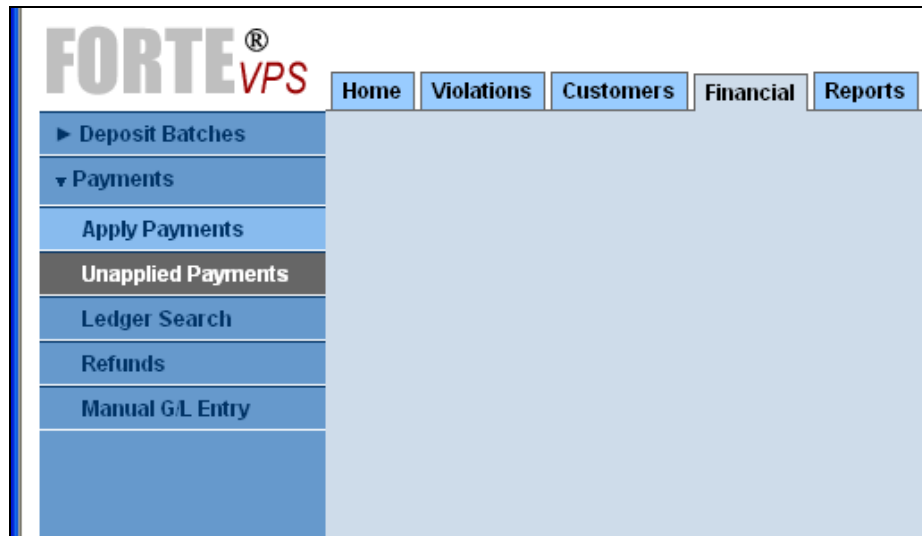
2. Click the unpaid toll payment box and enter the information obtained from the patron on the unpaid toll envelope.

3. Click **Save**. The unpaid toll information will be entered into the unpaid toll filter. Any subsequent violation that matches the information causes the violation to be voided and the payment posted as an unapplied payment in the VES.

Figure 11.18 Unpaid Toll Payment

The notes on the unpaid toll payment or prepaid toll payment must list the facility name first. Ex: DTR, Plaza 78, Lane 5, 05/23/08 18:01:10, 0.75, CSR Name.

In the **Audit** section of **Reports**, the transaction type report will report the following three categories of unpaid toll activity:

- Unpaid Toll Match to a Violation – Reports unpaid tolls that were matched to a violation by match date.
- Unpaid Toll Payment – Reports unpaid toll payments entered by payment date
- Unpaid Toll Payment Aged – Reports unpaid toll payments that have not matched by payment date.

11.2. Deposits

At the end of the workday or shift, the user returns to the **Batch Entry** screen (as described in Section **Error! Reference source not found.**. The user looks for his entry in the list of batches. See Figure 11.19.

Figure 11.19 Batch Entry Screen—Close Link

11.2.1. Closing a Deposit

The user clicks on the **Close** link of the batch line entry in the **Batch Entry** screen. The **Batch Entry Close** screen appears. See Figure 11.20.

Figure 11.20 Batch Entry Close Screen

To close the batch

1. Enter the count and amounts for the cash, check, and money order payments. The system automatically populates the credit card counts and amounts.

2. After entering all the payment information, click on the **Recalculate** button. This function calculates the total deposit amount entered and computes the difference between the batch amount and the system amount. The result is the variance amount.

- If there is no variance, click the **Save** button and the status of the batch changes to **Ready to Verify**.

- If there is a variance, the **Batch Out of Synch** screen appears.

11.2.1.1.   Batch Out of Synch

If there is a variance on the **Batch Close** screen and **Save** is selected, the **Batch Out of Synch** screen appears. See Figure 11.21.

Figure 11.21 Batch Out of Synch Screen

The **Batch Out of Synch Screen** gives the user three options:

- Enter a note related to the batch variance and select **Continue** to save the batch with a variance. The batch status changes to **Closed** and the associated reason code is **Batch Out of Synch**.

- Select **Cancel** to exit the close process without saving any of the data entered. The batch status remains open and returns to the previous screen.

- Select **Re-open** to keep the batch open, save the data entered, and return to the **Batch Entry** screen. At this point, the supervisor will investigate the batch variance.

Figure 11.22 Payment Correction Screen

When the user has completed his corrections, he clicks **Save**. The batch can then be closed and is ready to verify.

11.2.2.   Verifying a Deposit

The batch verification checks the amounts of the payments entered during the batch close process prior to making a bank deposit. A supervisor/accounting staff does this after a clerk has closed his deposit. The system does not allow the same user to both close and verify the same deposit.
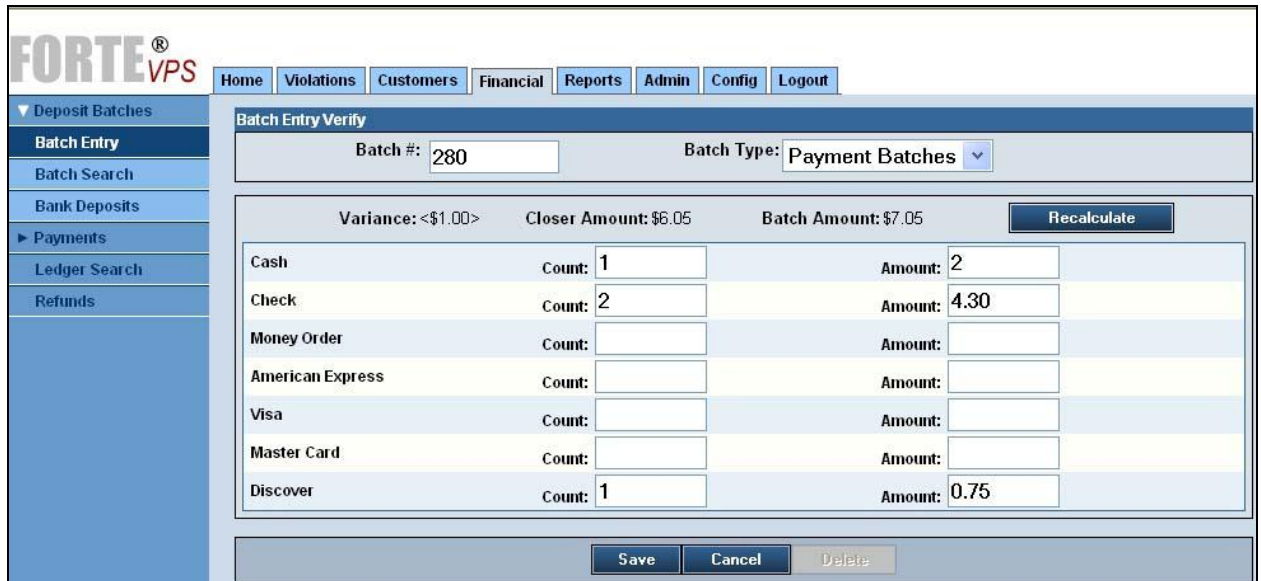
To verify a deposit, the supervisor/accounting staff navigates to the **Batch Entry** screen. He selects from the list a deposit to verify. Those deposits that are ready to verify show a **Verify** link in the far right column. See Figure 11.23.

Figure 11.23 Batch Entry Deposit Screen—Verify Link

When the supervisor/accounting staff clicks on this, the **Batch Entry Verify** screen appears. See Figure 11.24.

Figure 11.24 Batch Entry Verify Screen

In this screen, the supervisor/accounting staff is considered the closer. The supervisor recounts the cash, checks, and money orders received and enters the count and amounts for each in the appropriate fields. Clicking the **Recalculate** button calculates the difference between the **Batch Amount** and the **Closer Amount**; this dollar amount is the **Variance**. If a variance is found, the supervisor/accounting staff can save the batch with the variance or click on the **Cancel** button and return to the **Batch Entry** screen.

Because batches are in a closed state at the time of verification, the VPS does not allow them to be edited at the verification stage. Any variance associated with a batch is assumed to be valid. If it is necessary to edit a payment associated with a batch after the batch has been closed, the payment must be reversed.

12. CUSTOMER SERVICE

The key to handling most violation-related customer service inquiries is *violation research*. The Violation Processing System (VPS) is equipped with several ways to research a violation. This functionality also includes methods of locating violation details from other inquiries.

To understand violation research options, it is helpful to see how the system screens are related. Figure 12.1 shows the flow of the **Customer Service** screens.

Figure 12.1 Customer Service Screen Flow Diagram
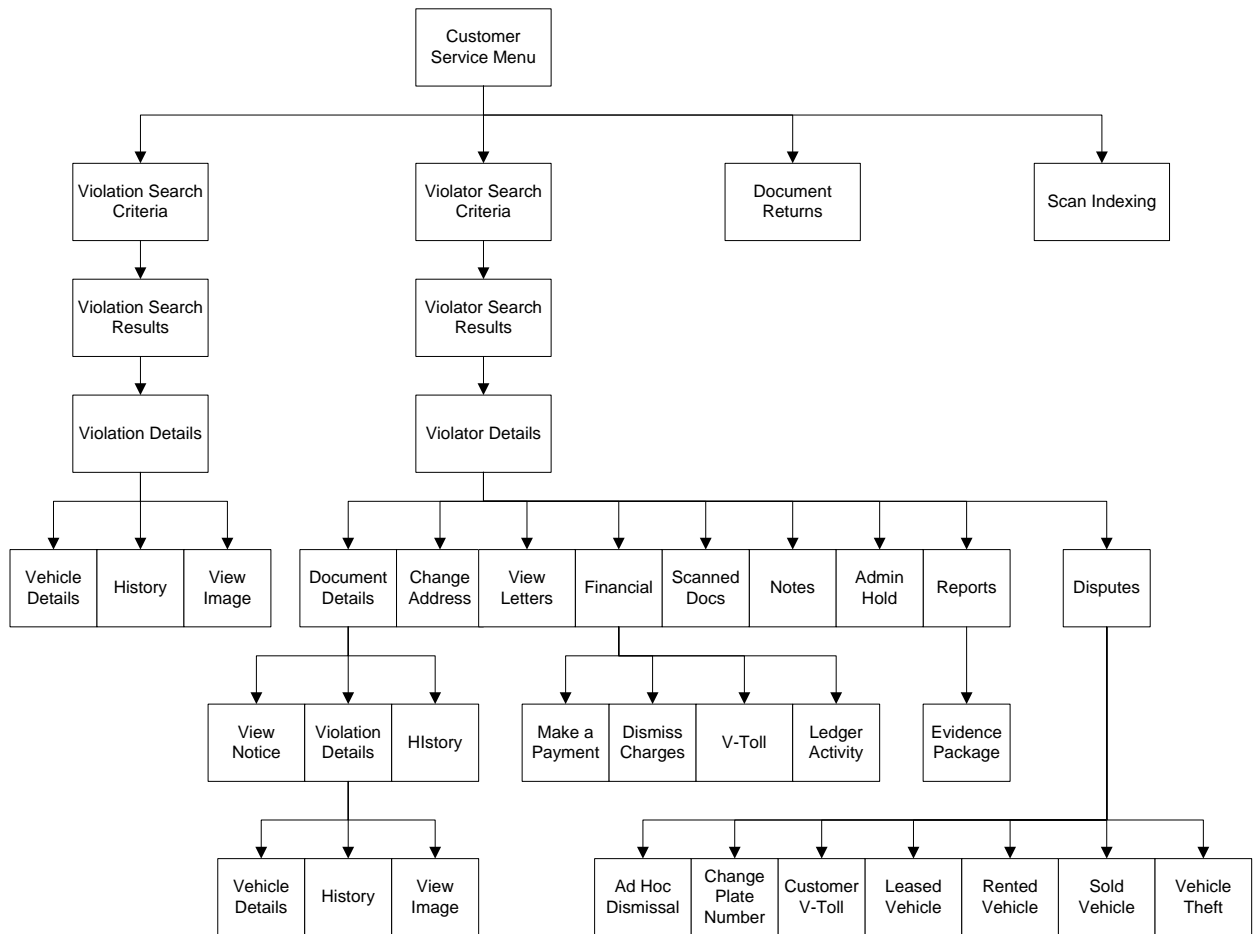
Some of the functionality linked to the **Customer Service** screen has been covered in previous chapters; this chapter makes reference to the previous material.

To access the **Customer Service** screen, log on to the VPS (see Chapter 6) and select the **Customers** tab from the main menu. See Figure 12.2.

Figure 12.2 Customers Tab

You can select from a list of four screen options on the left margin. See Figure 12.3.

