

All-Electronic Tolling (AET) Business Rules Document v3.2



Toll Operations Department
Tampa Hillsborough County
Expressway Authority
(THEA)

06/16/20

Tampa Hillsborough Expressway Authority
owner and operator of



Purpose

To outline business rules applicable to THEA's Toll Operations Department, which shall result in providing toll users with consistency and transparency in THEA's toll business operations. THEA's Toll Operations Department is mainly supported by four (4) functional units. Please refer to Appendix A.

THEA Toll Operations Department's Mission

To collect THEA's toll revenues.

THEA Toll Operations Department's Vision

To continue providing toll users with a seamless business experience, keeping abreast of industry trends and emerging technologies.

Document History of Changes

| Date | Revision Version | Author | Updates | Approved By |
|----------|------------------|--------------------------------------|---|------------------|
| 04/25/20 | V3.0 | Toll Operations | Baseline change. Major updates were implemented in this new version of business rules. For past references, please review the previous approved version of the business rules document (v2.5) | Rafael Hernandez |
| 05/13/20 | V3.1 | Rafael Hernandez | Added Appendix AP Non-confidential CPA_THEA Operational Business Rules 051320 | Rafael Hernandez |
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Table of Contents

- Appendix Table..... 5
- 1 General Business Rules 1
- 2 AET Roadside Operations and Maintenance (AETROM) 2
- 3 Data Collection & Reconciliation (DCR) 4
- 4 Video Toll Processing (VTP) 6
 - 4.1. VTP Training..... 7
 - 4.2. License Plate Databases 8
 - 4.2.1. Trusted-Plates List 8
 - 4.2.2. Sensitive-Plates List 8
 - 4.2.3. Exempt List 8
 - 4.2.4. VTP Error Detection and Validation..... 8
 - 4.2.5. VTP Audit Protocol 9
 - 4.2.6. VTP Rejected Transactions by MIR 9
- 5 Customer Service and Toll Enforcement (CSTE) 10
 - 5.1. Better Business Bureau Complaints 14
 - 5.2. THEA’s Delinquent Toll Account Collection Services..... 14
- 6 THEA’s Toll Operations Data Protection 15
 - 6.1. Physical Security 15
 - 6.2. Cyber Security 16
 - 6.3. Natural Disasters 16

Appendix Table

Appendix A THEA Toll Operations Department Functional units
Appendix B THEA Toll Operations Acronyms and Definitions
Appendix C THEA Toll Operations Performance Measurement Requirements
Appendix D THEA Toll Ops DAVID and DPPA ACK Form
Appendix E Highway Worker Safety Informational Form
Appendix F Designated Parking for Toll Gantry Maintenance
Appendix G THEA Change Management Guidelines_v2.0_final
Appendix H Toll Operations Department Board Meeting References Procedure
Appendix I JIRA Application Ticketing System
Appendix J Toll Ops Organization Chart
Appendix K THEA Toll Operations Management Team SOP
Appendix L THEA Toll Operations Support Team SOP
Appendix M Notification of System Maintenance and Alert Activities
Appendix N Toll Ops Management Plan for Reporting CCSS Issues
Appendix O Florida Statute 316.1001
Appendix P THEA TransCore MOT Procedure
Appendix Q Toll Operations Financial report index
Appendix R THEA's first party collections Invoices
Appendix S THEA Toll Ops Reporting of VTP Related Issues
Appendix T THEA Customer Handling Contact Sheet
Appendix U How to handle toll-operations walk-ins at THEA HQ
Appendix V THEA Toll Ops SOP Customer Information Form
Appendix W Customer Toll Account Assessment Sheet Information
Appendix X Processing of Toll Operations Inquiries received at THEA HQ
Appendix Y Escalated customer checklist template
Appendix Z THEA's escalated customer correspondence addressed to THEA CEO
Appendix AA FLCCSS SOP High Priority Customer or Agency Issues
Appendix AB Notice of Intent to issue UTC
Appendix AC Partial Payment Plan for Unpaid Tolls in Collections
Appendix AD Toll Operations Mailing Templates
Appendix AE SOP THEA Toll Transaction Billing Life Cycle
Appendix AF THEA's First Collection Notice (Sample)
Appendix AG THEA's Second Collection Notice (Sample)
Appendix AH THEA Registration Hold & Release File Processing
Appendix AI CPA THEA Financial Business Rules v5 approved
Appendix AJ CPA THEA Interface Control Document (ICD) for Collections ICD v1.8
Appendix AK FL DHSMV RS-37
Appendix AL Toll Operations Monthly report index
Appendix AM THEA-HQ building alarm system SOP
Appendix AN Report THEA-HQ building issues SOP
Appendix AO THEA's Collection Notification of System and Interface Failures (confidential to be excluded from public records)
Appendix AP Non-confidential CPA_THEA Operational Business Rules 051320

1 General Business Rules

The purpose of this section is to globally address business rules that affect all functional units of the Tampa-Hillsborough Expressway Authority's (THEA) Toll Operations Department. Refer on Appendix B for acronyms and definitions and Appendix C for Performance Measurement Requirements.