Figure 12.3 Violation Search Option

These options include the following:
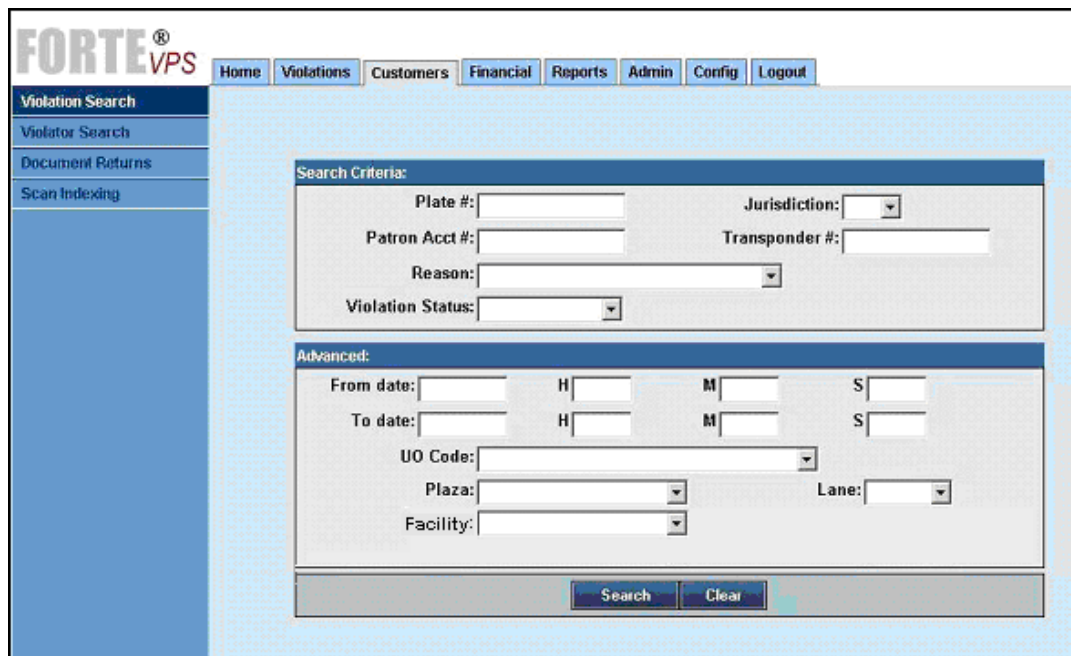
- **Violation Search** (See Section **Error! Reference source not found.**)

- **Violator Search** (See Section **Error! Reference source not found.**)

- **Document Returns** (See Section 9.1.2)

- **Scan Indexing** (See Section 10.3.2)

Screen use and function is covered in the sections noted above.

12.1. Violation Search

The **Violation Search** screen provides various ways to search on violation information. See Figure 12.4.

Figure 12.4 Violation Search
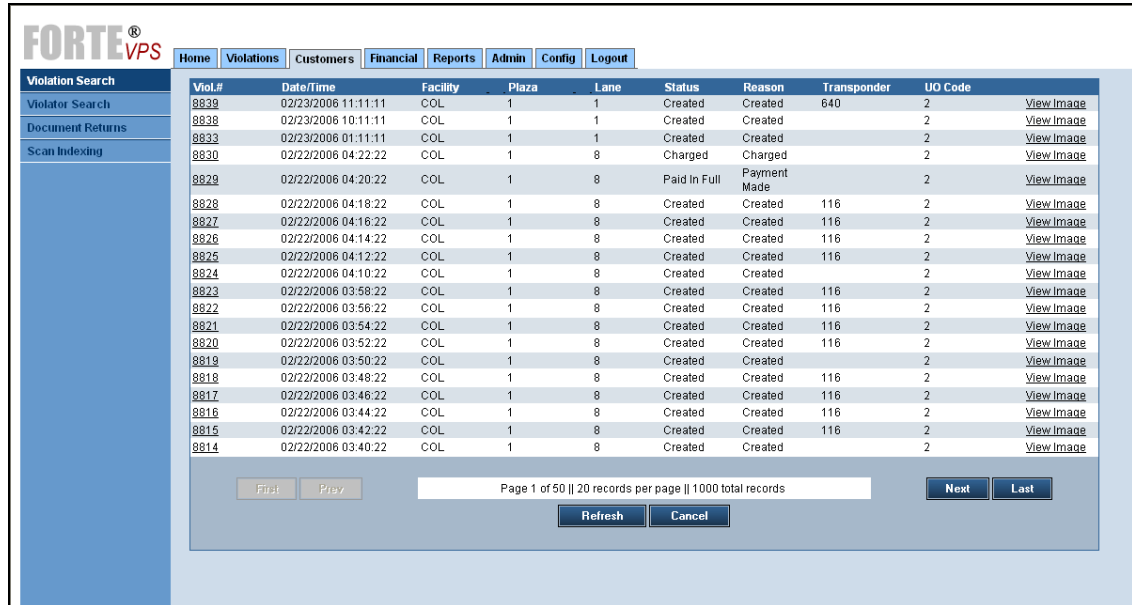
Enter the details into the fields and click on the **Search** button. The **Violation Search Results** screen appears. See Figure 12.5 for an example.

Figure 12.5 Violation Search Results Screen

From the **Violation Search Results** screen, you can view the information related to each violation that matched the search criteria. Customer account information is returned only if the violator has a CSC account. The screen provides links to view both the details of a specific violation and to view the associated images.

12.1.1.   Violation Details

From the **Violation Search Results** screen, click on a number in the **Vio#** column. The **Violation Details** screen appears. See Figure 12.6.

Figure 12.6 Violation Details Screen

On the **Violation Details** screen, you can see the violation transaction information, the vehicle detail information (not a separate screen), and any CSC-related information.

The screen also lets you see the violation image by clicking on the **View Image** button or see the history of the violation by clicking on the **History** button.

12.1.1.1.   VIEWING THE VIOLATION IMAGE

Selecting the **View Image** button opens the **Image** screen as seen in Figure 12.7.

Figure 12.7 Image Screen

The screen lets you choose which images you want to see. To view an image, select a description in the **Image** window. Click the **Cancel** button to exit the current screen and the previous screen reappears.

12.1.1.2.   Viewing the Violation History

Select the **History** button on the **Violation Details** screen (shown previously in Figure 12.6 Violation Details Screen) to open a sequential history of violation processing. The general **Violation History** screen, shown in Figure 12.8, includes the violation ID, plate, jurisdiction, plate type, violation status, reason code, date created, and individual or process that created the entry in the VPS.
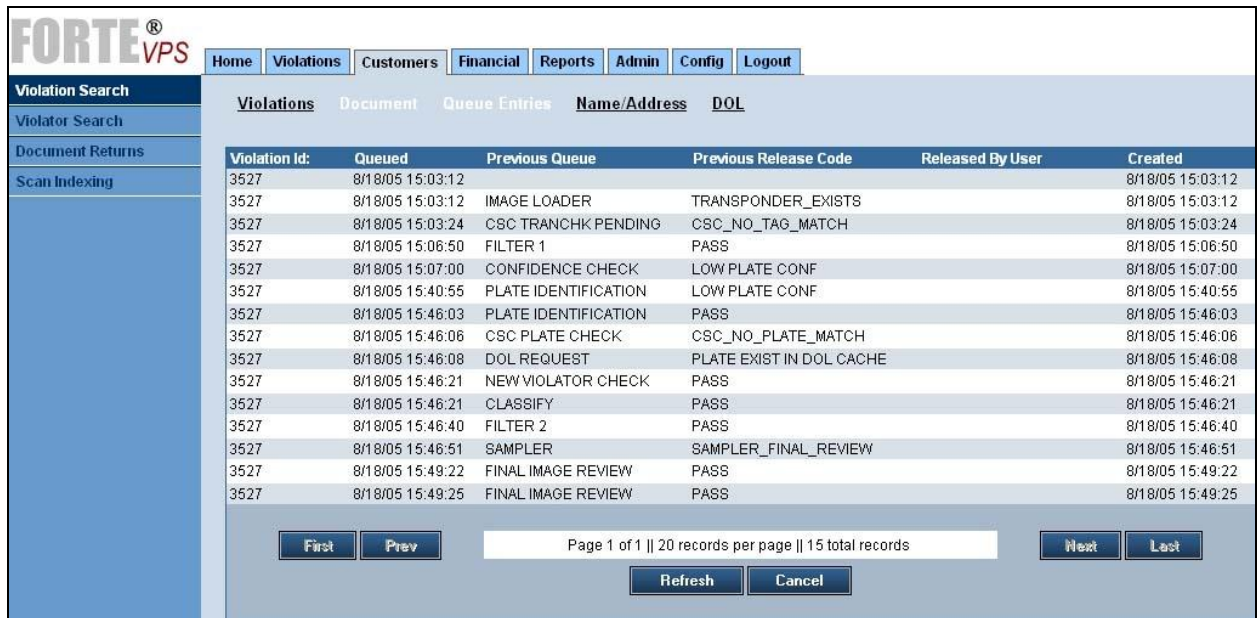
Figure 12.8 Violation History Screen
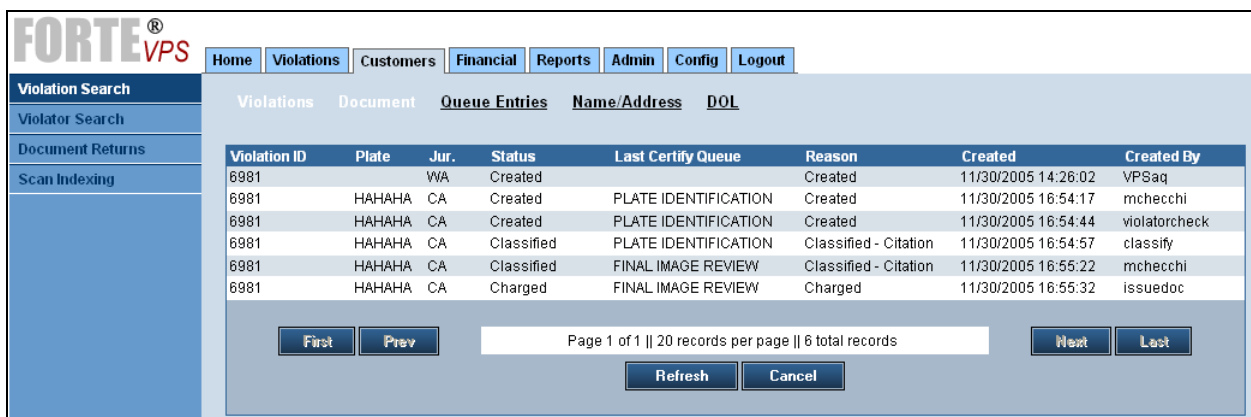
The **Violation History** screen is used to check personnel performance. If errors are detected in processing, the individual can be identified through this screen. The person can then be re-trained to ensure proper processing occurs in the future. The **Violation History** screen provides several links to other historical details about the violation. These include: queue entries, name/address change history, and DMV history.

12.1.1.2.1. Queue Entries

The **Violation History** screen provides a link to a history of system processes that the violation went through. Access this screen by clicking on the **Queue Entries** link at the top of the screen. The **Queue Entries** screen appears as shown in Figure 12.9.

Figure 12.9 Queue Entries

12.1.1.2.2. Name/Address Change History

The **Violation History** screen provides a link to the history changes with the name and address of the violation. Access this screen by clicking on the **Name/Address** link at the top of the screen. The **Name/Address History** screen appears as shown in Figure 12.10.

Figure 12.10 Name/Address History Screen
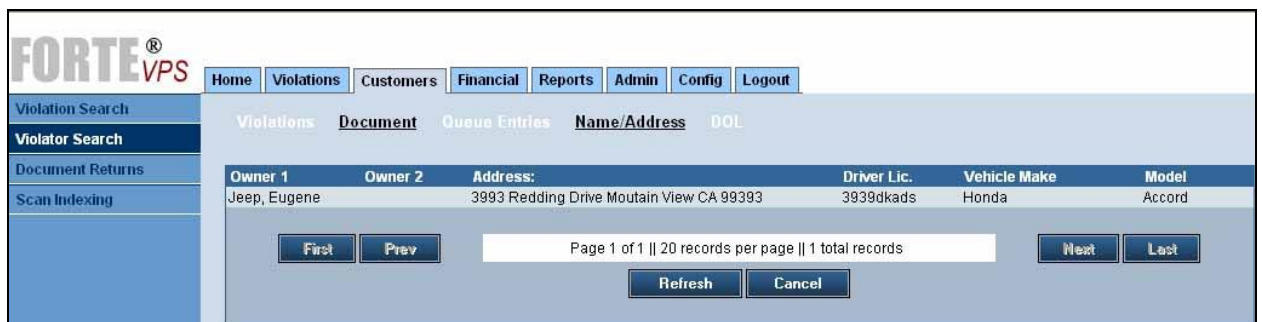
12.1.1.2.3. DMV HISTORY

The **Violation History** screen provides a link to the information returned from the DMV. Access this screen by clicking on the **DMV** link at the top of the screen. The **DMV History** screen appears as shown in Figure 12.11.

Figure 12.11 DMV History Screen
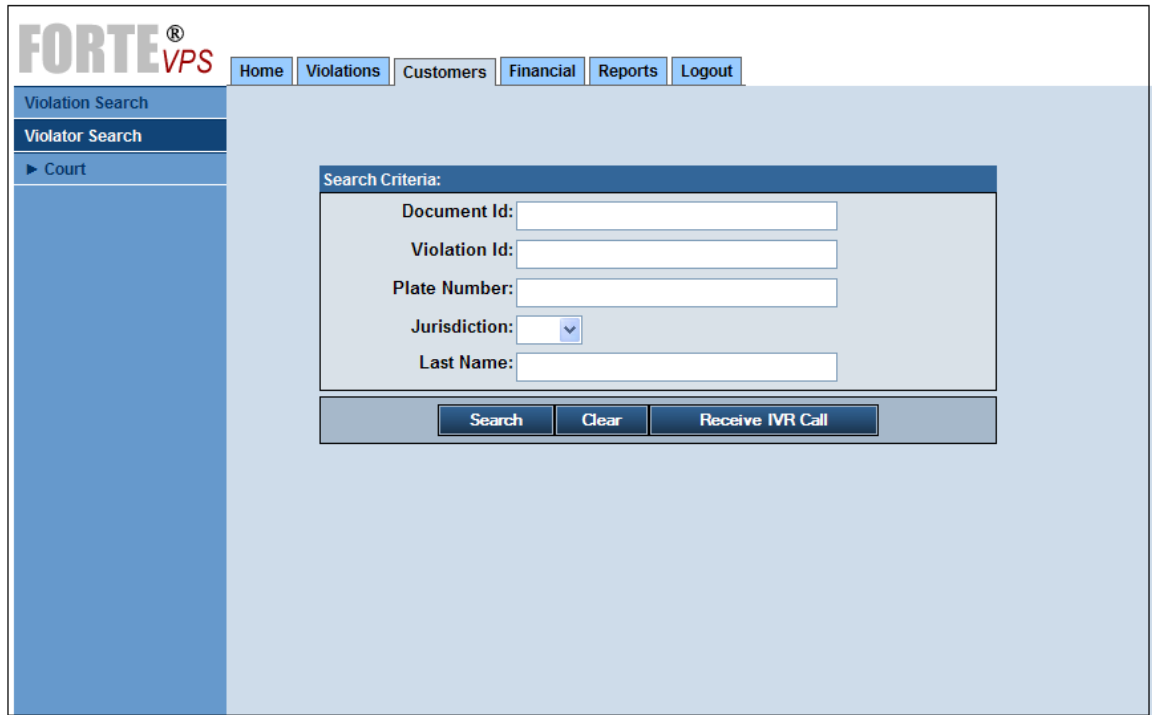
Note: *The* **DOL** *link shown in this example is changed to* **DMV** *for VDOT.*

12.2. Violator Search

The **Violator Search** screen provides various ways of searching on violation information. See Figure 12.12.

Figure 12.12 Violator Search Screen

Enter the details into the fields and click on the **Search** button. The **Violator Search Results** screen appears. See Figure 12.13.

Figure 12.13 Violator Search Results Screen

From the **Violator Search Results** screen, you can view the information related to each violator that matched the search criteria. The screen provides links to view both the details of a specific violator and to access the **Violation Payment** screen. Clicking on the name of a violator opens the **Violator Details** screen.

12.2.1.   Violator Details

The user can access the **Violator Details** screen by selecting a name from the **Violator Search Results** screen (Figure 12.14). This screen returns details on document identification numbers and versions, status, reason, document issue date, last ledger date, and the balance amount.

Figure 12.14 Violator Search Results Details Screen

From the **Violator Details** screen, a CSR can find details related to the violator's violations. Some of this functionality is described in other sections of this manual. The screen options with corresponding section references are listed below:

- Review details of documents issued to the violator (See Section **Error! Reference source not found.**)

- Change the Address of the violator (See Section **Error! Reference source not found.**)

- Process a violator dispute (See Section 10.1)

- Review violator violation notices and letters (See Section 10.2.4)

- View scanned documents from the violator (See Section 10.3)

- Place a document on administrative hold (See Section **Error! Reference source not found.**)

- View or add notes (See Section 9.1.21)

- View or process financial data (See Section 11.1)

- Cancel and return to the previous screen
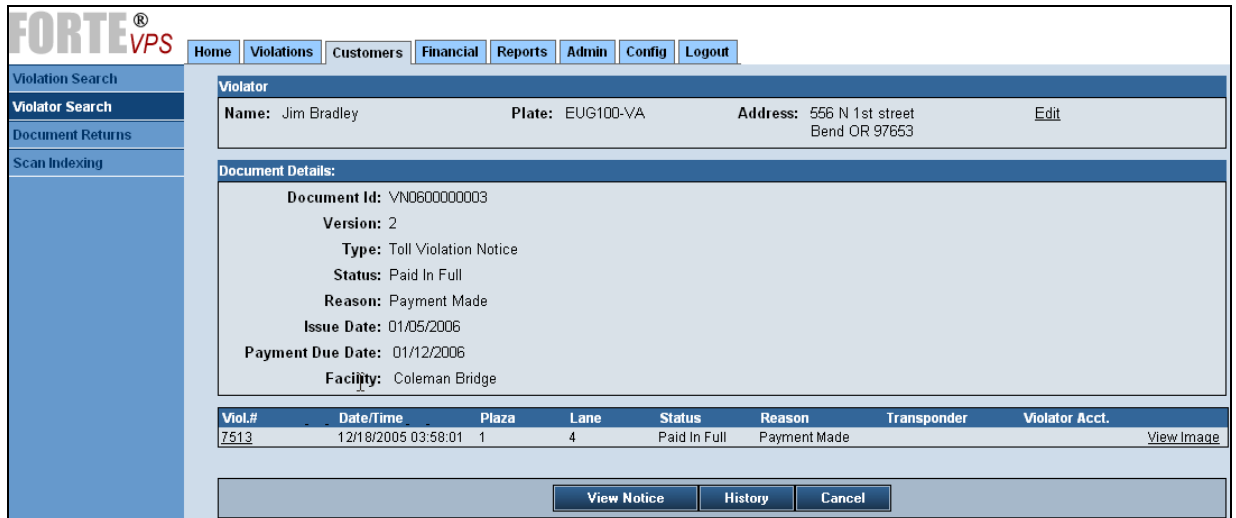
12.2.2.   Document Details

You can access the **Document Details** screen by clicking on a specific document number link in the **Doc ID** column in the **Violator Details** screen. The **Document Details** screen shows information for the document selected including the following:

- Document identification number

- Document version

- Document type

- Document status

- Reason for the current status

- Document creation date

- Date the document was mailed

- Payment due date

The **Document ID** screen example is shown in Figure 12.15.

Figure 12.15 Document ID Screen
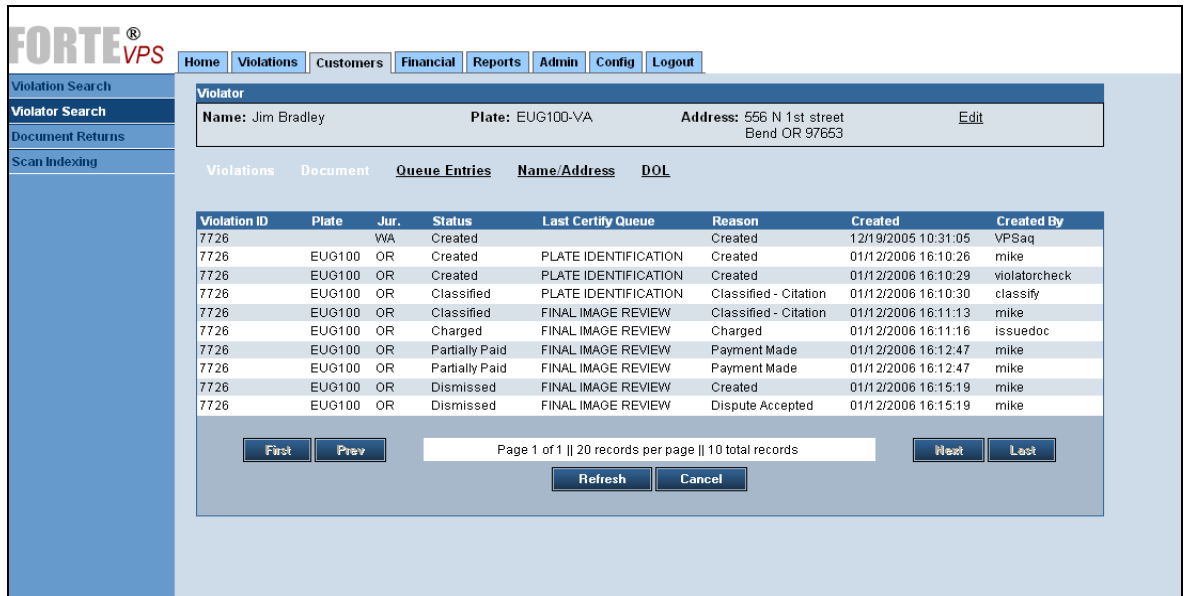
The **Document ID** screen provides links to other information, including the option to view the notice and the **Document History** screen.

- If you click on the **View Notice** button, the screen shows a picture of the notice issued to the violator.

- If you click on the **History** button, the screen shows the **Document History** screen, which shows the details of the document creation. See Figure 12.16.

Figure 12.16 Document History Screen

12.2.3. Address and Contact Changes

The **Violator Detail** screen provides the option to change the violator's address. To make the changes, select the **Edit** link at the top of the screen. This opens the **Change Address** screen shown in Figure 12.17.

Figure 12.17 Change Address Screen
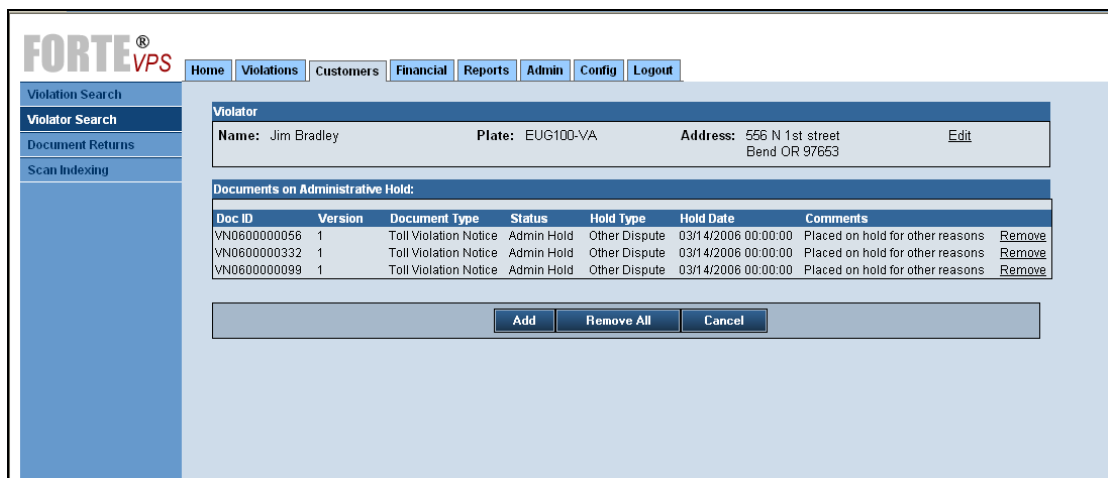
Enters the new information into the appropriate fields and click the **Save** button to update the information. If the address changes, subsequent violations are addressed with the new contact information; previous violations are not affected.

Business rules define when it is appropriate to use this process to change the address of a violator that is not the result of returned mail with a forwarding address.

12.2.4.   Administrative Hold

Start the process of placing a document in Administrative Hold status by clicking the **Admin Hold** button on the **Violator Details** screen. The **Administrative Hold** screen appears. See Figure 12.18.

Figure 12.18 Administrative Hold Screen

In this screen, you can see all the documents currently in administrative hold status. You can Add, Remove All, or Cancel and return to the **Violator Details** screen.

- If you click on the **Remove All** button, the system removes the hold on all documents currently on hold. The documents return to their status prior to being on hold and the system adds any administrative fees that would have applied when the document was on hold.

- If you click on the **Add** button, the **Admin Hold Add** screen appears. See Figure 12.19.

Figure 12.19 Admin Hold Add Screen

In the **Admin Hold Add** screen, select the hold type from the drop-down list, enter the hold date, and entes a comment if desired. The system provides a list of documents associated with the violator that can be placed on hold. Select one by clicking in the checkbox and then clicking the **Save** button.

12.3. Customer V-Toll Process for CSRs

Note: *Phone and Retail CSRs process manual v-tolls (Customer V-Tolls) for E-ZPass Virginia patrons only.*

Beginning April 1, 2009, telephone and Retail CSRs process customer v-tolls differently than the process outlined in Section 10.2.2. The purpose of separate processes is to accurately reflect what v-tolls are being processed as customer service activity and what v-tolls are being processed as the result of disputes being mailed in. The procedure for processing E-ZPass Virginia patron disputes is as follows:

12.3.1. Preliminary Work

Before completing any Customer V-Toll for an E-ZPass Virginia patron, the CSR needs to check the following three things:

- Check the account to make certain there are enough funds to cover the sum of all events that will be v-tolled. If there are not enough funds available, a payment must be processed prior to v-tolling.

- Check to see if the vehicle listed on the violation notice is listed on the patron's account. If the vehicle is not on the account, investigate with the customer as to the reason the vehicle is not on the account and resolve. The Customer V-Toll dispute process will add the vehicle to the patron's account if it is not currently listed.

- Check the **Account Activity** in the CSC application to see if transactions occurred that match the violation events on the violation notice (duplicate transactions).