- BR1. THEA operates a cashless and free-flow All-Electronic Tolling (AET) facility.
- BR2. Each functional unit is responsible for coordinating and supporting day-to-day operations within THEA's toll operations departments to ensure final dispositions of toll transactions and excellence in customer-service related activities.
- BR3. To comply with data protection rules established by the Florida's Department of Highway Safety and Motor Vehicles (DHSMV) in relation to the Driver and Vehicle Information Database (DAVID) system, the Director of Toll Operations (DTO) shall perform quarterly audits on each of the allowed users with online access to DAVID.
- BR4. Toll Operations staff and subcontractors with access to Personal Identifiable Information (PII) must sign THEA's DAVID and Driver Privacy Protection Act (DPPA) Acknowledgment form. Please reference Appendix D.
- BR5. To ensure safety procedures are acknowledged, any person(s) directed by THEA's DTO or its assignees to visit THEA's toll site(s) must review the following documents and sign where applicable:
 - a. THEA's Toll Operations Highway Worker Safety Program informational document. Please reference Appendix E.
 - b. THEA's Designated Parking for Toll Gantry Maintenance informational document. Please reference Appendix F.
- BR6. Toll revenues are accounted and managed on a Fiscal Year basis from July 1 to June 30.
- BR7. Toll rate indexing is applied yearly and effective on July 1 of each year.
- BR8. Effective on June 1 of each year, THEA's toll operations functional units shall complete a checklist to prepare toll operations for Florida's hurricane season.
- BR9. Toll Operations staff shall report to its immediate supervisor the absence of an applicable business rules and/or Standard Operating Procedure (SOP) to resolve an undocumented event.
- BR10. Proposals to update or implement new toll-operations business rules shall be requested in writing to and approved by THEA's DTO.
- BR11. To implement changes to approved toll-operations services, software, hardware, business rules and/or standard operating procedures in production, Toll Operations staff shall initiate a change request following the established toll-operations' Change Management Guidelines. Please reference Appendix G.
- BR12. The Director of Toll Operations and/or its assignees, shall file toll operations' related

information presented to THEA's Board of Directors following SOP Board meeting references procedure. Please see reference Appendix H.

- BR13. THEA's Toll Operations Department shall follow the standard operating procedure in Appendix I to record, assign and resolve toll-operations tasks.
- BR14. Toll Operations Department is structured as shown in the organization chart in Appendix J. A contact vendor list is saved electronically in the Toll Operations Library.
- BR15. Toll Operations issues outside the business rules should be handled using the SOP in Appendix K and Appendix L.
- BR16. To communicate notification of system maintenance and alert activities, the toll-operations team shall follow the SOP in Appendix M.
- BR17. To report Florida SunPass Centralized Customer Service System (CCSS) related issues, the toll-operations team shall follow the SOP included in Appendix N.
- BR18. To issue Uniform Traffic Citations (UTC) for unpaid tolls, the toll-operations team shall follow the rules included in Appendix O.
- BR19. In the event of a disaster-recovery situation impacting THEA's owned Manual Image Review Application (MIRA), THEA's technical support team shall use the MIRA DR Failover Plan provided in Appendix AQ.

2 AET Roadside Operations and Maintenance (AETROM)

The AETROM functional unit is responsible for the operation and maintenance of THEA's toll systems to ensure vehicles traveling through toll sites are properly detected and transactional data is created for revenue collection purposes.

The AETROM functional unit shall operate as per the following Business Rules (BR):

- BR20. THEA's toll systems shall be available and properly functioning to detect and process all vehicles traveling through THEA's toll sites. Specific Service Level Agreements (SLAs) for THEA's toll systems to perform can be found on THEA contract #54-30-03-09.
- BR21. Toll rates are calculated using the number of axles per vehicle and the method of payment, video or transponder based.
- BR22. The Automatic Vehicle Classification (AVC) system is used as the primary source for determining vehicle's axle count. If the AVC system is not operational, then vehicles are charged with a minimum toll rates for 2 axles.
- BR23. For the processing of transponder toll transactions, the Automatic Vehicle Identification (AVI) system is used to read Radio Frequency Identification (RFID) transponders.
- BR24. THEA's toll systems receive updated transponder status files (POSI list) from the THEA's first party collections over the course of the day. The number of times per day is configurable. It is currently configured to receive updates ten (10) times per day.