12.3.2. Procedure

1. Search the VPS application by either Document ID or Plate Number. The following screen will appear:

Figure 12.20 VPS Search Results

2. Click on "VToll Charges" in the Financial drop down menu (see above). The following screen will appear:

Figure 12.21 Dispute Reason Selection

- "Manually Entered at VPC" will be default for the **Dispute Source**.
- Enter the patron's E-ZPass Virginia account number in the **Patron Account** field.
- Make sure "010 – Smart Tag Virginia" is selected from the **Transponder Agency** drop-down menu

CRITICAL Do not enter any information into the ***Transponder Number*** *field, even if it the patron offers it.*

3. Enter the applicable toll facility abbreviation (DTR, PW, CB, RMA), patron's E-ZPass account number, any applicable note about the account status that may have led to the violation notice, the date, and the CSR's initials in the **Notes** field

4. Click the **Continue** button at the bottom of the screen. The following screen will appear:

Figure 12.22 V-Toll Event Selection

5. Click in the box beside each violation event to be v-tolled; then click on continue (see above).

Figure 12.23 V-Toll Verification
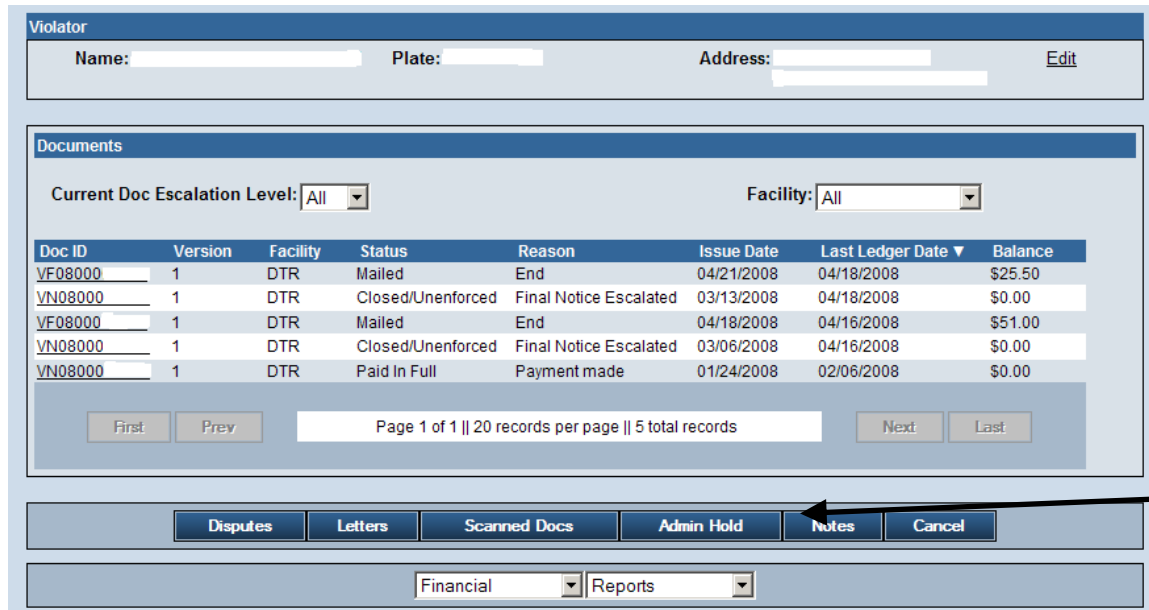
6. The screen above is a verification screen that allows you to double-check your work before processing the v-toll. Click **Save** to process the v-toll.

7. For follow-up, after the v-toll has been processed, go back into the **Notes** section and add the same notes placed when processing the v-toll (this can be copied and pasted). The customer's account should also be noted.

Figure 12.24 Add Notes
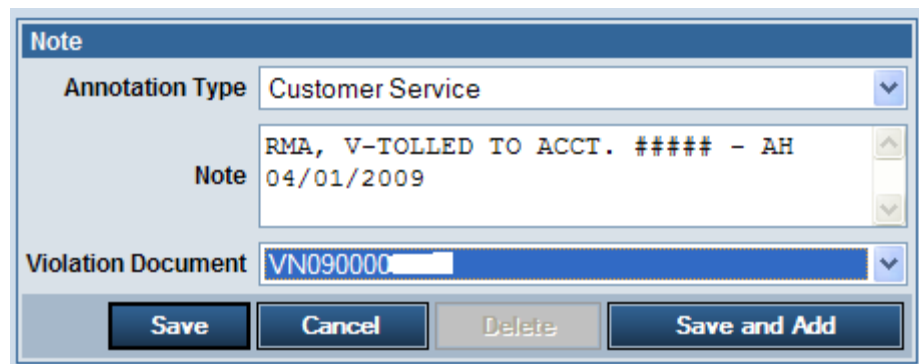
8. Click the **Add** button.

9. Then complete the next screen by selecting "Customer Service" as the **Annotation Type**, typing (or pasting) the notes into the **Note** field, and choosing the applicable Document ID from the **Violation Document** drop-down menu. (see below).

Figure 12.25 Add Annotation

10. Click **Save**. The procedure is complete.

13.   DOCUMENT SCANNING

13.1. Document Scanning Process

Each day the mailroom sorts all mail by type. Violation disputes are grouped together and delivered to authorized scanning personnel within the Violations department. Documents are sorted into categories for the scanning process by dispute type. Mail items that are smaller than 8 ½ inches by 11 inches will be taped to an 8 ½ -inch by 11-inch blank page prior to scanning and placed with other associated documents to be scanned.

13.2. Using VPS Document Scanning System

13.2.1.   Scan System Overview

This section describes the processes for scanning documents that are mailed to the Violation Processing Center (VPC). Violators may choose to dispute their violations by sending various forms of documentation to the VPC. The VPC staff performs the steps to scan and store document images to the VPS and link them to violators and violation documents in the Forte database.

The Scan Station is a stand-alone application that interacts with a scanner and the Forte® database. It allows an operator to scan one or more documents and save them to the VPS Image Server. The image files are then uploaded on the Image Server directory and appropriate entries are made in Forte VPS® database tables and scan queues.

In the VPS application, scanned images from the queues are manually reviewed and indexed to violators and documents. If an image cannot be properly indexed, it may be rejected. Once images have been indexed to violators they are viewable within the VPS application from the Scanned Docs button on the Violator Details page.

13.2.2.   The Scanning Station

Scan Station allows the scanning of one or more documents and saving them to the Image Server. When the document images are stored to the Image Server, queue entries are created in the Forte VPS® database for processing and indexing the scanned images from the **Customers** tab **Scan Indexing** submenu item.
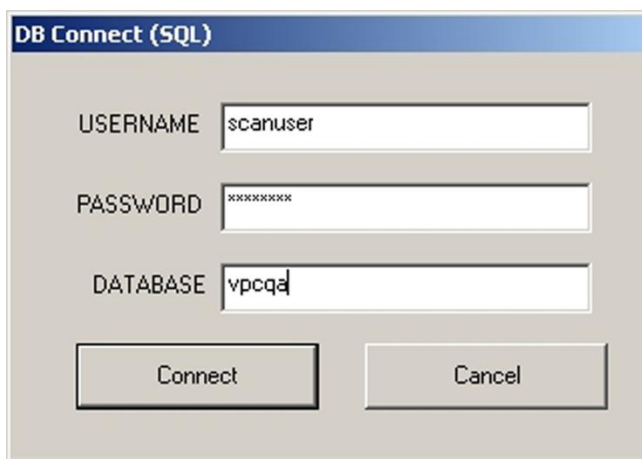
To start the scan station application, double-click on the Scanning Station icon (located on the desktop of the Scan Station system). The scan station icon used to start the application is shown below in Figure 13.1.

Figure 13.1 Scan Station Application Icon
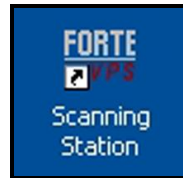
Once the icon is selected, the Scanning Station Logon box appears, as illustrated in Figure 13.2 below. The Username and Password fields require user input; the Database field is pre-populated with the value from an .ini file. Only authorized Violations department personnel have access to log into the scanning system.

Figure 13.2 Scanning Station Logon Box

13.2.3.   Scan Types

The VPS supports multiple scan types that the VPS system administrator maintains. Examples of supported scan types include:

- Bill of Sale—required documentation for sold vehicle disputes

- Correspondence—any other correspondence received related to a violation/document

- Death Certificate/ Notice of Incapacity—proof of a Violator that is deceased

- Lease Agreement—agreement with a leasing company

- Police Report of Theft—required documentation for stolen vehicle disputes

- Rental Agreement—agreement with a rental company

Scan type can be configured to use a separate queue, or multiple scan types can use the same queue. The examples below assume each scan type has been configured to a

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separate queue. Scan types appear in the drop-down menu on the Scan Station application main page.

13.2.4. Pr ocess for Scanning and Categorizing Documents

The scanner categorizes documents based on the configured scan types. Each defined scan type is displayed in the scanning window, allowing you to categorize documents as they are scanned in. The VPS scan indexing process reads entries from the scan queues and indexes scanned images to documents and violators in the VPS database.

It is possible to scan in multiple documents, as described in the next section. The steps below describe the process for scanning documents one a time.

13.2.4.1. Scanning and Storing Individual Documents

The scanning of individual documents consists of the following steps:

1. Place the document in the scanner tray.

2. Categorize the document by selecting a scan type from the drop-down menu on the Scan Station main page. Figure 13.3 provides an illustration of the Scanning Station main page prior to scanning.

Figure 13.3 Scan Station Main Page (prior to scanning)
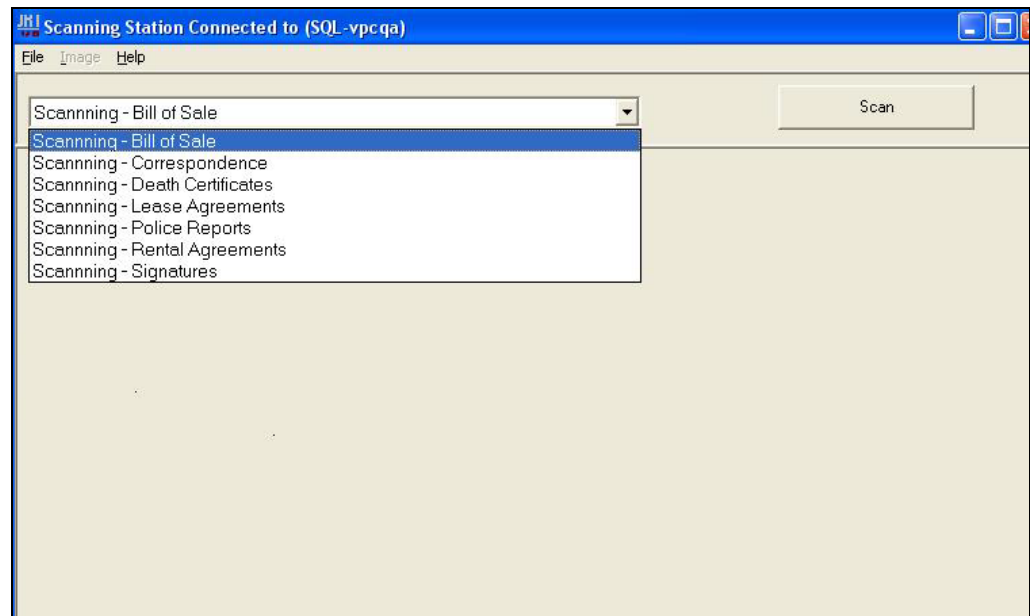
3. Click the **Scan** button to scan the document. The scanned document now appears in the window. An example is illustrated in Figure 13.4.

Figure 13.4 Scanned Document Displayed in Scan Station Page
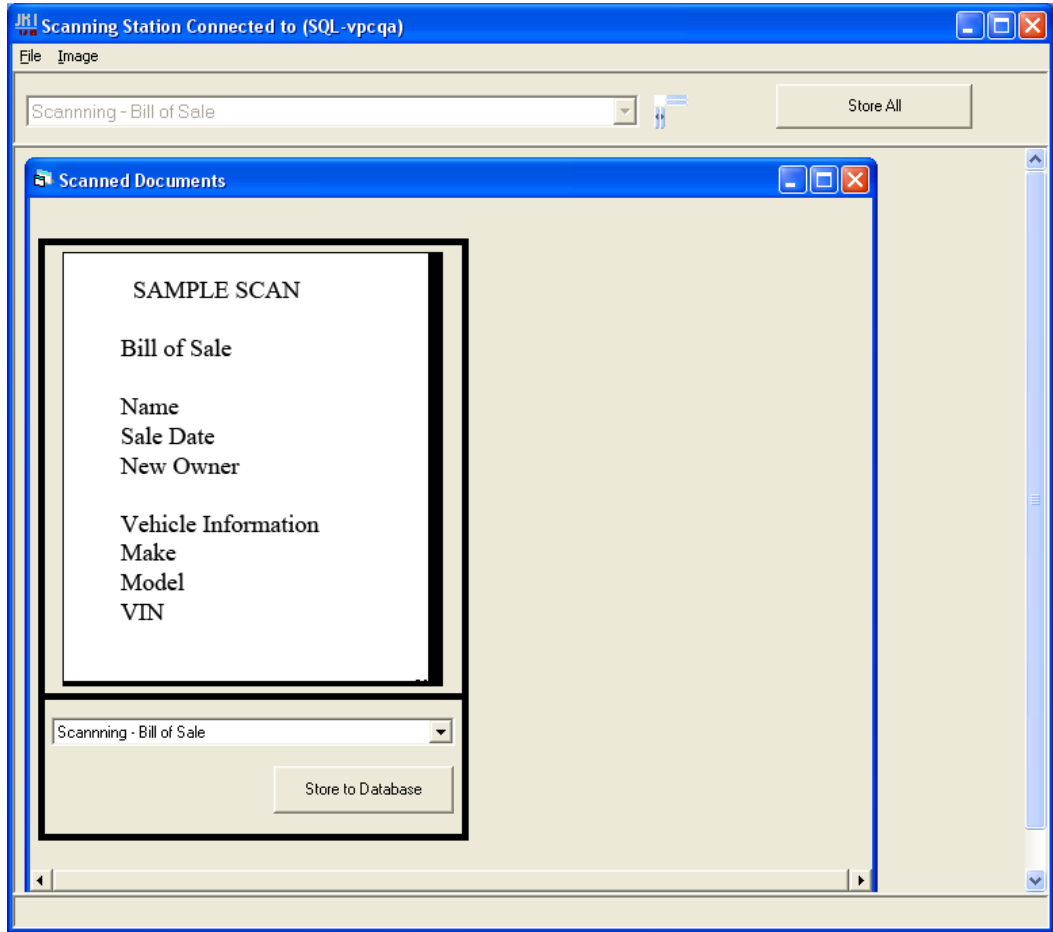
4. If the scan is acceptable, proceed to step 5. Otherwise, if the scan did not turn out correctly (for example, if the document was not properly placed in the scan system) click the close box of the **Scanned Documents** window. Select **Yes** when prompted to confirm closing of the document. Repeat step 1 to continue scanning. Figure 13.5 illustrates the **Confirm Closing Document** window.

Figure 13.5 Document Scan—Confirm Document Close
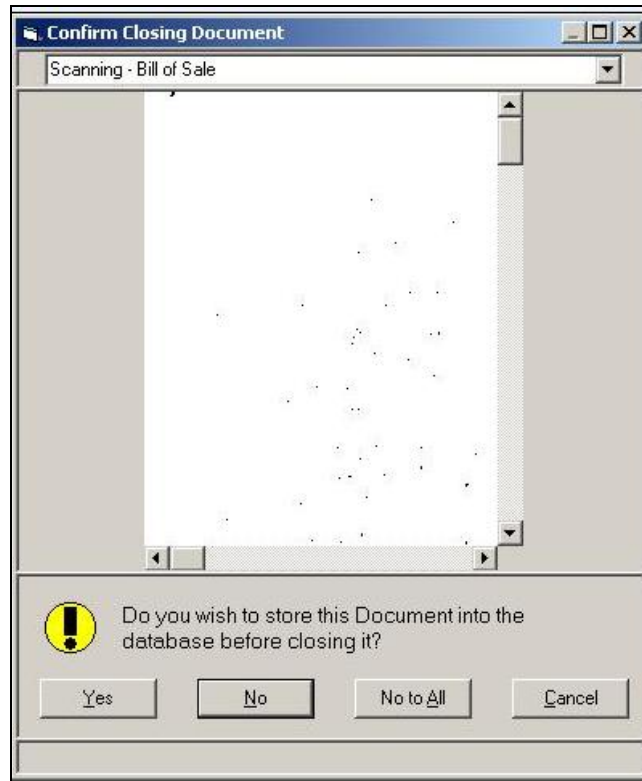
5. Select **Store to Database** to store an image of the document to the Forte Image Store. The following actions occur:

    - The image file is uploaded to the Image Store directory

    - A record is placed in the IMAGE and SCAN_DOCUMENT tables. The selected scan type is stored in the SCAN_DOCUMENT table entry. Until the document is indexed to a violator (this step occurs in the VPS application) the document remains unassociated to a violator.

    - An entry is placed in the appropriate scan queue. The contents of this queue are viewed within the VPS application during the (manual) scan indexing process.

    - The **Store to Database** option is disabled in the Scan Station main page. The document cannot be stored again without first being re-scanned. Figure 13.6 illustrates the Scan Station page after an image has been stored to the database.

Figure 13.6 Scan Station Page After Image is Stored to the Database
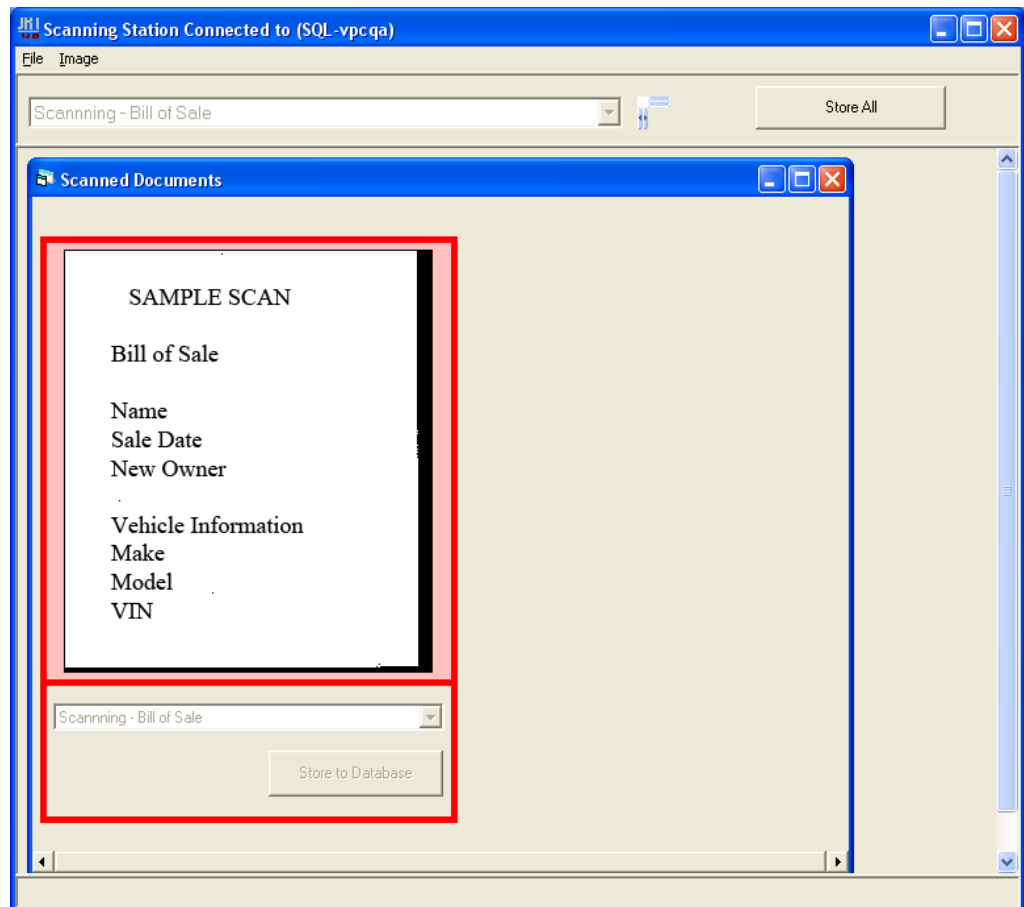
6. Select the close box located in the right hand corner of the **Scanned Documents** window. Repeat step 2 to scan another document.

7. If there are no additional documents to scan, select **File**/**Exit** within the Scanning Station main window to end the scanning application.

13.2.4.2.   Scanning and Storing Multiple Documents

The Scan Station allows multiple documents to be scanned. Documents should be grouped by scan type prior to placing them on the Scan Station tray. This is necessary because everything in the tray will be categorized as one scan type (see step 2 below).

To scan and store multiple documents

1. Place the documents in the scanner tray.

2. Categorize the documents by selecting a scan type from the drop-down menu on the Scan Station main page. Figure 13.3 provides an illustration

of the Scanning Station main page prior to scanning. The selected scan type will be applied to all the documents being scanned.

3. Click the **Scan** button to scan the documents. The scanned documents now appear in the window. This is illustrated in Figure 13.4.

4. Store each image to the Forte Image Store. The group of images may be stored simultaneously or individually.

- To store the entire group at once, select the **Store all** button. After each image has been stored, the **Store to Database** button located at the bottom of the frame of each individual image is disabled. If an image was previously stored individually, it will not be stored again by the **Store All** action.

- To store individual images within the group, click on the image frame and select '**Store to Database**'. The '**Store to Database'** button associated to the selected image is now disabled.

Figure 13.7 Scanning Multiple Documents
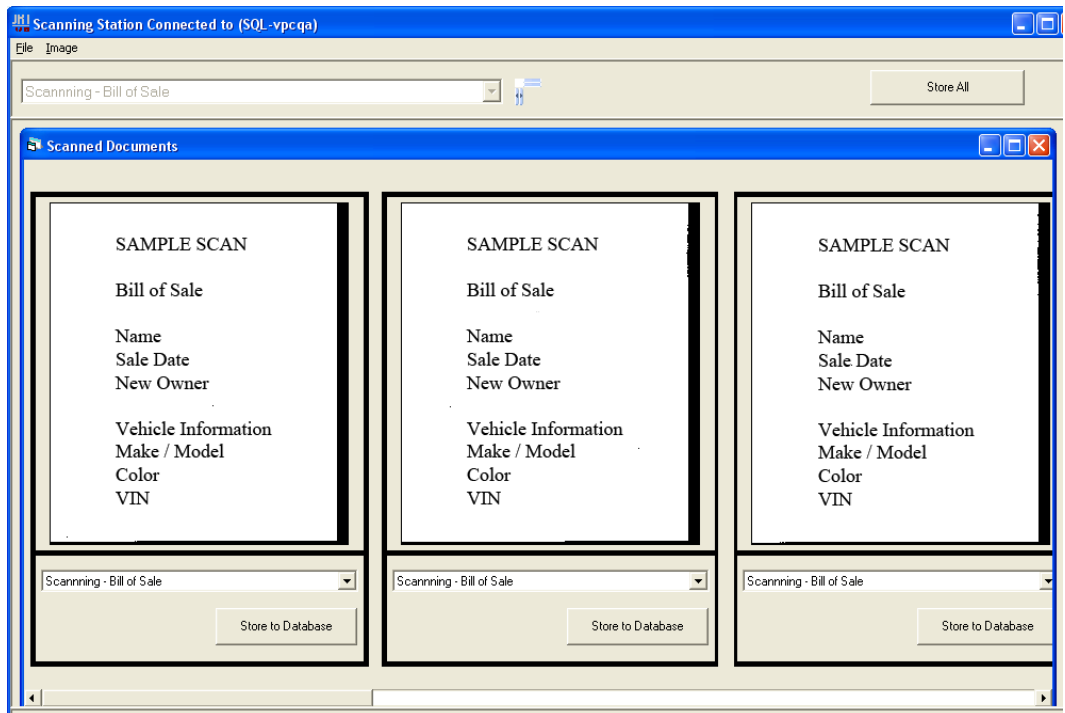
13.2.5.   Accessing Scanned Documents in Forté

Once documents have been scanned and stored to the VPS Image Server and database, they must be indexed to a violator and document to be viewed within the VPS. The Scan Indexing Queue Selection and Scan Indexing Image Review pages are used to index scanned documents. This process is described in the following sections.

13.2.5.1.   Indexing Scanned Documents

The Scan Indexing link on the Customer Service menu opens the Scan Indexing Queue Selection page and is the starting point of the indexing process. This page, illustrated in Figure 13.8, lists the number of entries in each of the configured scan queues. Entries for each of the queues are created when documents are scanned in at the Scan Station. You can search for a specific queue by entering a queue description and selecting Search.

The entries in the **Queue Description** column are links to the **Scan Indexing Review** page, which allows you to associate, or index, scanned images to documents.

Figure 13.8 Scan Indexing Queue Selection Page
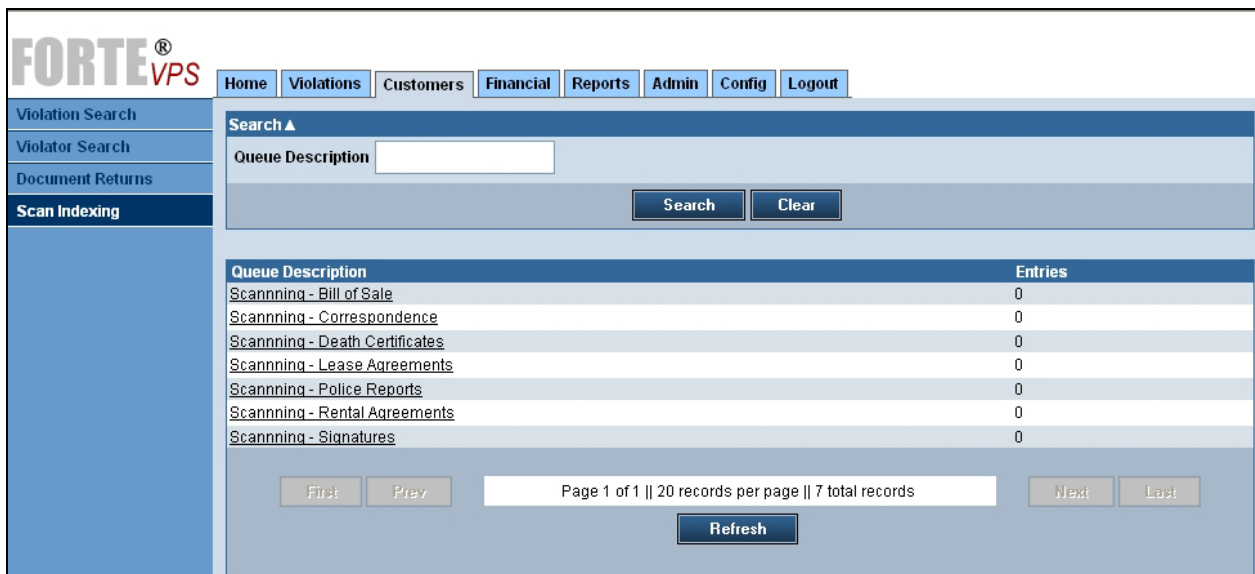
13.2.5.2.   SCAN INDEXING IMAGE REVIEW PAGE

The **Scan Indexing Review** page, illustrated in Figure 13.9, opens when the user selects the hyperlink in the **Queue Description** column on the **Scan Indexing** page. The next entry for the selected queue is retrieved and its associated image

is displayed. The **Scan Type** field indicates the scan type currently under review, and the **Scan Date** field defaults to the date the document was scanned.

Figure 13.9 Scan Indexing Image Review Page

13.2.5.3. INDEXING A SCANNED IMAGE TO A VIOLATOR

The steps to index a scanned document displayed on the Scan Indexing Review page to a violator are listed below.

1. Enter a valid document ID for the violator to which the scanned image will be associated and then select **Verify Address**. The violator address stored in the database appears.