- BR25. THEA's In-Lane toll systems use the transponder status files (POSI list) to determine if the transponder is in active status.
- BR26. Transponder-based toll transactions from transponders in active status on the POSI list are processed at the SunPass discounted rate.
- BR27. Transponder-based toll transactions from transponders in inactive status on the POSI list are processed at the Toll-By-Plate rate.
- BR28. For non-transponder customers, also known as video-based and/or Toll-By-Plate customers, a Video Enforcement System (VES) is used to capture images of vehicle license plates.
- BR29. Video-based toll transactions are processed at the Toll-By-Plate rate.
- BR30. If a non-active transponder is read at the time a vehicle travels through any one of THEA's toll sites, then captured images for that transaction are saved and processed as Toll-By-Plate transactions.
- BR31. If a transponder is not read at the time a vehicle travels through any one of THEA's toll sites, then captured images for that transaction are saved.
- BR32. Front images are saved only for vehicles that meet the following criteria:
- a. 3 or more axles, and
 - b. 36 feet or more in length.
- BR33. THEA's AVI system reads transponders from Lee County (LeeWay pass), Central Florida Expressway Authority (E-Pass), Georgia State Road and Tolling Authority (Peach Pass), North Carolina Turnpike Authority (NC QUICK PASS) and Florida's Turnpike Enterprise (SunPass).
- BR34. Current interoperable partners are Lee County (LeeWay pass), Central Florida Expressway Authority (E-Pass), Georgia State Road and Tolling Authority (Peach Pass), North Carolina Turnpike Authority (NC QUICK PASS) and Florida's Turnpike Enterprise (SunPass).
- BR35. If the system reads an active non-revenue transponder issued by an interoperable partner, then a zero-dollar (\$0) toll transaction is posted to the applicable toll account.
- BR36. In Zero Fare Override (ZFO) mode transponder transactions are charged a fare of zero dollars (\$0) and image capturing is suspended.
- BR37. Zero Fare Overrides (ZFO) can only be initiated by THEA's DTO or its assignees when the written request is received from THEA's Executive Director or when the written request is received from the Governor of the State of Florida related to a declaration of a State of Emergency involving THEA's facility.
- BR38. The THEA In-Lane toll collection system transmits all collected transactional data to THEA's Tolling Operational Back Office System (TOBS).
- BR39. All power cycling of toll-operations AETROM servers must be approved by the toll service

provider's Project Manager, THEA's DTO, or THEA's DTO designees.

BR40. Toll operations Preventive Maintenance (PM) activities that require a Maintenance of Traffic (MOT) shall be performed after regular working hours or on weekends. Corrective Maintenance (CM) activities that have a direct impact on revenue collection services shall be performed as needed. Please reference Appendix P.

BR41. MOT activities shall be approved in writing by THEA's DTO.

BR42. When severe weather conditions occur that could potentially impact THEA's tolling operations, the AETROM functional unit shall provide THEA's DTO with a detailed Roadside Equipment Condition report on THEA's tolling systems to ensure preparation for the event and business continuity.

3 Data Collection & Reconciliation (DCR)

The DCR functional unit is responsible for the gathering, validating, and monitoring of toll transactional data from the time the transaction is created until its final disposition.

The DCR functional unit shall operate as per the following BRs:

BR43. Monitor, identify, and report performance-related issues within THEA's Toll Systems.

BR44. Monitor technical interfaces within THEA's toll systems to ensure toll-transactional data is flowing throughout all applicable toll systems.

BR45. Monitor vehicle and transaction correlation flows to ensure actual vehicle counts are converted into Indicated Revenue.

BR46. Report on traffic counts and toll Indicated Revenues for vehicles traveling through THEA's toll sites.

BR47. Create and maintain daily, monthly, and yearly Traffic and Revenue (T&R) reports.

BR48. On a monthly basis, prepare the toll operational report book. Please refer to Appendix AL

BR49. On a monthly basis, prepare the toll financial report book. The toll financial report book shall be shared with THEA's Finance department on a monthly basis. Please reference Appendix Q.

BR50. Analyze toll-transactional data for the transformation of raw data into meaningful and useful information for business analysis purposes.

BR51. Prepare monthly reports to assess contractual requirements and Service Level Agreements (SLA) with outsourced contractors.

BR52. Evaluate disputed axle miscount transactions. After the disputed transaction is confirmed, the DCR will approve a Toll Credit Adjustment to be posted to the customer's account.

BR53. Prepare semi-annual In-Lane system performance verification reports.

BR54. Prepare annual toll site survey reports.

BR55. Monitor emerging technology trends to prepare recommendations to minimize business risks.

BR56. DCR produced electronic data shall be stored in THEA's toll operations' file servers.

BR57. Hard copies of DCR's monthly reports shall be placed in THEA's Toll Operations Department Operating Reports binder and be updated as needed.

BR58. Effective July 1st of each year, the Director of Toll Operations and/or its designee should visit THEA's accounting department to review the status of the tolling power meters, from the Tampa Electric Company (TECO), and update the applicable toll-operations documents as needed.

4 Video Toll Processing (VTP)

The VTP functional unit is responsible for the processing of video transactions to maximize revenue collections and reduce leakage related to non-human readable and/or corrupted transactional data.

The VTP functional unit shall operate as per the following BRs:

- BR60. All non-active transponder and video toll transactions shall be processed as Toll-by-Plate transactions.
- BR61. Toll-by-Plate transactions shall be sent to THEA's Manual Image Review Application (MIRA) for processing.
- BR62. THEA's MIRA processes transactions on a First-in First-out (FIFO) order.
- BR63. THEA's MIRA shall use rear vehicle license plate images to process Toll-by-Plate transactions.
- BR64. THEA's MIRA shall only use front images to process tractor Toll-by-Plate transactions.
- BR65. THEA's MIRA shall not process tractor-trailer Toll-by-Plate transactions.
- BR66. THEA's MIRA shall provide vehicle license plate information (i.e. Registration and State jurisdiction) for toll transactions to be posted to the applicable toll accounts at THEA's first party collections back-office system.
- BR67. THEA's first party collections back-office system receives Toll-by-Plate transaction information and checks four (4) files: SunPass Active Accounts, Interoperable Partner Active Accounts, Rental Car Active Accounts, and Commercial Fleet Active Accounts.
- BR68. If there is a match between THEA's Toll-by-Plate transaction and FTE's SunPass Active Accounts, Interoperable Partner Active Accounts, Rental Car Active Accounts or Commercial Fleet Active Accounts, then THEA's first party collections posts the toll transaction to the applicable toll account at the transponder discounted rate.
- BR69. If there is no match between THEA's Toll-by-Plate transaction and FTE's SunPass Active Accounts, Interoperable Agency Active Accounts, Rental Car Active Accounts or Commercial Fleet Active Accounts, then THEA's first party collections shall look up the FTE SunToll vehicle license plate file and try to identify an active toll account.
- BR70. If there is a match between THEA's Toll-by-Plate transaction and FTE's SunToll vehicle license plate file, then THEA's first party collections shall post the toll transaction to the applicable toll account at the full video rate.
- BR71. If there is no match between THEA's Toll-by-Plate transaction and FTE's SunToll vehicle license plate file, then THEA's first party collections shall use THEA's provided vehicle license plate information to perform a customer name and address lookup at the DHSMV and other nationwide databases.

- BR72. THEA's first party collection's acquired customer name and address shall be used to establish new Toll-by-Plate accounts.
- BR73. Toll-by-Plate accounts shall be unique per vehicle license plate.
- BR74. THEA's first party collections shall post THEA's Toll-by-Plate transactions onto Toll-by-Plate invoices. Please reference Appendix R.
- BR75. Toll-by-Plate invoices are charged a \$2.50 administration fee, which is retained by FTE.
- BR76. New Toll-by-Plate accounts shall be issued invoices no later than 14 days from the account's creation date.
- BR77. After the Toll-by-Plate account receives the first invoice, the subsequent invoices with unpaid tolls shall be produced monthly (30-day cycle depending on weekends and holidays).
- BR78. Toll-by-Plate account holders should receive at least two (2) unpaid toll invoices from THEA's first party collections prior to being referred to THEA's debt-collection service provider for further processing.
- BR79. Toll-by-Plate transactions that are rejected due to license-plate covers, non-visible and/or damaged license plates are collected monthly and sent to THEA's Toll Enforcement Officer (TEO) for further investigation and resolution.
- BR80. VTP produced electronic data shall be stored in THEA's toll-operations file servers.
- BR81. All power cycling of toll-operations VTP servers must be approved in writing by the tolls service provider's Project Manager or THEA's DTO.
- BR82. THEA prepares daily reports to track VTP-staff performance to improve day-to-day operations.
- BR83. Hard copies of VTP's monthly reports shall be placed in THEA's Toll Operations Department Operating Reports binder and be updated as needed.
- BR84. All Video Tolling Processing related issues shall be reported following SOP in Appendix S.

4.1. VTP Training

- BR85. New VTP employees shall be trained on Toll-by-Plate operations prior to starting the processing of video toll transactions.
- BR86. After initial training is complete, new VTP employees shall start processing video toll transactions in the plate review queue.
- BR87. After required advance training is complete, the VTP employees are presented with a test. If the test is successfully passed, then the Manual Image Review (MIR) Supervisor and THEA's PM both sign the test form confirming the VTP employee is ready to process video-based toll transactions in the State queue.
- BR88. To keep the VTP staff's knowledge up-to-date, training sessions are performed on a

weekly basis.

4.2. License Plate Databases

The following license plate databases are maintained to improve the effectiveness of MIRA. The databases (sometimes referred to as lists) are described in the following sections.