2. If needed, select **Enlarge Image** button to view a larger version of the scanned image in a separate browser window.

3. Evaluate the name and address on the screen and make the appropriate selection. Your choices are:

   a. Select **Accept** if the name and address are correct. The scanned document is now linked to the associated violator and appears in the **Scanned Document** section of the **Customers** menu. If there are no additional entries in the queue, you are returned to the **Scan Indexing** page and receive a message stating, "**There are no more entries in the queue**." Otherwise, the next queue entry appears for review. Repeat step 1 to continue indexing scanned images.

   b. Select **Reject** if the name and address on-screen are not correct. The queue entry is routed to the Reject Queue and the next queue entry is displayed. If there are no more entries to review you are returned to the **Scan Indexing** page and receive a message indicating the queue is empty.

   c. Select **Cancel** to end the indexing process and return to the **Scan Indexing** page.

14. COURT PROCESS

14.1. 14.1 Court Overview

When the criteria established by VDOT has been met qualifying a violation event for escalation to a summons, a series of documents will be generated, printed and mailed in accordance with VDOT business rules and those established by Fairfax, Loudoun, Chesterfield, City of Richmond, and Gloucester County Courts. These business rules were established in accordance with the law set forth in the Code of Virginia.

When any individual person has three or more unpaid violation records per court jurisdiction in the VDOT violation processing system that have remained unresolved for 14 days after the issuance of a Final Notice or Customer Final Notice, a Summons will be generated and sent to that person. When a Summons is generated, the violation will be set to a status of Summons Created in the VDOT Violation Processing System. After

the Summons is generated, all disputes, appeals and payments will be handled by the Court to whom the offense is assigned. The VDOT VPS will have the capability of reporting the number of violation records that have been set to the status of Summons Created.

The Summons must be mailed to the defendant at the defendant's address provided by the DMV. An original summons package containing the Summons, Certificate of Posted Mailing Service and Certificate of Affidavit is also generated and made part of the evidence package. These documents must be provided to both the court and the processor service officer. In order for a case to be properly adjudicated, an authorized officer must serve the summons or post it for service at the violator's place of residence. If service officer is not able to provide service, the court may not be able to adjudicate the case.

14.2. Court Summons

As court dockets will allow, associates will select summons to be escalated to court and will generate summons documents. The courts have indicated that only one violation event can be permitted per summons. Once a summons has been generated, the Service Center will no longer accept payments or process disputes. Summons amounts will include: civil penalty admin fee, toll, and any other charges. At the hearing, the judge will also apply court charges.

The rules governing civil penalties are as follows:
- 1st offense $50 civil penalty
- 2nd offense $150 civil penalty
- 3rd offense $250 civil penalty
- 4th offense $500 civil penalty

Figure 14-1 is the template used in VPS to create the summons documents

Figure 14.10 Summons Document Template

14.2.1.   Creating Summons from the VPS

Associates access the Court screens of the VPS by selecting the Customers tab from the main menu. By clicking on the Court link in the left-hand toolbar, a drop down list will appear. From the drop-down list that appears, the associate selects Summons.

Figure 14.11 Summons Selection
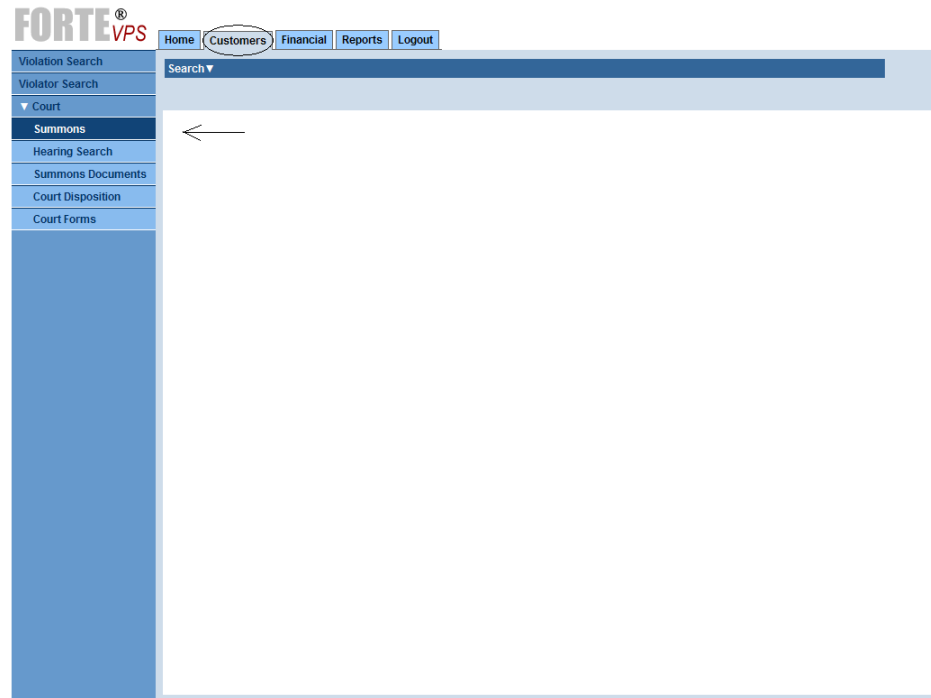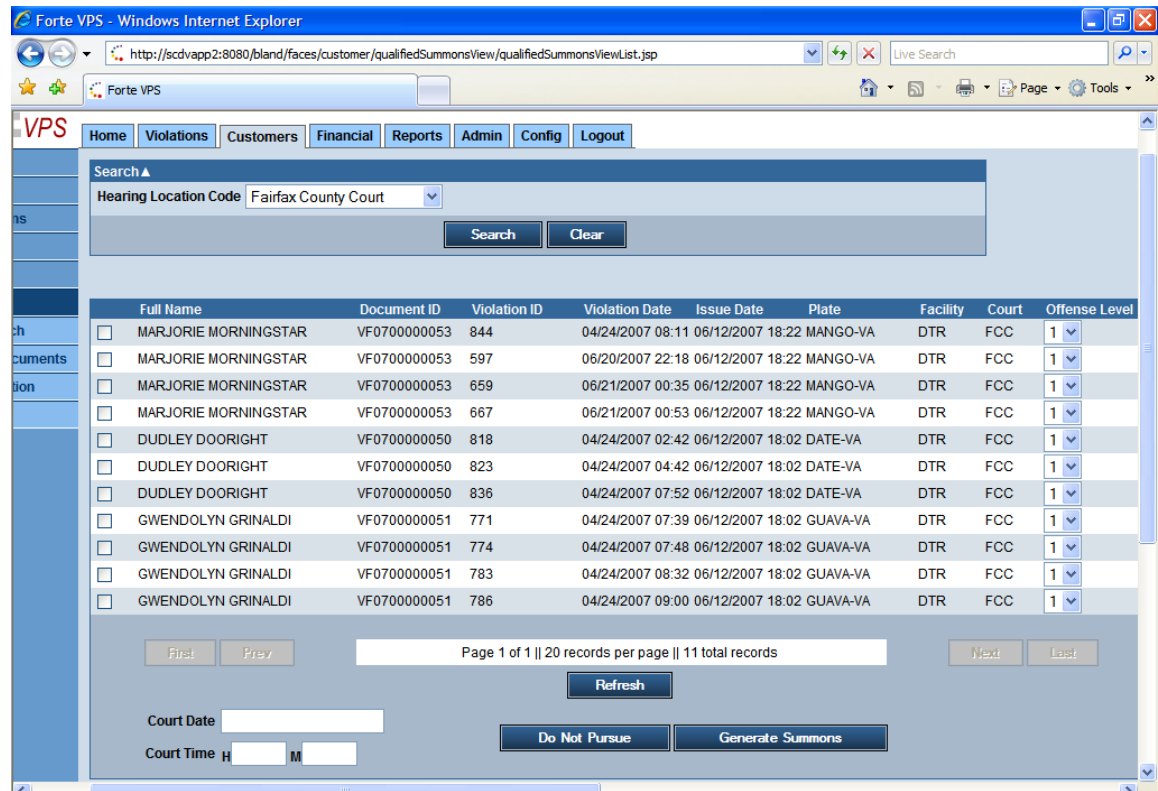
At the top of the screen, click on the **Search**. A dialog box with a drop down menu will appear allowing user to search violations eligible for summons by court jurisdiction.

Figure 14.12 Court Jurisdiction Selection
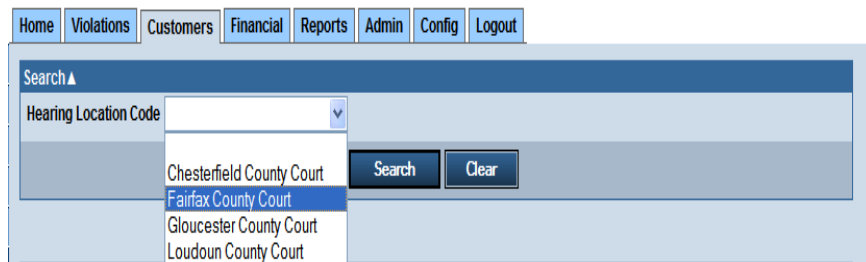
The system will return all violation records associated with parties who have reached eligibility for a summons to be mailed by court. These records will include those parties who have sufficient open violations to be eligible for that court, plus those violations in charged status that are associated with notices that are in summons generated status.

If the user does not select a court location, the Search will return all violation records associated with parties who have reached eligibility for a summons for all court jurisdictions.

Figure 14.13 Search Results

The user selects a violation event to generate a summons for by placing a check mark in the box to the left of the violator's name. Optimally, an associate will place check marks next to all violation events for the same party, as long as the allotted docket space provided by the court isn't exceeded.

Under the Offense Level column, the user must select the level of offense by using the drop-down menu provided. The numerical value selected in this field assigns the amount of civil penalty that will appear on the summons template. Section 14.2 details the dollar amounts assigned to each offense level.
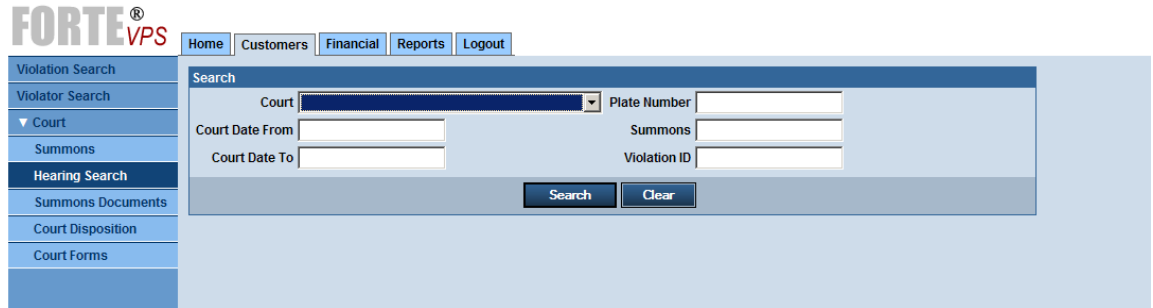
The associate also must populate the Court Date and Court Time fields on this screen. The values placed in these fields will populate in the applicable fields within the summons document. Each court jurisdiction provides the dates and times that cases will be heard in their courtroom.

Once these steps are completed, the user clicks on the Generate Summons button. The VPS application creates the summons documents for the events selected.

14.2.2. Hearing Search
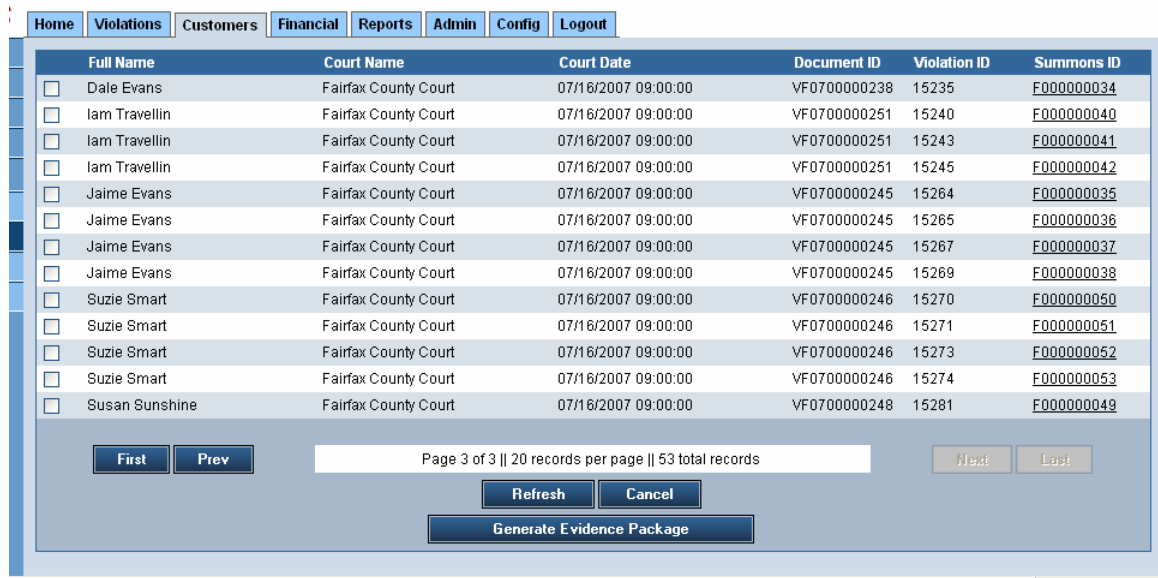
The Hearing Search screen allows a user to search created summons documents by Court, Court Date, License Plate Number, Summons ID, and/or Violation ID.

Figure 14.14 Hearing Search

The VPS application returns the search results with columns for Defendant's Name, Court Name, Court Date, Document ID, Violation ID, and Summons ID. The values that appear under the column for Summons ID are hyperlinks. When a user clicks on the hyperlink, a copy of that summons document will open in PDF format. From the PDF that appears, a user can print the summons and/or save it, if desired.

Figure 14.15 Hearing Search Results

Prior to court, a user will generate evidence packages from the VPS that accompany the Litigation Specialists to court. On the Hearing Search screen, a user creates the evidence package by placing a check in the checkbox to the left of the violation event desired. Multiple selections can be made at one time. The user then selects the Generate Evidence

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Package button at the bottom of the screen. A composite PDF file will be created and will include the following data:

By party:

- All notices sent associated with the violation selected
- Correspondence associated with the party
- All scanned documents
- A report showing the DMV information, source and date it was acquired by party.

By violation:
- All images associated with the violation selected
- Certificate of Mailing
- Certificate of Affidavit
- Summons

14.2.3. Summons Documents

The Summons Documents screen enables the user to print all documents necessary for mailing:

- Summons

- Certificate of Mailing

- Certificate of Affidavit

- Mailing Page

Figure 14.16 Print Summons Documents
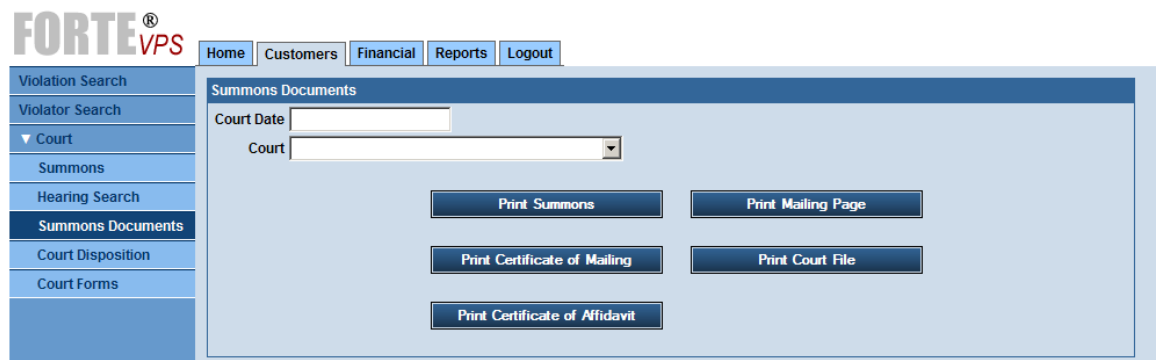
The defendant is mailed a copy of each summons pertaining to him/her only. The applicable Clerk of Court is mailed a copy of each summons and the corresponding Certificate of Mailing and Certificate of Affidavit. Packages containing summons

14.2.4. Court Disposition

After court, the Litigation Specialist will enter the court disposition in the Court Disposition screen. The user can access the Court Disposition screen from the Customer Tab of the main menu by selecting Court and then Court Disposition. A search criteria entry screen will be returned in which the user will enter one or more of the following search criteria, Court, date range, Plate Number, Case Status, Last Name or Facility.
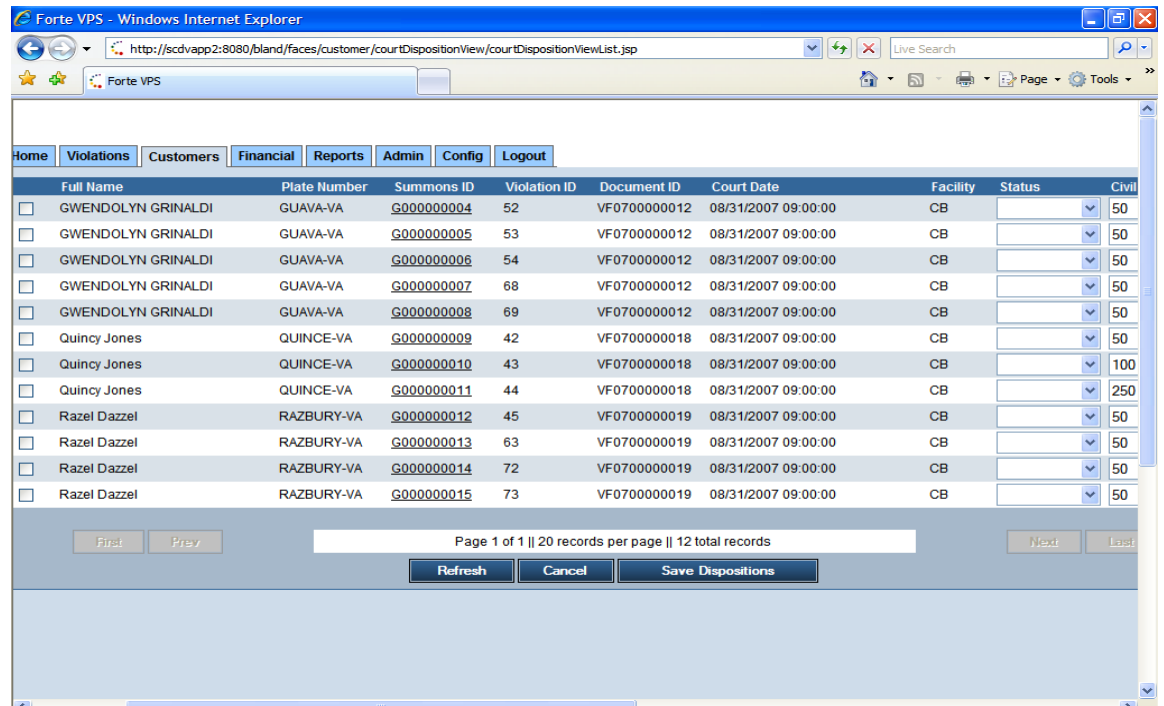
Figure 14.17 Court Disposition

Figure 14.18 Court Disposition Results

If the user selects status Open or Continued, violation records that appear in the results screen will be in referred to court status. In referred to court status it will not be possible to enter payments or disputes to the violation.

Court Disposition:

1. Guilty – Status will change to "paid by court" and violation will be closed and marked for the purge process as paid.

2. Not Guilty – Status will be "closed" with the reason code of "dismissed by court"

3. Collections – Status will be "collections" ledger will remain open and future payment posting will be enabled.

4. Continued – Status will remain in "referred to court" status. In this case the expert witness will mark the date and time provided by the court clerk into a log and will prepare an evidence package for the summons on the new date scheduled by the court.

In the Court Disposition screen the user will have the ability to place a check mark in the box associated with the violation and enter a disposition of Guilty, not Guilty, Collections or Continued by selecting one of the four options from the drop down pick list. The user will also enter the civil penalty imposed by the court.
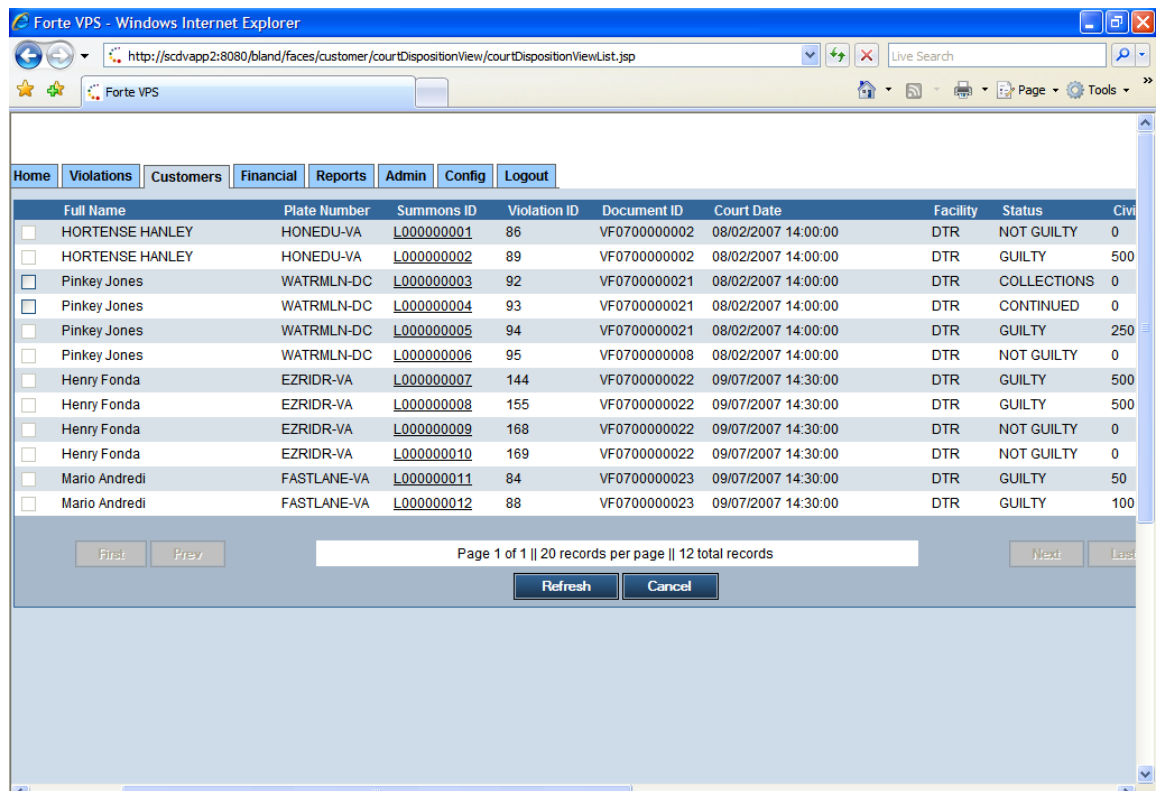
Figure 14.19 Court Disposition Selection

When all dispositions are entered, the user will select the Save Disposition button and all of the disposition statuses will be updated.

If the user selects a status of Guilty or Not Guilty, violation records that appear in the results screen will not be updatable.

If the user does not select a status, or selects a disposition status Collections, violation records that appear in the results screen will be updatable.

Figure 14.20 Violation Records

14.2.5.   Court Forms

The Court Forms screen gives users access to the following blank court forms in PDF format:

- Certificate of Affidavit

- Certificate of Mailing Postal Service

- Court Summons

The forms can be edited electronically and either saved or printed. When exiting the forms, a user cannot save changes to the templates.

Figure 14.21 Court Forms Selection

14.3. Reports

The user may select a detailed or summary report by selecting Summons Detail Report or Summons Summary Report from Audit Reports in the Reports tab. The system will create a report showing all dispositions and the potential funds due to VDOT from the court. The amount will include all tolls, admin fees and potential civil penalties based on the original offense level on the summons that was sent. The report will be created in PDF format and can be printed or saved by the user.
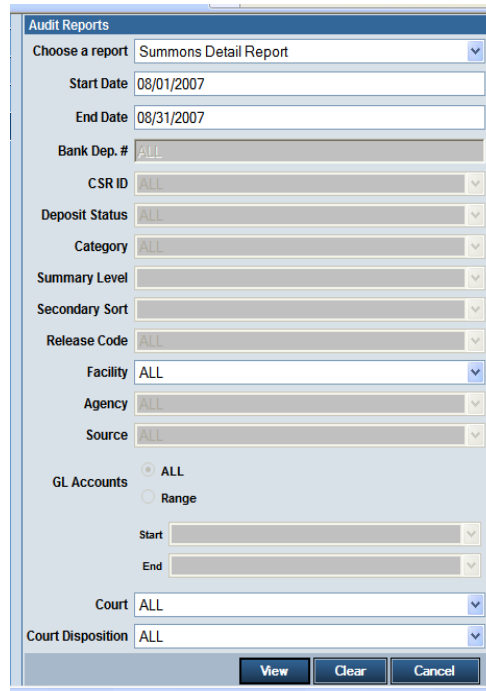
Figure 14.22 Reports Menu
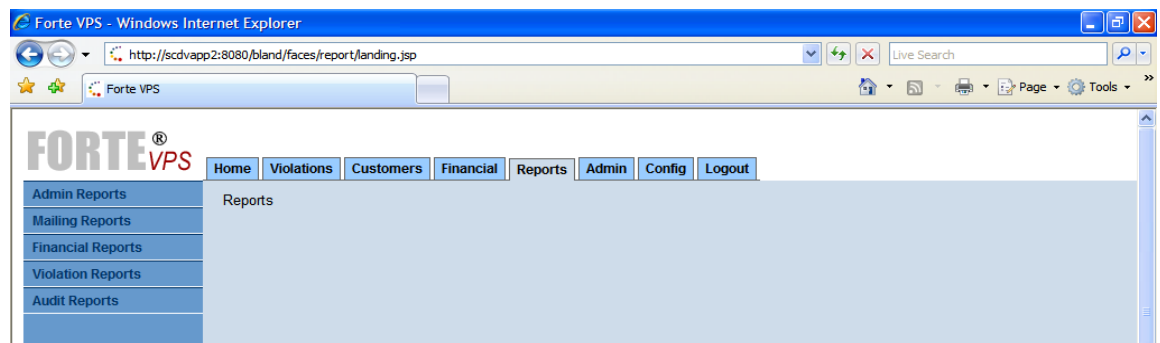
The following report criteria will be available:

- Facility (or All)

- Court

- Date range (corresponding to either hearing date or disposition date)

- Disposition

Figure 14.23 Summons Detail Report Criteria

Figure 14.24 Summons Summary Report Criteria

The detail report will show the disposition and amount due for each summons.