4.2.1. Trusted-Plates List

BR89. The Trusted-Plates List is initially created by obtaining a list of all video invoices that customers paid over the last year. The presumption is that if a customer was invoiced and they paid the resulting toll(s), then the accuracy of the MIR was validated by the customer's payment. Plates in the Trusted Plate List will be purged if the last time they appeared in the database was over one (1) year ago.

4.2.2. Sensitive-Plates List

BR90. The Sensitive-Plates List is primarily used to prevent MIRA from repeating errors on specific license plates. The plates on this list typically come from back-office processes (particularly those that identify MIRA read errors because of customer billing complaints) and from MIRA read error detections made during audits of MIRA performance. The Sensitive-Plates List may also be populated with license plates that could have severe political consequences to THEA should the registered owner receive an erroneous invoice from THEA.

BR91. Once MIRA generates a final read result (either by fully automated or manual review), it is checked against the Sensitive-Plates List.

BR92. If the read result is found to be on the Sensitive-Plates List, then it is sent for additional human review (supervisor) to ensure the accuracy of the read before it is forwarded to THEA's first party collection's back office system for further processing.

4.2.3. Exempt List

BR93. The Exempt List is mainly used by THEA to prevent incorrect invoicing and to filter exempt vehicles as required by Florida law.

BR94. THEA will evaluate a mistyped video toll transaction dispute reported by THEA's tolling service providers. After THEA validates the disputed transaction(s), THEA may add the license plate number to the Exempt List manually to prevent future incorrect invoicing.

BR95. THEA keeps a record of license plates that were previously on the list. THEA checks the status of the Exempt List two (2) times per year.

BR96. Exempt-List updates shall be approved in writing by THEA's DTO or its designees.

4.2.4. VTP Error Detection and Validation

BR97. THEA monitors customer dispute reports daily to identify, correct and prevent future license plate mistypes.

BR98. Valid mistyped license plates are added to the Sensitive or Exempt List as applicable.

BR99. In the case of a valid mistyped license plate, THEA will apply a Toll Credit Adjustment

(TCA) to the incorrect transaction(s) and issue a corrected invoice to the correct registered owner of the vehicle.

BR100. To prevent false Toll Credit Adjustments (TCA), THEA's Toll Operations Project Manager (PM) shall communicate incorrectly reported mistypes to THEA's first party collections.

BR101. THEA's PM shall research and confirm the correct license plate number for the transaction in question. If the disputed transaction is the result of a stolen plate, a police report shall be requested from the customer.

4.2.5. VTP Audit Protocol

BR102. THEA's PM shall perform daily system audits.

BR103. Audit samples shall be set up with a minimum of 1,000 transactions for each audit type.

BR104. Audit types are: Billable Transactions and Rejected Transactions.

BR105. Two (2) conditions are defined for audit purposes: (1) false rejects; and (2) read errors.

BR106. Audits can be conducted only on transactions currently listed in the MIRA database that have reached the final MIRA processing state. If a falsely identified reject is detected during an audit, then MIRA will send the transaction to be reprocessed.

BR107. If a false reject is confirmed, then MIRA will reprocess the transaction and update the previous result in the MIRA database with the correct read result. The updated read result will also be sent to TOBS.

BR108. If a read error is detected during an audit, then MIRA will send the transaction to be reprocessed. If a read error is confirmed, then MIRA will update the previous read result in the MIRA database with the correct read result. The updated read result will also be sent to TOBS.

BR109. The PM shall recall any erroneous transactions from THEA's first party collections because of daily audits.

BR110. The transaction can be sent to THEA's first party collection's back-office system only if the transaction date is within 82 days from its occurrence.

4.2.6. VTP Rejected Transactions by MIR

BR111. THEA collects all the transactions that were rejected by manual review monthly. The transactions are sorted by rejection code and vehicle type with the following codes:

- 100 - Recurrent Plate Visibility: Plate is permanently obscured
 - 101-Heavy truck
 - 102-Pickup truck
 - 103-Motorcycle
 - 104-Automobile
 - 105-Trailer
 - 106-Emergency vehicle

- 107-HART Bus
- 108-Solid Waste
- 109-Waste Management
- 110-Waste Solution
- 200-Ephemeral Plate Visibility: Plate is temporarily obscured
 - 201-Heavy Truck
 - 202-Pickup Truck
 - 203- Motorcycle
 - 204-Automobile
 - 205-Trailer
 - 206-Emergency vehicle
 - 207-HART Bus
 - 208-Solid Waste
 - 209-Waste Management
 - 210-Waste Solution
- 300-Camera Imaging: Plate is not readable due to image quality issues
 - 301-Corrupt: Incomplete image
 - 302-Misfire: Vehicle outside of camera range
 - 303-Bright: Image is too bright
 - 304-Grainy: Image is too granular
 - 305-Dark: Image is too dark
- 400-Transaction Problem: Plate is not readable due to technical issues
- 500-Undefined: None of the above-defined problems
- 501-Mexican Plate
- 502-Overseas Plate
- 503-Cover Plate
- 700-Damaged Plate: Plate unreadable due to it being damaged, faded or bent.
 - 701-HART Bus
 - 702-Solid Waste
 - 703-Waste Management
 - 704-Waste Solution
 - 903-Answer deferred by Manager

5 Customer Service and Toll Enforcement (CSTE)

The CSTE functional unit is responsible for the overseeing of THEA's tolling financial back-office operations, resolution of customer complaints, and the final attempt to collect unpaid tolls.

The CSTE functional unit shall operate as per the following BRs:

BR112. Receive, process, and resolve all toll operations' escalated customer disputes according

to Appendix T.

- BR113. To ensure excellent customer service, THEA Toll Operations Specialist (TOS) shall follow the following SOPs: How to handle toll-operation walk-ins at THEA HQ in Appendix U, Customer information shall be collected using the Customer Information form in Appendix V. TOS shall provide to THEA's customers with the Customer Toll Account Assessment in Appendix W.
- BR114. For toll operations customer dispute resolutions, the TOS shall serve as the single point of contact between THEA and THEA's tolling back-office service providers and partnering agencies.
- BR115. In the event the TOS is not available, customer phone calls or walk-ins are addressed as applicable using the Processing of Toll-operations Inquiries received at THEA Headquarters SOP. Please reference Appendix X.
- BR116. For unpaid tolls active in THEA collections, THEA's headquarter staff can only process toll payments via Cashier's Check or Money Order payable to the Tampa-Hillsborough Express Authority or THEA. Customers wanting to pay for tolls active in collections using debit or credit card should be directed to call 1-877-258-5205 or visit THEA's collections service center located at 10002 Princess Palm Ave., Tampa, FL 33619.
- BR117. The TOS shall notify THEA's tolling back-office service providers and partnering agencies of all business changes and updates no later than 48 hours after the final approval by THEA's DTO.
- BR118. If customer information is needed, the TOS shall contact the customer to request the information and explain the next steps involved in the dispute process.
- BR119. All CSTE produced electronic data shall be stored in THEA's toll operations' file servers.
- BR120. All interactions between THEA's customers and the TOS shall be logged in electronic format and stored in THEA's toll operations' file servers.
- BR121. Customer disputes received at THEA shall be documented and track until the issue is resolved.
- BR122. All escalated customer complaints received on attorney's letterhead shall be reviewed by THEA's General Counsel.
- BR123. To prevent confusion with THEA's customers, disputes related to Tolling Financial Back Office(s) will be handled by the correspondent Tolling Financial Back Office service provider.
- BR124. The TOS can apply a Toll Credit Adjustment (TCA) with THEA's first party collections when a vehicle has been proven to be towed and/or transported at the time of the toll occurrence. The TEO will do due diligence to obtain the tow and/or transport company's information for correct billing of the toll transaction.
- BR125. During all interactions between THEA's customers and the TOS, the TOS shall offer

THEA's customers available toll-related promotions as appropriate. To resolve escalated disputes and/or unpaid tolls, the TOS can offer the customer no more than two (2) free promotional SunPass Mini transponders. Any deviation from this business rule needs to be approved by THEA's DTO. To ensure quality in customer service and support the tolling industry, the TOS shall assist customers in finding resolution of issues brought to THEA's attention involving other tolling or governmental agencies.

- BR126. If a phone number is available, then the TOS shall attempt to contact the customer one (1) time per day for a maximum of two (2) days.
- BR127. If the first phone call is not answered by the customer, then the TOS shall leave a voicemail (when functionality is available on the customer's phone) with their name, date and time of the phone call. The TOS shall also provide a callback phone number and request a return call within 24 hours to discuss information needed to process the reported complaint.
- BR128. If a phone number is not available, but an email address is available, then the TOS shall write an email to the customer and request the necessary information.
- BR129. If the customer does not return the TOS phone calls and/or email communications, then the TOS shall issue a follow-up letter and allow for five (5) business days for THEA's customer to respond.
- BR130. If the customer does not respond to the follow-up letter, then the case shall be closed and marked as resolved.
- BR131. If the customer does respond to the follow-up letter after five (5) business days, then the case shall be re-opened for resolution.
- BR132. For escalated customer complaints, the dispute resolution turnaround timeframe shall be no more than one (1) business day.
- BR133. To ensure consistent and quality operations, the toll-operations team shall process escalated customer complaints using the check list included in Appendix Y.
- BR134. To address tolls related customer correspondence addressed to THEA's Chief Executive Officer, the toll-operations team shall follow the SOP included in Appendix Z.
- BR135. Escalated customer complaints related to Florida Centralized Customer Service System (CCSS) shall follow the FLCCSS SOP High Priority Customer or Agency Issues on Appendix AA
- BR136. For non-escalated customer complaint, the dispute resolution turnaround timeframe shall be no more than three (3) business days.
- BR137. If the customer's toll transaction(s) dispute is the result of THEA's toll service provider error, then the TOS shall apologize to the customer for the inconvenience and remove the toll charges from applicable toll accounts.
- BR138. Once the issue is resolved, the TOS shall request feedback from the customer regarding the satisfaction of the resolution of the issue.