Figure 14.25 Summons Detail Report

The summary report will provide disposition counts by disposition type and amount to be collected summarized by day.

Figure 14.26 Summons Summary Report

VIRGINIA DEPARTMENT OF TRANSPORTATION

VIOLATION PROCESSING CENTER

SUMMONS SUMMARY REPORT

RUN DATE: 12/31/2009

RUN TIME: 15:47:16

REPORT PARAMETERS AND SORT ORDER:

REPORT IS BASED ON 'COURT DATE'.

| START DATE: | 08/01/2009 | FACILITY: | ALL | COURT: | ALL |
| END DATE: | 08/31/2009 | DISPOSITION: | ALL | DEFAULT GROUP BY: | FACILITY, COURT, COURT DATE, DISPOSITION |

FACILITY	COURT	COURT DATE	DISPOSITION	COUNT	VIOLATION AMOUNT($)	CIVIL PENALTY($)
DTR	Fairfax County Court	08/03/2009	Collections	53	1,359.50	0.00
			Guilty	16	411.25	4,650.00
			Summons Created	128	3,281.75	47,500.00
		08/04/2009	Collections	63	1,618.50	0.00
			Guilty	23	562.00	4,150.00
			Summons Created	114	2,871.50	39,100.00
		08/05/2009	Collections	50	1,258.75	0.00
			Summons Created	148	3,746.50	49,350.00
		08/17/2009	Collections	11	282.25	0.00
			Summons Created	150	3,847.25	72,800.00
		08/18/2009	Collections	55	1,413.75	0.00
			Not Guilty	9	231.00	0.00
			Summons Created	89	2,258.00	30,200.00
		08/19/2009	Collections	22	566.00	0.00
			Summons Created	193	4,959.00	88,800.00
		'Fairfax County Court' DISPOSITIONS		1,124	SUBTOTAL($) 28,667.00	336,550.00
		'DTR' DISPOSITIONS		1,124	SUBTOTAL($) 28,667.00	336,550.00
PW	Chesterfield County Court	08/07/2009	Continued	23	582.50	0.00
		08/17/2009	Summons Created	60	1,525.50	30,000.00
		08/28/2009	Guilty	6	100.00	1,900.00
			Summons Created	25	525.00	12,500.00
		'Chesterfield County Court' DISPOSITIONS		114	SUBTOTAL($) 2,733.00	44,400.00
		'PW' DISPOSITIONS		114	SUBTOTAL($) 2,733.00	44,400.00

14.4. Pre-Court Verbal Negotiations

14.4.1. Fairfax County and Chesterfield County Court Jurisdictions

In the Fairfax County and Chesterfield Court jurisdictions, a detailed process has been adopted to allow violators to settle their legal matter prior to trial. The Litigation Specialist will meet with the Defendant to advise them of the options to either reach an agreement prior to trial or have the case heard before a Judge.

If an agreement is reached, the Defendant must plead guilty to some, but not all, violations, based on the number of outstanding unpaid toll violations he/she has. The remaining unpaid toll violations are dismissed without prejudice. The following table represents the current scale used for negotiations

Table 14.2 Negotiations Scale

If the Defendant has:	The Defendant will agree to:
Three (3) violations	Admit guilt to two (2) counts, with an l amount owed: $324.00 plus the unpaid tolls
Four (4) to Eight (8) violations	Admit guilt to three (3) counts, with an amount owed: $661.00 plus the unpaid tolls
Nine (9) to Fourteen (14) violations	Admit guilt to four (4) counts, with an amount owed: $1,248.00 plus the unpaid tolls
Fifteen (15) to Nineteen (19) violations	Admit guilt to five (5) counts, with an amount owed: $1,835.00 plus the unpaid tolls
Twenty (20) to Twenty-five (25) violations	Admit guilt to six (6) counts, with an amount owed: $2,422.00 plus the unpaid tolls
Twenty-six (26) to Thirty-one (31) violations	Admit guilt to seven (7) counts, with an amount owed: $3,009.00 plus the unpaid tolls
Thirty-two (32) to Thirty-six (36) violations	Admit guilt to eight (8) counts, with an amount owed: $3,596.00 plus the unpaid tolls
Thirty-seven (37) to Forty-two (42) violations	Admit guilt to nine (9) counts, with an amount owed: $4,183.00 plus the unpaid tolls
Forty-three (43) to Forty-eight (48) violations	Admit guilt to ten (10) counts, with an amount owed: $4,770.00 plus the unpaid tolls

Note: *After 48 violations, for every additional 6 violations or increment thereof, an additional guilty plea is entered. For each additional guilty plea entered, the amount owed will increase by $587.00 plus the unpaid tolls amount.*

In the event that an agreement based on the aforementioned scale cannot be reached, the Litigation Specialist will then request a trial date.

14.4.2. If a Negotiated Settlement is Reached

The Litigation Specialist provides authorized Violations personnel with a list of defendants that agreed to a pre-court negotiated settlement. The Defendant is directed to call the Customer Service Center to pay the settlement. Authorized Violation Department personnel change the disposition of the violations to "Collections", which allows the user to apply payments towards the violations in the VPS application. Once the status of all applicable violations have been changed to "Collections", the pre-court negotiated settlement payment amount is applied in the VPS application.

14.4.3. Other Court Jurisdictions

At this time, other court jurisdictions do not require a pre-court verbal negotiation process. If that culture changes, processes will be explored in conjunction with the applicable court jurisdiction and with the Virginia Department of Transportation.

15. VIOLATION DATA PURGE

15.1. Overview

In compliance with Section 46.2-819.1 of the Code of Virginia (also referred to as House Bill 1000 or HB1000), all information collected and created related to toll violations must be purged within 30 days after the *collection and reconciliation* of unpaid tolls, administrative fees, and/or civil penalties. When a violator has paid all violation tolls, fees, civil penalties and court costs **all** data related to their violation records will qualify for purging.

- Photographs
- Microphotographs
- Electronic Images
- Other photo-enforcement system data
    - Violation data and license plate information
    - DMV records

- Scanned documents
- Notices, citations, receipts, letters contained in the VPS
- Dispute records
- Payment records
- Violation history

In the VPS application, violation event and violation document information is retained after the purge process is executed. However, the violator's name is updated to "PURGED PARTY" and the license plate number is updated to "PURGE" across all jurisdictions. The violators address is erased and purged.

Figure 15.27 Purged Record Example

Violator		
Name: PURGED PARTY	**Plate:** PURGE-VA	**Address:**

15.2. VPS Purge Process

Note: *In the VPS, a party is defined when a license plate/plate type/plate jurisdiction combination is linked to a Registered Owner of Vehicle (ROV) after DMV lookup.*

In order to qualify for purge the following criteria must be met:

- There is no outstanding balance at a party level; all violations for a party have the status dismissed or paid in full, and a payment or dismissal has been made to clear an outstanding balance within the purge cycle.

- At a party level, a violation document must not be in open dispute status even if it is paid in full

- The latest payment for a party must have been made prior to two months before the end of the month of the purge.

Violations that have not yet been associated with a party (all queues post DMV) will not be purged.

15.2.1. Purge Process Steps

Note: *The purge process is initiated on designated weekends to avoid disruption of normal day-to-day business.*

1. All VPS processes are stopped

2. A stored procedure flags violation records at a party level that qualify to be purged.

3. A purge job is executed to delete flagged records using various other stored procedures. A central data purge process, which is executed manually, will go thru a predefined list of table names to find and overwrite or delete the flagged records in the defined order according to the dependencies of the data tables.

15.2.2.   Paper Documentation and Emails

In addition to the purge of information within the VPS application, information outside the application is also purged. This includes:

- Hard copies of any violation notices, dispute letters, summons documents, evidence packages, and any miscellaneous papers, i.e. printed emails, are placed in shred bins and ultimately destroyed.
- Emails that contain violator information or attachments with violator information are deleted.

15.2.3.   Archive Process

In order to ensure that purged data is removed from archive tapes the following process will be used. Two sets of tapes are used on a weekly rotation cycle. Depending on the cycle, purged data could remain on backup tapes up to two weeks after a purge has been made.

1. Full back-ups are over written weekly
2. Off site tapes are reused and overwritten the following week.

15.3. HB1000 Purge Party Report

The HB1000 Purge Party Report is used to identify party and document information affected by the most recent purge execution. To achieve this, the report queries the **hb1000_purge_log** which gets populated with party names and document numbers affected by the purge process. Each time the purge process is executed, parties and documents affected by the last purge get overwritten in this log by the parties and documents affected by the current purge.

To access this report, a user needs to go to the Reports tab and select Audit Reports from the menu in the left-hand margin. The user then chooses HB1000 Purge Party Report from the Choose a Report drop-down menu and clicks the View button at the bottom of the screen.

Figure 15.28 Purge Report Criteria

This report is used to audit the VPS application to ensure party name, license plate, and address information has been purged along with the associated images captured at the toll lanes. Associates also use this report to remove paper copies of disputes and/or payments from the file cabinets as described in section 15.2.1.1.

APPENDIX A CSC SYSTEM REPORTS

A.1. AVAILABLE SYSTEM REPORTS

Table 0.1 System Reports

CATEGORY	REPORT NAME
Account Reports	Customer Account Report
Account Reports	Account Statement
Account Reports	Quarterly Statement
Account Reports	Account Status Summary Report
Accounting Reports	Account Type Summary (Customer Snapshot Report)
Accounting Reports	Account Activity (Service Center Account Balance Report)

CATEGORY	REPORT NAME
Accounting Reports	Account Activity (Service Center Account Balance Detail Report)
Accounting Reports	Bank Transfer Deposit (General Ledger Summary Report)
Accounting Reports	Bank Transfer Deposit (General Ledger Detail Report)
Accounting Reports	Bank Deposit Reconciliation
Accounting Reports	Financial Balance (CSC Revenue Report)
Accounting Reports	Insufficient Funds Report
Accounting Reports	Closed Account Report
Accounting by Facility	Posted Transactions by Toll Facility (Disbursement Report)
Accounting by Facility	Disbursement Detail Report
Accounting Reports	Exceptions Report
Accounting Report	Warning Report
Accounting Report	Correction Report
Accounting Report	Daily Anomaly Report
Operational & Misc Report	Discount Program Membership
Operational & Misc Report	Failed Membership Fee Collection Report
Operational & Misc Report	Tags in Circulation by Account Type Report
Operational & Misc Report	Staff Registry Report
IAG Reports	IAG-1 – Inter-CSC Settlement Report
IAG Reports	IAG-2 – Inter-CSC Transaction Reconciliation Report
IAG Reports	IAG-3 – Inter-CSC Toll Correction Reconciliation Report
IAG Reports	IAG-6 – Inter-CSC Disputed Toll & Adjustments Report
IAG Reports	IAG-7 – Inter-CSC Rejected Transactions Report
IAG Reports	IAG-8 – Inter-CSC Rejected Corrections Report
IAG Reports	IAG-9 – Inter-CSC Reconciliation Aging Report
IAG Reports	IAG-12 – NPST Report
IAG Reversal Reports	IAG-1R Reverse Settlement Report
IAG Reversal Reports	IAG-2R Reverse Transaction Reconciliation Report
IAG Reversal Reports	IAG-3R Reverse Correction Reconciliation Report
IAG Reversal Reports	IAG-7R Reverse Rejected Transaction Report
IAG Reversal Reports	IAG-8R Reverse Rejected Corrections Report
IAG Reversal Reports	IAG-12R Reverse Not Posted (NPST) Report

CATEGORY	REPORT NAME
IAG Non-Toll Reports	IAG-1N – Inter-CSC Non-Toll Settlement Report
IAG Non-Toll Reports	IAG-2N – Inter-CSC Non-Toll Transaction Reconciliation Report
IAG Non-Toll Reports	IAG-3N – Inter-CSC Non-Toll Correction Reconciliation Report
IAG Non-Toll Reports	IAG-6N – Inter-CSC Disputed Non-Toll & Adjustments Report
IAG Non-Toll Reports	IAG-7N – Inter-CSC Rejected Non-Toll Transaction Report
IAG Non-Toll Reports	IAG-8N – Inter–CSC Rejected Non-Toll Corrections Report
IAG Non-Toll Reports	IAG-14N – Inter-CSC Non-toll Credit Charge Back Report
IAG Non-Toll Reports	IAG-15N – Inter-CSC Declined Non-Toll Transactions Report
IAG Non-Toll Reports	IAG-16N – Inter-CSC Non-Toll Aggregate Funds Report
IAG Facility Operator Reports	FO-1 Facility Operator Period Transaction Summary Report
IAG Facility Operator Reports	FO-2 Facility Operator Period Correction Summary Report
IAG Facility Operator Reports	FO-3 Facility Operator Transaction Reconciliation Report
IAG Facility Operator Reports	FO-4 Facility Operator Correction Reconciliation Report
Audit Reports	Productivity Report
Audit Reports	Account Fees/Adjustments (Transactions Report)
Audit Reports	Journal
Audit Reports	Account Payment/Refunds (Transactions Report)
Audit Reports	Credit Card Transaction Detail (Transactions Report)
Replenishment Reports	Communications and File Transfer (Auto Replenishment Summary)
Replenishment Reports	Credit Card Re-Bill and Declines Report
Replenishment Reports	Expired Credit Card Report
Replenishment Reports	ACH Bank Response Report
Tag Reports	Tag History (Tag Status History Report)
Tag Reports	Tag Inventory Summary (Tag Inventory Report)
Tag Reports	Daily Tag Inventory Report

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