- BR139. If the customer is satisfied with the resolution, then the case shall be closed and marked as resolved.
- BR140. If the customer is not satisfied with resolution, then the TOS shall request feedback from the customer on how the case could be resolved to meet the customer's satisfaction.
- BR141. If the customer's requested resolution is not permitted by THEA's toll operations' BRs and/or Florida law then, the TOS shall explain the reason(s) why the issue cannot be resolved in such manner and offer a SunPass credit gift-card (when the promotion is available).
- BR142. The TOS can waive administrative fees where applicable or necessary as a one-time customer courtesy.
- BR143. The TOS shall assist walk-in customers in resolving their disputes and/or questions.
- BR144. The TEO shall gather the Top Violators based on outstanding toll amounts owed.
- BR145. Top Violators and repeat offenders are issued letters to provide them with an additional opportunity to resolve their unpaid tolls.
- BR146. As per Florida law, THEA may issue Uniform Traffic Citations (UTC) to enforce payment of unpaid Toll-by-Plate transactions. Please reference Appendix AB.
- BR147. Prior to contacting the Top Violators, the TEO shall verify the address, vehicle, driver's license status, prior vehicles/address, etc. using DHSMV's DAVID.
- BR148. The TEO will prepare an evidence package by rejection code for further investigation and resolution.
- BR149. The TEO shall prepare an overpayment report for THEA's financial department to forward overpaid funds to THEA's first party collections using THEA's debt-collection service provided information.
- BR150. The TEO shall perform Registration Hold audits daily to check performance, placements, and accuracy.
- BR151. In the event of severe weather potentially interrupting THEA's business operations, the TOS will contact current service providers and business partners to evaluate their operating procedures to continuously provide service to THEA's customers.
- BR152. THEA increases its toll rates annually on the Fiscal Year beginning July 1. Prior to the annual toll rate increase, THEA's vendor replaces all toll rate signage with the new Fiscal Year toll rate. On July 1 (or up to two (2) days prior) the TOS shall drive to each toll site and inspect the signage to ensure the correct toll rate is posted.
- BR153. THEA's customers with unpaid tolls in collections must meet requirements in Partial Payment Plan for Unpaid Tolls in Collections SOP to qualify for a partial payment. Please reference Appendix AC.
- BR154. THEA's Customer Service and Toll Enforcement mailing templates are documented in Appendix AD.

5.1. Better Business Bureau Complaints

- BR155. For Better Business Bureau (BBB) complaints, the TOS shall contact the customer to collect detailed information and shall explain the next steps involved in the dispute process.
- BR156. The TOS shall collect all needed information to resolve the BBB complaint reported by the customer.
- BR157. When the TOS has collected the necessary information, the TOS shall contact the customer by phone to discuss the findings and resolution.
- BR158. BBB complaints shall only be closed on the BBB website after the TOS and customer are in full agreement with the resolution.
- BR159. The TOS will prepare monthly BBB reports to effectively track THEA's escalated disputes to learn from their experiences and needs.
- BR160. If the TOS and the customer cannot reach an agreement with the provided resolution, then the complaint shall be escalated to THEA's DTO for final resolution.

5.2. THEA's Delinquent Toll Account Collection Services

- BR161. THEA's debt collector inquiries coming from THEA's first party collections shall be assigned to the TEO for resolution.
- BR162. Phone calls received by THEA's debt collector call center from any governmental entity seeking to discuss business rules and/or procedures shall be routed to a call-center supervisor or manager for resolution. The call-center supervisor or manager shall coordinate the details with THEA's DTO or its assignees.
- BR163. Mail or electronic mail communications received by THEA's debt collector from any governmental entity seeking to discuss business rules and/or procedures shall be addressed in coordination with THEA's DTO or its assignees. THEA shall make the decision on how to resolve the task.
- BR164. Toll-by-Plate accounts that are referred to THEA's debt-collection service provider are escalated as per Appendix AE.
- BR165. THEA's debt collection service provider shall notify the TEO of overpayments made by the customer.
- BR166. If a customer is attempting to reregister a vehicle that has been placed on registration hold at THEA's request, the customer may pay the outstanding tolls over the phone with a credit/debit card to THEA's debt collector using the dedicated toll-free number. The customer may request that the Tax Collector Office be immediately notified with a registration release receipt fax.
- BR167. When the account is either paid in full or successfully disputed, the Tax Collector Office is notified to release the registration hold.

BR168. The TEO has the capability to manually release a registration hold if the account has been paid in full or successfully disputed. The TEO shall fax a registration release receipt to the indicated DHSMV office.

BR169. If an active SunPass customer receives a Toll-By-Plate notice that has been escalated to collections and is disputing it, then the TOS shall process the dispute by waiving the collection fees, as an one-time courtesy, and assisting the customer in resolving the account at the SunPass toll rate effective during the transaction lane exit date.

BR170. Information regarding THEA's debt collection service provider is located in the following appendixes: Appendix AF, Appendix AG, Appendix AH, Appendix AI, Appendix AJ and Appendix AP.

BR171. Information regarding how Florida DHSMV handles registration stop in Appendix AK.

BR172. THEA's debt collector shall report interface and system failures documented on Appendix AM.

6 THEA's Toll Operations Data Protection

The purpose of this section is to ensure that proper security procedures are in place within THEA's Toll Operations Department.

As indicated in the following business rules, security measures are in place to provide protection for THEA's client/customer information. In addition, requirements for the secure handling of documents containing Personal Identifiable Information (PII) are detailed below. THEA follows FL Statutes related to data retention and public records requests. All public records requests are coordinated through the THEA Administrative Manager's Office.

6.1. Physical Security

BR173. All documents and files contain client/customer PII information are to be stored in THEA's Toll Operations Department electronic library and password protected. External drive and paper containing client/customer PII information shall be in a secured physical location.

BR174. Any documentation with PII must be scanned within THEA's secured network and filed electronically.

BR175. Any documentation with PII may be produced on an as-needed basis to address business-related tasks and must be shredded immediately after their use.

BR176. Documents containing PII shall not be left unattended at any time.

BR177. THEA's Toll Operations Department shall encrypt labeling of tolling equipment following a standard naming convention. The naming convention shall be used to encrypt THEA's ground accessible AET-equipment and prevent malicious hackers from identifying tolling servers, services, networks, etc. This naming convention shall be reviewed once (1) a year.

- BR178. THEA's Toll Operations Department shall change all physical locks and system software credentials when a staffing modification occurs.
- BR179. Toll Operations' staff shall lock workstations when not in use and log off at the end of the workday.
- BR180. Toll Operations Department visitors shall be instructed to sign in at the designated reception area located on the 3rd floor of THEA's HQ.
- BR181. Toll Operations' staff shall conduct training with Toll Operations vendors to ensure applicable vendors have operating knowledge of THEA's alarm system and complete the THEA acknowledgment form. Please refer to Appendix AM.
- BR182. Toll Operations' staff shall report any THEA-facility related issue following SOP in Appendix AN.

6.2. Cyber Security

- BR183. Toll Operations staff shall save work to the designated THEA's secure file servers.
- BR184. Toll Operations Department shall perform a Cyber Security Test with a frequency of no more than one (1) per year.
- BR185. Toll Operations staff are required to enter a valid user ID and password to access THEA's Toll Operations back office systems.
- BR186. Toll Operations staff shall not share system access credentials.
- BR187. Toll Operations staff and applicable contractors shall not share PII financial and operational information with 3rd parties without having approval in writing from THEA's DTO.
- BR188. Toll Operations staff shall not share hyperlinks related to Toll Operations documentation stored in THEA's secure file servers.
- BR189. Toll Operations staff shall not click on links or pop-ups, open attachments, or respond to emails from unidentifiable/un-trusted sources.
- BR190. When using portable devices, Toll Operations staff shall only connect to the Internet over secure, password-protected networks.
- BR191. Toll Operations Staff shall not save PII on any portable devices.
- BR192. Toll Operations staff shall always be aware of the potential for phishing emails and not respond to online requests for PII.
- BR193. Toll Operations staff who suspect having received a phishing email shall contact the alleged sender and confirm authenticity.
- BR194. Report any suspicious activity to THEA's DTO or its assignees.

6.3. Natural Disasters

BR195. Effective June 1 of each year, the Toll Operations Team will discuss readiness for the upcoming hurricane season, including business Pre- and Post-checklists, procedures, and staffing. Source: www.nhc.noaa.gov/

BR196. In the event of a natural disaster, each of the functional units shall complete the tasks on their respective Pre- and Post-Disaster Recovery checklists.

BR197. In the event of a natural disaster, each of the functional units shall communicate THEA's business continuity plan to their respective vendors.

BR198. After a natural disaster and business resumes, each of the functional units shall inspect and report on THEA's and vendors' systems and equipment for damage and ensure all services are fully operational.